Research Administrators Forum

Sponsored by
Office of Research Administration

Marcia Smith
Associate Vice Chancellor - Research

April 8, 2010
Meeting Agenda

- Welcome and Announcements
  - Marcia Smith
- Updates from OCGA
  - Cindy Gilbert
- Updates from OHRPP
  - Sharon Friend
- RAPID Project Overview
  - Marcia Smith
- RAPID Financial Reporting Project
  - Jessica Lee
- RAPID Effort Reporting Project
  - Shannon McGarry, Sarah Horner
- RAPID ARRA Reporting Project
  - Evelyn Balabis
NIH Electronic Submissions

To Reject or Not to Reject

Cindy Gilbert
eRA Coordinator
Office of Contract & Grant Administration

April 8, 2010
NIH Changed/Corrected Applications

- Increase in number of requests for changed/corrected applications
- Effective December 2009 specific language in the SF424 (R&R) Application Guide for NIH and Other PHS Agencies
When OCGA/DRA Can Reject

Section 2-10; page I-25:

Once an application package has been successfully submitted through Grants.gov, NIH provides applicants a two-day error correction window to correct any eRA identified errors or warnings before a final assembled application is created in the eRA Commons. The standard error correction window is two (2) business days, beginning after the submission deadline and excluding weekends and Federal holidays. All errors must be corrected to successfully complete the submission process. Warning will not prevent the application from completing the submission process.

Please note that the following caveats apply:

- Initial application must be “on-time.”

- The AOR/institution is expected to enforce that application changes made within the error correction window are restricted to those necessary to address system-identified errors/warnings. NIH may reject an application that included additional changes.
Alternative to Rejecting

 Submission of Supplementary or Corrective Information

- Section 2.13; page 1-29

2.13 Submission of Supplementary or Corrective Information

Applicants may need to submit supplementary or corrective material after the submission date, such as revised budget pages, biographical sketches, updated or supplemental pages, letters of support or collaboration and publications (accepted by not yet published, see http://grants.nih.gov/grants/guide/notice-files/NOT-OD-07-018.html). Acceptance of additional materials prior to peer review is at the discretion of the NIH Scientific Review Officer (SRO). Additional materials


The additional materials must be submitted to the NIH SRO with the consent of the applicant organization’s designated AOR/SO. NIH require that the applicant organization include the AOR in the correspondence; the AOR is not necessarily required to submit the application materials. It is acceptable for the PD/PI or Contact PI for multiple PD/PI applications to send such materials with the concurrence of the AOR (designated institutional signing official). Materials sent without evidence of such concurrence will not be accepted.
Keys to Success

- Review the specific FOA.
- Refer to the SF 424 (R&R) Application Guide.
- Understand the limitations of Grants.gov and/or S2S Grants in identifying errors/warnings.
- Pay attention to:
  - NIH Commons IDs
  - Project Roles – consistent in budget, justification, senior/key person profile form
  - Format – font, margins, number of pages
  - Biosketch – current format
  - Inclusion of PMCID numbers
- Provide a copy of the entire proposal to PI and other key personnel for review prior to submission to the SO.
- Release the final proposal to the SO at least five working days prior to the deadline.
- If you have questions, contact your OCGA Team or DRA.
Office of the Human Research Protection Program Update

Sharon Friend, Director
Office of the Human Research Protection Program

April 8, 2010

http://ohrpp.research.ucla.edu/
OHRPP Protocol Number and Volume

The bar chart shows the number of protocol amendments and new protocols over time. The data is presented from January 2009 to February 2010. The categories include:

- Amendments - Expedited
- Amendments - Full Board
- Continuation Review - Expedited
- Continuation Review - Full Board
- New Protocols - Expedited
- New Protocols - Full Board
New Protocols, Full Board: Volume and Turnaround Times
New Protocols, Expedited: Volume and Turnaround Times
Amendments, Expedited: Volume and Turnaround Times
webIRB Roll-Out Timeline

Investigators from:
- JCCC/Hem-Onc
- Care Center
- Infectious Disease
- Nursing
- Public Health
Who submit to MIRB2 or SGIRB

Investigators from North Campus who submit to NGRIB or SGIRB
- Psychiatry
- Neurology
Who submit to MIRB3 (or MIRB2, SGIRB or NGIRB)

Investigators from:
- School of Medicine,
- School of Dentistry
- All other Submitters
Who submit to MIRB1 (or any of the other IRBs)

Limited Release
Projected Roll-Out to Campus
Projected Deadline for Adoption
webIRB Updates

- **NUMBERS:**
  - 82 studies currently in process
  - 27 approved/NHSR in the system.

