

UCSF Research Management Services

Service Partnership Agreement

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Section 1: Overview and Objectives

Research Management Services (RMS) provides expert administrative support to all researchers, from pre-award through the award process on all grant mechanisms. RMS teams collaborate with the Principal Investigator (PI), his/her department and sponsors so that PIs may be successful in their research grants.

This Service Partnership Agreement represents the operational roles and responsibilities in effect between the Research Management Services (RMS) and all those with roles in the extramural funding process. This process relies upon a cooperative effort between Research Management Services (RMS), the Principal Investigator (PI) of the respective project(s), the UCSF Department with which the project is affiliated and [Contracts & Grants Accounting \(CGA\)](#).

The following information is presented with the goal of providing optimal client customer service achieved through streamlining and maximizing efficiency by defining areas of responsibility and providing mechanisms for problem solving.

The RMS team is dedicated to providing comprehensive administrative expertise and support throughout the funding process from proposal preparation through award close out. As well, RMS bears the responsibility of ensuring compliance with all applicable regulations and protecting the interests of the University.

The expectations and procedural requirements for each for the above mentioned parties partnered in the funding process are outlined in [Section 4 – Roles and Responsibilities](#).

In order to maintain optimal efficiency, all parties included in this document should respond to requests for information within 24 hours unless stated otherwise in the Service Expectations of [Section 4-Roles and Responsibilities](#). When an answer to the inquiry is not available, Research Services Coordinators (RSCs), PIs, [CGA](#) and department staff should forward the request to the appropriate party or provide a timeline for addressing the matter. In situations where expectations have not been met or unexpected issues have arisen, the pathways for resolution are outlined in sections of [Appendix E – Escalation Pathways](#).

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Section 2: Organizational Structure

Development and submission of sponsored project proposals and if awarded, the negotiation and award acceptance are supported by three units on Campus:

1. [Research Management Services \(RMS\)](#) is responsible for federal grants, fellowships, cooperative agreements and nonprofit sponsors. RMS also handles [Small Business Technology Transfer \(STTR\)](#) and [Small Business Innovation Research \(SBIR\)](#) proposals and awards when UCSF is the subcontractee (collaborating institution).
2. [Government and Business Contracts \(GBC\)](#) is responsible for contracts with federal sponsors. GBC is also responsible for pre-award services for state, city & county, and foreign governments/organizations. In addition, GBC supports Intergovernmental Personnel Act Assignment Agreements (IPAs), core lab service agreements, training affiliation agreements (TAAs), clinical professional service agreements (PSAs) and all [business contracts](#).
3. [Industry Contracts Division \(ICD\)](#) is responsible for all industry funded proposals and agreements (except when the prime sponsor is non-industry).

All intramural funding applications including budget development and preparation are managed at the department level. Intramural funding includes but is not limited to Resource Allocation Program (RAP). This also applies to preliminary discussions PIs may have with sponsors in advance of a formal letter of intent or proposal.

Each unit also partners with the Departmental post-award staff to complete and request sponsor correspondences, award advances, subaward requests, etc.

See [Appendix A for the Responsibility Matrix](#), or guidance regarding which division is responsible for the type of proposal or award in question.

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Section 3: Service Team Staffing

Each Department is assigned an RMS Team which is composed of 6-7 Research Services Coordinators (RSCs), 1-2 [RMS Associates](#) and an [RMS Team Manager](#). See [Appendix B – Research Management Services Organizational Chart](#) for more information on the structure of RMS.

Each PI will be assigned a Research Services Coordinator (RSC). This RSC will be the primary point of contact for the PI for RMS services. For RMS proposals and awards, RSCs are responsible for directing and managing the proposal process to ensure timely, compliant and accurate submissions, including budget development, interpretation of sponsor requirements, institutional review and signature (upon certification), and backup for each other as team members.

The RSC will draw support from their RMS Team, as well as the appropriate Subject Matter Experts (SME) in Risk Management, Campus Counsel, Budget Office, Compliance Office and other research related offices. If a PI's assigned RSC is absent from work for any reason (vacations, business meetings, illness or any other planned or unplanned absence), coverage will always be provided by another team member.

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Section 4: Roles and Responsibilities

Identify Funding Opportunity				Back to Table of Contents
<p>Definition: Funding opportunities allow researchers to submit applications for financial assistance for specific projects to sponsors who wish to obtain similar goals.</p>				
Principal Investigator	Research Mgmt. Services Team	Department/Division	Contracts & Grants Accounting	
Search in Pivot or other sources for topics of interest.	Upon PI's request, direct PI to training resources in Pivot .	Include information about Pivot & training opportunities during faculty onboarding and orientation.		
Create Proposal				Back to Table of Contents
<p>Definition: Proposals are applications for funding that contain all information necessary to describe project plans, staff capabilities and funds requested. RMS partners with PIs to prepare extramural research proposals, including budget development and compliance checks.</p> <p><i>For biosketch roles and responsibilities for all parties, see the Biosketch section.</i></p> <p><i>For Other Support roles and responsibilities for all parties, see the Other Support section.</i></p> <p>Service Expectation: PI is expected to notify RSC of intent to submit a proposal*:</p> <ul style="list-style-type: none"> • At least 30 calendar days prior to sponsor submission deadline for standard solicitations such as R03, R21 and R01, including fellowships; • At least 60 calendar days prior to sponsor submission deadline for large proposals, such as proposals with subcontracts or international components and subcontracts to SBIRs/STTRs; • 4-6 months prior to sponsor submission deadline for complex proposals such as program projects or complex center grants, institutional training grants and cooperative agreements (Activity Codes P, T, U). <p>RSC will communicate initial proposal development task list/timeline to PI within 3 business days and will collaborate with PI on developing the final timeline. It is expected that the PI will communicate any travel, clinic or work conflicts at this time.</p> <p>Additional notice is requested during holiday periods. To respond to last minute requests from the sponsor, the PI should notify the RSC as soon as possible.</p> <p>*If RSC is notified further in advance than the timeframes outlined above, RSC and PI will agree upon a date for the RSC to provide a</p>				

completed timeline. Internal review processes will be part of a checklist between the RSC and PI. If the above guidelines cannot be met, the RSC will make every effort to submit a proposal but cannot guarantee a sponsor and University compliant proposal or an on-time submission.

Principal Investigator	Research Mgmt. Services Team	Department/Division	Contracts & Grants Accounting
Notify RSC and department of intent to submit proposal within the timeframe outlined above.			
If application is a response to a limited submission opportunity, submit request to Limited Submission Program .	If application is in response to Limited Submission Opportunity, advise PI of Limited Submission process.		
Read and understand the Funding Opportunity Announcement (FOA) including all relevant instructions/materials.	Read and understand the Funding Opportunity Announcement (FOA) including all relevant instructions/materials.	Obtain division chief/department chair approval to proceed if necessary (i.e. some depts have internal policies prior to notification of RMS)	
Discuss proposal with RSC	Discuss proposal submission with PI		
	Assign timeline/roles and responsibilities.		
If sponsor does not require Institutional signature, detailed budget or commitment of resources and/or sponsor's terms and conditions for the Letter of Intent (LOI) , PI submits Letter of Intent directly to sponsor.	If sponsor requires Institutional signature, detailed budget or commitment of resources and/or sponsor's terms and conditions for the Letter of Intent (LOI) , Research Services Coordinator (RSC) submits Letter of Intent to sponsor		

Obtain approvals from Institutional Review Board (IRB) and Institutional Animal Care & Use Committee (IACUC) , if necessary at the proposal stage.	Obtain PI Waiver if needed.	Approve PI Status Waiver request, if needed (Chair or Delegate).	
Draft science.	Complete the administrative sections of proposal: <ul style="list-style-type: none"> • COI Forms • Face Page • Budget(s) • Key Personnel List (completed with information from PI) • Checklist 	Provide project- specific information if required by sponsor. Collect data and complete tables for T32 applications and provide them to RMS in table format. Complete sponsor-specific tables and lists, such as publications resulting from the grant or pictures where Sponsor logo is displayed.	
		Confirm PI effort availability. Provide and update Veteran Affairs Memorandum of Understanding (VA MOU) if necessary.	
		Conduct peer review, if necessary.	
Biosketch			Back to Table of Contents
<p>Definition: A biosketch is used to highlight a PI’s education and accomplishments as a scientist. Reviewers use this information to assess each individual’s qualifications for a specific role in the proposed project. This is an NIH form, but it is used by many sponsors including federal, state, and private.</p>			

Principal Investigator	Research Mgmt. Services Team	Department/Division	Contracts & Grants Accounting
Request PubMed Central Identifiers (PMCID) for publications, if applicable	Inform and educate PI on PubMed Central Identifiers (PMCID) requirements and resources as needed.	Inform and educate PI on PubMed Central Identifiers (PMCID) requirements as part of basic training and onboarding process.	
Maintain publications in MyNCBI. If designated administrative staff available, assist with Section C “Contributions to Science” of biosketch including looking up PubMed Central Identifiers (PMCID).			
Maintain biosketch templates and update with PMCID as needed. Review MyNCBI bibliography for accuracy. Retain versions sent by RSC and work from updated document.			
Review key personnel biosketches for content.	Collect biosketches from key personnel unless PI prefers to directly approach key personnel.		
	Review and inform PI to ensure that document is within page limit and format requirements.		

