Department of Medicine  
RSA Monthly Meeting  
July 21, 2011  
8:30am – 10:00am, Laurel Heights Room 265

Present: Ross Beard, Alice Chin, Lynne Coulson, Joanne Dang, Hung Dao, Margie Dere, Christianmichael Dutton, Elizabeth Flora, Raymond Fong, Olive Giovannetti, Lynne Ha, Cherie Habayeb, Kathy Judd, Jeffrey Kennedy, Calvin Kwok, Susan Lau, Vicky Lee, Kellie Leung, Herman Ma, Annie Mar, Christine Mok, Eric Ormsby, Suzanne Sutton, Susana Szeto, Yvette Villicana, Pat Wirattigowit, Eric Wu

Announcements

Three of the department’s research administration staff have already been recruited into OE Phase IA. They are Sam Yee and Lei Lei Win from Prevention Sciences, and Joseph Wilson, Assistant Director. Sam was hired as the Team Manager for Phase IA and Lei Lei and Joseph were both hired as Research Services Coordinators. Medicine had been in discussions with OE Leadership about joining sooner than later to facilitate retention of our RSAs. As of now, Medicine is slated to join OE Phase IB, which is planned to go live on December 2, 2011.

DOM OE Finance Workgroup

A Post-Award Visioning session was held on July 26, 2011 with campus leadership such as John Plotts, John Ellis, Mike Hindery, Eric Vermillion, leaders from the Deans’ Offices, select faculty, and three departments/ORUs managers from the departments of Medicine, Radiology, Dermatology and the Diabetes Center. The Visioning Session’s objective was to re-establish a framework for how post-award management should be evaluated and possibly re-organized in the framework of OE.

The Department prepared for this important discussion by conducting an intense work group of volunteer division administrators (DAs) and central administration managers to develop a departmental position regarding OE Post-Award. The draft recommendations of the Work Group were circulated to the chiefs and DAs for final review and comment.

The RSAs reviewed the draft recommendations and suggested that recharges should be evaluated as a separate process for improvement and possibly centralized due to a myriad of issues:

- The systems are limited to enable split billing of expenses
- There is no approval process that prevents inaccurate recharges to departmental funds
- There is no effective way to end a recharge to departmental funds because many are manually managed
- It would be ideal if there was a central system that maintained scheduling, funding, approval, and reporting of recharged services
- Central services such as the Campus bookstore have limited or no purchasing control depending on the person handling the request
In considering how GL reconciliation could be centralized, the RSAs averred that any exception report must be understandable, with detail that is descriptive (i.e., not a string of non-descriptive numbers). This is particularly critical when referring to patient care services provided and charged by the Medical Center on clinical trials.

**K-Award Salary and Effort Review**

The Department conducted its annual review of K-award salary limitations to ensure that PI salaries did not exceed the allowable salary per the award. In most cases, the salary was limited to $75K or $90K per year. The NIH K-Kiosk provides specific guidance based on the awarding Institute [http://grants1.nih.gov/training/careerdevelopmentawards.htm](http://grants1.nih.gov/training/careerdevelopmentawards.htm). Overall, the divisions did extremely well in following the guidelines of the awards, and the audit showed a 97% compliance rate.

We discussed that there are still some Institutes and grants management specialists (GMS) that allow re-budgeting of non-personnel dollars to increase the PI’s salary up to the UCSF base salary but less than the Congressional salary cap. To implement this, it is critical that the PI request in advance from the GMS and/or Program Officer (PO) permission to do so. Whenever the approval is from the GMS, it is advisable that concurrence also be obtained from the PO. The approval should be forwarded to the Office of Sponsored Research to be included with the RAS record.

Oftentimes, the approval is due to the relationship the PI has with their GMS and PO. Junior faculty should be encouraged to contact their PO to discuss future ideas for research. This is akin to an informal mentoring relationship, which can increase the funding opportunities afforded to the faculty member.

