ERS News

The Summer Semester Effort Reports were available for review on October 12th, and they are due to be completed by December 18, 2007.

The 1st Quarter permanent weekly paid employee effort reports will be available on October 26th, and these reports will be due on January 9, 2008.

Change to the Effort Reporting Process! With the initiation of the Fall Semester Effort Reports in January 08, we will eliminate from effort reporting payments to individuals on non-service fellowship object codes. These are:

Object Code 5043 Post Doctoral Fellow
Object Code 5045 Pre Doctoral Fellow
Object Code 5046 Educational Fellowship Recipient

These object codes are for individuals on training grants or recipients of fellowships where the payment is a stipend for which there is no service required. As such, these object codes are unallowable charges to research awards which may only reimburse compensation for services rendered.

ORS will distribute a list of all active research awards that have costs charged to these non-service object codes. Departments will need to remove these unallowable charges by the end of the calendar year.
Subaward Processing and Subrecipient Monitoring

In response to requests we have received from business administrators regarding the Subaward Request form and additional federal sponsor requirements, **ORS is making the following process and form changes:**

1. Departments are no longer responsible to provide a subrecipient’s most current F&A rate agreement. ORS will secure this documentation if the subrecipient has not provided it with their scope of work and budget.

2. If a subrecipient’s defined scope of work and budget have not changed from what was included in the proposal and that documentation is on file at ORS, no additional documentation will be requested from the department.

3. An additional question has been added to the Subaward Request form that asks the Penn PI to certify that he or she has no relationship with the subrecipient organization or its PI. This question has been added to comply with new federal requirements regarding conflict of interest between prime contractors and subawardees.

The increasing federal sponsor emphasis on sub-recipient monitoring has created an additional administrative burden that has slowed down the turn-around time between when ORS receives the department’s request for a subaward (or modification to an existing subaward) and when the document is sent to the subrecipient for signature. While it is not possible to eliminate or short-cut steps in the monitoring process, ORS has been looking for ways to potentially speed the process along.

One such change involves the way ORS will process subawards where we have not yet received final IACUC or IRB approvals from the subrecipient institution. Rather than waiting to issue the subaward until these documents are received, once the other aspects of subrecipient monitoring have been completed, ORS will issue these subawards and send them “unsigned” to the subrecipient. The ORS cover letter will instruct the subrecipient to include the final regulatory documents with the signed subawards they return to ORS. At that point, ORS will be able to fully execute and finalize the subaward. This will allow the subaward to continue through its processing cycle while the subrecipient is waiting for its final regulatory approvals. **Please note** that obtaining these approvals during the “just in time” process, and including them with the subaward request form, will help to shorten the time it takes to have a fully executed subaward established.
Finally, ORS has made internal workflow changes to better control and insure consistency in the subrecipient monitoring process. Departments will continue to work with their preaward contract administrator during the request process. ORS has created a detailed internal log sheet that will allow your contract administrator to more easily ascertain subaward processing status for any given subaward. **Please direct your status requests to your preaward contact.**

It is our goal to continually improve the way in which we conduct subrecipient monitoring and process subaward requests. We look for your input and suggestions to help us best meet your needs while maintaining a high level of institutional compliance.

Not receiving our newsletter? Please visit our homepage to subscribe to our listserv. 
[http://www.upenn.edu/researchservices/](http://www.upenn.edu/researchservices/) (see bottom right corner)
NIH Announces Plans to Eliminate Paper Notification of Notice of Award (NoA) Letters

**Notice Number:** NOT-OD-08-002

**Key Dates**
Release Date: October 9, 2007

**Issued by**
National Institutes of Health (NIH), (http://www.nih.gov/)

The NIH continues toward its goal of a paperless grants process. **Effective January 1, 2008,** NIH will no longer provide paper notification of the Notice of Award (NoA) letters. Instead, NoAs will be sent solely via e-mail to grantee organizations and will be accessible in the eRA Commons through the Status module.

All award recipients are required to be e-mail enabled to allow for the electronic transmission of the NoA. Institutions registered in the Commons should verify the e-mail address on file is correct, or add the appropriate e-mail address. Authorized officials can edit the Institutional Profile in the award e-mail field. Any new/prospective grantee institution or organization must register a valid e-mail address in the eRA Commons Institutional Profile once the initial Commons registration process is complete. Organizations are encouraged to use a unique e-mail address that is not specific to an individual in order to avoid communication problems when personnel change. The organization is responsible for maintaining an accurate NoA e-mail address.