Create Budget [Back to Table of Contents](#)

Definition: The proposal budget is a detailed statement outlining estimated project costs to support the work under a grant or contract. Line items may differ but usually include salary, fringe benefits, materials and supplies, computer costs, travel, student support, equipment, subgrants or subcontracts, publications and other allowable miscellaneous costs. The RSC will be responsible for completing the budget guided by input from the PI and will answer specific questions about which costs are allowable.

For clinical trials, follow the guidance below in addition to that outlined in [Appendix D – Clinical Research Study Budgets](#).

Principal Investigator	Research Mgmt. Services Team	Department/Division	Contracts & Grants Accounting
Provide input to create budget. For projects with animal or patient care expenses, supplies and procedures will be provided by PI or his/her study coordinator to ensure scientific accuracy.	Develop a draft of the project budget with input from the PI, request all cost details, e.g., animal and patient care costs, etc., verify with Dept. as necessary and complete the final budget pages in the application.	Verify budget input as requested; e.g., cost sharing, effort commitments and salary projections. For budgets involving multiple departments, the lead (administering) department will determine budgetary practices in regards to escalation, CCDSS rates, salary, etc.	
Provide personnel, supply, equipment, services, etc. information for budget development.	Confirm/obtain accurate salary/stipend information and appropriate benefit rate to use on proposal with UCSF systems or department when needed.		
	Prepare sponsor budget form pages, paper or online.		
PI may serve as main point of contact for subcontractors if requested. This entails collaborating with RSC to provide budgetary guidelines to subcontractors and review form for consistency with	Contact subcontractors to request sub-awardee application/information. Provide budgetary guidelines to subcontractors and review subcontractors' budget forms for consistency with the instructions and sponsor guidelines.		

the instructions and sponsor guidelines.			
	Review and finalize proposal budget for compliance with sponsor requirements and statutory pay limits.		
Draft/edit budget justification.	Provide appropriate budget justification template, including justification for institutional costs, to PI.	Provide input on budget justification, as needed.	
Approve final budget and justification.			
Review, Approve, Track and Submit Proposal			Back to Table of Contents
<p>Definition: Before a proposal is submitted, it must be reviewed by a RMS Signing Official (SO) to ensure it is accurate, complete, and adheres to sponsor and institutional policy.</p> <p>Service Expectation: RMS is responsible for institutional review and signoff. To review and approve proposals for timely submission, the following guidelines should be met.</p> <ul style="list-style-type: none"> • For federal and non-profit sponsor grant and fellowship proposals, PI should provide the final budget, final administrative documents, and a draft research plan or scope of work in accordance with the established timeline/checklist in order to be completed and submitted to the Signing Officer no later than 5 full business days before the sponsor deadline. The final research plan needs to be submitted to the RSC at least 3 full business days before the sponsor deadline (electronic or hardcopy proposals). After the final budget is submitted for institutional signature, it may not be possible to make changes in the budget. • If approval is required by the department, there should be sufficient time for departmental review and approval before sending the proposal to RMS for institutional review and submission. • For proposals submitted electronically, most sponsors recommend submitting at least 48 hours before deadline. <p>If the above guidelines cannot be met, the RSC will make every effort to submit a proposal but cannot guarantee a sponsor and University compliant proposal or an on-time submission.</p> <p>RSC will confirm proposal receipt by emailing PI and department within 24 hours of proposal submission or by copying PI/post-award as part of submission. If submission was performed directly by PI or department, PI or department will copy RSC as part of submission.</p>			

Principal Investigator	Research Mgmt. Services Team	Department/Division	Contracts & Grants Accounting
		Provide timeline for RMS if department review is requested.	
Provides final science at least 3 full business days before the sponsor deadline per Service Expectations outlined above.		Confirm space and resources available for research.	
Review scientific components and approve proposal package.	Review grant components, approve and submit proposal.	Approve proposal package (Chair/Chair's delegate) if required.	
		Chair does not need to approve fellowships unless the department policy requires a signature, or the Faculty mentor is not a UCSF Faculty member. If the Faculty mentor is not with UCSF, the Chair would be the approver.	
		Chairs do not need to sign non-competing continuation proposals unless the department policy requires a signature.	
	Confirm proposal receipt by emailing the PI and department within 24 hours.		
	Provide project information for pending section of Other Support .		

Just-In-Time (JIT)[Back to Table of Contents](#)

Definition: NIH uses [Just-in-Time \(JIT\)](#) procedures for certain programs and award mechanisms, allowing various elements of an application to be submitted after review when the application is under consideration for funding.

Service Expectation:

- For automated [JIT](#) requests, PI and RSC will work together to upload the information to eRA Commons at the request of the PI and within 60 days prior to the proposed project period start date.
- For [JIT](#) requests made by the [Grants Management Specialist \(GMS\)](#) of the awarding [NIH](#) Institute or Center, PI and RSC will work together to respond to the request by the specified date.

Principal Investigator	Research Mgmt. Services Team	Department/Division	Contracts & Grants Accounting
Receive email from NIH via the eRA Commons or Grants Management Specialist requesting JIT information. Forward email to RSC.	Receive email from PI. Create CACTAS agreement for JIT .		
	Collect required and applicable information/documentation including Other Support for Key Personnel and verify that IRB/IACUC approvals are current. <i>For Other Support roles and responsibilities for all parties, see the Other Support section.</i>	Provide/confirm information as requested including Other Support information for Key Personnel in home department. <i>For Other Support roles and responsibilities for all parties, see the Other Support section.</i>	
Receive notification from COI .	Receive notification from COI .	Receive notification from COI .	
Complete any COI training and disclosures.	Request COI clearance.	Prompt PI to complete any COI training and disclosures if needed.	

	Upload requested documents in eRA Commons, approve and submit packet.		
Other Support (Updated 03/03/2022)			Back to Table of Contents
<p>Information on other active and pending support may be requested (often as part of Just-in-Time procedures for grant applications or in progress reports) to ensure there is no scientific, budgetary, or commitment overlap. “Other Support” is sometimes referred to as “current and pending support” or “active and pending support.”</p> <p>Definitions and requirements provided on each Sponsors website and in Sponsor FOAs and Application Guides Common Sponsors: NIH Other Support NSF Current and Pending Other Support</p> <p>OSR Policy: Within 1 business day of a proposal submission, the OSR Grants Officer or Grants Specialist will email the PI and the PI’s designated post-award analyst a confirmation of the successful receipt of the proposal by the sponsor. This email will also contain a summary of the submitted proposal for the pending section of the other support document. The departments are responsible for archiving and adding pending information to the other support documents.</p>			
Principal Investigator	Research Mgmt. Services Team	Department/Division	Contracts & Grants Accounting
Provide major goals/aims for the pending proposal to OSR Staff to be included on the Other Support email.	Guide PI and department to sponsor-specific policy and template regarding Other Support instructions.	Maintain Other Support Information necessary for the completion of Sponsor forms.	
Senior/Key Personnel will ensure information received from the Grants Officer or Grants Specialist is forwarded to their respective post-award/department staff.	After proposals are submitted by OSR Proposals and Grants Team, the Grants Officer or Grants Specialist will prepare Other Support email to include title, grant number, amount, project period and other grant descriptors in a format that can be cut and pasted. This information will be	Add pending information to Other Support documents based on the Other Support email. Once awarded, update pending information with awarded information.	

