NIH eSubmission Items of Interest

Updating Announcement Expiration Dates – Expect Flurry of Grants.gov Emails

NIH has posted an announcement to the NIH Guide about their plans to adjust the expiration date for over 400 Funding Opportunity Announcements (see NOT-OD-07-093 for full details). There is no change in submission deadlines and no need for applicants to make any application changes due to this process. As indicated in the notice, the adjustments will trigger Grants.gov automated emails to be sent to all who subscribed to receive FOA updates. You could receive over 400 emails during this process, if you subscribe to receive updates to ALL NIH FOAs. We are unable to suppress these Grants.gov emails. Please disregard these messages throughout the adjustment period (September 18-November 2).

Updated Guides Now Available

The U.S. Department of Health and Human Services Public Health Service Grants.gov Application Guide SF424 (R&R) and the corresponding Grants.gov SBIR/STTR Application Guide have been updated to include additional guidance on dealing with subaward budgets, a recent policy change to exclude Federal holidays from the two-day application viewing window, and suggested clarifications from the applicant community (see summary of changes). We realize posting an updated application guide close to a major R01 submission deadline may cause some anxiety. However, the updates simply incorporate previously announced policy and applicant suggested clarifications into a single information source.

We also are happy to announce that the eSNAP User
Guide has been updated. eSNAP provides the ability for eligible grantee institutions to electronically submit Streamlined Non-competing Award Process (SNAP) progress reports through the eRA Commons.

Adobe/PureEdge Update

NIH will continue to use PureEdge forms at least through March 2008 submission deadlines. Although Grants.gov has deployed its 2007 system, we are still awaiting the final Adobe forms to complete the SF424 (R&R) form set. Once the Adobe forms are made available, NIH will test the forms and finalize transition plans to use them. We’ll keep you posted.

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

Each month, we will publish a Sponsored Programs Policy (SPP) in the ORS newsletter with a brief introduction.

The first policy to be highlighted is SPP 2101, “Administration of Sponsored Projects.” This policy defines the characteristics of awards that are to be administered by the Office of Research Services and provides criteria to determine whether or not funding is a sponsored project or a gift.

2101 Administration of Sponsored Projects

Effective: Dec. 1986
Revised: Nov. 2003
Reviewed: March 2006
Responsible Office: Research Services
Approval: Research Services

Purpose
To ensure that funds provided from external sources to support research and other projects are administered in accordance with University policies as well as those of the sponsor. External sources include both governmental and private organizations.

Policy

1. All externally sponsored projects for research or other purposes will be administered through Research Services in accordance with established University policies and procedures.

2. Any project, which meets any of the following criteria, is considered to be a “sponsored project” and will be administered accordingly:

   1. The project commits the University to a specific line of scholarly or scientific inquiry, typically documented by a statement of work;

   2. A specific commitment is made regarding the level of personnel effort, deliverables, or milestones;
3. Project activities are budgeted, and the award includes conditions for specific formal fiscal reports, and/or invoicing;

4. The project requires that unexpended funds be returned to the sponsor at the end of the project period;

5. The agreement provides for the disposition of either tangible property (e.g., equipment, records, technical reports, theses or dissertations) or in tangible property (e.g., inventions, copyrights or rights in data) which may result from the project;

6. The sponsor identifies a period of performance as a term and condition.

3. All externally sponsored research and teaching activities that involve human subjects, laboratory animals, use of radioactive materials, or biohazard activities must be reviewed by the appropriate University committees for compliance with University policies and governmental regulations.

Research Compliance Tutorials and Other Education:
For further guidance on administering 5-funds here at Penn, please visit the Research Compliance Training and Education page at http://www.upenn.edu/researchservices/rc/pages/training.htm.
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.
In an effort to accommodate the rapidly changing landscape of electronic research administration, the PennERA team recently upgraded our production software. This upgrade addressed a number of outstanding, open issues, but it also introduces a number of user interface changes to Proposal Development.

The first change made is to allow the software to calculate salaries on a monthly basis. Historically, the software calculated salaries on a per day basis. Thus the application would calculate that a person makes less in February and more during March since the number of days differ in those two months.

**The new functionality allows** the user to indicate that a person make “X dollars” per month regardless if one month is shorter or longer than others.