For the first time, the Department also evaluated whether the PI (through the Effort Reporting System) reported the minimum effort required on their K-awards. The data showed that divisions and PI experienced a little more challenge in complying with the requirements; there was a 76% compliance rate. We discussed best practices, including how RSAs know if there is a salary limitation to the K-award, how they ensure that the salary limitation has been followed, and how they ensure that the PI has certified the correct effort. The majority of the RSAs responded that they often direct the PI when to certify after they have made the correct salary adjustments and/or verified that the salary percentage is correct. RSAs often review the BSRs and funding distributions with their PIs to proactively discuss when changes are required. This helps to ensure the effort report that is generated will be correct and will not require retroactive changes.

**Future Topics of Discussion**

- Other Support Pages
- System control for $25K IDC calculation on subawards
- University tracking of foreign advances

**Upcoming RSA Meetings**

- September 15, 2011 from 8:30-10:00 am in LH 265 (Joseph)
- October 20, 2011 from 8:30-10:00 am in LH 265 (Wendy)
- November 17, 2011 from 8:30-10:00 am in LH 265 (Kathy)
- Holiday Party on December 15, 2011 from 8:30-10:00 in TBD
- January 19, 2012 from 8:30-10:00 am in LH 376 (Suzanne)
- February 16, 2012 from 8:30-10:00 am in LH 376 (TBD)
- March 15, 2012 from 8:30-10:00 am in LH 376 (Wendy)
April 19, 2012 from 8:30-10:00 am in LH 376 (Kathy)
May 17, 2012 from 8:30-10:00 am in LH 376 (TBD)
Staff Retreat on June 21, 2012 from 8:30-4:00 pm in TBD
Background

- OE Finance re-booting
- Campus Visioning Session on July 26 to develop framework for OE Finance
- Opportunity for DOM Chiefs and Administrators to formulate departmental position to inform Visioning Session
- 10 volunteers (DAs, RSAs, central managers)
Processes Evaluate

- Purchasing
- GL Reconciliation
- Online journal processing
- Faculty/staff funding distributions and changes
- Payroll expenditure transfers
- Financial reporting to sponsors
- PI grant portfolio analysis
- Billing and accounts receivables
- General and clinical financial management
Recommendations

• No distinction as to fund types to avoid duplication

• Centralize
  – GL reconciliation
  – FFR/FSR
  – Billing and A/R

• Continue to decentralize
  – Purchasing
  – Online journal processing/PETs
  – Faculty/staff funding distributions and changes
  – PI grant portfolio analysis
  – General and clinical financial management
K-Award Salary and Effort Review

CY 2010

Department of Medicine

Suzanne Sutton
Controller and Director of Research Administration

July 21, 2011
Issue

- Verify that divisions have complied with K-award salary limitations
- Verify that divisions have complied with K-award minimum effort requirements
K-Award Salaries: Process and Methodology

- All active mentored K-awards for CY 2010 pulled from RAS
- PI salary for each K-award pulled from Ad Hoc
- K-award salary limitations referenced for NIH Institute and mechanism [http://grants.nih.gov/training/careerdevelopmentawards.htm](http://grants.nih.gov/training/careerdevelopmentawards.htm)
- Salary paid during award period compared to Institute limitation
- Divisions contacted for any salaries above expected cap
Conclusion

• 63 awards were reviewed
• 2 compliance issues in the end
  – One requiring an after-the-fact exception approval from NIH
  – One payroll adjustment because division didn’t know about salary limitation
• 97% compliance rate
K-Award Effort: Process and Methodology

- Active mentored K-awards for CY 2010 pulled from RAS
- PI reported effort in Effort Reporting System (ERS) reviewed for award period
- Evaluated whether less than 75% effort was during last two years of award
- Divisions contacted for effort less than 75% during first three years of award
- PIs retroactively corrected effort in ERS
Conclusion

- 82 reports reviewed
- 20 effort reporting issues
- 19 reports were corrected or are being corrected by PI
- 1 award is VAMC faculty where effort is based on 150%
- 76% compliance rate
Discussing Best Practices

- How do you know if there is a salary limitation?
- How do you ensure that salary limitation has been followed?
- How do you ensure that PI indicates correct effort?