CFAR FUNDING PROGRAM

CFAR is an NIH Center Grant at UCSF spearheading HIV/AIDS research since 1988

CFAR Director: Monica Gandhi, MD
Co-Directors: Peter Hunt, Mallory Johnson
Associate Director: Lauren Sterling

A GUIDE FOR NEW AWARD RECIPIENTS
AND FINANCIAL ANALYSTS

1700 Owens Street, Suite 316, San Francisco, Mission Bay Campus
Congratulations on your CFAR Award!!

Quick timeline summary

PRE-AWARD
Preliminary Award letter detailing requirements
-IRB or IACUC compliance
-NIH Checklist review
-Budget review
-Pre-Subcontract docs

2-4 WEEKS
Obtain all IRB, compliance, subcontract docs

SUBMIT NIH CHECKLIST(S) IF NOT PROCEED POST-AWARD
Collect or apply for IRB all other compliance Documents; Complete NIH checklist form (+6 weeks wait)
- Require IRB Docs/FWA numbers
- Completed Checklist sent to NIH for review (+6 weeks)
-Subcontract docs

[6-8 WEEKS + >]
Start Date

POST-AWARD
Final Award letter in place
-One-year project begins
-NIH final approval, if apply
-Subcontract final docs, if apply
-Funding is released
-Monitor spending budget
-6-month milestone report

ONE YEAR BEGINS

End date

REPORTING OUTCOMES
Final Progress report
-Publications – PMCIDs
-Other grants K to R01
-Promotions
-Value added

YOU GOT A CFAR AWARD!

[6-8 WEEKS + >]
The overall CFAR Grant budget runs from 7/1 to 6/30, which will likely differ from your 1-year project period.

- This means that you will get a new Chart String for the portion of your project period that is after 7/1.
- The fund year will change every year, project # will also change as switching award cycles this year.

<table>
<thead>
<tr>
<th>Business Unit</th>
<th>Fund</th>
<th>DeptID</th>
<th>Project</th>
<th>Activity Period</th>
<th>Function</th>
</tr>
</thead>
<tbody>
<tr>
<td>SFCMP</td>
<td>4000</td>
<td>*YouProvide</td>
<td>*WeProvide</td>
<td>Example (AP 32)</td>
<td>44</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Start: 7/1/23</td>
<td></td>
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<tr>
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<td></td>
<td>End: 6/30/24</td>
<td></td>
</tr>
</tbody>
</table>
You received a Preliminary Award letter advising you of your award instructions for the compliance process. If international work, it will require completing the International checklist form and pre-subcontract documents (UCSF vs institution agreement). Other Budget essentials discussed. Note: you cannot begin your study until all approvals have been received!
# Compliance Checklist:

This checklist determines the IRB documents your project requires *(see your award letter)*

<table>
<thead>
<tr>
<th>Preliminary Summary of Special Approvals / Compliance Required</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>HUMAN SUBJECTS/SPECIMENS / DATA</strong></td>
</tr>
<tr>
<td>IF fully de-identified data or specimens ……..&gt;</td>
</tr>
<tr>
<td>IF Exempt Review ………………………………………&gt;</td>
</tr>
<tr>
<td>IF Minimal Risk………………………………………..&gt;</td>
</tr>
<tr>
<td>IF Above Minimal Risk ………………………………..&gt;</td>
</tr>
<tr>
<td><strong>REQUIRED APPROVALS</strong></td>
</tr>
<tr>
<td>Self Certification Form</td>
</tr>
<tr>
<td>Exempt certification approval</td>
</tr>
<tr>
<td>Expedited Review approval</td>
</tr>
<tr>
<td>Full committee Review approval</td>
</tr>
</tbody>
</table>

| **HUMAN SUBJECTS CERTIFICATES TYPES**                         |
| IF Exempt or Expedited IRB ……………………………….>       |
| IF Full Committee or or INTL/Clinical …………………….>     |
| **PI only**                                                  |
| All key personnel                                           |

| **STUDY RISK IS EITHER OR BOTH**                              |
| Above Minimal Risk; ……………………………………….>       |
| OR Vulnerable Populations……………………………………>  |
| **BOTH**                                                     |
| NIH Clinical Checklist, AND                                  |
| Study Specific Research Protocol + Consent Docs              |

| **IF DOING INTERNATIONAL RESEARCH >**                         |
| **NIH International Checklist**                               |

| **IF Animal Research ………………………………………………………….>** |
| **IACUC Approval**                                             |
| **UCSF IACUC MOU**                                             |

| **IF YOU HAVE A CURRENT T32 AWARD**                            |
| **Yes / No** If yes……………………………………….>           |
| **Confirm T32, and no salary**                                 |
| **Provide your T32 budget**                                    |

| **IF YOU HAVE A CURRENT K-AWARD**                              |
| **Yes No** If yes……………………………………….>           |
| **Confirm Salary <25% plus specific aims for K**              |
| **differs from CFAR**                                         |

| **IF Subcontract (KEMRI, Vitalant, Gladstone, Other)**         |
| **Yes No** ………………………………………….>                 |
| **Subcontract / per institution**                             |
| **Global Programs budget**                                   |
You received a Final Award letter and your 1-year project period begins. If international project > you received the final NIH approval = you can finalize the Subcontract agreement between UCSF & other local or foreign institution. Once processed by Contracts and Grants, CFAR funding is released.
## II. Post-Award Process