The screenshot below has boxed an area where there is a checkbox to indicate for each individual whether you want their salaries on a per day or per month basis. Currently the software defaults it to a per day basis. If you choose to leave the box unchecked then in the Base Salary section you will put their base salary for that entire appointment timeframe. This is no different than previous versions of software.

However if you check the box “Monthly” then in the base salary (and fringe section too), you will input the amount of money they make per month. Thus if a person make $120,000 a year on a 12 month appointment, in the base salary section you will only put $10,000 ($120,000/year divided 12 months/year). The system will automatically convert this into $120,000 base salary for purposes of the 424 R&R budget pages.

**In addition to the new monthly functionality,** this new version of the software has added additional functionality corresponding with 3 additional radio buttons on the screen. These 3 Scenarios are:

1.) **Continue Salary past appointment end date**  
   Allows the salary associated with an appointment to be extrapolated beyond the actual appointment start and end date.

2.) **Recycle Salary on the Annual Anniversary (respecting effective dates)**  
   Allows personnel appointments to be applied to future periods without
added data entry. This functionality will likely be the choice for schools and centers that show an academic and summer appointment where the salary is expected to go up with a standard inflation.

3.) **Salary ends on the Appointment end date.**
The system will not extrapolate the salary appointments nor will the salary be “recycled”. This functionality was added to support the need in both prime and subcontract budgets where the anticipated salary in out-year(s) cannot be arrived at by a standard inflation rate.
Important Notice No. 130: Transformative Research

National Science Foundation
Office of the Director
Arlington, Virginia 22230
September 24, 2007

IMPORTANT NOTICE TO PRESIDENTS OF UNIVERSITIES AND COLLEGES
AND HEADS OF OTHER NATIONAL SCIENCE FOUNDATION AWARDEE ORGANIZATIONS

Subject: Transformative Research

At the 399th meeting¹ of the National Science Board (Board), the Board unanimously approved a motion to enhance support of transformative research at the NSF. Additionally, the Board approved a change to the Intellectual Merit Review Criterion specified in Part I of the NSF Proposal & Award Policies & Procedures Guide: the Grant Proposal Guide² to specifically include review of the extent to which a proposal also suggests and explores potentially transformative concepts. The full text of the newly revised criterion is as follows:

What is the intellectual merit of the proposed activity?

How important is the proposed activity to advancing knowledge and understanding within its own field or across different fields? How well qualified is the proposer (individual or team) to conduct the project? (If appropriate, the reviewer will comment on the quality of prior work.) To what extent does the proposed activity suggest and explore creative, original, or potentially transformative concepts? How well conceived and organized is the proposed activity? Is there sufficient access to resources?

Effective October 1, 2007, the Grant Proposal Guide, as well as new funding opportunities issued after that date, will incorporate the revised new Intellectual Merit criterion. Necessary changes also will be made to NSF reviewer systems to incorporate the revised language. All proposals received after January 5, 2008, will be reviewed against the newly revised criterion.

The term “transformative research” is being used to describe a range of endeavors which promise extraordinary outcomes, such as: revolutionizing entire disciplines; creating entirely new fields; or disrupting accepted theories and perspectives — in other words, those endeavors which have the potential to change the way we address challenges in science, engineering, and innovation. Supporting more transfor-
Transformative research is of critical importance in the fast-paced, science and technology-intensive world of the 21st Century.

The concept of transformative research is not new to NSF. For example, the results of a recent survey revealed that the majority of respondents (proposers) perceive that NSF already welcomes transformative research, and that NSF was strongly preferred over other funding sources as the place to submit a transformative idea. However, there is always room for improvement.

To make progress in enhancing support for transformative research, NSF will need a positive, open attitude toward experimentation with our processes and programs that allows us the necessary space to discover what will ultimately work best. **To implement the emphasis on transformative research, NSF will:**

1. Infuse support of potentially transformative research throughout NSF and all of its programs;

2. Learn how to facilitate potentially transformative research; and

3. Lead the way for the community through creating opportunities for investigators to submit proposals for potentially transformative research.

While much can be accomplished with implementation of a revised criterion, improved communication and existing award mechanisms, these activities alone are insufficient to fully accomplish the above approach. We are creating an NSF working group to develop the framework and recommend implementation details for a new funding mechanism for “early-concept” research projects, including a mechanism to monitor and track the impact. Learning from small scale pilots and community feedback will be vital in this process NSF will broadly advertise the new funding mechanism to the community once it has been finalized.