- **NORTH CAMPUS TRAINING:**
  - Currently being held.
  - Sign-up information is on the OHRPP website.

- **PSYCHIATRY AND NEUROLOGY TRAINING:**
  - Communications about training out now.
  - Sign up now for training classes in May.

- **webIRB UPDATES LISTSERV:**
  - Launching this month.
  - Automatically signed up if have or will use webIRB or sign up via website.
RAPID Goals

- Conduct detailed process redesign efforts to standardize procedures, reduce inefficiencies and improve performance
- Form workgroups to tackle the highest priority process improvement initiatives and identify short- and long-term opportunities
- Prioritize items for continuous improvement and take action on short-term goals that provide a large impact
- Optimize existing technology and design creative solutions for new tools / systems
- Involve both central and departmental representatives in the redesign process to facilitate communication, feedback and buy-in
- Stabilize ORA operations and provide for greater job satisfaction to reduce turnover
- Provide opportunities for job growth through organizational structure alignments as well as training opportunities
- Review, improve, integrate and standardize data collection of regular metrics reports to units and AVC
- Communicate metrics to unit Directors as well as to campus through the ORA portal
RAPID Projects

- ARRA Reporting
- PI Dashboard
- Financial Reporting and Closeout
- ORA Organizational Restructuring
- Effort Reporting
- Cost Transfers
- Proposals / Award Tracking
- C&G Data Model Improvements
- RAPID Website
- Research Financial Conflict of Interest

- Campus Outreach
- Invoicing
- Award Setup
- OHRPP Operations
- ORA Portal
- Staff Training
- Letter of Credit (LOC)
- WebIRB
- Performance Metrics and Measurement
# RAPID Projects 2010 Timeline

## Timeline Overview

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## Milestones

- **P1:** Signoff Functional Development
- **P2:** Requirements Complete
- **P3:** Training Document Complete
- **P4:** PI Tool Complete
- **P5:** PI Tool Requirements Complete
- **P6:** PI Tool Requirements Share with RAPID FAC
- **P7:** Strategic Plan Complete
- **P8:** Metrics Transformed to ORA (Automate)
- **P9:** Data Cleanup and Integrity
- **P10:** Implementation Complete
- **P11:** Complete Review of Ideas
- **P12:** Implement "Quick Win" Process Changes
- **P13:** Complete Design of New Process
- **P14:** Complete PAMS Requirements

## Key Dates

- **12/15/09**
- **12/31/09**
- **1/15/10**
- **1/31/10**
- **2/1/10**
- **2/15/10**
- **2/28/10**
- **3/1/10**
- **3/15/10**
- **3/31/10**
- **4/30/10**
- **5/31/10**
- **6/30/10**
- **7/31/10**
- **9/30/10**
- **10/15/10**
- **10/31/10**
- **11/30/10**
- **12/31/10**
- **Ongoing**
EFM Organizational Update

EFM Past Due Financial Reports

- Blue line: Past Due Financial Reports
- Black line: Linear (Past Due Financial Reports)

Graph shows the number of past due financial reports from July 2009 to February 2010.
EFM Organizational Update

Past Due Invoices

- Past Due Invoices
- Linear (Past Due Invoices)
ARRA WORKGROUP
Project Overview
The American Recovery and Reinvestment Act (ARRA) workgroup was formed by Marcia Smith in order to address the quarterly reporting requirements as mandated by the federal government for recipients of ARRA funding. The workgroup has met regularly in order to analyze and define the data elements required within each quarterly report. The group defined business processes as well as technology solutions for collecting these data elements in order to assist EF&M and departmental fund managers.

Project Success to Date
1. Defined business processes for collecting data elements
2. Designed a tool to assist department Fund Managers
3. Implemented a website for collection of data elements from campus units
4. Implemented an Excel based reporting tool in EF&M, including staff training
5. Conducted training for Fund Manager tool and ARRA website at RA Forum
6. Disseminated information by email to ARRA Investigators and Fund Managers
7. Submitted all 21B reports on time for the first ARRA reporting deadline in October 2009

Project Deliverables
1. Link to ARRA reporting tools on the Portal
2. Attach previous communications from Marcia to campus regarding ARRA reporting

Team Members
Virginia Anders, Jennifer Aguilar, Brian Atienza, Evelyn Balaba, Chris Chang, Michelle Detuca, Anneta Klutas, Roellen Galilee Man, Sharon Lam, Hanwen Kuleyra, Jackson Meng, Neda Navabi, Terry Novor, Mary Okino, Bill Propst, Lane Song, Lynne Yotta, Rachel Yergleines, Maazza Wildermure, Valerie Whittington, Kathy Kavamura, Gloria Su, Terry Wingo, Marcia Smith, Nata Haines, Sarah Horner.