	sent to PI, PI's department, and any UCSF senior/key personnel listed on the grant.	Calculate effort and award amount depending on Sponsor policy for each active award listed.	
For JIT, notify OSR staff upon receipt of sponsor request for Other Support Document so that a timeline can be established for submission.	For proposals or Progress Reports, OSR staff will request from PI and Department staff Other Support documentation for PI and relevant Senior Key Personnel in accordance with agreed upon deadlines. OSR staff will provide a link to the required template and instructions specific to the Other Support request.	Will ensure that the most current version of the Other Support document is used at the time of the request.	
Review Other Support content to verify support is accurate and inclusive of all existing active, pending, and in-kind support. In collaboration with the Department Admin identify scientific and/or budgetary, and commitment overlap and provide a detailed statement/explanation.	Check format for compliance based on Sponsor policy. OSR does not guarantee full compliance review if deadlines are not met.	Review Other Support page for scientific, budgetary, and commitment overlap. Work with PI to complete overlap statement for Other Support (including maintaining/updating Veterans Affairs effort) and obtain PI signature. Maintain supporting documentation to reasonably authenticate that the appropriate individual signed the form as required by the sponsor. Acceptable digital signatures are certified adobe signature or DocuSign.	
Provide necessary documentation for foreign appointments to the	Review and confirm documentation for foreign appointments is attached to	Obtain necessary supporting documentation for foreign appointments and include in	

Department to be included with Other Support	Other Support.	Other Support PDF.	
Approve Other Support page and overlap statement.		If applicable, provide OSR staff with supporting documentation of Foreign and Other Support	
Provide signature as required. The signature indicates that the PD/PI and other senior key personnel certify that the statements in the Other Support are true, complete, and accurate to the best of their knowledge. Any false, fictitious, or fraudulent statements or claims may subject the PD/PI to criminal, civil, or administrative penalties.	Combine Other Support from all Senior/Key Personnel and submit to Sponsor Maintain a record of the submitted complete sponsor packet in eProposal.	Provide OSR Staff the final signed pdf 7 business days prior to deadline. For short turnaround request from sponsors, deadline is based on timeline agreed upon by OSR Staff, PI, and Department.	
Award Triage			Back to Table of Contents
Definition: Award Triage is step 1 of 4 in Award Acceptance. The RMS Triage team receives RMS award matters, identifies the required action and assigns matters to the correct RSC and PI.			

Service Expectation: Triage Team will assign matters within 48 hours of receiving. RSC will begin Award Intake within 5 days of receipt, or sooner if prompted by PI.

Principal Investigator	Research Mgmt. Services Team	Department/Division	Contracts & Grants Accounting
<p>If the PI receives an award notice directly from the sponsor without a cc to Office of Sponsored Research, forward to CGawardteam@ucsf.edu or Box 0962 with cc to department representative</p>	<p>If the Research Services Coordinator (RSC) receives an award notice directly from the sponsor, forward to CGawardteam@ucsf.edu or Box 0962</p>	<p>If the department receives an award notice directly from the sponsor without a cc to Office of Sponsored Research, forward to CGawardteam@ucsf.edu or Box 0962</p>	<p>If CGA receives an award notice directly from the sponsor without a cc to Office of Sponsored Research, forward to CGawardteam@ucsf.edu or Box 0962</p>
	<p>RMS Triage Team will:</p> <ul style="list-style-type: none"> • Enter matter into CACTAS • Notify PI/Department award has been received and assign notice of award to RSC • When applicable, reroute request to appropriate office (e.g. GBC, ICD, Development Office, etc.). 		
<p>Notify RMS if award should not be accepted or request further negotiation (e.g. budget cut impacts grant deliverables; proposal submitted to multiple sponsors and PI prefers a different funder, etc.).</p>	<p>RSC to review award notification for budget cuts and notify department of any cuts or other changes from what was proposed.</p>	<p>Review award notification for budget cuts, progress report deadlines, and terms and conditions on award management, including allowable costs and prior approval requirements.</p>	

Award Intake

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Definition: Award Intake is Step 2 of 4 in Award Acceptance (may occur concurrently with [Negotiation](#) for complex awards). RSC reviews award document for accuracy, compliance and problematic terms & conditions.

Service Expectation: Within 5 business days of award assignment, the RSC will contact the PI to initiate compliance, check in about accepting the award and review any budget cuts. RSC will follow up with Department and/or PI within 7 business days.			
Principal Investigator	Research Mgmt. Services Team	Department/Division	Contracts & Grants Accounting
Provide requested materials (ex. compliance documents) as requested by RSC.	Evaluate award for compliance and request any additional information.	Provide requested materials	
Provide current Committee on Human Research (CHR) and Institutional Animal Care & Use Committee (IACUC) approvals and take actions required to be in compliance with award terms. Complete COI documentation and/or training.	Determine gaps in approvals, conflict of interest, budget, or other compliance documents.	Follow up as needed with PI regarding compliance documentation and/or training.	
	Prepare proposal for After-the-Fact awards or update proposal if required, review compliance as required.		
Acknowledge understanding of restrictions or potentially problematic terms as communicated by RSC.	Review award terms and conditions. Communicate any restrictions or potentially problematic terms to PI.		
	Communicate with PI / Department for approvals, or any issues arising from review.	Chair reviews and approves award if time period awarded is 3 or more months different than what was originally proposed, or if budget is significantly reduced.	
		Create and revise Budget Status Report or spending plan.	

	Communicate required changes to Sponsor		
Negotiation		Back to Table of Contents	
<p>Definition: Negotiation is step 3 of 4 in Award Acceptance. This process is relevant for non-NIH sponsors only. If necessary, RSC will request changes to terms & conditions in order to ensure terms are acceptable to UCSF and all parties agree to the content of the document.</p> <p>Service Expectation: Within 5 business days of award assignment, the RSC handling negotiations will initiate contact with the department and PI in order to set expectations about when an update on negotiation will be available. For extended negotiations that have been escalated to UCOP, RSC will check in with Department and PI every other week. RSC will respond to requests for information within 24 hours.</p>			
Principal Investigator	Research Mgmt. Services Team	Department/Division	Contracts & Grants Accounting
Receive notice of award from RMS Triage Team.	RSC will receive notice of award from RMS Triage Team.	Receive notice of award from RMS Triage Team.	
	Serve as the primary point of contact for negotiation and award acceptance		
	If the award contains major problematic terms and conditions, the award negotiation and acceptance may be assigned to another RSC that specializes in complex negotiations.		
Obtain approval for any restricted activities or items noted on the award letter prior to conducting the restricted activity.	Provide or request documents needed to complete an award acceptance.		
Provide input on budget as needed.	Provide revised budget if requested by Sponsor or negotiate with Sponsor if	Provide input on budget as needed.	

	requested by PI.		
PI will be consulted and will need to make decisions on terms and conditions options if Sponsors do not agree to proposed terms.	Escalate non-resolvable issues to Manager or Associate Director and communicate material terms and conditions issues to PI.	Chair/Department will be consulted and will need to make decisions on terms and conditions options if Sponsors do not agree to our proposed terms.	
	Take ownership of sponsor communication including follow-up and communicating developments back to the department and PI.		
	Provide updates and respond to requests for information within 24 hours per the Service Expectation section above.		
Award Set-Up		Back to Table of Contents	
<p>Definition: Award Setup is step 4 of 4 in Award Acceptance. RSC will route to CGA in CACTAS for RAS setup and COA assignment.</p> <p>Service Expectation: RSC will forward a signed copy of the agreement to Sponsor within 2 business days of finalized agreement. RSC to notify CGA within 24 hours of award execution. RSC to verify Fund (Award) Advance compliance with all applicable regulations and forward to CGA via CACTAS within 5 business days of receipt.</p>			
Principal Investigator	Research Mgmt. Services Team	Department/Division	Contracts & Grants Accounting
	Forward signed copy of agreement to Sponsor within 2 business days of finalized agreement.		
	Notify CGA via CACTAS for set-up within 24 hours of completion of negotiation and execution.		Set up account in RAS system

		Review the assigned Posting level DeptID and request CGawardsetup@ucsf.edu to change within 1 business day, if required.	Notify the Department and PI once the award set-up is complete. Provide the Award #, the primary Project ID, and Posting Level Dept ID.
		Request project ID for awards with multiple projects.	Generate additional project IDs linked to the fund.
Supply information and documentation as requested by RSC.	Verify Fund (Award) Advance compliance with all applicable regulations and forward to CGA via CACTAS within 5 business days of receipt.	Complete Fund (Award) Advance form, obtain signatures and submit to RSC. Obtain commitment documentation from Sponsor.	Set up Fund (Award) Advance.
Create and Manage Subcontracts (Out)			Back to Table of Contents
Definition: A subaward (subcontract) is an agreement that uses sponsored research funding to engage an institution or agency outside of UCSF to collaborate on a research project by contributing to its design, implementation, and reporting.			
Note: <i>Formal business process review of the subcontracts (out) process is scheduled for early spring 2015. This section will be updated pending the outcome of this review.</i>			
MANAGE AWARD			
Many of the tasks listed below are initiated by the Post-award Analysts and brought to the PI's attention. The supporting documentation is done by the Post-award Analysts working with the PI. The RSC is the Institutional Official and corresponds with the sponsor.			
Carry Forward			Back to Table of Contents
Definition: Carry forward consists of unobligated funds remaining at the end of any budget period that, with the approval of the sponsor, may be carried forward to another budget period to cover allowable costs of that budget period (whether as an offset or additional authorization). When the sponsor is the NIH, carry-forward approval may be provided by either the GMO or UCSF's expanded authority.			

