Welcome

Marcia Smith
Associate Vice Chancellor for Research
Agenda

• Welcome and Announcements – Marcia Smith

• OCGA Proposal Intake – Patti Manheim

• Stipend vs. Salary – Kathy Kawamura
  ▪ Tips for Ensuring Compliance with NIH NRSA Awards

• Research with Human Subjects – Kip Kantelo
  ▪ Preview of webIRB Changes
  ▪ Update on NIH Genomic Data Sharing Policy

• Export Controls – Claudia Modlin

• EFM Updates – Yoon Lee
  ▪ Multiple Fund Numbers One Award (MFNOA)
  ▪ Fund Close-Out Workgroup
  ▪ Post-Award Management System (PAMS) – Katie Cadle, Sendhil Kolandaivel
  ▪ Effort Reporting Update – Connie Brown

• Review ORA Report on FY2014 Research Proposals and Awards – Rory Constancio

• Questions and Discussion
Proposal Intake Team is Open for Business

• Use of Proposal Intake Team proposals@research.ucla.edu.
• Log applications and create PATS records in real-time.
• Near immediate acknowledgment that application has been received and recorded.
• Central repository ensures the materials are received.
• Proposal Intake Team ensures assignment.
• Proposal Intake Team is “in” very day.
Proposal Intake Team is Open for Business

- Allows for more effective management of proposal review within OCGA and feedback/response to campus.
- Accurate, real-time record reporting.
- Delivery of data within 5 minutes to the PI Portal and within 24 hours to ORA Portal.
Proposal Intake Team is Open for Business

Process

• Send proposal packages to proposals@research.ucla.edu.

• Sender and PI will receive an acknowledgement e-mail with:
  - Date and time materials received
  - Institution Number
  - Title
  - PI
  - Sponsor
  - Deadline*
  - OCGA Reviewer (Officer or Analyst)

  *Based on information indicated on the EPASS, date required, no “ASAP”

• Generate internal assignment to Officer or Analyst
Proposal Intake Team is Open for Business

From: OCGA Proposal Intake Team Member
Sent: Date
To: PI; Fund Manager
Cc: ORA PATS Records; OCGA Officer/Analyst; OCGA Specialist
Subject: OCGA, Proposal type - PATS # - Project Title – PI Name - Sponsor Name – Sponsor Deadline Date

Dear PI and Fund Manager,

The Office of Contract and Grant Administration (OCGA) received materials for the above referenced project sponsored by (Sponsor Name) on (Date/Time)______. This proposal has been assigned to (Officer/Analyst Name),(Officer/Analyst Email Address) for review, approval and submission.

Please contact (Officer/Analyst Name) with any questions.

Institution # __________

Thank you,
OCGA Proposal Intake Team
Proposal Intake Team is Open for Business

OCGA Proposal Intake Team
proposals@research.ucla.edu

Johanna Haraway Manager
Jennifer Caldejon Proposal Intake Analyst
Magaly Chavez Proposal Intake Specialist
Gerald Gamble Proposal Intake Specialist
Kelsey Hernandez Proposal Intake Specialist
Proposal Intake Team is Open for Business
QUESTIONS
Stipends vs Salary

FACTS
- Stipends Paid PRIOR to period of performance
- Salary Paid After period of performance
  - ex: February Stipend paid – 1/24/15
- No employee / employer relationship
- Processed by Grad Division via GoGrad, Form 10
  - “78” account
- Taxes not withheld in Stipend Payments
- Retro Stipend Payments may not be processed by Grad Division
**How Would I Know?**

**PA/RFA (proposal prep)**

<table>
<thead>
<tr>
<th>Award Budget</th>
<th>Award budgets are composed of stipends, tuition and fees, and institutional allowance, as described below.</th>
</tr>
</thead>
</table>

**Other Award Budget Information**

| Stipends | Kirschstein-NRSA awards provide stipends as a subsistence allowance to help defray living expenses during the research and clinical training (when applicable) experiences.  
  
The most recent stipend levels are described on the [Kirschstein-NRSA webpage](#). NIH will adjust awards on the anniversary date of the award to ensure consistency with the stipend level in effect at that time.  
  
