Faculty in the Academic Senate (slides attached)

All faculty are considered Academics. Faculty titles are categorized by a series (Ladder, In-Residence, Clinical, etc.), rank (full, associate, assistant), and step. Only Ladder, In-Residence, and Clinical X series are part of the Academic Senate. The other two series, Clinical and Adjunct are not part of the Academic Senate.

The Academic Senate is the voice of the faculty in the University of California and represents the faculty in the ‘shared governance’ of UC. The shared governance is delegated by the Regents and shared with University administration. Academic Senate members also make up the Committee on Academic Personnel (CAP), which decides on faculty merits and promotions.

In 1996, Dorothy Bainton, Vice Chancellor for Academic Affairs released a memo that dictates the following:

- Ladder rank faculty (FTE holders) must have at least 33% of their fiscal year base salary charged to state funds.
- 95% Rule applies to sponsored research and only to Senate faculty members (although the FTE or 33% trumps the 5% rule for Ladder rank).
- In-residence faculty (including Clinical X) can’t be 100% sponsor-funded since these appointments require them to do teaching, research, University and public service.
- 95% Rule for NIH funds (cannot be paid more than 95% from NIH funds) applies to all faculty titles.

Operational Excellence for Research Administration (slides attached)

- The Chancellor’s charge to the campus community is to develop options to re-engineer and/or reorganize research administration (RA) to reduce costs, reduce fragmentation, and increase equitable services between departments that have a lot and those that have little.
• The Research Administration Workgroup assessed the landscape of research administration on Campus as it exists today, including a head count of how many people do pre-award or post-award.

• There are three options for reorganizing RA (which are available at http://budget.ucsf.edu/stories/ucsf-releases-operational-excellence-work-group-report-supporting-documents/), which the Chancellor will decide upon. The OE Research Workgroup (which Kathy Judd and Suzanne Sutton are members) has started creating the framework, including processes, job descriptions, and classifications for option 3.

• There are other workgroups for IT, HR, and Finance. The deliverables for each work group are due by the end of September 2010.

• A major assumption of option 3 is that pre-award is split from post-award. Post-award or financial management of sponsored funds is part of the design process for the Finance Workgroup. Pre-award would be provided by Research Services Managers (RSMs) who would be located and managed within one of 4 clusters on campus. RSAs in the Department would need to decide whether to become an RSM doing pre-award or a Research Financial Manager (RFM) doing post-award, if option 3 is what the Chancellor elects.

Reconciling Training Grant Stipends and Benefits (slides attached)

• Trainees at UCSF may participate in Institutional or Individual grants. An understanding of the different types of trainees is essential to ensure that appropriate paperwork is submitted. Appointment and Insurance paperwork is the appropriate documentation to use when reconciling trainee charges, which post to your training grants.

• Appointing trainees on training grants and managing their appointments and payments should be a collaborative process between the Fellowship Coordinator and RSA, and should include the Fellowship Program Director and Training Grant Program Director, as appropriate.

• The NIH Trainee Appointment process will transition from paper to electronic submissions via the xTrain system (available through the eRA Commons) in January 2011. All RSAs managing T-series training grants should begin familiarizing themselves, their Program Director, and Fellowship Coordinator with the process.

• To reconcile ACGME or Non-ACGME Clinical Fellow stipend and insurance, review the GL for the appropriate month and compare the posted data with the information defined in the Statement of Training Appointment form (stipend) and the Insurance Action Form (Resident and Fellow’s Insurance). Stipends post to NCA 437830 and Insurance posts to NCA 434895; both types of expenses post to the 78XXXX series DPA linked to your training grant fund.

• To reconcile Post-Doctoral Fellow stipend and benefits, review the GL for the stipend as above. To view the benefit (e.g. health insurance) component, run the DPE report or the GL
Payroll Detail report for the appropriate month and compare the posted data with the information defined in the Post-Doctoral Scholar Appointment Form (PSAF). Post-Doc benefits will post to the 40XXXX series DPA linked to your training grant fund in the NCA Group 411000 ‘Academic Benefits’. Because Workman’s Comp (NCA 411110) and Life Insurance (NCA 411515) are Post-Doctoral benefits that are not allowable charges on T-series, F-series, or CIRM awards, you will need to transfer these costs off of your training grant fund on a monthly basis using a 547 journal. Review the guidelines at http://controller.ucsf.edu/pam/files/Unallowable_Postdoc_Insurance.pdf for additional information.