Principal Investigator	Research Mgmt. Services Team	Department/Division	Contracts & Grants Accounting
Inform RMS of the need to request a carry-forward.	At the request of the PI/Dept, confirm that prior approval is needed for carry-forward and submit request to sponsor.	Inform RMS of the need to request a carry forward.	
	Format budgetary information into Sponsor-specific budget guidelines, conveying any specific level of detail required	Provide RSC with budgetary information required by Sponsor in any workable format and validate carry forward amount.	
Write and confirm scientific and budget justifications specifying why a carry-forward is necessary, if required by Sponsor.	Work with PI to prepare request and budget justification for carry-forward request, if required by sponsor.	Verify information prepared by RSC and PI. Convey any relevant information to RSC.	
Approve carry forward request.	Follow up with sponsor as appropriate until a response is received.		
	If approved, request setup by CGA via CACTAS .		Update award in PeopleSoft.
Re-Budget Award			Back to Table of Contents
<p>Definition: Rebudgeting is the re-appropriation of a portion of the approved budget from one budget category to another and does not involve the increase or decrease of the approved budget total.</p> <ul style="list-style-type: none"> For the NIH, a change of 25% or more in any budget category or a change from equipment to another category of the approved budget of a non-modular grant may require prior approval if the incurrence of costs is associated with or is considered to be a change in the scope. For non-NIH sponsor, RMS will check grant guidelines to determine when prior approval is required for re-budgeting. 			

Principal Investigator	Research Mgmt. Services Team	Department/Division	Contracts & Grants Accounting
Identify need to re-budget award and inform Post Award Analyst.	Confirm whether sponsor approval is required for re-budgeting and determine which documents Sponsor requires.	Notify PI and RSC if re-budgeting is required.	
Provide a scientific justification for the request.			
	Format budgetary information into Sponsor-specific budget guidelines, conveying re-budgeting amount.	Provide RSC with budgetary information required by Sponsor in any workable format and validate re-budgeting amount.	
Provide input on revised budget justification if required by Sponsor	Complete sponsor budget form and budget justification if necessary.		
	Send request to Sponsor if required by Sponsor or award terms.		
	If approved, request Admin Modification processing from CGA via CACTAS .		Update award in PeopleSoft.
Change in Personnel on Award			Back to Table of Contents
<p>Definition: Key Personnel are those considered to be of primary importance to the successful conduct of a research project.</p> <ul style="list-style-type: none"> For the NIH, key personnel are named in the NOA. See the NIH definition of key personnel for additional information. For other sponsors, RSC will review and determine if prior approval is required. 			
Principal Investigator	Research Mgmt. Services Team	Department/Division	Contracts & Grants Accounting
Identify change in key personnel on award and notify RSC of change.	Request change in personnel from Sponsor.	Notify RSC of change in personnel if alerted by payroll trigger.	
Provide input on Prior	Confirm whether sponsor	Work with PI to draft prior	

Approval request if required by Sponsor.	approval is required for the given personnel change.	approval request if required by Sponsor, outlining the change in personnel.	
	Format budgetary information into Sponsor-specific budget guidelines, conveying any specific level of detail required, if required by Sponsor.	Provide revised budgetary information as requested by RSC via BSR, informal email or Sponsor-specific form/format, if required by Sponsor.	
	Send request to sponsor for change in key personnel and follow-up every 2 weeks until a response is received.		
	If approved, request Admin Modification processing from CGA via CACTAS .		Update award in PeopleSoft.

No Cost Extension (NCE)

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Definition: Request for additional time (without additional funds), extending the last year or budget period of an existing award. Unless the sponsor has delegated UCSF the authority to extend an existing award, UCSF must seek permission from the sponsor. RMS has the authority to approve the 1st time NCE Award under expanded authorities in the eRA Commons. All other awards typically require sponsor approval.

Principal Investigator	Research Mgmt. Services Team	Department/Division	Contracts & Grants Accounting
		Notify PI of award account closure.	
Notify RSC that No Cost Extension (NCE) is needed, and length, justification and estimated balance.		Notify RSC that No Cost Extension (NCE) is needed, and length and estimated balance, broken out into direct and indirect costs.	
		Inform PI of need for NCE letter.	
Draft scientific justification for why a NCE is required.	For NIH awards, provide PI with NIH templates for scientific justification.		

Provide compliance information and documentation as requested by RSC.	Check compliance		
	If this is a 1 st NIH NCE, enter information into eRA Commons and submit. Forward the confirmation email to CGA for setup via CACTAS.		Update award in PeopleSoft
	For non-1 st time NIH NCE complete the following steps: Prepare NCE request (if required), incorporating the information received from PI and/or department.	Work with PI to confirm length of extension.	
	Complete NCE request and route for approval.		
	Countersign request.		
	Submit request to sponsor.		
	Follow up with sponsor as appropriate until we receive a response and notify PI of the outcome.		
	Forward finalized NCE to CGA for setup via CACTAS .		Update award in PeopleSoft.

Transfer or Relinquish Award (Outside of UCSF)[Back to Table of Contents](#)

Definition: If the PI transfers to a different institution, UCSF must relinquish interests and rights to the project if project will not remain at UCSF. For NIH awards, the original grantee is required to submit a relinquishing statement to [NIH](#) to proceed with the Change of Institution request. Receipt of a relinquishing statement by [NIH](#) does not guarantee approval to transfer an application for the continued funding of a project. Prior Approval is required for the transfer of institution before the expiration of the approved project period.

Service Expectation: Department will notify RSC of the request to transfer or relinquish award and related subawards at least 90 days prior.

Principal Investigator	Research Mgmt. Services Team	Department/Division	Contracts & Grants Accounting
Notify RSC of intent to transfer or relinquish award.	Notify department and/or PI if transfer or relinquishing requested by other parties.	Notify RSC of the request to transfer or relinquish award and related subawards at least 90 days prior.	
	Verify the termination date is sufficient to relinquish related subawards. If not, inform Department that the transfer may need to be adjusted to meet the terms of the subcontract.		
	Obtain Prior Approval from Sponsor, if required.		
Disclose any inventions.	Verify with Office of Technology Transfer and submit final invention statement.		
Complete narrative requirements as necessary.			
		Work with CGA to closeout award and confirm unobligated balance and list of equipment transferring with the Project.	Identify and communicate balance. For NIH awards, the balance must reflect current year total direct costs, <u>not</u> the cumulative balance. Review list of equipment transferring with the Project.

		Provide PI and RSC an estimated funds balance to relinquish, broken out into direct and indirect costs. Provide list of equipment that is transferring with the project.	
	Prepare relinquishing statement or sponsor-specific form.		
Sign relinquishing statement if required.	For non-NIH sponsors, submit relinquishing statement. For NIH, CGA submits using eRA Commons.	Sign relinquishing statement if required. Chair approval required (particularly applicable for fellowships).	Sign relinquishing statement. When sponsor is NIH, submit statement using eRA Commons.
			Issue check when applicable.
If follow-up requests from sponsor or transfer institution come directly to PI, direct inquiries to RSC .	Serve as central point of contact for sponsor and transfer institution.	If follow-up requests from sponsor or transfer institution come directly to department, direct inquiries to RSC .	If follow-up requests from sponsor or transfer institution come directly to CGA , direct inquiries to RSC .
	Work with institution to which award will transferred to provide documentation, as needed, for their request to the sponsor.		Send Final Financial Report to complete the transfer.
Transfer Awards In		Back to Table of Contents	
Definition: An existing award that will be new to UCSF, due to a new faculty member transferring from another institution.			
Service Expectation: Department will notify RSC as soon as possible, preferably 6 months prior to arrival date at UCSF. The RSC should expect to work closely with the department and PI in the time between notice and arrival.			
Principal Investigator	Research Mgmt. Services Team	Department/Division	Contracts & Grants Accounting
		Initiate process as soon as notified of an incoming award or faculty member. Introduce incoming PI to their RSC .	