NIH provides an additional tool for monitoring NoA activity. On the eRA Commons web site, a query is available to view a report of issued NoAs. The query shows awards made to a particular organization over a selected time period (the organization’s IPF Number is required).

In addition to complying with a Congressional mandate to move from paper-based to electronic systems, these new procedures will also improve consistency and timeliness of communication between NIH, investigators, and institutions during the grant application process.

**Inquiries**
Inquiries about a specific NoA should be directed to the assigned Grants Specialist listed on the NoA. General inquires about changes to the NoA process may be directed to:
The following resources for the eRA Commons should be of assistance:

• eRA Commons Home Page for organization registration and updates: https://commons.era.nih.gov/commons/

• eRA Commons web page for information on features of the Commons: http://era.nih.gov/commons/index.cfm

• Frequently Asked Questions: https://commons.era.nih.gov/commons/faq.jsp

• Commons Helpdesk at 1-866-504-9552 or via the Web at http://ithelpdesk.nih.gov/eRA/ (preferred method of contact)

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.
Sponsored Projects Policy Review

Sponsored Projects policy # 2102 (SP 2102) highlights the approval process of proposals which is intended to ensure compliance with University policies. SP 2102 describes the responsibilities’ of the Investigator, Business Administrator, department Chairperson, Dean and ultimately the Office of Research Services. Each party plays an important role in ensuring completeness, accuracy and compliance. The policy also offers guidance on proposals which may raise issues with respect to internal policy, intellectual property and other legal issues.

2102 Approval of Proposals

Effective: Dec. 1986
Revised: March 2006
Reviewed: March 2006
Responsible Office: Research Services
Approval: Research Services

Purpose

To ensure that proposals submitted for external support of research and other sponsored projects comply with University financial and other policies.

Policy

All proposal submissions, whether electronic or not, seeking external support for research and other sponsored projects must be submitted to Research Services for review and approval prior to submission to an external sponsor. A completed Proposal Transmittal and Approval Form, signed/certified by the Principal Investigator/Project Director and the Business Administrator or other individual responsible for proposal preparation and project administration must accompany the proposal.

All proposals must be approved by the responsible department chairperson, and the appropriate dean/resource center director. When a project involves members of more than one department or school/center, the approval of all responsible chairpersons and deans/directors is required.
The Principal Investigator accepts responsibility for the scientific and technical conduct of this project and for provision of required technical reports if a grant or contract is awarded as a result of the application. The Principal Investigator attests that (a) all related significant financial interests have been disclosed, and (b) Participation Agreements have been signed by all personnel proposed to work on the project.

The Business Administrator attests to the completeness and accuracy of the budgetary and administrative information contained in the application.

The department chairperson attests to the academic purposes of the proposed project, its departmental compatibility, and its appropriateness in terms of budget, space and equipment.

The dean/resource center director attests to (a) the appropriateness and availability of personnel, including salary levels, (b) the adequacy of space and other facilities needed for the project, and (c) the budget and Facilities and Administrative (F&A) cost recovery. A dean/resource center director may approve less than full recovery of F&A costs in accordance with Sponsored Projects Policy No. 2116, Facilities and Administrative (F&A) Costs.

Research Services ensures that proposals comply with University and sponsor policies, that proposals are complete and that all signatures/certifications and approvals, including those of appropriate regulatory offices, have been obtained. Research Services solely is authorized to sign proposals on behalf of the Trustees of the University of Pennsylvania.

Proposals, which raise policy issues, are to be referred to the Vice Provost for Research for review and approval prior to submission to the sponsor.

Proposed projects which do not appear to conform to the Guidelines for the Conduct of Sponsored Research (see Research Investigators Handbook) are to be referred to the Council Committee on Research for review and approval prior to making any commitments, either formal or informal.

Proposals, which raise legal issues, are to be referred to the Office of the Vice President and General Counsel for review.

11. Proposals, which raise intellectual property issues, are to be referred to the Center for Technology Transfer for review.

