Department of Medicine  
RSA Monthly Meeting  
November 19, 2009  
8:30 to 10:00 AM, Laurel Heights 376

Present: Ross Beard, Michele Benjamin, Alice Chin, Joanne Dang, Hung Dao, Jane Drake, Olive Giovannetti, Lynn Ha, Kristen Ha, Lowell Huang, Kathy Judd, Jennifer Kellen, Calvin Kwok, Victoria Lee, Rashaan Lyons, Solat Navab, Wendy Ng, Eric Ormsby, William Rypcinski, Suzanne Sutton, Yvette Villicana, Kapo Tam, Tanjira Wilawanchit, Joseph Wilson, Lei Lei Win, Eric Wu, Samantha Yee.

Announcements

NIH has new forms and page limits for revised R01 applications. Please refer to http://grants.nih.gov/grants/guide/notice-files/not-od-09-149.html for more information and guidance.

OSR has developed new Job Aids in collaboration with departments and has posted them for use, which can be found at their website: http://or.ucsf.edu/cg/cg/rsa/faq/jobaids.html.

The New RSA Meeting will be held in the same room after the RSA Meeting from 10-11am.

Effort Reporting System

Please refer to the attachment for the slides. Notes to consider:

- The 5% variance allowed for reporting effort is based on the difference between the original proposed effort and the actual effort provided. In the system, the original payroll must still equal the actual payroll, or for the original payroll to equal the actual payroll plus cost sharing percentage for the report to close.
- Negative effort may occur on effort reports when PETs are double-keyed, there is an overpayment, or when an LX/RX is keyed incorrectly. These must be corrected for the effort report to close.
- Only a PI can certify his/her own effort report. A PI’s effort cannot be certified by another PI or faculty member. The only exception is when a faculty member has left the University and then the Chair, division chief or Co-PI can certify on behalf of the separated faculty member.

International Grant Management Issues

Please refer to the attachment for the slides. Notes to consider:

- A PI who purchases supplies and brings them with him/her to an international subcontract site cannot be reimbursed from the subcontract budget due to possible conflict of interest. S/he must be reimbursed from the prime award. The subcontract
budget can be reduced in subsequent years to account for the expenditures on the prime award if the expenditures were unanticipated in the original budget proposal.

- In determining whether someone is a contractor or consultant, determine the scope of work the person is responsible for. Do not simply rely on the title that has been given to the person by the PI or by the individual.
- Federal and other sponsored funds can pay for relocation and living costs of employees stationed at an international site for the purpose of the project. Travel insurance is also an allowable expense for employees traveling to international sites for the project.
- UCSF policy allows an advance of up to 2/12 the annual subcontractor budget to international sites in resource poor locations. The language must be stipulated in the subcontract agreement before the advance can be invoiced and paid.
- Equipment expended from a subcontract budget is still the property and responsibility of the prime institution. If equipment is listed on a subcontractor invoice, then it is our responsibility to notify UCSF Capital Asset Management (CAM) about the location and value of the equipment for inventory purposes. At the end of the project, it is possible to transfer or donate the equipment to the subcontract site or another project at UCSF, but the transfer and donation must be pre-approved by the agency and done with UCOP/UCSF approval.
- State Department Clearance is required to allow a PI to travel to a foreign site to complete a foreign component of the research that does not require a subcontract. Clearance can take between 1 to 8 months for approval.

**Upcoming Meetings:**

- **Holiday event on December 17, 2009 at 8:30-10 am in LH 376 (Suzanne Sutton)**
- **RSA Meeting on January 21, 2010 at 8:30-10am in LH 376 (Suzanne Sutton)**
- **RSA Meeting on February 18, 2010 at 8:30-10am in LH 376 (Kathy Judd)**
- **RSA Meeting on March 18, 2010 at 8:30-10am in Room TBD (Joseph Wilson)**
- **RSA Meeting on April 15, 2010 at 8:30-10am in LH 376 (Wendy Ng)**
- **RSA Meeting on May 20, 2010 at 8:30-10am in LH 376 (Joseph Wilson)**
- **RSA Retreat in June 2010. Details TBD (Suzanne Sutton)**
RSA Monthly Meeting
November 19, 2009
Laurel Heights Rm 376
ANNOUNCEMENTS