<table>
<thead>
<tr>
<th><strong>Final Award Letter Release of Funds</strong></th>
<th><strong>Final award letter</strong> with project period (one year) starts post-award process &gt; Funds are released</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>No Cost Extensions</strong></td>
<td><strong>NCEs</strong> - Require CFAR Director’s approval and are not recommended.</td>
</tr>
<tr>
<td><strong>Payroll/Purchasing/ Travel</strong></td>
<td>Payroll, Purchasing and Travel changes should be made in the local department (Subcontracts with CFAR Admin)</td>
</tr>
<tr>
<td><strong>Budget &gt; Charges</strong></td>
<td>All charges must be <strong>REASONABLE, ALLOCABLE, CONSISTENTLY TREATED, AND ALLOWABLE</strong>. See <a href="#">Contracts and Grants accounting guidelines</a>.</td>
</tr>
<tr>
<td><strong>Re-budgeting</strong></td>
<td>You have the authority to rebudget up to 25% total costs without approval. If you require significant rebudget, contact <a href="mailto:lauren.sterling@ucsf.edu">Lauren Sterling</a>. Be sure to spend funding consistently throughout the life of award. See next slide, ‘How your budget works.’</td>
</tr>
<tr>
<td><strong>Advances</strong></td>
<td>No advances permitted while waiting for NIH approval.</td>
</tr>
<tr>
<td><strong>Global Programs</strong></td>
<td>If applicable, Once final award letter sent, final budget and justification will be sent to Global Programs. They will act as the middle-man between KEMRI and UCSF expediting payment costs for your award.</td>
</tr>
<tr>
<td><strong>(At UCSF) PI Review of Expenses/General Ledger Verification</strong></td>
<td>You as the PI are responsible to review your grant expenses regularly (at least quarterly). Please meet regularly with your financial administrator to review the expenses posting on your grant, as they are responsible for completing monthly general ledger verification for your project.</td>
</tr>
</tbody>
</table>
If any of your IRB/IACUC approvals lapse, you must stop all work on your project!

We will be watching your approval dates, but we also expect you to know when your approvals expire and to submit your renewal requests on a timely basis. We cannot pay for any expenses that occur while any of the regulatory approvals are lapsed.
NIH Cost Principles + Unallowable Costs

NIH’s Cost Principles

- Reasonable – a prudent person would have paid that price
- Allocable – directly benefits the grant and is assigned (at least in part) to the grant
- Consistent – costs treated the same regardless of funding source
- Conforming/Allowable – meets the terms and conditions of the award (see right)

Types of unallowable costs may include:

- Stipend payments
- Alterations and renovations
- Patients care costs
- Entertaining expenses which include alcohol
- Food
- TRAVEL (please check with us)
Summary of Subcontract Process

Subcontract Documents:
- Scope of work
- NIH face page
- Sub-recipient commitment form (signed)
- Budget & budget justification
- IRB approval if required
- F&A rate agreement (domestic)
- Advance request if necessary

CFAR Subcontract Review
CFAR will check your Subcontract documents for any edits required before routing them to the UCSF subout desk
If KEMRI budget, Awardee and Financial administrators work with Global Programs to finalize international budget

Subout Desk
Institutional agreements sent to the subrecipient institution for review/signature
UCSF signs the agreement after the subrecipient returns the partially executed agreement
Send invoices to cfarsubaward@ucsf.edu.

Account setup; Project date set; Final Award letter sent!
## I. CFAR Pre-Award Explained