Upcoming RSA Meetings

No meeting in August
RSA Meeting on September 16, 2010 at 8:30-10 am in LH 376 (Joseph Wilson)
RSA Meeting on October 21, 2010 at 8:30-10 am in TBD (Wendy Ng)
RSA Meeting on November 18, 2010 at 8:30-10 am in TBD (Kathy Judd)
RSA Holiday Party on December 16, 2010 at 8:30-10 am in TBD
RSA Meeting on January 20, 2011 at 8:30-10 am in TBD (Suzanne Sutton)
RSA Meeting on February 17, 2011 at 8:30-10 am in TBD (Joseph Wilson)
RSA Meeting on March 17, 2011 at 8:30-10 am in TBD (Wendy Ng)
RSA Meeting on April 21, 2011 at 8:30-10 am in TBD (Kathy Judd)
RSA Meeting on May 19, 2011 at 8:30-10 am in TBD (Joseph Wilson)
RSA Staff Retreat on June 16, 2011
Faculty Titles and Academic Senate

DOM RSA Meeting

Department of Medicine

Suzanne Sutton
Director of Research Administration

July 15, 2010
Who Are Academics?

UCSF Employees and Students as of October 2008
(numbers rounded to the nearest hundred)

- Staff: 15,500
- Academics: 3,100
- Students, Residents, Postdocs: 5,300
- Senate Faculty: 1,100
- Non-Senate Faculty: 1,200
- Non-Faculty Academics: 800

While all Faculty are Academics, not all Academics are Faculty
Academic Titles: Series, Rank & Step

• Academic Titles include:
  – **Series:** term assigned to a group of individuals based on a certain competency set
    • e.g., Ladder rank, In Residence, Clinical X, Health Sciences Clinical, Adjunct, Professional Research, Specialist, etc.
  – **Rank:** Level of Appointment
    • e.g., Junior, Assistant, Associate, Full
  – **Step:** level within a rank (not included in ‘spoken’ title)
    • e.g., Step I, Step II, Step III etc.

• Example: **Assistant (Rank) Professor In Residence (Series) Step II (Step)**
Faculty Series (continued)

- Other Faculty Series
  - Lecturer
  - Visiting (e.g., Visiting Assistant Professor)
  - Emeritus (e.g., Professor Emeritus)
  - Recall (e.g., Professor FY Recalled)
Faculty - Academic Senate

• Some faculty hold membership in the Academic Senate

• The Academic Senate is the voice of the faculty in the University of California. It represents the faculty in the ‘shared governance’ of UC

• This responsibility is delegated by the Regents and shared with the University administration, both at the Campus level and System-wide

• Academic Senate members also make up the Committee on Academic Personnel (CAP).
About the Academic Senate

- At UCSF, there are 19 campus-wide standing committees of the Senate, including a Faculty Council for each of the four schools.

- Committee activities include merits and promotions, academic discipline, reviewing improper conduct of research, etc.

- Provides intramural grant funding
Compensation Rules

• In a 10/31/96 UCSF memo D. Bainton wrote to Academic Deans to help clarify salary rules as they applied to Senate faculty on sponsored funding:

  – Ladder rank faculty (FTE holders) must have at least 33% of their fiscal year base salary charged to state funds

  – 95% Rule applies to sponsored research and only to Senate faculty members although the FTE or 33% trumps the 5% rule for Ladder rank

  – In-residence faculty (including Clinical X) can’t be 100% sponsor-funded since these appointments require them to do teaching, research, University and public service

  – 95% Rule for NIH funds (cannot be paid more than 95% from NIH funds) applies to all faculty titles
The Chancellor’s Operational Excellence

Research Administration at UCSF

Introducing a New Way to Work

3.31.2010
Introducing a New Way to Work
Research Administration

Contents

• The Chancellor’s Charge
• UCSF Research Administration today
• Option Currently Under Design
• Looking at the Costs
The Chancellor’s Charge

• Develop an innovative vision and multiple year roadmap for research administration on our campus that will result in a more cost efficient, sustainable delivery of research administration services while maintaining an appropriate level of service, quality and risk management; to quantify the anticipated savings and timeline resulting from this new way of delivering service.

• Identify tangible, implementable changes that will result in savings for FY2011, to quantify those anticipated savings, and to identify impacts associated with these changes (service levels, change management, risk management and so on).

• The focus of this document is on preaward activities done by “RSAs”.