	Follow-up with other institution to ensure relinquishing statement submitted. Request copy of form, inclusive of award balance and share with PI and Department of submission.		
Provide information as requested by RSC and/or department	RSC may request the original application from PI's former institution in order to initiate change of grantee institution on applications and revise for budget/proposal at UCSF.	Provide input on budget as needed.	
Provide compliance information and documentation as requested by RSC.	RSC reviews compliance.		
	Orient PI to UCSF pre-award structure and process.	Provide new faculty employee ID and email address to RSC.	
	Follow Award Intake and Setup procedure.		
			Set up new award.
Progress Reports			Back to Table of Contents
<p>Definition: Progress reports are sponsor required reports providing specific information about the activities and accomplishments of a PI during a budget/project period of a grant. Depending on the sponsor, progress reports may contain only narrative information or only financial information, or both, and may be required at varying intervals (e.g., annually, bi-annually, etc.).</p> <p>Service Expectation: The PI or Post Award Analyst on the behalf of the PI will notify the RSC of upcoming progress reports:</p> <ul style="list-style-type: none"> • At least 30 calendar days prior to deadline for standard grants. • At least 60 calendar days prior to deadline for large grants such as proposals with subcontracts. • 4-6 months prior to deadline for Program Project Grants (PPG), complex Center, institutional training grants and Ugrants. 			

Principal Investigator	Research Mgmt. Services Team	Department/Division	Contracts & Grants Accounting
		Notify RSC of upcoming scientific and other progress reports due dates on behalf of PI in accordance with the Service Expectations outlined above.	
Notify RSC if prior approval required.	Confirm whether prior approvals are needed (e.g. due to change in effort or addition of an international subcontractor).	Notify RSC if prior approval required.	
Responsible for scientific portions of the progress report.	For NIH continuations (RPPR), RSC is responsible for updating institution information and completing administrative sections: verifying regulatory requirements with PI, budget and new personnel.		
	For non-NIH awards, review the award terms and provide PI and Dept with a timeline and list of responsibilities to complete the progress report.	Provide and confirm Other Support documentation. Utilize the pending support provided by the RSC at time of submission.	
Responsible for reporting reference publications and ensuring publications have PubMed Central Identifiers (PMCID) if required by sponsor.			
		For NIH awards, confirm whether the unobligated balance comprises 25% or more of the total direct costs.	

	Work with PI and department to develop budget as required	Confirm whether anything needs to be re-budgeted.	
PI may serve as main point of contact for personnel outside of the department or UCSF if requested. This entails collaborating with RSC to complete all personnel effort and/or other Sponsor effort reporting.	For personnel outside of the department or UCSF, RSC will gather personnel effort data as needed to fulfill reporting requirements.	For personnel within the department, Department staff will provide information for all personnel effort and/or all other effort reporting required by University or Sponsor.	
	Receive information from Department via downloaded Distribution of Payroll Expense or as informal email. If necessary, format information into Sponsor-specific forms/reports, conveying any specific level of detail required.	Provide effort information via Distribution of Payroll Expense, informal email, or Sponsor-specific form/report.	
Award Closeouts			Back to Table of Contents
<p>Definition: The award notice lists end date and reports required to closeout an award. This may include final scientific and financial reports, as well as a final invention statement for NIH funded projects.</p> <p>For additional detail on CGA's role in Award Closeouts, see the Controller's Office website.</p>			
Principal Investigator	Research Mgmt. Services Team	Department/Division	Contracts & Grants Accounting
Complete final progress report.	Upon notification from the Dept, work with PI to complete the final progress report. Provide PI and Dept with timelines and responsibilities to complete the report in the format required by the sponsor.	Remind PI and RMS to complete final progress report.	

Disclose any inventions.	Verify with Office of Technology Transfer and submit final invention statement		
		Work with CGA on final financial report.	Work with Department on final financial report.
		Close liens, transfer payroll to new sources, and close/update speedcharts/blanket Purchase Orders.	
	Assist PI to upload final report.		

* [GBC](#) and [ICD](#) also partner with the Post-award analyst to complete and request sponsor correspondences, award advance, subaward requests, etc. for proposals submitted through these respective units.

APPENDIX A: Responsibility Matrix

Instructions to Locate the Sponsor Type in CACTAS:

Log in to CACTAS, Go to Accounts (Sponsor information) section and look for SP Type (Sponsor Type). Look up Sponsor Type on the chart above to identify the office that is responsible for the award.

SPONSOR TYPE (<i>SP Type</i>) If Flow-Through: Use Prime Funding Source		EXAMPLE	AGREEMENT TYPE	PURPOSE TYPE	Responsible Office
01	Federal Government		Grant / Fellowship / Cooperative Agreement / Subcontract to SBIR/STTR	Research / Public Service / Clinical Trial / Instruction / Equipment / Other Sponsored Activity	RMS
01	Federal Government		Contract / IPA / Unfunded Research Collaboration	Research / Public Service / Clinical Trial / Instruction / Equipment / Other Sponsored Activity	GBC
02	State Government		Contract / Cooperative Agreement / Grant <i>except CIRM</i>	Research / Public Service / Clinical Trial / Instruction / Equipment / Other Sponsored Activity	GBC
02	State Government		<i>CIRM only:</i> Grant / Contract / Cooperative Agreement / Fellowship - CIRM	Research / Public Service / Clinical Trial / Instruction / Equipment / Other Sponsored Activity	RMS
03	Other Government Agency	International, World Health Organization (WHO), etc.	Contract / Grant	Research / Public Service / Clinical Trial / Other Sponsored Activity	GBC
03	Other Government Agency	International, World Health Organization (WHO), etc.	Fellowship	Instruction	RMS
04	Business/Profit Entity		Contract / Grant / Fellowship / Unfunded Research Collaboration, MTA, Data Use Agreement	Research / Public Service / Clinical Trial / Other Sponsored Activity	ICD
05	Non-Profit, Business Related	PCORI, International AIDS Society, etc.	Grant / Contract / Cooperative Agreement / Fellowship	Research / Public Service / Clinical Trial / Instruction / Equipment / Other Sponsored Activity	RMS
06	Foundation/Charitable Trust	Bill and Melinda Gates Foundation	Grant / Contract / Cooperative Agreement / Fellowship	Research / Public Service / Clinical Trial / Instruction / Equipment / Other Sponsored Activity	RMS
07	Other Charitable Organization	American Cancer Society	Grant / Contract / Cooperative Agreement / Fellowship	Research / Public Service / Clinical Trial / Instruction / Other Sponsored Activity	RMS
08	Higher Education	Stanford University	Grant / Contract / Cooperative Agreement / Fellowship	Research / Public Service / Clinical Trial / Instruction / Equipment / Other Sponsored Activity	RMS
13	Major UC DOE Laboratories		Incoming subcontracts only	Research / Public Service / Clinical Trial / Instruction / Equipment / Other Sponsored Activity	RMS
14	UC Campuses and Programs	UC Special Programs	Grant / Cooperative Agreement / Fellowship	Research / Public Service / Clinical Trial / Instruction / Equipment / Other Sponsored Activity	RMS

SPONSOR TYPE (SP Type) If Flow-Through: Use Prime Funding Source		EXAMPLE	AGREEMENT TYPE	PURPOSE TYPE	Responsible Office
99	Unassigned		SPONSOR HAS NOT BEEN ASSIGNED A CATEGORY. Please contact Data Managers via OSRDataTeam@ucsf.edu		TBD
N/A	All		Contract	Professional Service Agreements - Clinical	GBC
N/A	All Sponsor Types (Mainly hospitals and clinics)		Contract	Professional Service Agreements - inc. Clinical, Clinical Management Services, Medical Director Agreements	GBC
N/A	All Sponsor Types (Mainly, schools, hospitals and clinics)		Training Affiliation Agreements	Education Enterprise	GBC
N/A	All Sponsor Types		Service Contracts / Memorandum of Understanding	External Recharge, Core Lab Service, Other Sales & Service, Educational Enterprise	GBC
N/A	All Sponsor Types		Material Transfer & Data Use	Research / Public Service / Clinical Trial / Instruction / Equipment / Other Sponsored Activity	ICD*
N/A	All Sponsor Types		Business Associate Agreement	Research / Public Service / Clinical Trial / Instruction / Other Sponsored Activity	Depending on sponsor type **
N/A			Confidentiality Disclosure Agreements	Research / Public Service / Clinical Trial / Other Sponsored Activity	Depending on sponsor type ***
N/A	All Sponsor Types (except industry)		Unfunded Research Collaborations/Collaborative Research Agreements that pay incremental expenses to reimburse incidental expenses	Research /Public Service / Clinical Trial / Other Sponsored Activity	GBC

*RMS/GBC, respectively, will be responsible if the MTA/DUA is with the same party that we have a grant or contract with, and is for that grant or contract.