12. The University reserves the right to withdraw any proposal that does not comply with this policy.
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.
The National Science Foundation (NSF) has published a revised version of the NSF Proposal & Award Policies & Procedures Guide (NSF 08-1), which will be effective for proposals received on or after January 5, 2008. The new publication can be accessed at: http://www.nsf.gov/pubs/policydocs/pappguide/nsf08_1/index.jsp. While the changes are effective January 5, 2008, proposers are strongly encouraged to begin complying with the guidance as soon as possible.

Several important changes have been made to the Guide. Among them is a revision to the intellectual merit review criterion. The criterion now specifically includes evaluation of proposals for potentially transformative concepts.

Second, is a new requirement regarding registering in the Central Contractor Registration. Potential proposers must register in the Central Contractor Registration prior to submitting a proposal to NSF. This requirement also applies to any known subawardees at the time of proposal submission.

Finally, the revised Guide contains an update to the designated fonts that may be used when preparing an NSF proposal. The updated proposal margin and spacing requirements section in Chapter II.B.2 of the Grant Proposal Guide can be accessed at: http://www.nsf.gov/pubs/policydocs/pappguide/nsf08_1/gpg_2.jsp#IIB2.

If you have any questions regarding the revised NSF Proposal & Award Policies & Procedures Guide, please contact the Policy Office on (703) 292-8243 or by email to policy@nsf.gov.
New Features in eRA Commons

Notice Number: NOT-OD-08-007
Key Dates
Release Date: October 19, 2007
Issued by
National Institutes of Health (NIH), (http://www.nih.gov)
Agency for Healthcare Research and Quality (AHRQ), http://www.ahrq.gov/
Centers for Disease Control and Prevention (CDC) (http://www.cdc.gov)
National Institute for Occupational Safety and Health, Centers for Disease Control and Prevention (NIOSH/CDC) http://www.cdc.gov/niosh/oep)

NIH will update the eRA Commons Status software on October 26, 2007 with a new look and additional features. This new version of Status incorporates user-requested enhancements that will provide additional tracking capabilities and better grant application organization for improved system performance, including:

- New search feature: Ability to search for and track electronically submitted applications from the Status screen using the Grants.gov tracking number. The Grants.gov tracking number will continue to be searchable throughout the lifecycle of the application/grant - even after the NIH assigns its own application ID (i.e., accession number or grant number).

- Reorganization of the application/grant data into two separate sections:
  1. Recent/Pending eSubmissions - includes electronic application submissions that require action to complete the submission process (e.g., checking errors/warnings, viewing assembled application). It also includes those that have been refused by a Signing Official or are within the two day assembled application viewing window.
2. List of Applications/Grants - includes both paper and electronic applications that have been submitted successfully and are available for post-submission status (e.g., review assignments, review results, summary statements, Notice of Award). It also includes the list of awarded grants for accessing other Commons functions.

• Grouping of multiple submission attempts for a single application to provide a cleaner screen view and consolidated submission history. This new strategy will change the look and feel of the Status screens; however, the underlying process remains the same.

Additional details including the new Status screen shots.
Inquiries
Inquiries regarding this Notice should be directed to: NIHElectronicSubmiss@mail.nih.gov
ORS Fall Brown Bag Series

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

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

<table>
<thead>
<tr>
<th>Date:</th>
<th>Topic/ Presenter:</th>
<th>Location:</th>
</tr>
</thead>
</table>
| November 16, 2007 | **Responsible Conduct in Research**  
Linda Yoder  
Assistant Compliance Officer-- Office of Audit Compliance and Privacy | Wharton, Huntsman Hall 260 |
| November 30, 2007 | **The Basics of Animal Research**  
Paula A. Clifford: ULAR Training Manager  
Deyanira Santiago: Compliance Manager | Wharton, Huntsman Hall 260 |
| 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 |
SPCCP
Sponsored Projects Compliance Certification Program

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);

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

• ORS’s course, “Sponsored Projects @ Penn” -- Instructor led

This course consist of 5 half-day modules covering the following topics:
  o Introduction to Sponsored Programs
  o Proposal Preparation and Submission and Budgeting
  o Award Acceptance and Account Set Up
  o Project Management
  o Closeout and Audit of Sponsored Project Funds;
• Pre-Award Account Set-Up Online Quiz;
• Award Management and Compliance Online Quiz;
• Close-Out and Audit Quiz Online;
• PI Transfers;
• 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, visit the SPCCP webpage at: http://www.upenn.edu/researchservices/SPCCP/
Getting to Know......
Gerald Augustin

Years at Penn: 3 Months

Years in Research Services: 3 Months

ORS Responsibilities: Performs general ledger review and reconciliations: prepare financial statements, billings, journal entries and trial balances. Initiates and coordinates the account closeout process in coordination with the responsible department administrator.

