Department of Medicine  
RSA Monthly Meeting  
May 20, 2010  
8:30 to 10:00 AM, Laurel Heights 376

Present: Joseph Wilson, Margie Dere, Marianna Murch, Kathy Judd, Lei Lei Win, Annie Mar, Solat Navab, Hung Dao, Eric Ormsby, Calvin Kwok, Kapo Tam, Susan Szeto, Wendy Ng, Olive Giovannetti, Raymond Fong, Cherie Habayeb, Eric Wu, William Rypcinski, Tanjira Wilawanchit, Joanne Dang, Michele Carter, Connie Archea, Michele Benjamin, Alice Chin.

Announcements

• RSA Retreat: scheduled for Wednesday, June 9; please RSVP by Friday; let us know if you need a ticket to the Walt Disney Family Museum.
• No June Staff Meeting
• ERS: 09/10 Non-Academic Winter Reports: the deadline to certify is June 14.
• Proper Management of ARRA Funds: if applicable, please review the “NIH NOTICE ON PROPER MANAGEMENT OF ARRA FUNDS, AND LIMIT ON SECOND NO-COST EXTENSIONS” sent to all RSAs on May 4.
• Next RSA Townhall Meeting: June 15, 1:30 – 3:30 HSW 300
• OSR Form Page 2 - Conflict of Interest (COI) Question: it asks if a conflict of interest form is attached. If so, the answer is Yes. Many RSAs routinely check No. Please read the question.
• Suzanne returns on June 7.

Joyce Abe  
Proposal Team Manager  
Collaborating with Contacts and Grants  
DOM RSA Workshop and Questions

Joyce presented on the status of the proposal team, and had responses to RSA questions submitted in advance. It was a lively, friendly presentation and discussion. While speaking to how far the proposal team has come in their ability to service the campus, she was also open to constructive criticism. She commented that whenever an RSA seems to come up against a brick wall, or if service is lacking, to please contact her directly. As well, RSAs were reminded that a Contracts and Grants Analyst is available to answer questions during the morning hours: 476-2977. When asked if the line could be open all day, Joyce commented that the pre-award analysts rotate to cover the phone line, and must perform catch up work (filing, etc.) in the afternoons. Currently it isn’t feasible to do this.
Joyce would like to keep this as on-going dialogue with the RSA group. Perhaps a brown bag for future questions could be scheduled and other schools invited to participate.

A correction to one of Joyce’s statements regarding the sub-out agreement: Regnier indicated that if the prime is awarded under the terms and conditions of SNAP a carry forward should not require prior approval of the PI. Carry forward prior approval will be required only if the prime requires it. Regnier will talk with his team to straighten this out.

**Who Do You Call If You Have Any Questions?**

**For Pre-Award Matters:**
(415) 476-2977  CGProposalTeam@ucsf.edu

**For Award-Related Matters:**
(415) 476-2977  CGAwardTeam@ucsf.edu

**For Outgoing Subcontract Matters:**
(415) 476-2977  CGSubOutTeam@ucsf.edu

Joyce Abe - Manager, Proposal Team  
(415) 502-4986  Joyce.abe@ucsf.edu

John Radkowski - Manager, Award Team  
(415) 502-4029  john.radkowski@ucsf.edu

Regnier Jurado – Manager Subcontract Team  
(415) 476-2782  regnier.jurado@ucsf.edu

Joyce’s presentation follows.

**Upcoming RSA Meetings**

*RSA Retreat on June 9, 2010*

*RSA Meeting on July 15, 2010*
Collaborating with Contracts & Grants

DOM RSA Workshop

Joyce Abe
Manager, Proposal Team

May 20, 2010
MISSION STATEMENT

• To promote research, instruction, public service and other sponsored activities by providing high quality administrative services to faculty and staff.
Services

• Providing information on funding opportunities
• Proposal and budget development assistance
• Proposal review, sign-off, and transmission
• Grant and contract negotiation and acceptance
• Subcontract preparation and administration
• Post-award assistance
• Policy development and coordination
• Research activity and associated reports
• Training for campus personnel
• Special projects
Extramural Proposals Submitted Fiscal Year 2008-2009

- Federal Sources: 3,607
- Other Public Sources: 379
- Private Sources: 1,915
- Cumulative Total: 5,901
Meet the Proposal Team

- Joyce Abe, Manager (415) 502-4986
- Rachael Lipsetts (415) 476-0214
- Lynette Simon-Moret (415) 514-1528
- Ronald Sol (415) 476-1447
- Sean Sotelo (415) 502-3273
Pre-Award Responsibilities

- Compliance to University Policies
- Compliance to State and Federal Regulations
- Compliance to Sponsor Policies
- Provide Training and Guidance to the Campus
Compliance Documents

– OSR Approval Form
  • Research Manager or Research Service Analyst
  • For information about the OSR Approval form:
  • http://or.ucsf.edu/cg/6185-DSY.html