We challenge you to encourage, support and foster transformative research by exercising leadership in your own institutions. The nation needs bold efforts, at the most demanding levels of creative enterprise, to sustain a leadership role in the global economy. We have always been remarkably adept at this in America. Working together, I am confident we can do an even better job in the future.

Arden L. Bement, Jr.
Director

1 The 399th meeting of the National Science Board was held August 6-8, 2007.
Introducing BEN Assets
New Property Management System Brings Changes That Affect Faculty and Researchers

During the 2006-07 academic year, the Division of Finance, in collaboration with Information Systems and Computing, initiated a project to enhance the overall management of the University’s property, plant, and equipment assets. The project includes the redesign of business processes to improve the stewardship and management of University-owned assets and the implementation of BEN Assets, a new software system to replace the existing Property Management system.

These enhancements will enable more efficient and timely recording of information, enhanced tracking capabilities, and automatic journal creation for depreciation and retirement of University assets. The new BEN Assets system will be integrated with several other University systems, enabling the collection of more accurate and consistent data and eliminating redundant data entry. BEN Assets will also provide easier access to asset information via enhanced functionality and improved reporting capabilities.

Changes Affecting the Purchase of Capital Assets

In the Fall of 2007, the first release of the BEN Assets system is being implemented. In conjunction with that release, faculty, researchers, and administrators who acquire assets for their projects or offices should be aware that several important changes affecting the purchase of capital assets will come into effect. (As a reminder, a capital asset is an item for which all three of the following criteria apply: it has a value of $5,000 or higher; it has a useful life of more than one year; and the University retains title.)

Requisitions for several additional types of capital assets must include property management details such as location, category (for calculating depreciation), custodian, etc. Currently, such detail is only required for “Moveable Equipment” purchases (i.e., items such as office furniture and laboratory equipment falling under object codes 1830-1833 in the University’s budgeting system). Effective with this release of BEN Assets, the information will also be required for:

- **Collectibles** (Object Code 1850-1852) – Rare books, museum collectibles, and artwork
- **Equipment in Process** (Object Code 1834) – Equipment fabricated by the University for internal use and which is not available elsewhere
- **Internal Use Software** (Object Code 1835) – Software which is acquired, developed internally, or modified solely to meet Penn’s internal needs and which will not be marketed externally

Requisitions for the types of capital assets described above must include a valid location.
tion (building, room, floor) for housing the item, provided by the person requesting the purchase.

BEN Financials, the University’s financial system, has been integrated with the Space@Penn system to enable validation of Building-Floor-Room data within the requisition creation process. Requisitioners will be required to enter the location information as it is represented in Space@Penn.

For example, the location 0155-1-100A represents the following elements:

- Building Number – 0155 = Franklin Building
- Floor Number – 1 = First Floor
- Room Number – 100A = Room number

**Important:** Requisitions cannot be completed without valid location information.

**Requisitions must indicate whether or not an item is a component of a new or existing capital asset.** For example, a new $2,000 lens might be purchased as part of a $10,000 microscope being fabricated. Note that replacing a lens on an existing microscope is not considered a component that should be capitalized, but is a repair that should be expensed.

The information above must be available to the requisitioner at the time a purchase requisition is being created. Requisitions cannot be completed and sent on for further processing into purchase orders until this information has been entered into the BEN Financials system.

**More Information**

If you have questions about these changes, please contact your departmental business administrator or the person responsible for purchasing/property management in your area.
Post Award News

The Office of Research Services would like to introduce Michael Hay as the newest member of our Post Award Financial Reporting and Invoicing area. Mike will be responsible for the whole School of Veterinary Medicine, the following departments within the School of Engineering & Applied Sciences: Bioengineering-Chemical Engineering-Materials Science & Engineering-Mechanical Engineering-Minority Programs, and the following departments within the School of Medicine: Emergency Medicine – Physiology.

Please join us in welcoming Mike to the University of Pennsylvania family!

Jim Clavin will be assuming the role of Associate Director for the Post Award reporting and invoicing area effective immediately. Please join ORS in congratulating Jim Clavin on his success!