Achieve Operational Excellence
The Chancellor’s Charge
The Assessment Process

Assessment Process

• Worked with Research Administration Subcommittee to assess the current process, develop and vet recommendations. Committee members included:
  
  Sharon Berg - Cellular and Molecular Pharmacology, School of Medicine  
  Jill Goldsmith, - Operational Excellence Core Team  
  Susanne Hildebrand-Zanki - Diabetes Center, School of Medicine  
  Beth Kane - School of Medicine, Operational Excellence Core Team  
  Michelle Kim - School of Nursing  
  Erik Lium - Assistant Vice Chancellor and Work Group Lead  
  Stefanie Mott - Cell and Tissue Biology, School of Dentistry  
  Michael Nordberg - School of Pharmacy

• Received broad-based feedback from focus groups with School of Medicine Managers and RSAs and individual interviews across campus.

• Conducted workforce survey to determine number of people working on pre and post award
UCSF Research Administration Today

- Department based individuals provide loyal, dedicated service but have limited knowledge sharing, back-up options, flexibility and career growth
- Lack of training and standards results in varying practices and service levels from dedicated subject matter experts to individuals doing multiple jobs
- Inconsistent application of Federal and Non-Federal practices and policies exposes UCSF to risk
- Inconsistent levels of technology to support the process
- Inequity in service levels between the ‘have’ and ‘have not’ departments

Total estimated research administrative spend = $37.2M*
Departments = $30.8M            Central (OSR & EMF) = $6.4M

*Includes salary, benefits and non salary expense
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<td><strong>534</strong></td>
<td><strong>131</strong></td>
<td><strong>202</strong></td>
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*Departmental support

Source for proposal/award data; Office of Sponsored Research
Desired Outcomes

- Reduce cost
- Reduce fragmentation
- Reduce the disparity between “have” and “have not” departments
- Provide Faculty with comprehensive management of their research portfolios
Current Option Being Designed

• Manager-led Clusters located by geographic or programmatic affiliation as space allows (details following)
• The Office of Sponsored Research will undergo the same rigorous review for work load and be part of the creation of a new Research Administration Job Family
Research Services Manager (RSM) Career Path

Admin Asst: Provide support to RSMs

RSM Cert Level I: Signature authority for NIH Rs & Ks, NSF, DOD, DOE, NASA, subcontracts with NIH prime, etc.

RSM Cert Level II: Signature authority for NIH Ps, Ts and US (Center, Program, Training, etc.)

RSM Cert Level III: Signature authority for federal contracts

Team Lead: Guide team, subject matter experts, Signature authority/review RSMs

Cluster Manager: Quality, compliance, Assignments, overall effectiveness

Cluster Director: Significant expertise, responsibility, leadership

\[\text{Admin Asst} \rightarrow \text{RSM Cert Level I} \rightarrow \text{RSM Cert Level II} \rightarrow \text{RSM Cert Level III} \rightarrow \text{Team Lead} \rightarrow \text{Cluster Manager} \rightarrow \text{Cluster Director}\]
Implementation Timeline

The Cluster Model rides in on the back of the new technology
Assumptions & Timelines

Assume four clusters provide service for the campus
- Cluster Management and trainers hired in first half of FY11 to build the shared service center and the training program
- Phase in clusters in six month increments beginning April ’11 and ending April ‘12
- As clusters phase in, layoff group of pre/post award staff and those staff apply for new positions in the clusters
- RSMs will initially manage 65 proposals/year, then grow to 80 proposals, and then 100 proposals
- RFMs will initially manage on average 35 awards, then 40 awards, then 45 awards (assumes RFM only manage sponsored funds)

At steady state, need 4 clusters, each with 3 teams for a total of 253 people in all clusters
- Cost per cluster, approximately $5.5-6.5M
- Cost per team, approximately $2M
Benchmarks

• UCSF Today
  – Distributed (departmental) Pre award FTE handles on average 45 proposals/year

• Benchmarks
  – UCSF departments known to have good systems and high quality dedicated staff manage:
    • approximately 65-100 proposals/year /analyst
  – Stanford Research Process Manager (RPM) handles on average 157 proposals/year
Requisites for Success

Technology
• RAS II (pre award system) must be implemented in the manner described in the Strategic Plan for Research Administrative Systems.
• Easy access to financial and salary information so that RSM can develop proposal budgets
• Standard Budget Status Report
• University wide document management system
• Improvements to P2P system in response to department feedback

Comprehensive Training and Ongoing Education

Process
• Eliminate duplication between OSR and EMF in award set-up
• Streamline the Account Receivable process to improve cash flow and reduce redundant effort between departments and EMF

Delegated Signature Authority
Training Grants and Fellowships – Appointment, Administration, and Reconciling Payroll

July 15, 2010
Fellowship - Types of Appointments

There are a number of different types of appointment classifications utilized for training during the duration of a Fellowship. Identifying what type of trainee you are working with is essential to understanding how to properly manage their appointment and expenses.