– Conflict of Interest (COI)
  • Disclosure of Financial Interest
  • For more information and forms, please see:
    http://or.ucsf.edu/osr/coi.html
  • Emily Stratton, Conflict of Interest Manager
  • (415) 476-5566

– Institutional Review Board Approval (CHR)
  • For more information, please see:
  • http://www.research.ucsf.edu/chr/index.asp
Compliance Documents

- Institutional Animal Care and Use Committee or IACUC Approval (CAR)
  - For more information, please see:
    - http://www.iacuc.ucsf.edu/
- PI Status or Exception Request
  - For more information and forms, please see:
    - http://or.ucsf.edu/cgi/cgi/rsa/proposals/pieligib.html
- Memorandum of Understanding (MOU)
  - For more information, please see:
    - http://or.ucsf.edu/cgi/cgi/5418-DSY.html
    - http://or.ucsf.edu/cgi/cgi/5419-DSY.html
Proposal Components

- Compliance Documents
- Funding Opportunity Announcement
- Sponsor’s Application Guidelines and Policies
- Scope of Work
- Budget
  - NIH PHS 398, form pages 4 and 5 provide necessary budget detail (effort, categorical breakdown of costs)
- Budget Justification
  - UCSF Cost Accounting Standards (CAS)
  - Consistent with OMB Circular A-21:
    - [http://controller.ucsf.edu/fin_compliance/cas_guidelines.asp](http://controller.ucsf.edu/fin_compliance/cas_guidelines.asp)
- Sponsor-Required Forms
Proposal Submission Policies

• Requirement to Submit Proposals for Research Grants and Contracts Through the University:
  http://or.ucsf.edu/cg/5423-DSY.html

• All employees who receive any part of their salary through the University, or whose activities use any University resources or facilities, must submit their proposal for extramural support through the appropriate local contracts and grants office.
Proposal Submission Policies

- Proposal Submission Deadline Policy:
  http://or.ucsf.edu/cg/7831-DSY.html

- All proposals for extramural funding must be submitted to the appropriate division of the Office of Sponsored Research by 9:00 AM five (5) working days prior to the funding agency deadline dates occurring on February 1, 2010 or later.

- Working days do not include University-observed holidays or days that the Contracts and Grants Office is closed.
Common Causes of Delays

- **PI Eligibility:** The investigator named on the OSR Approval Form as the Principal Investigator (PI) must have an academic title that makes him/her eligible for PI status. Please review:

  [http://or.ucsf.edu/cg/cg/rsa/proposals/pieligib.html](http://or.ucsf.edu/cg/cg/rsa/proposals/pieligib.html)

If the lead investigator for a proposal does not meet the eligibility requirements to be a PI s/he must complete a Waiver of PI Status request form, which can be found at:

Common Causes of Delays

- **PI Eligibility**: The investigator named on the OSR Approval Form as the Principal Investigator (PI) has a joint Department of Veterans Affairs (DVA) – UCSF appointment.

  For NIH submissions only, if the PI has a joint DVA and UCSF appointment ensure that the applicable Memorandum of Understanding (MOU) is included with your proposal. The MOU can be found at: [http://or.ucsf.edu/cg/6146-DSY.html](http://or.ucsf.edu/cg/6146-DSY.html).
Common Causes of Delays

F&A Rates/F&A Waiver Requests: Facilities and Administrative costs (F&A), also referred to as Indirect Costs, are a critical cost-recovery mechanism that supports UCSF’s research infrastructure. Waivers of F&A costs are granted by the University of California Office of the President (UCOP). In the absence of a waiver approved by UCOP F&A rates may not be waived or altered. No one in C&G or at UCSF is authorized to grant a waiver.

More information on F&A Costs may be found at: http://www.ucop.edu/costingpolicy/faq.html
Common Causes of Delays

• **Facilities and Administrative (F&A) Costs**: Incorrect F&A Rate was applied in the proposal. Information on F&A rates can be found at:
  
  [http://or.ucsf.edu/cg/cg/6577-DSY/6117-DSY.html](http://or.ucsf.edu/cg/cg/6577-DSY/6117-DSY.html)

• **“On-Campus” vs. “Off-Campus”**: Properly classify projects as “on-campus” or “off-campus” based on the location of the project. The location specified on the OSR Approval Form should be the location where the preponderance of project activity will take place. For this purpose, salary cost should be used as the term of measurement. Please refer to:
  
  [http://or.ucsf.edu/cg/cg/faculty/fa.html#dsy6117-DSY_useof](http://or.ucsf.edu/cg/cg/faculty/fa.html#dsy6117-DSY_useof)
**Common Causes of Delays**

- **Cost Sharing Defined**: UCSF defines cost sharing as the portion of project costs not borne by the sponsor.