• NIH NOT-OD-09-149 Page limits on revised R01 grants

• Job Aids on OSR website
  – http://or.ucsf.edu/cg/cg/rsa/faq/jobaids.html
ERS – Effort reporting case studies

- 5% variance – what does it mean?
  - Example: Biggins

- Negative effort
  - Example: Lehr

- Problems caused when PI transfers departments
  - Example: Gorman

- Who can certify?
  - Example: Nixon

- Job aids on Controller’s website
  - http://acctg.ucsf.edu./ers/index.htm
5% variance – what does it mean?

- Original Payroll = 52%
- Adjusted Payroll = 53%
- Budget commitment is 54%
# Negative effort

**University of California ~ Effort Reporting System**

LEHRS ROBERT | 07/08 NON-ACADEMIC SPENDING  
Emp. ID:021025750 | Home Dept: MED-NON-HIV-AIDS  
Version: 2.2 | 06/09/2009 | Status: Exception (Overuse)  
Service Period: April 1, 2008 to June 30, 2008  
Pay Periods: April 1, 2008 to June 30, 2008

<table>
<thead>
<tr>
<th>Project Code</th>
<th>Original Payroll %</th>
<th>Adjusted Payroll %</th>
<th>Not In Use %</th>
<th>Cost Sharing %</th>
<th>Original Payroll %</th>
<th>Adjusted Payroll %</th>
<th>Total Effort %</th>
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<tr>
<td>87169-520988 A10545 Outpatient Services Ward 66</td>
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<td>0%</td>
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<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
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<tr>
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<td>0%</td>
<td></td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
</tr>
<tr>
<td>87229-520988 A111627 WARD 66 OUTPATIENT SERVICES/PEDINATAL SERVICES</td>
<td>-33%</td>
<td>-33%</td>
<td></td>
<td>0%</td>
<td>-33%</td>
<td>-33%</td>
<td>-33%</td>
</tr>
<tr>
<td>Total Sponsored Projects requiring certification</td>
<td>-33%</td>
<td>-33%</td>
<td>0%</td>
<td>-33%</td>
<td>-33%</td>
<td>-33%</td>
<td>-33%</td>
</tr>
<tr>
<td>Other Sponsored Projects</td>
<td>0%</td>
<td>0%</td>
<td>+ 0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
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<td>0%</td>
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<td>Grand Total</td>
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<td>-33%</td>
<td>0%</td>
<td>-33%</td>
<td>-33%</td>
<td>-33%</td>
<td>-33%</td>
</tr>
</tbody>
</table>

**Report options:**  
- Report requires multiple certifications.  
- Report allows for Cost Sharing from Other Sponsored Projects.  
- Report is under preliminary review

**Add a comment:** Comments can be up to 255 characters long. (Total characters: 1)

- **How does it happen?**  
- **Original Payroll = 33%**  
- **Adjusted Payroll = ?%**
### Negative effort

- **How does it happen?**
- **PET keyed twice**
- **Reverse 2\textsuperscript{nd} entry**

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#### Payroll Summary by Employee

<table>
<thead>
<tr>
<th>Name</th>
<th>DPA-Fund</th>
<th>Type</th>
<th>Sub</th>
<th>Data</th>
<th>Apr-2008</th>
<th>May-2008</th>
<th>Jun-2008</th>
<th>Total</th>
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<tbody>
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<td>434963-20975</td>
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<td>2</td>
<td>Hours</td>
<td>141.00</td>
<td>70.50</td>
<td>67.25</td>
<td>278.75</td>
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<td></td>
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<td>Gross Pay</td>
<td>3,540.52</td>
<td>1,770.26</td>
<td>1,688.65</td>
<td>6,999.43</td>
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<td></td>
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<td></td>
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<td>51.69</td>
<td>49.32</td>
<td>204.39</td>
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<td>Hours</td>
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<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Gross Pay</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Benefits</td>
<td>0.00</td>
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<td>0.00</td>
<td>0.00</td>
</tr>
<tr>
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<td>Hours</td>
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<td>-70.50</td>
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<tr>
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<td></td>
<td>Gross Pay</td>
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<td>-1,770.26</td>
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<tr>
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<td></td>
<td></td>
<td>Benefits</td>
<td>-51.69</td>
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<td>-51.69</td>
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<tr>
<td>Total</td>
<td></td>
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<td></td>
<td>Hours</td>
<td>70.50</td>
<td>70.50</td>
<td>67.25</td>
<td>208.25</td>
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<tr>
<td></td>
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<td></td>
<td></td>
<td>Gross Pay</td>
<td>1,770.26</td>
<td>1,770.26</td>
<td>1,688.65</td>
<td>5,229.17</td>
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<tr>
<td></td>
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<td>Benefits</td>
<td>51.69</td>
<td>51.69</td>
<td>49.32</td>
<td>152.70</td>
</tr>
</tbody>
</table>