Not receiving our newsletter? Please visit our homepage to subscribe to our listserv. http://www.upenn.edu/researchservices/ (see bottom right corner)
The **Office of Research Services** is pleased to announce the **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)

<table>
<thead>
<tr>
<th>Date</th>
<th>Topic/ Presenter</th>
<th>Location</th>
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| October 12, 2007   | The Basics of Human Research  
Yvonne Higgins  
IRB Director -- Office of Regulatory Affairs | Wharton, Huntsman Hall 340 |
| October 19, 2007   | Effort Reporting Basics and Suitable Means Verification  
Robert McCann: Director Cost Analysis -- Office of Research Services  
Frank Tresnan: Director for University & Penn Medicine Audit -- Office of Audit Compliance and Privacy | Wharton, Huntsman Hall 350 |
| 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 |
The Office of Research Services is pleased to announce the dates and times for

Sponsored Programs at Penn

October 12, 2007: 9:30 – 1:00 Wharton – Huntsman Hall Rm 345
October 15, 2007: 9:30 – 1:00 Wharton – Huntsman Hall Rm F60
October 16, 2007: 9:30 – 1:00 Wharton – Huntsman Hall Rm F70
October 19, 2007: 9:30 – 1:00 Wharton – Huntsman Hall Rm 245
October 26, 2007: 9:30 – 1:00 Wharton – Huntsman Hall Rm 245

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

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

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

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

**Prerequisite:** Attendees must complete the following instructor led course and online tutorials prior to attending the Sponsored Programs at Penn course:

- Chart of Accounts – Instructor led course – Financial Training Department
- SPCCP: Policies
- SPCCP: Allowability of Costs – ONLINE MODULE not Brown Bag
- SPCCP: Effort Reporting

To register for the course:

*Login to http://knowledgelink.upenn.edu, using your PennKey and PennKey password log into the system.*

*Select “Optional” on the left navigation bar. A listing of all Optional courses available to you will appear.*

*Scroll down the menu until you begin to see the course listed under the Office of Research Services.*

*To begin the enrollment process click START next to **Sponsored Projects at Penn, Instructor-led Curriculum - ORS**.*

*Once you click the START button next to Sponsored Projects at Penn, Instructor-led Curriculum – ORS you will see a list of the pre-requisites for the course. You must complete all pre-requisites before you can register for the course.*

*Once you complete all of the pre-requisites you will need to click on the ENROLL tab next to Sponsored Programs at Penn - ORS to be enrolled in the course.*

If you have any questions or difficulties regarding registration for this course, please contact Anita Mills at (215) 898-1936 or anitamil@pobox.upenn.edu.
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/](http://www.upenn.edu/researchservices/SPCCP/)
Getting to Know......

Laurance Guido

Years at Penn: since 5 Months

Years in Research Services: 5 Months

ORS Responsibilities: Senior Contracts Administrator: Review, edit and negotiate Material Transfer Agreements and other corporate contracts on behalf of the Office of Research Services, Division of Finance. Specific duties include negotiation of corporate contracts with external parties to ensure compliance with University of Pennsylvania contract policies. As a resource for University contract regulations, I provide information and advice to faculty, staff and administrators concerning the University’s position in contractual issues.

Hobbies/Interests: Cooking with my wife; travel; learning foreign languages

Favorite Restaurant: Mad Mex

Favorite ways to spend a vacation: Reading spy novels on a beach

What Co-workers say:

Very helpful

HHHmmmmmm..... “he has a pleasant wife (oh, he’s ok too!) and he loves to eat pasta!!!”

Laurence has a very generous spirit and is always willing to lend a hand or an ear.

Laurence is a very interesting and diverse person. He loves pasta and cooking and that helped him find his wife in France while working as a chef. He is tougher than your average noodle with a Black belt in Karate.

I think he is especially conscientious about his work...he works very hard to do all he can do, sometimes under great pressure, to satisfy our Penn researchers. He takes the time to explain the process to curious and sometimes furious “clients” (Penn researchers and external parties) and I think he goes beyond his job description to be helpful to his co-workers. On the lighter side...he does a great impression and has a wonderful sense of humor. Overall, he is a very engaging and friendly person. I find him a pleasure to work with!
ORS Monthly Quiz

1) Which of the following projects is considered a “sponsored project?” (See SP Policy 2101)
   a) A project that commits the University to a specific line of scientific inquiry
   b) A project that requires that unexpended funds be returned to the sponsor at the end of the project period
   c) A project that includes an agreement that provides for the disposition of tangible property which may result from the project
   d) Both a and c
   e) All of the above

2) The Business Administrator (BA) and Central Administration have ultimate responsibility for grants.
   a) True
   b) False