  *Information on cost sharing may be found at:*
  
  [http://or.ucsf.edu/cg/7967-DSY.html](http://or.ucsf.edu/cg/7967-DSY.html)

- **Cost Sharing**: Improper or incomplete accounting for mandatory or voluntary committed cost sharing in proposal budgets is a common error that will result in required revisions and will substantially extend the time to review, revise, and approve proposals and awards.
Common Causes of Delays

• **Cost Accounting Standards (CAS) and Budget Justification**: Proposal budgets and budget justifications must comply with the UCSF Cost Accounting Standards (CAS), which are consistent with OMB Circular A-21. They must also comply with sponsor guidelines.

  *Budget costs should be beyond routine administrative activities and should support project activities directly. Unallowable costs include personnel costs for purchasing, proposal preparation, general ledger review and cost transfers.*

  *For more information please see:*

  [http://controller.ucsf.edu/fin_compliance/cas_guidelines.asp](http://controller.ucsf.edu/fin_compliance/cas_guidelines.asp)
Common Causes of Delays

- **PI Authorization and Approvals for CHR and IACUC Protocols:** The number of different approvals that are required for proposals can be substantial. Missing approvals will substantially delay proposal review.

  When submitting a “New” proposal or completing a “Resubmission”, “Renewal”, or “Supplement”, checkbox for CHR/IACUC may be marked “JIT” unless the sponsor/agency guidelines specifically require CHR/IACUC approvals/protocols to be submitted with the proposal.

  If the proposal is approved by the agency, C&G recommends that the relevant CHR/IACUC approvals be obtained.

  The project should be listed as the funding source on the approval.
Common Causes of Delays

If the project PI is not the PI on the approval letter but has since been added to the protocol as authorized personnel, please provide C&G a copy of the updated protocol.
Additional Guidance for New Investigators

Additional guidance is available on the Contracts and Grants webpage at:

http://or.ucsf.edu/cg/cg/faculty.html

Select:

Research Investigator Handbook
Quick Guide to C&G Proposals at UCSF
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Collaborating with Contracts & Grants

DOM – RSA MEETING - Questions

Joyce Abe
Manager, Proposal Team
May 20, 2010
For modular budgets with the same number of modules, the C&G analyst is requesting an additional narrative to the budget justification for the difference in Total Costs.

Inconsistencies such as this should be brought to the Manager’s attention.
• In-coming subaward with flow through from NIH prime. First year of funding is received. When and how is the second year of funding processed?

The non-competing progress report is due to the Prime Sponsor 60 days before the beginning date of the next budget period.

http://grants.nih.gov/grants/submitapplication.htm
Current monitoring of subaward accounts to flag time to contact the sponsor.

Once the first year is set in RAS, check the Award Modifications link to see if the subaward was made with Future Years. If so, each non-competing year is a Continuation. If not, the subaward is made year-by-year. Each non-competing year is a Supplement.
• What does C&G review? Name 3-5 common proposal mistakes.

This is covered in the DOM RSA WORKSHOP presentation.
What sources are used to determine appropriate sponsor information such as F&A rates?

The best source to use when harvesting Sponsor information is the Sponsor’s Application Policies and Guidelines. Also referred to as FOA, RFP, RFA, etc. This should be included with the proposal packet submitted to C&G.
What steps are being taken to update the OSR website?

The OSR website is currently under evaluation. Due to numerous changes and anticipated continued changes, sustainable information will be updated and retained.
What information is currently available regarding sponsors that do not allow indirect costs (F&A)?

C&G’s and UCOP’s current practice is to refer to the Sponsor’s policy in determining the amount of F&A allowed.
When preparing a PHS 398 Face Page, whose contact information should go into Boxes 12 and 13?

Box 12 should name John Radkowski and reference CGAwardTeam@ucsf.edu

Box 13 should name Joyce Abe and reference CGProposalTeam@ucsf.edu
• When preparing a PHS 398 Face Page, whose contact information should go into Boxes 12 and 13?

Box 12 should name John Radkowski and reference CGAwardTeam@ucsf.edu

Box 13 should name Joyce Abe and reference CGProposalTeam@ucsf.edu
• How is the budget period calculated when preparing an ARRA supplement?

Since financial reporting of the ARRA supplement is separate from the parent, alignment is not required, however, the supplement may not extend beyond the expiration date of the parent.
• When a proposal is to be submitted via e-mail, who executes the submission?

This is now dictated by the Department by noting specific submission instructions on page 3 of the OSR approval form – Special Handling Instructions.
• Changes to Subcontract process – new Work Assignments effective 6/1/2010.

A – G  Jason Hancock
H – M  Sonny Carpio
N – Z  Jude Anthony*
*All new Kaiser subcontractors
• Changes to Subcontract process – new automated process being investigated.

Automated system alerts to C&G and Departments when awards are received for New, Renewal, Supplement and Continuation action types.
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