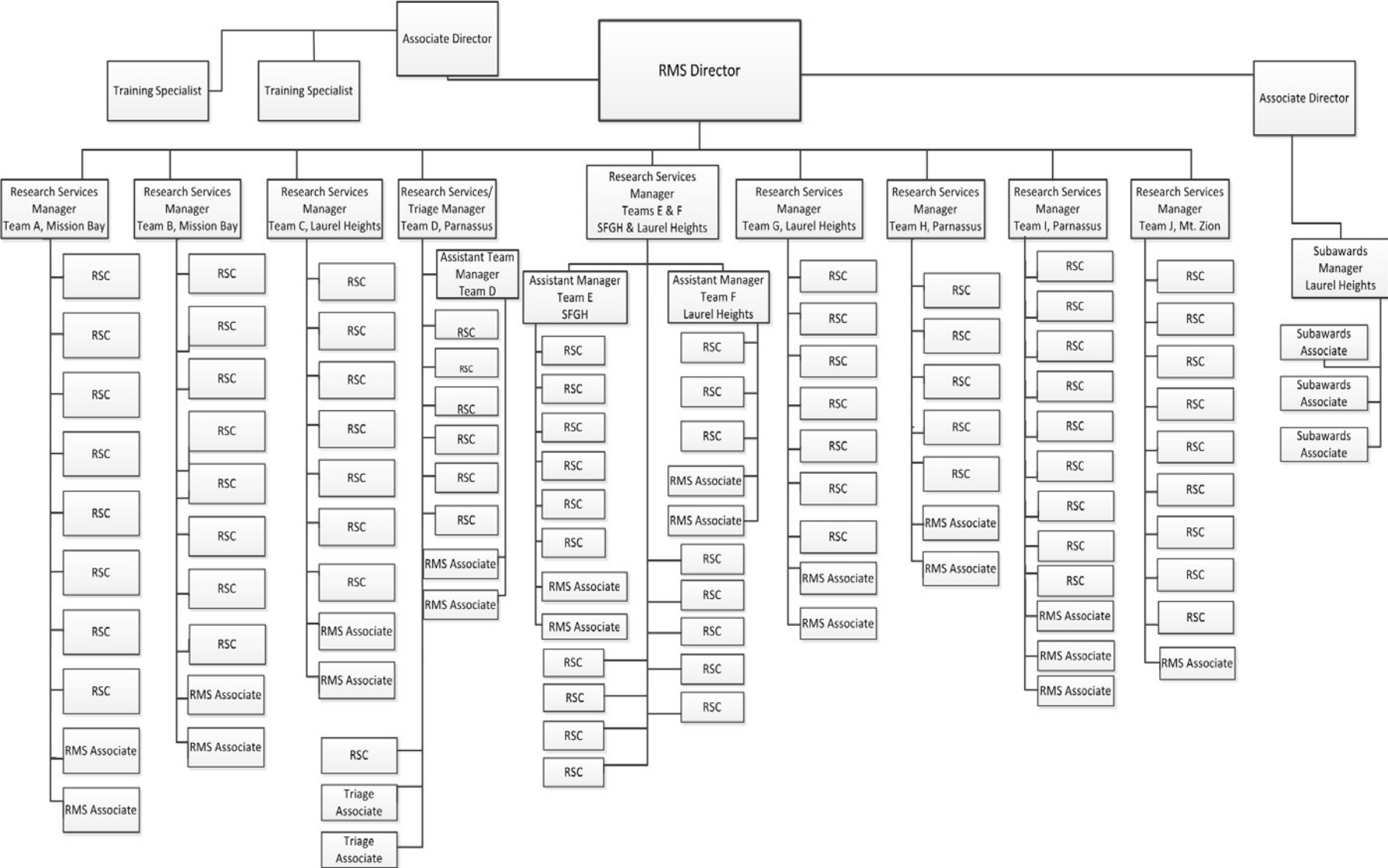
DUAs that are through dbGAP are handled by RMS

**Usually Procurement, GBC or ICD responsibility.

***If RMS is responsible, please consult GBC as a resource.

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APPENDIX B: Research Management Services Organization Chart



APPENDIX C: Department Access to Electronic Systems for Proposal and Award Reporting

- eProposal is accessed via [MyAccess](#). It is the database of record for all proposals that are prepared, submitted, and/or withdrawn by RMS.
 - UCSF faculty require no additional configuration, OSR/ITA staff should contact their Team Manager who will contact eProposal.Support@ucsf.edu and request setup. Post Award Analysts/other department administrator access should contact their Department Access Administrator and ask them to contact eproposal.support@ucsf.edu
 - eProposal help website: <http://iris-help.ucsf.edu/>
 - For access to CACTAS, [submit a Service Now ticket](#) including Dept ID. CACTAS is used to track award actions and sponsor correspondence throughout the entire performance period, beginning with the initial award set-up and ending with the close-out.
 - [CACTAS](#) is accessed via [MyAccess](#).
 - Public reports include:
 - [Pending Awards](#)
 - Sponsor correspondences, JITs, fund advances, etc.
- Awards sent to CGA Queue for setup:
- [Federal Award Set-Up Queue](#)
 - [Non-Federal Award Set-Up Queue](#)
 - [Completed for completed matters](#)
- For access to RAS, request access from your Department Access Administrator. Peoplesoft include Proposal Express, which reflects proposal data entered into eProposal, and RAS, which reflects award data related to the financial set-up of the award.

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APPENDIX D: Clinical Research Study Budgets

Effective 6/1/2013, a formal Coverage Analysis (CA) must be completed in the OnCore system (Clinical Trial Management System) on every clinical research study that includes a clinical procedure or service performed on human subjects (e.g., blood draw, x-ray, biopsy, etc.) before any subjects are enrolled and before an award is released.

For studies proposing to bill insurance, the best practice is to complete CA consultation prior to proposal submission. The creation of a CA can run in parallel with pre-award activities and does not prevent the submission of a grant application. However, the award will be delayed until a coverage analysis can be put into place prior to accruing subjects. This requirement is applicable to every clinical study/clinical trial regardless of the funding source (*industry, non-industry, and gift funded clinical studies*).

UCSF currently has three units that are qualified to perform a CA. For questions regarding the Coverage Analysis process, please contact:

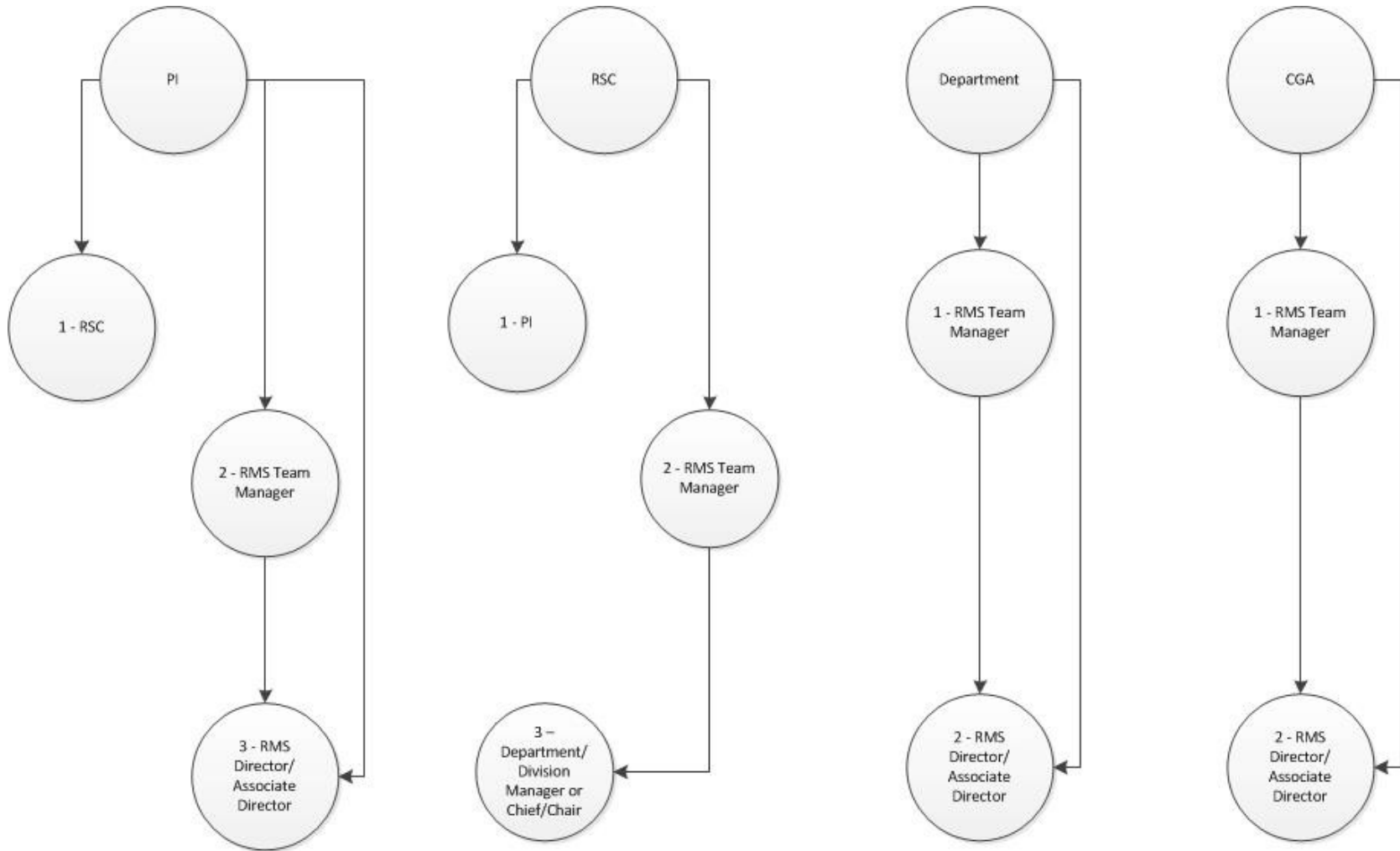
1. Clinical Trials Business Support Center (CTBSC)
 - clinicaltrials@ucsf.edu for proper logging and routing of your inquiry
2. Cancer Center Investigational Trial Resource (ITR)
 - Greg Nalbandian, ITR Coverage Analyst, at nalbandiang@cc.ucsf.edu
 - i. For non-industry funded, Therapeutic Cancer-related clinical trials (except Neuro-Oncology) and correlative studies
3. Division of Cardiology
 - Carol Maguire, Administrative Director of Clinical Research, at Carol.Maguire@ucsf.edu