Hobbies/Interests: My hobbies include sports, exercise, and movies. My interests are achieving all the goals that are set out for me. Gaining more knowledge through different avenues of life. Listening to good music and last but not least just enjoying life.

Favorite Restaurant: Cheesecake Factory

Favorite ways to spend a vacation: Favorite ways to spend a vacation would be with family and friends just relaxing as well as having a great time.

What Co-workers say:

Gerald has proven to be a great asset to Research Services in the short time he has been with us. He works hard, is very dedicated, and is a quick learner. Gerald has a very pleasant demeanor and always has a smile on his face. We are very fortunate to have Gerald on our staff.

Young, determined, and energetic are some words that can be used to describe Gerald. Although Gerald is new he has show that no matter how hard the tasks are ahead he is willing to put forth considerable time and effort to succeed.
ORS Monthly Quiz

1) Which of the following is responsible for attesting to the academic purposes and appropriateness in terms of budget of a proposed sponsored project? 
   (See Sponsored Project Policy 2102)
   a) Principal Investigator (PI)
   b) Business Administrator (BA)
   c) Department Chairperson
   d) Dean/Resource Center Director

2) The Dean/Resource Center Director is responsible for all of the following EXCEPT:
   (See Sponsored Project Policy 2102)
   a) Attesting to the appropriateness and availability of personnel on the project
   b) Attesting to the adequacy of space and other facilities needed for the project
   c) Attesting to the departmental compatibility of the project
   d) Attesting to the budget and facilities and administrative (F&A) cost recovery for the project

3) Research Services solely is authorized to sign proposals on behalf of the Trustees of the University. (See Sponsored Project Policy 2102)
   a) True
   b) False

4) According to Sponsored Project Policy 2102, proposals that raise intellectual property issues, are referred to:
   a) Office of the President
   b) General Counsel
   c) Center for Technology Transfer

5) When a project involves members of more than one department or school/center, the approval of all responsible chairpersons and deans/directors is required. 
   (See Sponsored Project Policy 2102)
   a) True
   b) False

6) According to Sponsored Project Policy 2102, proposals that raise legal issues, are referred to:
   a) Office of the President
   b) General Counsel
   c) Vice Provost for Research
   d) Both a and b

7) According to Sponsored Project Policy 2102, proposals that raise policy issues, are referred to:
   a) Office of the President
   b) General Counsel
   c) Vice Provost for Research

Answer key for the Monthly Quiz can be found on Page 17
Did You Know........

Effort and payroll distributions are not the same thing. The effort reporting process is a method for certifying charges made to sponsored awards and for certifying that the effort expended is at least equal to the salary paid. Payroll distributions are used initially as a proxy for effort distributions and serve as a convenient reminder about activities on which the individual worked. Therefore, the payroll-based effort report form should be adjusted to report effort distributions that are less than the shown payroll distributions. Appropriate salary reallocations must be made in concert with the changed effort report form. See Sponsored Project Policy 2114

The standardized payroll form for weekly paid temporary employees, signed by the employee and their supervisor who uses a suitable means of verification that the work was performed, is the document of record to substantiate salary charges to sponsored projects. This form includes a certification of effort and fulfills the requirements of OMB Circular A-21. Weekly paid temporary employees are not included in ERS.

The effort form must represent, in percentages totaling 100%, a reasonable estimate of an employee’s University compensated effort for the period. Faculty must certify their own individual effort report form. Effort reports for other employees in 1.a and 1.c must be completed and certified either by the employee, the principal investigator (PI), or a responsible official (business administrator or chairperson) using a suitable means of verification that the reported effort was expended. Consonant with Sponsored Projects Policy 2134, a suitable means of verification must be in the form of a signed and dated fax, memo, letter or email from the PI attesting, after-the-fact, to the amount of effort expended by the individual. Documentation, electronic or other, must be available and accessible at all times for audit purposes. If an approval is obtained via email, a printed copy must be retained.