Visit [NIH Grants Policy Statement](#). [Ruth L. Kirschstein National Research Service Awards](#) for more information. |

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**5. Funding Restrictions**

All NIH awards are subject to the terms and conditions, cost principles, and other considerations described in the [NIH Grants Policy Statement](#). The [National Research Service Award (NRSA) policies](#) apply to this program. A Kirschstein-NRSA fellowship may not be held concurrently with another federally sponsored fellowship or similar Federal award that provides a stipend or otherwise duplicates provisions of this award.
How Would I Know?
Proposal (Cayuse)

Notice of Award (post award)
NIH / NRSA

- NIH / NRSA Kirschstein Awards mandate Stipend payments
- Must follow appropriate NRSA Stipend Levels (NIH GPS 11.2.9.3)
- Fellowship awards or Training Grants appointments maybe voided if proper mechanism for payment is not utilized.

Stipends

NIH REFERENCES
NIH Grants Policy Statement - section 11
Training Grants - SF424 Section 8
Individual Fellowship - SF424
Training Grant Workgroup

OCGA / EFM
Graduate Division
Departmental Representatives

Consulting
Corporate Financial Services – Payroll
General Accounting
Labor Relations
Master Training Calendar

- EPASS
  - Next Thursday 2/19
  - 10:00AM Kinross 210
  - [http://www.research.ucla.edu/ocga/training-calendar.html](http://www.research.ucla.edu/ocga/training-calendar.html)
OHRPP Updates

Kip Kantelo, Director
February 12, 2015
Updates

- webIRB
- NIH Genomic Data Sharing
webIRB

- Two upcoming deployments
- Usual information & guidance
- Integration with CRMS
webIRB

- Re-ordering of some questions
- Changes to some choices
  - e.g. Clinical Trial Phase
- Additional questions
  - IND/IDE
  - Attachments on amendments
- Back end changes
  - Administrative Closure
Next deployments
- HIPAA
- Chart Review
- Reliances
NIH GDS

- Replaces prior Genome-Wide Association Studies policy
- Detailed UCLA guidance coming soon
NIH GDS

❖ Applies to:
  • NIH-funded projects generating large-scale genomic data
  • Any project involving genotypic/phenotypic data for submission to NIH repositories (such as dbGaP)
NIH GDS

❖ For new grant proposals
❖ PI needs to include:
  • Basic plan for GDS compliance **OR**
  • Explanation why broad sharing not possible
❖ Just-In-Time documentation:
  • IRB approval
  • Institutional Certification
    ❑ With authorizing signature
NIH GDS

- Informed Consent
  - Needed
  - To include broad sharing
  - Mentions NIH databases
  - Describes confidentiality protections
NIH GDS

- Detailed guidance coming
- SOM work on consent
- Questions - contact me directly:
  - Kip Kantelo
  - x55855
  - kip.kantelo@research.ucla.edu
Thank you!

For questions:

• North & South General IRBs
  - x57122
  - gcirb@research.ucla.edu

• Medical IRBs
  - x55344
  - mirb@research.ucla.edu
Export Controls Update

Claudia Modlin
Research Policy & Compliance Coordinator

February 12, 2015
Cuba Sanctions
Airbus has just donated a $750,000 plane part to UCLA Engineering for analysis and teaching.

Any guess what this thing does?

http://ucla.in/1IvtxYB
Export Control Basics

Export Control Training Videos

- Introduction to Export Control
- Biological Agents
- International Traffic in Arms Regulations (ITAR)
- Traveling Abroad
- Office of Foreign Assets Control (OFAC)

http://ora.research.ucla.edu/RPC/Pages/nsreg.aspx
EFM Updates

February 12, 2015

Yoon Lee
Associate Director, EFM
Agenda

- Single Fund Number Exception - MFNOA
- Fund Closeout Workgroup
- Post Award Management System (PAMS)
- Effort Reporting
- Staff Update
Single Fund Number Exception: Multiple Fund Number One Award

Yoon Lee
Single Fund Number Exception - Multiple Fund Number One Award

Exception to SFN process is granted without the department’s request for the following two cases where specific reporting requirements exist:

• Award meeting all following criteria (effective since January 2015)
  - Sponsor is state/local government and
    - Annual closeout is required and
    - Monthly invoicing is required and
    - Payment basis is cost reimbursement and
    - Carry forward is not allowed or restricted.