For industry clinical studies, CTBSC will develop the budget and perform the CA. All non-industry clinical studies except for the Division of Cardiology and ITR studies, CTBSC will provide the patient care portion of budgets and RMS or GBC will develop the rest (personnel, supplies, GAEL, CCDSS, data networking recharge, indirect costs, etc.). CTBSC will perform the CA.

Projects submitted to funding agencies without a preliminary coverage analysis run the risk of having errors related to medical billing. A complex, therapeutic trial protocol can take a month or more (which includes resolving data queries) to set up in OnCore and complete a thorough coverage analysis, so departments should plan accordingly. Less complex studies take less time. The department should contact the appropriate medical billing analysis group as soon as they know they will bill insurance.

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Appendix E: Escalation Pathways for PIs, RSCs, Departments and CGA



**Note that CGA's escalation path mirrors the path outlined here. RMS and Departments are to first consult with the team manager and then the CGA manager if issues still exist.*

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Appendix F: Glossary

Administrative Modifications

Administrative Modifications are changes to an existing award that do not affect the approved budget total or the approved performance period of the award. The changes may be initiated by the Principal Investigator, the department or the Sponsor. Administrative modifications need to be updated in RAS.

BSR: Budget Status Reporting Tool

The Budget Status Reporting Tool is used by Department of Medicine post-award for submission of final reports to PIs.

CACTAS: [Centralized Agreement, Contact Tracking and Approval System](#)

The system used to track agreements, notice of awards, and correspondence matters between a Sponsor and UCSF. The system is used by RMS, GBC, and ITA.

CCDSS: Computing and Communication Device Support Services

The Computing and Communication Device Support Service (also known as “Desktop Support”) provides data and voice network services for all of UCSF and includes software installation/updates, internet security, hardware setup/configuration, and backup/maintenance of central servers. It is split into two levels of service: Basic and Premium.

CGA: Contracts & Grants Accounting

Division of the Controller’s Office responsible for post-award management and financial oversight of sponsored research through award setup, billing, collections, financial reporting, closeout, and financial compliance. Formerly known as Extramural Funds Accounting (EMF).

CHR: Committee on Human Research

The Committee on Human Research (CHR) is UCSF's [Institutional Review Board \(IRB\)](#). An Institutional Review Board is a committee, operating under Federal regulations, State laws, and institutional policy, that reviews research involving human subjects to ensure the ethical and equitable treatment of those subjects

COA: Chart of Accounts

UCSF's chart of accounts (COA) is the coding structure that defines operations in financial terms. The COA serves as the building blocks and foundation of the general ledger. These "blocks", called chartfields, work together in a chartstring to facilitate accounting, reporting and budgeting. The COA replaced the DPA/Fund in February 2014.

COI: Conflict of Interest

At UCSF, the Chancellor’s Conflict of Interest Advisory Committee reviews situations where a financial interest and possible conflict of interest are disclosed. The term conflict of interest in research refers to situations in which financial or other personal considerations may compromise, or have the appearance of compromising, an investigator’s professional judgment in conducting or reporting research.

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CTBSC: Clinical Trials Business Support Center

UCSF created the Clinical Trials Business Support Center (CTBSC) to strengthen and standardize compliance documentation in the areas of budgeting and medical service billing for clinical trials. The CTBSC helps Principal Investigators establish trials in OnCore, open/modify Medical Center APeX billing accounts, and properly document medical billing plans for all clinical trials not managed by the Division of Cardiology or the Investigational Trials Resource (ITR). This plan is developed prior to contract execution and ensures compliance with federal regulations.

F&A: Facilities & Administrative Costs

Costs that are incurred by a grantee for common or joint objectives and cannot be identified specifically with a particular project or program. These costs are also known as "indirect costs."

FOA: Funding Opportunity Announcement

A publicly available document by which a Federal Agency makes known its intentions to award discretionary grants or cooperative agreements, usually as a result of competition for funds.

GBC: Government and Business Contracts

Office within the Office of Sponsored Research that provides negotiation, acceptance and award setup for City/County, State and Federal contracts, business contracts, and incoming subcontracts where the prime source of funding is a contract.

GMO: Grants Management Officer (NIH)

The GMO signs the Notice of Award (NoA) and is the NIH official who is responsible for the business management and other non-programmatic aspects of the award. GMOs ensure that the NIH and grantee staffs fulfill requirements of laws, regulations, and administrative policies. When necessary, issues may be escalated from the GMS to the GMO.

GMS: Grants Management Specialist (NIH)

The GMS works with the Grants Management Officer (GMO) on the day-to-day management of the grant. The name and contact information of the GMS assigned to a particular grant appears on the NoA. UCSF sends prior request to the GMS for review and approval.

IACUC: Institutional Animal Care & Use Committee

The PHS Policy on Humane Care and Use of Laboratory Animals incorporates the U.S. Government Principles for the Utilization and Care of Vertebrate Animals used in testing, research, and training, and requires the grantee to maintain an animal care and use program based on the Guide for the Care and Use of Laboratory Animals. An Institutional Animal Care and Use Committee (IACUC) appointed by the Chief Executive Officer or designee, is federally mandated to oversee the institution's animal program, facilities, and procedures (Public Law 99-158, Sec. 495). IACUC review and approval is required for all PHS supported activities involving live vertebrate animals prior to funding.

ICD: Industry Contracts Division

Division of the Office of Research responsible for negotiating and signing all industry research contracts between UCSF and Industry Sponsors. This includes clinical trial agreements, material transfers agreements (incoming materials of all types and outgoing clinical specimen or data), sponsored research agreements, grants (including UC Discovery), and confidentiality agreements.

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IRB: Institutional Review Board

Referred to as the Committee on Human Research (CHR) at UCSF, an Institutional Review Board is a committee, operating under Federal regulations, State laws, and institutional policy, that reviews research involving human subjects to ensure the ethical and equitable treatment of those subjects. At present the CHR is comprised of four panels that share equal authority and responsibility.

ITR: Investigational Trials Resource

The Investigational Trials Resource (ITR) is an organizational unit within the Helen Diller Family Comprehensive Cancer Center (HDFCCC) which was launched in 2007 with the goal of centralizing and streamlining the HDFCCC's clinical research infrastructure and increasing patient accrual. The ITR is responsible for the entire clinical research enterprise within the HDFCCC, including oversight of the Clinical Research Support Office, Data and Safety Monitoring, and Protocol Review and Monitoring System, as well as providing interface for interactions of the Clinical Research enterprise with the Biostatistics Core and Translational Informatics Core.

