Updates

December’s RSA Meeting

December’s RSA meeting will comprise a short update, followed by breakfast and a white elephant gift exchange. To participate in the exchange, please bring one or two items from around the house, which you would like to give a better home. If you don’t already have an item in mind, you may bring a gift that costs no more than $5.

Holiday Schedule

Please note that the Research Administration Unit will be following OSR’s schedule for submitting proposals during the holiday season. OSR will be closed from 5pm on December 21st to 8am on January 2nd. All proposals due prior to January 7th should be sent to Contracts and Grants by December 17th.

Procedure for Chair Letter

All “Institutional Support” letters should be signed by Dr. King as a concurrence. These letters should be drafted and signed by the Division Chief for all divisional commitments. Please print these on the Division’s letterhead, as there are stringent rules on how letters written on Dr. King’s letterhead must appear.

Late Cost Transfers Report

Please be advised that the Campus is beginning to monitor cost transfers which are submitted late. The Controller’s Office currently monitors cost transfers and sends out quarterly reports to control points and MSOs on a departmental level documenting late cost transfers. The reports identify by division, the percentage of cost transfers submitted after 120 days. If you habitually submit late cost transfers, please let Suzanne know, so that she can work with you to help mitigate the occurrences.
**OSR Quality Improvement Program (QIP)**

QIP is an initiative from the Provost’s Office to improve the processing times for the conduct of research, including CHR review and subcontracts. IRB and CHR have already greatly streamlined and improved as a result of the initiative. Currently, QIP is working with the Office of Sponsored Research to evaluate RAS set-up timelines. For example, improvements in the backlog of setting-up awards and decreasing the time from receipt to execution have improved for Federal Contracts and Grants and the Industry Contracts groups. Sharine Dinwiddie, a consultant on the QIP initiative, will be invited to present at our January meeting to discuss the initiative in OSR.

**Administrative Changes**

Martha Hooven will be leaving her position as Associate Chair for Administration at UCSF on January 1, 2008. She will be retiring from UCSF after 27 years of service. She is leaving to become the Vice Dean of Administration and Finance for Columbia University’s medical school. Maye Chrisman, Director of the Finance will be the interim MSO for the Department during the recruitment.

Joyce Freedman, Assistant Vice Chancellor of Office of Research has also retired from the University effective December 1, 2007. Wanda Ellison, Assistant Provost is the interim during the recruitment.

Renee Dupras who was our contact in Not-Profit Contracts and Grants has been replaced by Chip Bryan.

**Journal Policy Enforcement and Writing Meaningful Attachment E’s**

Wendy Hom, the Controller’s Office’s Compliance Manager, spoke about best practices regarding journals, vacation leave transfers, and Attachment E’s. Also in attendance was Maudy Gonzalez, the Compliance Accountant who reviews all cost transfers and PETs.

**Attachment E’s**

Attachment E’s must always be approved by the PI. There are three acceptable methods for obtaining signature:

1) An email from the PI listing all the questions from the Attachment E that explicitly approves the change.
2) A scanned image of the PI’s signature on Attachment E and attached to the journal.
3) A copy the signed Attachment E kept on file.

During an audit, Attachment E’s are likely to be scrutinized in the following ways:

1) Has it been filled out and signed?
2) Does it include enough information explaining the error and why it occurred?
3) Does it include a timeframe charting when the error occurred, when it was discovered, and how it is being corrected?
When filling out the Attachment E, be as detailed as possible. Although explanations for how and why an error occurred should not assign blame, they should accurately describe what has happened. If necessary, append a continuation page to the Attachment E. Please refer to the PowerPoint presentation appended to the minutes for examples of Attachment E content.

If the cost transfer is late due to an administrative vacancy, be sure to note this. UC policy states that issues must be resolved and the correction must be posted to the ledgers no later than 120 days from the date of the original expenditure for federal funds. If you need to make a charge correction on a closed grant which has already generated an FSR, please bring the issue to Suzanne or Joseph so that they can assist in resolving it.

Journal Signature Requirements

Two different signatures for the preparer and approver are always required for internal control purposes. PI signatures are required for all new charges to federal funds (signature required on the front page only). The departmental approver, generally the Division Administrator, is certified as an approver by EMF.

Vacation Leave Transfers

Please disregard the email sent out on Wednesday October 17th regarding Vacation Leave Transfers.

The current VLT policy, which can be found online at http://www.ucop.edu/ucophome/policies/acctman/, states that an employee transferring to another department will take their accrued hours with them to their new department, which will take on the financial responsibility for these hours.

All PETs and VLTs are sent to Maudy for review. She separates out any that affect federal funds for further inspection and passes along those that have non-federal funds directly to payroll. This procedure adds only an hour or two to the processing time for non-federal fund transfers (profees, State 19900, etc) and should not create backlogs. PETs that are error-free and received by Maudy by the 15th of the month should post on time; PETs received after the 15th may not.

The next RSA meeting is scheduled for Thursday, December 20th, 2007 from 8:30-10:00 AM in room LHTS 376.