Example Appointments Types:

ACGME Clinical Fellow  
Non-ACGME Clinical Fellow  
Postdoctoral Fellow  
WOS Clinical Instructor (with-out salary appointment for clinical purposes)
Fellowship – Appointment Overview

Components of Fellowship Appointments and Relevant Groups

- Graduate Medical Education / Post Doctoral Affairs Offices
  Allow the trainee to work and study at UCSF

- Student Accounting
  Allows the trainee to receive payment via stipend

- Graduate Medical Education Office
  Manages trainee insurance for ACGME / Non-ACGME appointments

- Department HR
  Manages benefit process for Post Doctoral trainees

- Department Fellowship Coordinator / Research Services Analyst
  Manage the overall appointment process, paperwork submitted to the appropriate UCSF offices for all fellows to receive stipend and insurance / benefit payments, and manage any external communication with outside grant agencies to ensure that the appropriate appointment and termination paperwork is submitted for all trainees.
UCSF Clinical Training –
Salary Scales, Effective July 1, 2010

- Years of Relevant Experience
  - PGY 1 = $48,259
  - PGY 2 = $50,003
  - PGY 3 = $52,069
  - PGY 4 = $54,335
  - PGY 5 = $56,494
  - PGY 6 = $58,881
  - PGY 7 = $60,853

http://www.medschool.ucsf.edu/gme/coordinators/appointment/2010appts/HSappts.html

*The PGY salaries listed here represent the minimum amount for that scale’s range. Actual salaries may vary based on Division policy.
Stipend Recommendations: Ruth L. Kirschstein National Research Service Award (NRSA) Stipend

- Years of Relevant Experience/ FY 2010 Level
  - 0 = $37,740
  - 1 = $39,756
  - 2 = $42,624
  - 3 = $44,304
  - 4 = $45,960
  - 5 = $47,940
  - 6 = $49,836
  - 7 or more = $52,068

NIH publishes the stipend levels in the NIH Guide when increases are approved

Stipend Payments
For Training Grants & Fellowships
How to set up NIH stipend payments?

**NRSA Institutional Trainee**

**Statement of Appointment - Form PHS 2271**
- Due on or before the start of the appointment period
- No stipend or other allowance may be paid until submitted
- Signed by the trainee and Program Director
- Prior to December 31, 2010, grantees may submit the PHS 2271 data electronically using the xTrain application. xTrain will be mandatory for all Training Grants as of January 1, 2011

**Payback Agreement – Form PHS 6031**
- Only required for the first 12-month appointment; signed by Trainee.

- Send original forms to the NIH awarding office as advised on Notice of Award
- Send copy of the forms to Student Accounts, Box 0812 – include Dept name/DPA/Fund # on Form PHS 2271.

[http://grants.nih.gov/grants/forms.htm](http://grants.nih.gov/grants/forms.htm)
Example: Statement of Appointment PHS 2271

NIH Statement of Appointment on NRSA Grant
How to set up non-NIH stipend payments?

Statement of Trainee Appointment – Other than NIH Training Grant Form

- Send completed original form to the stipend desk:
  
  [http://controller.ucsf.edu/students/files/Trainee_Appointment.pdf](http://controller.ucsf.edu/students/files/Trainee_Appointment.pdf)

**Note:** Termination process is not required.
**Example: ACGME / Non-ACGME Fellow Stipend Form (Non-NIH Funds)**

**Statement of Training Appointment Other than NIH Training Grant**

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**Form Details**

- **SSN**: 
- **Date**: 
- **City**: 
- **State**: 
- **Zip**: 
- **Day Phone**: 
- **Enrolled student**: Yes/No
- **Program**: 
- **Level**: 1 2 3 4 or Odd. 5

**Form Instructions**

1. Original I-9 on file with Payroll?
2. Hire Date or before 11/1/86, without a break in service?
3. Yes/No
4. Yes/No

**Preparation**

- Prepared by: 
- Dept: 
- Phone: 
- Title: 
- Date: 

**Approval**

- Approved by: 
- Title: 
- Date: 
- Signature of Fellow:
UCSF Contacts for Stipend Payments

- Freddie Robinson
  476-2881
  Nonresident Aliens

- Erika Sweet
  502-8205
  US Citizens or Permanent Residents (A-L)

- Maria "Cherry" Lazaro
  502-8206
  US Citizens or Permanent Residents (M-Z)

Student Accounts,
Box 0812
Graduate Medical Education (GME)

Resident and Fellow Appointments

All residents and clinical fellows training at UCSF, either as a UCSF trainee or short-term visitor, **must** be appointed through the office of Graduate Medical Education (GME).