Answer Key to ORS Monthly quiz: 1:C; 2:C; 3:A; 4:A; 5:D; 6:C
## Monthly FAQ

**What do all of those acronyms mean?**

<table>
<thead>
<tr>
<th>Acronym</th>
<th>Name</th>
<th>Acronym</th>
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<tbody>
<tr>
<td>A/R</td>
<td>Accounts Receivable</td>
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<td>Indirect Cost Recovery</td>
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<td>AF</td>
<td>Air Force</td>
<td>IP</td>
<td>Intellectual Property</td>
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<td>APED</td>
<td>Adjustment Period End Date</td>
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<td>Business Administrator</td>
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<td>National Institutes of Health</td>
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<td>NOA</td>
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<td>National Science Foundation</td>
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<td>CNAC</td>
<td>Center Net Asset Class</td>
<td>OMB</td>
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<td>Center for Technology Transfer</td>
<td>ONR</td>
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<td>Clinical Trial Agreement</td>
<td>ORS</td>
<td>Office of Research Services</td>
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<td>Department of Health and Human Services</td>
<td>ORSS</td>
<td>Office of Research Support Services (SoM)</td>
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<td>Department of Energy</td>
<td>PBIL</td>
<td>Maximum Billable Amount</td>
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<td>EB</td>
<td>Employee Benefits</td>
<td>PBUD</td>
<td>Authorized Program Budget</td>
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<td>Facilities and Administration</td>
<td>PPM</td>
<td>Penn Protocol Manage</td>
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<td>Federal Demonstration Project</td>
<td>PI</td>
<td>Principal Investigator</td>
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<td>Financial status Report Indirect</td>
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<td>Research Accounting</td>
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<td>General Ledger</td>
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<td>Responsible Organization</td>
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<td>RFA</td>
<td>Request for Application</td>
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<td>Health Insurance Portability and Accountability Act</td>
<td>SoM</td>
<td>School of Medicine</td>
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<td>Institutional Animal Care and Use Committee</td>
<td>SOW</td>
<td>Statement of Work</td>
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<td>SRA</td>
<td>Sponsored Research Agreements</td>
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**Reference Number** 070822971  
**Title**  ASSOC DIRECTOR E  
**Salary Grade**  029  

**Duties**
Review, revise and negotiate complex clinical trial agreements, sponsored research agreements and other corporate contracts to ensure compliance with University policy. Review research proposals related to corporate contracts to ensure proper handling of budgets, human subjects or animal research, and related matters. Provide guidance to the Office of Research Services staff on contract terms and conditions such as intellectual property, indemnification and research compliance. Serve as liaison between University and funding sponsor.

**Qualifications**
Master’s Degree required, JD preferred, and a minimum of 5 years experience in contract negotiations or an equivalent combination of education and experience. Demonstrated knowledge of sponsored programs administration and related federal policies would be helpful. Knowledge of issues related to research compliance, human subjects research, also desirable. Excellent written and verbal communication skills. Strong understanding of contract language. Strong negotiation skills. Must be able to revise contract templates. Ability to work independently. able to track multiple contract negotiations and complete negotiations in a timely fashion while providing excellent customer service. Demonstrated proficiency with MS software (Word/Excel). Background check required.

---

**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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Interested candidates may view full description for the positions at [http://www.hr.upenn.edu/jobs/](http://www.hr.upenn.edu/jobs/).
**Office of Research Services**

**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.

**Reference Number** 070622438  
**Title** CONTRACT ADMINISTRATOR A  
**Salary Grade** 025  

**Duties**  
Provide pre-award and post-award non-financial administration of less complex grants/awards for assigned departments and schools. Review terms and conditions of awards to ensure compliance with University policies and Federal guidelines. Negotiate terms and conditions of awards. Prepare sub-contracts as needed; Serve as liaison between University and funding sponsor; audit account set-up; write newsletter article.