3) The Principal Investigator (PI) on a grant is responsible for:
   a) Not spending in excess of the budget
   b) Producing the required technical reports
   c) Active communication with the sponsor
   d) Both a and c
   e) All of the above

4) All of the following are roles of the administrative staff with regard to grants management EXCEPT:
   a) Following the requirements in the Notice of Grant Award (NOGA)
   b) Establishing the budget in FinMIS
   c) Establishing sponsored program accounts
   d) Monitoring financial and compliance controls for grants

5) With regard to grants management, Central Administration is responsible for:
   a) Establishing University policies and procedures
   b) Submitting technical reports in a timely manner
   c) Reviewing protocols
   d) Both a and c
   e) All of the above

6) The interim and final financial reports for grants are issued by:
   a) The Principal Investigator (PI)
   b) The Business Administrator (BA)
   c) Research Services
   d) None of the above

Answer key for the Monthly Quiz can be found on Page 20
Did You Know........

Attending Sponsored Programs at Penn (5 half day instructor led course) is not the same as obtaining certification through the Sponsored Project Certification Program “SPCCP”.

**Sponsored Programs at Penn** is a 5 half day instructor led course. The course can be taken independently of the certification program or in conjunction with other SPCCP requirements. More information on the course website: [http://www.upenn.edu/researchservices/SPatPenn/](http://www.upenn.edu/researchservices/SPatPenn/)

If you wish to obtain certification through the **Sponsored Projects Compliance Certification Program “SPCCP”** you must complete all modules listed on the SPCCP website at [http://www.upenn.edu/researchservices/SPCCP/](http://www.upenn.edu/researchservices/SPCCP/)

Registration for all ORS training courses should be completed through Knowledge Link.

To find SPCCP course within the Knowledge Link system see instruction below.

- 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 course available to you will appear.

- Scroll down the menu until you begin to see the SPCCP courses.

- Click on the word ENROLL to the right of your desired course.  A new screen will appear with all dates for the courses listed.

- At this screen click on the word ENROLL (again) next to the preferred session.  Once you have enrolled you will receive a message confirming your registration.

**SPCCP certification 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: [http://www.finance.upenn.edu/vpf-nance/fpm/2100/2140.asp](http://www.finance.upenn.edu/vpf-nance/fpm/2100/2140.asp)

If you have any questions, please contact Anita Mills at (215) 898-1936 or [anitamil@pobox.upenn.edu](mailto:anitamil@pobox.upenn.edu).

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**Answer Key to ORS Monthly quiz:**

1:E; 2:B; 3:E; 4:C; 5:D; 6:C
Monthly FAQ

The Materials Transfer group recently became part of the Office of Research Services. Below are a few helpful FAQ’s related to Material Transfer agreements and how they are managed at Penn.

Additional information about Material Transfer at Penn can be found at: http://www.upenn.edu/researchservices/materialtransfer/

What is a Material Transfer Agreement?
Material Transfer Agreements (MTAs) are legally binding contracts that specify the obligations attached to materials being transferred between a provider and recipient.

Can ORS sign the MTA agreement without review?  No

Who has the authority to sign MTA agreements? ORS is the only signature that is legally binding for the University, but most MTAs require PI signature as well.

How long is the average turnaround time for review of MTA and transfer of materials? Currently about 28 days, ORS is working to reduce the turn around time to 14 days.

How will I know when negotiations have started with the external party? The ORS Penn negotiator will cc the PI in the initial negotiation email.

Where do I go when wanting to complete an MTA?  http://www.upenn.edu/researchservices/materialtransfer/

Who should I contact if I want to submit an MTA or have any questions?
Matthew Merz
Phone: (215) 573-4505
Fax: (215) 898-9707
Email: ORSMTA@pobox.upenn.edu
Allowability Panel Question

Case:
A NRSA fellow relinquishes his award and completes the necessary paperwork to inform the sponsoring agency and officially terminate the award. The fellow leaves Penn prior to his meeting with the BA to review and approve the monthly expenditure statements for last two months of activity on the award. The final expenditures were for cost incurred prior to the termination of the award. Can the PI/Mentor review and approve the monthly expenditure statements?

Panel Response:
NRSA fellowships, like other sponsored project awards are made to the University of Pennsylvania and based upon University policy; a principal investigator or co-principal investigator is responsible and accountable to the University and sponsor for the proper programmatic, scientific, or technical conduct of the project and its financial management.