Contact
Please contact Marcia Smith (mps@research.ucla.edu) for more information on this project.
Research Administration Process Improvement & Deployment

Effort Reporting
Shannon McGarry, Sarah Horner

Research Administrators Forum (RAF)
April, 2010
Effort Reporting Project Overview

- Effort Reporting Challenges
  - Overall completion rates well below 80% for UCLA
  - Multiple re-certifications and re-opening of reports leading to compliance and audit risk
  - Inconsistent training and education available to faculty and staff at the department level
  - Issues with the ERS system lead to frustration on campus

- UCOP Focus on Effort Reporting System-Wide
  - Working on faculty training for effort reporting
  - Starting to request metrics from each campus on effort reporting completion and compliance statistics
Effort Reporting Project Overview

- Effort Reporting Workgroup Members

**ORA**
- Marcia Smith

**RPC**
- Ann Pollack

**General Accounting**
- Pixie Ogren

**EFM**
- Evelyn Balabis
- Maurice Taylor
- Connie Brown
- Tsegaye Teshome

**ORIS**
- Gloria Su

**Campus Departments**
- Lilit Amirkhanyan
- Veronica Hale
- Annette Klufas
- Raellen Man
- Shannon McGarry
- Martha Riemer
- Cathy Rujanuruks

**Huron**
- Nate Haines
- Sarah Horner
- Allison PHilabaum
Effort Reporting Project Overview

- Steps Taken to Address Challenges
  - Workgroup formed in January comprised of EFM, ORIS, and Campus representatives
  - Team has discussed and prioritized over 20 major recommendations for improvement including policy, communication, compliance, training, system fixes / enhancements, backlog reduction, certification procedures, etc
  - Identified an error in the ERS system regarding furlough calculations which was elevated to UCOP and resolved through a system-wide coding fix
  - Worked through other ERS system issues including incorrectly flagged ARRA awards and other problems
  - Developing a specific plan in EFM for personalized outreach to departments on reducing the backlog of outstanding reports
Effort Reporting Project Overview

- Upcoming Information on a Campus-Wide ERS Forum
  - Planning and developing materials for an “ERS Forum” which will be targeted training and information sharing for campus ERS Coordinators and Certifiers
    - Forum will be held in the next month, coinciding with the release of Summer 09 and Fall 09 effort cycles
    - Major topics for discussion include:
      - Brief introduction to effort reporting and using ERS effectively
      - Recent system fixes that address several challenges
      - Dealing with and avoiding the “certified/adjustment required” status!
      - Certifying challenging past due effort reports from previous quarters
  - A communication with more information will be sent to the ERS listserv and details regarding these sessions (time, date, location) will also be distributed soon
- Contact ershelp@research.ucla.edu with any questions, comments or concerns
ARRA Update

- **Statistics**
  - 328 ARRA Awards
  - $115 Million

- **Reporting**
  - Completed 2 quarters
  - Completed the FTE update
  - Finalizing 3\textsuperscript{rd} quarter due this Saturday – April 10\textsuperscript{th}

>90% response rate from the campus departments by due date
THANK YOU!

- ARRA Team
  - Virginia Anders
  - Jennifer Aguilar
  - Brian Atienza
  - Evelyn Balabis
  - Chris Chang
  - Michelle Deluca
  - Annette Klufas
  - Raellen Man
  - Sharon Lam
  - Harveen Kukreja
  - Jackson Jeng
  - Neda Navab
  - Terry Novorr
  - *Mary Okino
  - *Bill Propst
  - *Lana Song
  - *Lynne Yorita
  - *Rachel Yglesias
  - *Maaza Woldemusie
  - *Valerie Whittington
  - *Kathy Kawamura
  - *Gloria Su
  - *Terry Wingo
  - *Marcia Smith
  - *Nate Haines
  - *Sarah Horner
THANK YOU!

- Team Members

- OCGA
  - Sharon Lam
  - Jennifer Tang

- Purchasing
  - Bill Propst

- EFM
  - William Paja
  - Brian Atienza
  - Jennifer Aguilar
  - Jevon Echave
  - Ping Yang
  - Jen Ear
  - Sharon Castillo
  - Grace Agustin

- ORIS
  *Gloria Su
  *Terry Wingo