Resident and Fellow Appointments are generally managed by the Fellowship Program Director and Fellowship Coordinator(s) in the Division, but the process may require additional collaboration with the RSA and Division Administrator.
Graduate Medical Education (GME) Contacts

For more information regarding resident and fellow appointments, please contact:

Justin Akers  
Manager, Resident & Fellows  
Office of Graduate Medical Education  
Phone: (415) 476-4919  
Email: AkersJT@medsch.ucsf.edu

Amy Day  
Director  
Office of Graduate Medical Education  
(415) 514-0146 direct  
(415) 476-4562 reception  
Email: daya@medsch.ucsf.edu

http://medschool.ucsf.edu/gme/pdf/FormsNewApptDescri.pdf
Graduate Medical Education Insurance Forms

- Insurance Action Form
- Designation of Beneficiary Form
- COBRA Acknowledgement Form
- Declaration of Domestic Partnership Form

For more information regarding resident and fellow benefits, please contact:

Tony Wagner  
Postdoc/Resident Benefits Coordinator  
Human Resources - Residents & Fellows  
(415) 476-8093 direct  
Anthony.Wagner@ucsf.edu

http://ucsfhr.ucsf.edu/index.php/residents/  
http://ucsfhr.ucsf.edu/index.php/postdoc/
Example: ACGME / Non-ACGME Fellow Insurance Form

UCSF Residents and Clinical Fellows Insurance Action Form

UCSF RESIDENTS AND CLINICAL FELLOWS
“INSURANCE ACTION FORM”

Enrollee: Retain a file copy and return completed form to your Departmental Residents/Clinical Fellows Coordinator
Department Coordinator: Retain a copy and return completed form to the Central Insurance Desk, Box 0832, FAX 476-4449
Incomplete Forms Will Be Returned to the Department

1. ACTION:

Check All appropriate boxes:

☐ □ First Time Enrollment – Start Date: ____________________________
☐ □ Change Plans (OE) – Effective Date: ____________________________
☐ □ Terminate Insurance – End Date: ________________________________
☐ □ Add Dependent– Start Date: ________________________________
☐ □ Cancel Dependent– End Date: ________________________________
☐ □ Opt Out - Effective Date: ________________________________
☐ □ Department Transfer or Data Change (Complete Personal Information section and information to be changed.)
☐ □ Enroll
☐ □ Cancel

Check the appropriate box:

☐ □ Resident
☐ □ Clinical Fellow

Check the appropriate box:

☐ □ HEALTH NET Group # 55509D:
☐ □ BLUE CROSS Group # 1751385004:

Employee Identification Number (EIN) is Mandatory:

BLUE CROSS Requires Monthly Premiums:
- $30-Single
- $60-Single + Child(ren)
- $90-Two Adults
- $90-Family

2. PERSONAL INFORMATION: This section must be completed for all changes

First Name: ____________________________ M.I. ____________________________ Last Name: ____________________________ Social Security Number: ____________________________

Local Address: ____________________________ Birthdate (mo/day/yr): ____________________________ Marital Status:(S, M, D, D*)

City, State, Zip: ____________________________ Home Phone: ____________________________ Gender: ____________________________

Department and Unit/Division: ____________________________ Campus Box/Building/Location: ____________________________ Campus Phone/Pager: ____________________________

3. DEPENDENT INFORMATION:

E = Enroll
T = Terminate

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Example: ACGME / Non-ACGME Fellow Employee Funding Worksheet
Dept. of Medicine Residents and Clinical Fellows Employee Funding Worksheet (EFW)

DEPARTMENT OF MEDICINE • BUDGET 2010/2011
Employee Funding Worksheet

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<th>Notes</th>
<th>DFA</th>
<th>Fund</th>
<th>Payroll % Dist</th>
<th>Begin Date</th>
<th>End Date</th>
<th>Subtotal</th>
</tr>
</thead>
</table>

Please cc me on PAN notice.

prepared by: ____________________________

Date Prepared: _________________________

Note: The Subtotal column can include either the total dollar amount being paid for the listed time period or the monthly rate.

EFW must be routed in electronic form to the Education office for funding approval before processing. Send to esheehan@medicine.ucsf.edu.