<table>
<thead>
<tr>
<th>Preliminary Award Letter</th>
<th>Establishes terms of your award, CFAR sends to letter to Awardee (cannot receive funds until all IRB/NIH approvals received domestic or international)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Instructions for Human Subjects Compliance</td>
<td>Human Subjects IRB or waiver / IACUC - <a href="http://irb.ucsf.edu/levels-review">http://irb.ucsf.edu/levels-review</a>; Human subjects protection training (CITI) <a href="https://irb.ucsf.edu/citi-human-subjects-training">https://irb.ucsf.edu/citi-human-subjects-training</a></td>
</tr>
<tr>
<td>NIH International Checklist and/or Clinical Checklist</td>
<td>If study takes place in a foreign country (whole or partial) complete the NIH checklist for clearance. Once checklist at NIH it takes approximately 6-8 weeks to receive NIH approval. Brenda and Lauren will assist you to complete form: <a href="http://ucglobalprograms.org/">International Studies Checklist for all CFAR-Supported International Studies</a></td>
</tr>
<tr>
<td>Review of Budget</td>
<td>CFAR reviews budget together with Awardee, once resolved, budget is finalized</td>
</tr>
<tr>
<td>Subcontract Documents</td>
<td>If award is subcontracted to a non-UCSF institution, you are responsible for making sure expenditures are appropriated. <strong>Three additional documents to be submitted to subcontract desk.</strong> 1. Scope of Work 2. Letter of Intent – (requires Institutional signature) 3. UCSF Sub-recipient Commitment form (requires Institutional signature)</td>
</tr>
<tr>
<td>Global Programs <a href="http://ucglobalprograms.org/">http://ucglobalprograms.org/</a></td>
<td>Global Programs provides administrative support for UCSF research in Kenya, Mozambique, Namibia, Tanzania, and Uganda. They can assist in local procurement and payment, and their use may be required depending on the international partner institution (e.g. KEMRI).</td>
</tr>
</tbody>
</table>
Summary of CFAR NIH International Checklist Process

Int’l Checklist form
FWA numbers (UCSF + foreign)
Foreign budget component
Specific Aims table
+ Documents:
IRB approvals from UCSF and foreign (3-6 weeks)
Human Subjects CITI certificates for key personnel

Internal Review / CFAR & You
CFAR will check your checklist for completion/accuracy (IRBs, FWA#, budget, review of aims table, CITI docs)

Final checklist Sent to NIH
Checklist at NIH queue
IF questions, address them
Resend checklist to NIH with revisions
Approval wait 3-6 weeks
Requires notice of NIH approval before project can begin

While waiting on approval, gather subcontract docs

After NoA Approval, Start the Subcontract Phase below
Summary of CFAR NIH Clinical Checklist Process

Clinical Checklist form Documents:
- IRB approvals (if received)
- FWA numbers (all participating institutions)
- Human Subjects CITI certificates for key personnel
- Consent forms
- Study-specific research protocol
- Data Safety Monitoring Plan

Internal Review / CFAR & You
- CFAR will check your checklist for completion
- Review of IRBs, FWA#
- Review of HS training docs
- Review of Research protocol and consent forms

Final checklist Sent to NIH
- Checklist at NIH queue
- Update checklist with NIH if revisions requested or IRB approval updates
- Approval wait 3-6 weeks
- Email notice of approval required

After NoA Approval, Start the Subcontract Phase below

NoA = Notice of Award NIH
Part III: Completion of Award, Reporting to NIH

Your outcomes matter to CFAR, metrics such as new Publications, Grants (K, R01s) and Promotions are imperative for CFAR’s return on investment ROI. They keep a running tab on ROIs which are linked to our CFAR.

- Provide one-page progress reports as requested by NIH, twice a year.
- Final Progress Report must include all publications directly related to your CFAR training grant along with PMCID numbers!
- List any or all subsequent awards received directly related to your CFAR, e.g. K - R01 Awards
- Acknowledge CFAR:
  This research was supported by a grant from the National Institutes of Health: UCSF-Bay Area Center for AIDS Research (P30 AI027763).
- If you leave UCSF, please provide your contact information. 😊
Acknowledgements and Questions

Questions? Let us know:

- Lauren Sterling
- Brenda Sanchez
- Rado Lee

“There are no stupid questions, so let’s also agree there are no stupid answers.”
WHO: NIH funded since 1988. The UCSF-Gladstone Center for AIDS Research (CFAR) seeks to expand HIV research occurring at the intersections of basic, clinical, and behavioral / epidemiological scientific disciplines.

WHAT: CFAR is the first established funding agency at UCSF, we spearheaded the establishment of the RAP Funding Portal in 2007. We offer these funding mechanisms:

- **Mentored Scientist Award** - $50k
- **Pilot Award Program for Investigators New to HIV** - $50K
- **International Mentored Scientist Award** - $30K
- **Boost Awards** - $50 - $5000 (seed money to develop ideas, gather pilot preliminary data, etc.)

In addition, CFAR operates its own unique Mentoring Program designed for early-career investigators professional development. The Program is Co-directed by Jonathan Fuchs and John Sauceda.

WHEN: Request for Applications (RFAs) occur twice a year, Spring and Fall.

WHERE: CFAR is located at 1700 Owens Street, Suite 316 (Mission Bay)
NIH International Collaborations Map
Our CFAR Awardees have been active in Africa, Central and South America, India, Iran

CFAR International Collaborations (2014-present)
- Established
- Additional