This page last modified: 07/08/2003
Who can certify?

- Fund 24065
- Who certified?
  - Why?

### Original Payroll = 0%
### Adjusted Payroll = 2%
International grant management Issues

• EMAIL:
• I hope this email finds you well. I just have a quick question. There are some supplies/materials/electronics that we cannot get from Uganda or are cheaper to buy from the USA. When we get the PIs coming, we request them to buy these supplies or materials and we refund them when they are in Uganda. I am wondering as to whether we can continue to do this or if it contravenes any NIH or UCSF rules. Your quick response/advice on this will be highly appreciated.
International grant management Issues

- Site asks PI to purchase goods in USA and take to project country

- PI buys in project country and expects reimbursement

- Signatories – who can sign?
International grant management Issues

Export controls = OSR announcement 7/24/09

• To protect yourself and the University, UCOP has created a summary document entitled "Export Compliance in a Nutshell". If you or others in your department run into any of the situations described in this document (which include, but are not limited to: shipping equipment out of the U.S., traveling outside the U.S. with a laptop or camera, restrictions on publication within a contract document, or performing research in a restricted country such as Cuba, Iran, North Korea, Sudan, or Syria) please contact the following offices for further guidance to assure that appropriate export regulations are followed.

• http://www.research.ucsf.edu/Compliance/Academic%20Short%20Briefing1SF.pdf
International grant management Issues

PERSONNEL

• When is a Consultant *really* a consultant?
International grant management Issues

PERSONNEL

• **Employee:** the University controls the work they perform and how they perform it.

• **Independent Contractor:** the University only has the right to control the end result, not how the work is performed.

• **Consultant:** the University CANNOT control the end result OR the way in which the work is performed.
  
  – UCSF link [www.Matmagt.ucsf.edu](http://www.Matmagt.ucsf.edu)
  
  – UCOP policy BUS-34 [http://www.ucop.edu/ucophome/policies/bfb/bus34.html](http://www.ucop.edu/ucophome/policies/bfb/bus34.html)
International grant management Issues

PERSONNEL SCENARIO:

Clue #1:

- You are copied in an email from the PI.
- We are happy to support your request to take the Microsoft course. Geoff, we can pay your course costs off the CHAMP San Francisco budget.
International grant management Issues

Clue #2:

• Dear PI:

• Who is Geoff and how does he fit into the CHAMP project? I can't find his name listed on UCSF staff lists and the few people I've checked with don't know who he is. Please educate me. It will help determine how I reimburse him.
International grant management Issues

Clue #3:

- Geoff is hired as a consultant for the CHAMP and the TB-HIV-VCT studies. We tried to hire him as a UCSF employee but his Canadian citizenship got in the way of UC policies. I have attached the signed vendor agreement for your records.
International grant management Issues

Clue #4:

- Email with Geoff:
  - I have a contract with UCSF but I am not a US citizen. I am permanently residing in Uganda and my only bank account is here in Uganda. Can you just transfer the money to my account here? I do not want to wait until the end of the course because it runs for 4 months. There are no other expenses associated with the course. Yes, the course starts today.
International grant management Issues

EXPATRIATE ARRANGEMENTS

• US/ UCSF personnel living at research site
  – CWRU example

• Relocation costs: UCOP Business and Finance Policy G-13:
  – http://www.ucop.edu/ucophome/policies/bfb/g13.html

• NIH GPS on relocation costs
International grant management Issues

INDIRECT COSTS

• What does the 8% cover?