Please note if Hospital Location has changed, submit revised DGG and revised EFW.
Example: Post-Doctoral Scholar Appointment Form

---

**Biographical Information**

Name: 
Social Security #: 

Current address: 
Phone: 
Email: 

Campus Box Number: 
Date of Birth: 

Are you a U.S. Citizen? Yes No 
If no, citizen of: 

Type of Visa: 
Visa expiration date: 
Pending 

Previous Postdoctoral Experience: 
Institution: 
Date: 

Doctoral or Professional degrees earned: 
(first in chronological order) 

Degree: 
Institution: 
Location: 
Date awarded: 
U.S. equivalent: 

**Appointment Details**

CRU/Department/Division: 
Faculty Sponsor: 

Type of Action: 
- New appointment as Postdoctoral Scholar 
- Reappointment after leave 
- Reappointment from same source of support 
- Amendment to data on file 
- Reappointment from different source of support 
- Termination of appointment 

Type of Appointment: 
- Payroll 
- Stipend 
- Paid Direct 

Beginning Date: 
Ending Date: 
Date of original Appointment: 

**Support Information**

Type of Support: 
- Federal Government 
- Foreign Government 
- State/Local Government 
- UC Institutional Funds 
- Private Agency/Industry 
- Other 

Source of Support: 
Granting Agency: 
Account balances: 

Amount: 
(monthly) 

Health Plan: 

Primary Support: 

Supplementation: 

Total: 

**Explanation of Changes/Remarks**


---

**Signature**

Postdoctoral Fellow: 
Form Prepared By: 

Faculty Sponsor: 
Campus Box: 

Department Chair: 
Campus Email: 

Graduate Division: 
Campus Telephone: 

---
# UCSF Appointment and Insurance Paperwork: Summary

<table>
<thead>
<tr>
<th>Form</th>
<th>Submitted to Which UCSF Office</th>
<th>ACGME or Non-ACGME Fellow Appointed on NRSA Training Grant</th>
<th>ACGME or Non-ACGME Fellow Appointed on Funding other than NRSA Training Grant</th>
<th>Post-Doctoral Fellow Appointed on NRSA Training Grant</th>
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<tbody>
<tr>
<td>Statement of Training Appointment</td>
<td>NIH / Student Accounts - Stipend Desk</td>
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<td>Payback Agreement</td>
<td>NIH</td>
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<td>Employee Funding Worksheet (EFW)</td>
<td>Department DA Education (Sue Sheehan)</td>
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<td>Stipend Form</td>
<td>Student Accounts - Stipend Desk (Statement of Training Appointment)</td>
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<td>PostDoctoral Scholar Appointment Form (PSAF)</td>
<td>Department HR Generalist</td>
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<td>Insurance Action Form</td>
<td>Campus HR / Residents and Fellows Benefits Coordinator (Tony Wagner)</td>
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<td>Monthly Health Insurance Template</td>
<td>GME Office (Brain Fabian)</td>
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</tbody>
</table>
Reviewing and Reconciling Fellows’ Payments
Reviewing and Reconciling Fellows’ Stipend and Insurance / Benefit Payments

Challenges to Reviewing and Reconciling Fellow Payments

- Multiple types of appointments (ACGME, Non-ACGME, PostDoc) mean multiple methods of payment for trainees. Some trainees will receive only stipend, while some trainees will have stipend lines in addition to a Payroll component. Some trainees’ health insurance is paid via Insurance line (NCA 434895) while others will be paid using the standard employee benefits (NCA Group 411000 ‘Acad Benefits’).

- Multiple Funding Sources: Most trainees will be paid from multiple funding sources (e.g. NRSA support, Divisional Profee support, Clinical Revenue support, etc.), so reconciliation for any individual will often require reviewing more than one fund.
Reviewing and Reconciling Fellows’ Payments – Example Stipend

GL Detail for Stipend
(NCA 437830 ‘Stipend/Schl/Fwshps Candidate’)

![Excel Spreadsheet Image]
Reviewing and Reconciling Fellows’ Payments – Example Post-Doc

Example: Post-Doctoral Fellow paid stipend from a NRSA Training Grant and receiving benefits via Academic Benefits

- Run GL for Stipend (see slide 42)
- Run DPE for Benefit Detail
  - Benefits expenses reflected in Sub 6 section of Distribution of Payroll Expense Report (see #44)
  - Or, by benefit NCA in the General Ledger Payroll Detail (see slide #45)
- Additional Component: Post-Doctoral Benefit lines for Workman’s Comp (NCA 411110) and Life Insurance (NCA 411515) cannot be charged to Federal Funds and must be transferred off of training grants via a 547 cost transfer. Run the DPE Payroll Detail report to review benefit line detail.