JIT: Just-In-Time (NIH application)

NIH uses Just-in-Time procedures for certain programs and award mechanisms (each FOA will include specific guidance on the use). These procedures allow certain elements of an application to be submitted later in the application process, after review when the application is under consideration for funding. The standard application elements include other support information for senior/key personnel; certification of IRB approval of the project's proposed use of human subjects; verification of IACUC approval of the project's proposed use of live vertebrate animals; and evidence of compliance with the education in the protection of human research participants requirement. (NIHGPS 2011, Part I, Ch 2.5)

LSP: Limited Submission Program

The Limited Submission Program is responsible for notifying the campus of limited submission opportunities that either limit the number of applications UCSF may put forth to a given sponsor or require internal coordination. The LSP also coordinates the internal review and selection process, notifying all applicants of outcomes.

NCE: No-Cost Extension

An extension of time to a project period and/or budget period to complete the work of the grant under that period, without additional funding or competition. For NIH, see sections 8.1.1.3 and 8.1.2.1 of the NIH Grants Policy Statement for additional information.

NIH: National Institutes of Health

A Federal agency whose mission is to improve the health of the people of the United States. NIH is a part of the Public Health Service, which is part of the U.S. Department of Health and Human Services.

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NoA: Notice of Award

The official, legally binding document, signed (or the electronic equivalent of signature) by a Grants Management Officer (GMO) that:

1. Notifies the recipient of the award of a federal grant;
2. Contains or references all the terms and conditions of the grant and Federal funding limits and obligations; and,
3. Provides the documentary basis for recording the obligation of Federal funds in the NIH accounting system.

OSR: Office of Sponsored Research

The Office of Sponsored Research comprises RMS and GBC. It provides research administration, compliance and education support to university researchers, staff, and trainees, and works closely with sponsors to facilitate productive relationships. It acts on behalf of UCSF and the UC Regents with government, non-profit sponsors on all matters pertaining to funding awards and the disposition of awards.

PD/PI: Program Director/Principal Investigator

The individual(s) designated by the applicant organization to have the appropriate level of authority and responsibility to direct the project or program to be supported by the award.

PPG: Program Project Grants

Program project/center grants are large, multi-project efforts that generally include a diverse array of research activities. NIH Institutes and Centers issue funding opportunity announcements to indicate their interest in funding this type of program.

PMCID: PubMed Central Identifier

The PubMed Central reference number (PMCID) is a unique number assigned to a work that is posted to [PubMed Central](#) (PMC), a free digital archive of biomedical and life sciences journal literature at the U.S. National Institutes of Health (NIH) developed and managed by NIH's National Center for Biotechnology Information (NCBI) in the National Library of Medicine (NLM). All works applicable under the [NIH Public Access Policy](#) are posted to *PubMed Central*. PMCIDs are not the same as a PMID.

PO: Program Officer (NIH)

Program officers, also called program officials and program administrators, are staff scientists who administer grant portfolios in the NIH's extramural program divisions: [Division of AIDS](#), [Division of Microbiology and Infectious Diseases](#), and [Division of Allergy, Immunology, and Transplantation](#).

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Pivot Funding Opportunity Database

Pivot is one of the most comprehensive searchable funding opportunities databases available, with approximately 40,000 opportunities that are private, federal and international in nature. Pivot allows researchers to search funding opportunities, save results, set automated funding alerts, and identify potential collaborators. Pivot is free to all UCSF faculty and staff. To create an account, go to the Pivot registration page and follow instructions. Monthly interactive user trainings are available through the Research Development Office (RDO).

Prior Approval

Written approval from the designated sponsor representative required for specified post award changes in the approved project or budget. For the NIH, such approval must be obtained from the Grants Management Officer (GMO) before undertaking the proposed activity or spending NIH funds. See section 8.1.2 Prior-Approval Requirements in the NIHGPS. For non-NIH sponsors, RMS will review the sponsor's grant guidelines and advise when prior approval is required and what the mechanism is for obtaining sponsor approval.

RAS: Research Administration System

An integrated part of the UCSF PeopleSoft financial system to help manage Research Administration activities. An integration of pre-award and post-award processing by Departments, Office of Sponsored Research (OSR), and Contracts & Grants Accounting (CGA - formerly EMF).

Relinquishing Statement

An official statement relinquishing interests and rights in a Public Health Service Research Grant (PHS 3734). The original grantee is required to submit a relinquishing statement to NIH to proceed with the Change of Institution request. Receipt of a relinquishing statement by NIH does not guarantee approval to transfer an application for the continued funding of a project.

RMS: Research Management Services

Research Management Services (RMS) provides expert administrative support to all researchers, from pre-award through the award process on all grant mechanisms. RMS teams collaborate with the Principal Investigator (PI), his/her department and our sponsors so that PIs may be successful in their research grants.

RMS Associates

RMS Associates provide support to their team of 6-7 RSCs and 1 Team Manager. The RMS Associate is responsible for gathering and following-up on proposal and award materials with PIs, project collaborators and subcontractors as assigned, beginning the application preparation, and compiling final documents (includes proper formatting, page limits, updated forms, and ensuring that all components are in order).

RMS Team Managers

RMS Team Managers provide key operational leadership to their team of Research Services Coordinators (RSCs) and RMS Associates. Reporting to the RMS Director, Team Managers' responsibilities include supervision, workload and assignment management and oversight, and policy and process interpretation.

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RSC: Research Services Coordinator

Each PI will be assigned a Research Services Coordinator (RSC). This RSC will be the primary point of contact for the PI for RMS services. For RMS proposals and awards, RSCs are responsible for directing and managing the proposal process to ensure timely, compliant and accurate submissions, including budget development, interpretation of sponsor requirements, institutional review and signature (upon certification), and backup for each other as team members.

Senior/Key Personnel (NIH)

PD/PI(s) are always considered senior/key personnel and are always named in the Notice of Award (NoA). NIH program officials use discretion in identifying in the NoA senior/key personnel other than the PD/PI(s), and may identify individuals that are considered critical to the project, i.e., their absence from the project would have a significant impact on the approved scope of the project. The prior approval requirement for changes in status of personnel applies only to those senior/key personnel named in the NoA. Limiting the number of individuals that are named in the NoA does not diminish the scientific contribution to the project of the senior/key personnel not named in the NoA; it does reduce the number of individuals subject to the prior approval requirement.

SBIR: [Small Business Innovation Research](#)

The Small Business Innovation Research (SBIR) program is a highly competitive program that encourages domestic small businesses to engage in Federal Research/Research and Development (R/R&D) that has the potential for commercialization. Through a competitive awards-based program, SBIR enables small businesses to explore their technological potential and provides the incentive to profit from its commercialization.

AOR/SO: Authorized Organizational Representative/Signing Official

A Signing Official (SO) has institutional authority to legally bind the institution in grants administration matters. The individual fulfilling this role may have any number of titles in the grantee organization. The label, "Signing Official," is used in conjunction with the NIH eRA Commons. The SO can register the institution, and create and modify the institutional profile and user accounts. The SO also can view all grants within the institution, including status and award information. An SO can create additional SO accounts as well as accounts with any other role or combination of roles.

STTR: [Small Business Technology Transfer](#)

Small Business Technology Transfer (STTR) is another program that expands funding opportunities in the federal innovation research and development (R&D) arena. Central to the program is expansion of the public/private sector partnership to include the joint venture opportunities for small businesses and nonprofit research institutions. The unique feature of the STTR program is the requirement for the small business to formally collaborate with a research institution in Phase I and Phase II.

VA MOU: Veterans Affairs Memorandum of Understanding

Document prepared in compliance with NIH guidelines for the Department of Veterans Affairs (DVA) employees with joint University of California, San Francisco (UCSF) appointments applying for NIH support through UCSF. The MOU establishes the general distribution of effort for the faculty member named, who holds a joint appointment.

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Appendix G: Clarifications to the SPA

Date	Change	Page
8/19/15	Clarified process for Transfer or Relinquish Award (Outside of UCSF) : <ul style="list-style-type: none"> • Added the sentence “If not, inform Department that the transfer may need to be adjusted to meet the terms of the subcontract” under RMS responsibilities. • Re-ordered “Obtain sponsor approval” and “Serve as central point of contact for sponsor and transfer institution” under RMS in order to reflect the process flow. • Added “...or sponsor-specific form” after “Prepare relinquishing statement” under Department responsibilities. • Combined “Sign relinquishing statement if required” and “Chair approval required (particularly applicable for fellowships)” under Department responsibilities. • Added “Review list of equipment transferring with the Project” under CGA responsibilities. 	25
3/3/22	Other Support section Updated	15-17