• NIH Grants Policy Statement
International grant management Issues

INDIRECT COSTS

• Allowable and Unallowable Costs- on Grants to Foreign Institutions

• The costs that are generally allowable under grants to domestic organizations also are allowable under foreign grants, with the following exceptions:
  – *Alteration & Renovation*: Unallowable under foreign grants and domestic grants with foreign components.
  – *Customs and import duties*: Unallowable under foreign grants and domestic grants with foreign components. This includes consular fees, customs surtax, value-added taxes, and other related charges.
International grant management Issues

ADVANCE PAYMENTS

- Check request or ‘invoice’ used for advance
  - Under FDP grants and Non-FDP grants
  - http://or.ucsf.edu/cg/5433-DSY.html
International grant management Issues

INVOICE PAYMENTS

• Monitoring expenses in Weblinks/ Express:
  – NCA 437510 Subaward <= $25k
    • Institution, not projects
  – NCA 437520 Subaward > $25k
International grant management Issues

INVOICE PAYMENTS

• Tracking the advance

• Track invoice payments
  – Institution, not projects
  – Manage details of subcontract expenses
# International grant management Issues

## INVOICE PAYMENTS

<table>
<thead>
<tr>
<th>Authorized budget</th>
<th>Oct-08</th>
<th>Nov-08</th>
<th>May-09</th>
<th>Total available in this period</th>
</tr>
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<tbody>
<tr>
<td>13,219</td>
<td></td>
<td></td>
<td></td>
<td>13,219</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Invoice number</th>
<th>UCSF-001</th>
<th>UCSF-007</th>
<th>Cumulative Expenses to date</th>
<th>Unexpended balance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Invoice date</td>
<td>12.5.08</td>
<td>6.4.09</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Monthly EXP</td>
<td>1,557.47</td>
<td>1,849.07</td>
<td>12,770.17</td>
<td>449</td>
</tr>
<tr>
<td>Cumulative EXP</td>
<td>0.00</td>
<td>1,557.47</td>
<td>12,770.17</td>
<td></td>
</tr>
</tbody>
</table>

| Contract payments | 12.6.08 | 1,557 |
| Advance payment   | 2,938   |      |
| Total Payments    | 2,938   | 1,557 |
| Funds remaining from advanced amount | 2,938 | 2,938 | 449 | 449 |
| Total Payments    | 13,219  |      |
| Funds remaining from payments |        |      |

**Action Items:**
International grant management Issues

EQUIPMENT

• **Disposition of vehicle at end of 5 year project**
  - sell
  - donate
  - transfer

• **Who maintains inventory:**
  - UCSF (prime) or Subcontract?
  - http://www.ucop.edu/ucophome/policies/bfb/bus38.html
International grant management Issues

AUDIT

• Preparing for a Foreign Organization System (FOS) Review
International grant management Issues

RESOURCES

NIH GPS: Grants to Foreign Institutions...etc
NIHGPS_Part12.htm#_Toc54600260

Link to Global Health Program:
- working issues list
- working groups
- submit a problem
http://www.globalhealthsciences.ucsf.edu/Research/gres/index.aspx
State Department Clearance

- Under an existing P30 (Center Grant), there is a core that administers pilot studies on a yearly basis (i.e. individual pilot studies not written into the original proposal). Some of the pilot studies will have foreign components though it will not require subcontracts.

- Is prior permission required for foreign components if no foreign subcontract is required?
State Department Clearance

- **Answer:** Yes, prior to the start of any project with foreign components, a written request must be sent to NIH to obtain the necessary State Department Clearance. Have the following available:
  - 1) A copy of the proposal (NIH will need an outline of the Research Objectives for the State Department)
  - 2) The Contact Person in the foreign country (collaborator’s name, address, email address and phone)
  - 3) Provide the FWA of the foreign institution if there are human subjects involved
  - 4) The project start & end dates