In the case of fellowships, individuals who are trainees, such as post doctoral fellows, may apply for external sponsorship only with the approval of a faculty sponsor or mentor. Since the mentor is our PI of record, he or she is directly responsible for administration of the award and therefore should meet regularly with the BA to discuss the financial and administrative issues pertaining to the project. As a best practice for fellowship awards, the responsible business office within the school or center should generate and provide monthly statements of project expenditures to the principal investigator and the mentor. The expenditures should be reviewed monthly by the administering departments BA, PI and the fellow to ensure accuracy, allocability, reasonableness based on the terms and conditions of the award as well as compliance with the sponsoring agency and university policies. Of course, if the fellow leaves suddenly due to an emergency or for unforeseen circumstances, the final expenditure review and approval may be done by the PI/Mentor.

Sponsored Projects Policies:

2102 Approval of Proposals

2136 Principal Investigator Eligibility

2106 Financial Responsibility
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.

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 PennERS Training

October 15, 2007: ERS Training for newcomers to the effort reporting process

**Time:** 9:30 - 12:30  
**Location:** Franklin Bldg Rm 409  
**Registration:** [http://knowledgelink.upenn.edu](http://knowledgelink.upenn.edu)

Upcoming ORS Brown Bags

October 12, 2007: The Basics of Human Research

Yvonne Higgins  
IRB Director -- Office of Regulatory Affairs

**Time:** 12:00 - 1:15  
**Location:** Wharton, Huntsman Hall Rm 340

October 19, 2007: The Basics of Effort Reporting and Suitable Means Verification

Robert McCann: Director Cost Analysis -- Office of Research Services

Frank Tresnan: Director for University & Penn Medicine Audit -- Office of Audit  
Compliance and Privacy

**Time:** 12:00 - 1:15  
**Location:** Wharton, Huntsman Hall Rm 340

Brown Bag Registration: [http://knowledgelink.upenn.edu](http://knowledgelink.upenn.edu)

Upcoming Sponsored Programs at Penn

October 12, 15, 16, 19, 26, 2007: Sponsored Programs at Penn

**Time:** 9:30 - 12:30  
**Location:** Wharton -- locations differnt for each day  
**Registration:** [http://knowledgelink.upenn.edu](http://knowledgelink.upenn.edu)

A Primer on Federal Contracting

8 Week Online Tutorial

[http://www.ncura.edu/conferences/federalcontracting/opendefault.asp](http://www.ncura.edu/conferences/federalcontracting/opendefault.asp)

See Website for start dates

NCURA’s 49th Annual Meeting

[http://www.ncura.edu/conferences/49/](http://www.ncura.edu/conferences/49/)

November 4 - 7, 2007 -- Washington, DC

September Contributing Authors, ORS Newsletter:

Pamela Caudill, Executive Director, Office of Research Services

Jim Clavin, Associate Director, Post Award Administration, Office of Research Services

Kim Garrison, Director, Post Award Administration, Office of Research Services

Laurance Guido, Contracts Administrator, Office of Research Services

Matthew Merz, MTA Administrator, 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

Todd Swavely, Director –ERA Systems, Office of Research Services
### Office of Research Services

#### October

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#### For more information about the courses listed above, go to:

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

Register for course mentioned above go to:

http://knowledgelink.upenn.edu

2007
Pre-Award Administration Staff

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

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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:**

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**FEDERAL COMPLIANCE GROUP:**

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ANNAMARIA MOLNAR – FINANCIAL ANALYST
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**POST AWARD ADMINISTRATION:**

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- 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

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- School of Medicine Departments:
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  - Surgery

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  - Biochemistry/Biophysics
  - Cell and Developmental Biology
  - Radiology

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- School of Medicine Departments:
  - Department of Medicine

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- 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

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- 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

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- School of Medicine Departments: Anesthesia, Center for Bioethics
- Center for Experimental Therapeutics, Institute for Aging, Institute for Human Gene Therapy, Family Practice, Molecular & Cellular Engineering, Center for Clinical Epidemiology and Biostatistics

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

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

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VALERIE SWARTZ – FINANCIAL COORDINATOR
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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)

Pamela S. Caudill, Executive Director, Office of Research Services: 215-573-6706, caudill@pobox.upenn.edu
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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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http://www.upenn.edu/researchservices/ (see bottom right corner)