  Note: Payroll Expense Transfer not possible, because you are not moving the entire benefit component. A PET can only move orphan benefits (e.g. benefits not associated with % effort / gross salary) if the entire line is moved.

http://controller.ucsf.edu/pam/files/Unallowable_Postdoc_Insurance.pdf
Reviewing and Reconciling Fellows’ Payments – Example

Distribution of Payroll Expense Report for Post-Doc Academic Benefits (Sub – 6 ‘Employee Benefits’)
Reviewing and Reconciling Fellows’ Payments – Example
Post-Doc
GL Payroll Detail for Post-Doc Academic Benefits
(NCA 411000 ‘Academic Benefits’)

Payroll Detail for PL/2010 To PL/2010 (CLOSED)

<table>
<thead>
<tr>
<th>NCA</th>
<th>Program</th>
<th>Employee Name</th>
<th>Employee ID</th>
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<th>TOT DOY</th>
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Total: 0.00 1,032.80 PR12E310 WORKERS’ COMPENSATION

Total: 0.00 1,032.80
Reviewing and Reconciling Fellows’ Payments – Example ACGME / Non-ACGME Fellow

Example: ACGME Fellow paid stipend from a NRSA Training Grant and receiving benefits via Residents / Fellows Insurance

- Run GL for Stipend (see slide 42)
- Run GL for Insurance (see slide 47)

- Additional Component: Trainee may be receive supplemental payments from non-NIH sources. These will post on different funds and will post in the Academic Payroll / Benefits NCAs.
Reviewing and Reconciling Fellows’ Payments – Example Resident and Fellow’s Insurance

GL Detail for Resident and Fellow’s Insurance (NCA 434895 ‘Recharge-Insur for Post Docs’)
Questions?

RSAs currently managing Training grants are often a great resource when you have a question or need to resolve an issue.

Susan Lau, Division of Infectious Diseases
502-4507 / slau@medicine.ucsf.edu

Michele Carter, Division of Nephrology
476-0529 / mcarter@medicine.ucsf.edu

Joseph Wilson, DOM Research Administration
514-1120 / jwilson@medicine.ucsf.edu
NIH Trainee Appointments via xTrain

July 15, 2010
Use of xTrain required in 2011

As of January 2011, NIH will require the use of xTrain for the electronic submission of appointment forms and termination notices related to institutional research training, fellowship, education and career development awards.

**Paper appointment forms and termination notices will not be accepted by the NIH after December 31, 2010.**

What is xTrain?

- Allows users to electronically process the required paperwork associated with awarded training and career development grants.

- Grantee institution staff can use xTrain to:
  - Create, route and submit appointments, reappointments, amendments and termination notices.
  - Track the status and timing of training actions.
Types of grants supported in xTrain

- awarded NIH Ruth L. Kirschstein National Research Service Award institutional research training grants, such as T32, T34, T35, T90.
- awarded NIH institutional career development awards (K12, KL2),
- awarded NIH research education awards (R25, R90)
- awarded "other" NIH training grants (T15, TL1, TU2)

- xTrain cannot be used for individual NRSA training grants (F30, F31, F32, F33) at this time.

xTrain instructions & training resources available at: http://era.nih.gov/training_career/index.cfm
xTrain Login

xTrain is available through the eRA Commons. The Program Director of the Training Grant can delegate access to the RSA and / or Fellowship Coordinator to create appointment paperwork.

NIH eRA Commons:  
https://commons.era.nih.gov/commons

- Use your NIH eRA Commons username & password
- Log in and click the “xTrain” tab
Is xTrain available to anyone?

Yes. However, one will need an NIH eRA Commons username and PD/PI will need to delegate xTrain access.

Until the PD/PI delegates xTrain rights to an associate staff member with an ASST role in the eRA Commons, **only the PI** can log in to see his/her own Training grant and Trainee roster.

In order to use xTrain, each trainee to be appointed to the training grant must have an eRA Commons account. To request an account, send an email to **CGAwardTeam@ucsf.edu** with the trainee’s Name, Email Address, and eRA Commons’ Role (Post-Doc Role is appropriate for T-series trainees.)
Who is Responsible for Initiating Actions in xTrain?

The appointment process should generally be a collaborative process between the Program Director, RSA, and Fellowship Coordinator.

Either the Fellowship Coordinator or the RSA can prepare appointment paperwork in xTrain. The system allows for pdf drafts to be created, so the person who does not enter the data in xTrain can review the pdf document prior to electronic submission to the Trainee.