**Qualifications**  
A Bachelor's Degree is required and 2 years to 3 years of experience or equivalent combination of education and experience. Knowledge of Federal Grant Regulations required. Knowledge of Federal Acquisition Regulations highly desirable. Ability to prioritize tasks, demonstrated strong communication and organizational skills; demonstrated proficiency with PC software (Excel and MS Word); Knowledge of Ben Financial and PennERA a plus.

**Reference Number** 071023182  
**Title** CONTRACTS ADMIN SR  
**Salary Grade** 027  

**Duties**  
Independently provide pre-award and post-award non-financial administration for assigned departments/schools. Review terms and conditions of awards to ensure compliance with University policy and Federal guidelines; negotiate terms and conditions of awards as needed; prepare sub-contracts as needed; serve as liaison between University and funding sponsor; audit account set-up; write newsletter articles.

**Qualifications**  
A Bachelor’s Degree is required and 3 years to 5 years of experience in research administration or equivalent combination of education and experience. Ability to work independently and prioritize tasks; demonstrated strong communication and organizational skills; demonstrated customer service skills; demonstrated proficiency with PC software (MS word, excel) knowledge of Ben financial plus.

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

Upcoming ORS Brown Bags

November 16, 2007: Responsible Conduct in Research
Linda Yoder: Assistant Compliance Officer--Office of Audit Compliance and Privacy
Time: 12:00 - 1:15 Location: Wharton, Huntsman Hall Rm 260

November 30, 2007: The Basics of Animal Research
Paula A. Clifford: ULAR Training Manager
Deyanira Santiago: Compliance Manager
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

NCURA’s 49th Annual Meeting
http://www.ncura.edu/conferences/49/
November 4 - 7, 2007 -- Washington, DC

October Contributing Authors, ORS Newsletter:

Deborah Fisher, Director of Pre Award Non-Financial Administration, Office of Research Services
Heather Lewis, Associate Director of Pre Award Non-Financial Administration, Office of Research Services
Robert McCann, Director of Cost Studies, Office of Research Services
Anita Mills, Associate Director, Sponsored Programs Compliance Training, Office of Research Services
Linda Yoder, Assistant Compliance Officer, Office of Audit, Compliance and Privacy
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For more information about the courses listed, go to:

http://www.upenn.edu/researchservices/training.html

Register for courses mentioned above go to:

http://knowledgelink.upenn.edu
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 industrial clinical trial agreements and sponsored research agreements should be addressed to the Corporate Contracts Group.

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• Biomedical Graduate Studies – SOM
• Biostatistics – SOM
• Cancer Center – SOM
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• Institute for Environmental Medicine – SOM
• Institute for Human Gene Therapy – SOM
• Institute for Neurological Sciences – SOM
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• Neurology – SOM
• Pathology & Laboratory Medicine
• Rehabilitative Medicine – SOM

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• Radiology
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• Center for AIDS Research – SOM
• Genetics – SOM
• Hematology/Oncology
• Neurosurgery - SOM
• Orthopedic Surgery – SOM
• Pediatrics – SOM
• Physics – SOM
• School of Medicine, Institute for Medicine & Engineering – SOM
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• Radiology

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• Annenberg School for Communication
• Cell & Developmental Biology – SOM
• Center for Bioethics – SOM
• Dermatology
• Genomics – SOM
• Microbiology – SOM
• Ophthalmology – SOM
• Otorhinolaryngology – SOM
• School of Nursing
• School of Veterinary Medicine

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• Corporate Contracts
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Departments are temporarily reassigned. Call ORS at 898-7293 for details.
The main functions handled by these ORS staff members are the preparation of financial invoices and reports, coordination of audits, collection of receivables, cash management functions, and close outs of funds. The Federal Compliance Group handles facilities and administrative costs, employee benefit rates, effort reporting, and compliance issues.

Contact Information for all areas is provided below.

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• 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:  
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  Physiology  
  Obstetrics and Gynecology  
  Radiation Oncology  
  Center for Research on Reproduction and Women’s Health

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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

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  Chemical Engineering  
  Mechanical Engineering  
  Materials Science & Engineering  
  Minority Programs  
  Physiology  
• School of Medicine Departments:  
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About Our Organization...

Our Mission

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

In this role, ORS

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

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

Office of Research Services
Quick Contact List:

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

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