

IHPS Contracts and Grants Roles and Responsibilities

date: 7/6/2006

Area of Work	PI and PI Staff	Analyst
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I) Proposal Preparation

A) PI identifies RFA, notes for the online checklist should be developed at initial meeting by Analyst	1) RFA or Funder Scope/Criteria - Provides copy or - Provides website address.	i) RFA or Funder Scope/Criteria - Reviews budget guidelines and indirect policy. - Secures indirect policy in writing.
	2) Basic Set-Up Identifies project, timeline, overall project description, whether CHR applicable.	ii) Sets up pending Fund record in accounts database w/DPA=777777 and Fund number = "P" + PI initials + next # of pending proposal.
	3) Reviews Online Checklist (which is being developed) and helps maintain by entering item submitted dates.	iii) Sets up/maintains record on the Online Checklist for the new proposal: includes list of items needed, deadlines, and item received dates.
B) Director's Pre-review	Identifies & alerts MSO/Director re: issues that may need special consideration or be problematic (e.g., space impact, political sensitivity, at-risk populations, etc.).	Helps PI identify any special issues.
C) Budget Development Should begin at initial meeting.	1) Basic Budget Identifies project period, FTE of participants, Subcontractors, major non-personnel amounts.	i) Basic Budget Develops rough draft budget Secures salary rates and potential increases for non-IHPS personnel.
	2) Non-personnel expenses Costs out non-personnel items other than recharges.	ii) Non-personnel expenses Revises budget as necessary.
	3) Subcontract(s) Identifies sub's PI and/or adm contact.	iii) Subcontract(s) Identifies and secures needed documents from sub PI or admin

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C) Proposal Packaging Budget and all forms should be prepared early and text added/ revised at end.	1) Prepares narrative. Responsible for content, adherence to page limits, conformity with RFA requirements. 2) Gives to Analyst to review for completeness at least 1 working day prior to C&G deadline.	i) Provides final budget/bud just and receives PI acceptance as final. ii) Prepares any required UCSF forms or funding agency forms for signature, including Proposal Express set-up and C&G Approval form. iii) Packages proposal for IHPS review and approval (MSO & Director).
E) C&G Interface	Project Assistant, if available, assists with copying and assembling.	i) Takes proposal to C&G Interfaces with C&G rep. and funding agencies for required additional information or questions. ii) Follows up w/package delivery & tracking of proposal and any pre-award submissions, and notifies PI of receipt.
F) Other Dept. Funds	Identifies potential funding from other department (ie: co-investigator role or Program Project co-PI).	In Pre-award, develops IHPS PI portion of budget, provides salary and other needed costs info. to other dept., including Bio, CV, or Other Support documents.

II) Proposal NGA Tracking

Notice of Award NGA may be in the form of funder contract, grant letter, NIH NGA, etc. - separate from UCSF Award Synopsis document	Provides funding notice (funded or not) either verbally or written if avail. from funder When possible, indicates % probability of funding success of a proposal.	i) Ongoing Interface with C&G rep. on status of NGA - NGA copy if funded may be obtained from C&G or funder. Monitors and tracks status of Award Synopsis with C&G rep. Provides status update to PI/PD. ii) Sets up Pre-Award fund if applicable for expenses with EMF (i.e., official award synopsis delayed by contract term negotiations but ultimate funding is very highly likely). Enters tracking of potential new staff.
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III) Project Implementation

A) Funding Award	PI provides notice of funding if not received from C&G to Finance within 48 hrs of notice.	Secures new fund, account, and speedchart numbers.
B) CHR	If CHR approval is required, prepares/submits application to CHR. Tracks until approval is received. Provides copy of approval to Analyst for IHPS file.	Files copy of approval.
C) Payplans	PI identifies payplans upon notification from Analyst that new fund number avail.	i) Meets with PI/PDs to strategize regarding use of funds, ii) Sets up payplans at IHPS and notifies other dept(s) if necessary, ii) Discusses with PI incoming vacation transfers.
D) Subcontract(s)	1) Reviews/edit scope of work from proposal and any unusual A-110 justification. 2) PI signs invoices.	Provides subcontract set-up information to J. Meyer, who submits through C&G and monitors/tracks invoicing (PI approval) and completion.
E) Projections	PI may provide multiple scenarios of payroll/non-payroll spend-out of available funds as needed throughout life of project.	i) Ensures scenario proposed is in compliance w/funder spending guidelines or any other NGA terms and conditions. ii) Provides costing and projected balance/overdraft of scenarios given for payroll and/or non-payroll.
F) Budget Status Report	Meets with Analyst regularly to discuss monthly BSRs. Provides Analyst information on changes to payroll or cost transfers needed.	Reconciles monthly BSRs: (Made avail. by 3rd week of month) Reconciliation includes accurate entry of awarded amounts per NCA, closed ledgered payroll & non-payroll expenses match weblinks, projected future payplans as entered into OLPPS, reviews pending purchasing items and placeholders for large

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vendor agreements and subcontracts.		
G) Recharge report	Reviews monthly; questions given to J. Meyer or Analyst	Ensures accuracy of payplans which drive recharge funding sources
H) Interim Progress reports (as needed per funder grant terms)	1) Prepares narrative report, bibliography, etc. as required by funder. 2) Project assistant, if available, assists with copying and assembling.	i) Notifies/remind PI of deadlines ii) Prepares/Assembles Progress Report Package (can include financial report, eSNAP package, full 2590, etc.) per funder requirement. iii) Tracks package delivery.
I) Other Dept. Funds	Identifies funding from other department	In Post-award, reviews IHPS PI portion of awarded funds with PI and other dept.'s financial analyst; will rely on ledger information from other dept. given access unavailable to IHPS.

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IV) Project Closure

A) Six-month advance notice to PI about nearing project end. followed by two-month notice.	1) Identifies whether project —needs nce (provides justif. letter); —extension with cost; or —will end (prepares final narrative report, biblio, etc. as required).	i) If NCE, interfaces w/C&G to submit. ii) If ext. w/cost, refer to above on Proposal Prep/Budget Dev. iii) If <u>project end</u> , ensures accuracy of BSR projected ending balance. Prepares any needed payroll or cost transfers. Reminds PI of Final Narrative Report due.	
	2) Signs off on final FSR or invoice after review with Analyst	iv) Interfaces with Accounting Dept on FSR preparation and submission and tracks delivery to funder.	
		v) J. Meyer or Analyst interfaces with subcontract on outstanding invoices needed.	
		vi) Interfaces w/Proj Asst on pending purchasing logs in system or expected.	
		vii) Closes fund, speedchart and petty cash, if applicable.	
	B) Staffing At least 90 day notice if layoff is identified per University rules	1) PI confirms, in timely manner in accordance w/UC HR policy, whether staff layoff or reduction can be initiated.	i) Notifies PI of potential staff layoff or reduction needs & timeframe.
		2) PI confirms funding source	ii) Identifies potential costs (e.g., vacation, severance, etc.).
3) PI confirms future need of vacated assets.		iii) Secures PI's need for vacated space, phone, computer, etc. and implements changes.	