Both the Fellowship Coordinator and the RSA should be involved in the process of appointing trainees through xTrain since each role has involvement with different aspects of the Trainees’ appointment which may or may not overlap.
Roles

- **Business Official (BO)**
  - Has signature or other authority related to administering training grants
  - Authorized to submit Termination Notices on behalf of the institution

- **Program Director/Principal Investigator (PD/PI)**
  - Person responsible for the overall direction of the training program and is authorized to submit Appointments, Re-appointments and Amendments on behalf of the institution

- **PD/PI Delegate**
  - Person, delegated by the PD/PI, with the authority to perform xTrain-related functions (except submitting Appointments) on the PD/PIs behalf; holds Assistant (ASST) role in eRA Commons

- **Trainee**
  - Person appointed to training grant
What specific NIH forms will be processed by xTrain?

- **Statement of Appointment Form (PHS 2271)**
  - Permanent US residents must submit a notary's signed statement certifying that they have (1) a Permanent Resident Card (USCIS Form I-551), or (2) other legal verification of such status. This documentation will need to be submitting in hard copy and cannot be communicated via the xTrain system.

- **Termination Notice (PHS 416-7)**

- **Payback Agreement (PHS 6031)**
  - The Payback Agreement form is available for download/printing on xTrain with instructions for signing and submitting the agreement via postal mail. xTrain will populate the basic information prior to printing, but the Payback Agreement (PHS 6031) must still be mailed - it is NOT processed electronically via xTrain.
# xTrain Trainee Roster

## Appointment/Termination Source:
- Paper or Electronic

<table>
<thead>
<tr>
<th>Application</th>
<th>Trainee Name</th>
<th>Type</th>
<th>FY Start Date</th>
<th>End Date</th>
<th>Degree Level</th>
<th>Appointment Status</th>
<th>Appointment Source</th>
<th>Termination Status</th>
<th>Termination Source</th>
<th>Current Reviewer</th>
<th>View</th>
<th>Action</th>
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<tbody>
<tr>
<td></td>
<td>Beauty, Sleeping</td>
<td>Reappointment</td>
<td>2006 07/01/2006</td>
<td>08/30/2007</td>
<td>Yes</td>
<td>POST-DOC</td>
<td>Terminated</td>
<td>Electronic</td>
<td>Accepted</td>
<td>Electronic</td>
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<td>View 2271</td>
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<td>Boys, Beagle</td>
<td>New</td>
<td>2006 07/01/2006</td>
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</table>

### Action:
- 2271 Form
- Amend 2271
- Initiate TN

### View:
- View 2271
- View TN
- Payback
General Information About Data Available in xTrain: Potential Issues

- Fund Years available in xTrain are opened when a Notice of Award action is updated in the eRA Commons. At this time, you cannot appoint trainees in the xTrain system for a future period. This feature may be revised by the NIH in the coming months as it prohibits the creation of Statement of Appointment paperwork before the start of the grant period.

- Paper Statement of Appointment and Termination paperwork that has been submitted for previous years are still being entered and uploaded in the xTrain system. The Grants Management Specialist for your Training Grant is responsible for updating previous paperwork or delegating this to an NIH contract worker. If your previous periods’ Statement of Appointment has not been entered in xTrain, you cannot re-appoint the trainee using the xTrain system, and will need to submit the appointment in paper form.
Resources

xTrain (eRA Commons)

xTrain provides Training grant program directors, university administrators and Trainees the ability to electronically process (the required paperwork (e.g., Appointment Forms and Termination Notices) associated with awarded Ruth L. Kirschstein National Research Service Award Institutional research training grants. It also is used by Agency grants management specialists to process training grant appointments and terminations made electronically.

xTrain is currently in pilot with about a dozen institutions and over 80 training grants. We expect to expand pilot participation in June 2003.

Quick Reference Sheets

- xTrain - Getting Started Reference for Trainees (PDF - 196 KB)
- xTrain Appointment Errors/Warnings (PDF - 206 KB)
- xTrain Overview & Functions (PDF - 228 KB)
- PD/PI Delegation of xTrain Authority (PDF - 206 KB)
- Initiating xTrain Appointments (PDF - 183 KB)
- Initiating xTrain Terminations (PDF - 184 KB)

Training

- Training Material (PDF - 1.65 MB)

NOTE: If you would like a copy of this slide set in PowerPoint, please contact Sheri Cummins (cummins@mail.nih.gov).

http://era.nih.gov/services_for_applicants/other/xTrain.cfm