• NIH T32 Grants (effective since September 2013)
  - For more details, refer to RAF presentation in October 2014

• For more SFN questions
  - http://ora.research.ucla.edu/EFM/Pages/FAQ.aspx
Fund Closeout Workgroup

Yoon Lee
Agenda

- Background
- Goals and Objectives
- Workgroup Participants
- Timeline
- Current Status
- Next Steps
Uniform Guidance

200.343: Closeout

- (a): The non-federal entity must submit financial reports no later than 90 calendar days after the project end date.
- (b): The non-federal entity must liquidate all obligations incurred no later than 90 calendar days after the project end date.

NIH Notice: PMS Subaccounts

NOT-OD-13-120

- PMS will hold payment requests for funds in subaccounts for awards that are 90 days or more beyond the project period end date.
- Fund requests for these awards will not be processed unless, and until, the awarding agency has approved the payment request.
Objectives and Goals

Objectives:

- In response to UG and NIH sub-account cash draw requirements, to evaluate the exiting closeout procedures, identify the areas for improvement, and develop enhanced closeout procedures to ensure fiscal compliance with Sponsor’s and University's policies and guidelines.

Goals

1. To submit past due reports
   - To submit the federal final financial reports due on 06/30/2014 or prior by 6/30/2015
     (NOTE: Timelines for other delinquent invoice/report to be determined)

2. To develop enhanced procedures to be effective 7/01/15
   - the guidelines to ensure more timely financial closeout of awards.
   - the procedures to submit the final financial deliverables when the closeout packet is not received on time.
   - the procedures for revision of the financial deliverables
Timeline

Goal 1: To submit the final FFR due on 06/30/2014 or prior by 6/30/15

<table>
<thead>
<tr>
<th>January</th>
<th>February</th>
<th>March</th>
<th>April</th>
<th>May</th>
<th>June</th>
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</thead>
<tbody>
<tr>
<td>Finalize the processes to complete the final by 6/30/15</td>
<td>Communicate with campus</td>
<td>Dept to submit COPs to EFM by 4/30/15</td>
<td>EFM to submit the finals upon receipt of COPs</td>
<td>EFM to submit all finals following the process by 6/30/15</td>
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Goal 2: To develop procedures to be effective 7/01/15

<table>
<thead>
<tr>
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<th>February</th>
<th>March</th>
<th>April</th>
<th>May</th>
<th>June</th>
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</thead>
<tbody>
<tr>
<td>Develop and document the procedures of financial closeout of the fund incl. a scenario COP is not available on time and revision process</td>
<td>Feedbacks from a broader group</td>
<td>Communicate the procedures with campus</td>
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<td></td>
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Current Status

- Fund Closeout workgroup established
  - Comprised of subject matter experts from different schools across campus in addition to EFM staff

- Kick off meeting held on January 27, 2015

- Working session #1 held on February 10, 2015

- Wave 1 population for the Goal #1 confirmed
  - Federal funds with the final due on 6/30/2014 or prior

- Procedures being reviewed
  - Procedures to complete the final invoice or final financial report due on June 30, 2014 or prior
  - To be shared once finalized
## Workgroup Participants

<table>
<thead>
<tr>
<th>Name</th>
<th>School / Department</th>
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<tr>
<td>Adrian Manalang</td>
<td>Public Health - Center for Health Policy Research</td>
</tr>
<tr>
<td>Annette Klufas</td>
<td>Letter &amp; Science: Life Science South Admin</td>
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<tr>
<td>Lana Song</td>
<td>Microbiology, Immunology and Molecular Genetics</td>
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<tr>
<td>Lee Yang</td>
<td>SEAS - Computer Science</td>
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<tr>
<td>Michelle Phillips</td>
<td>Semel Institute</td>
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<td>Steven Peckman</td>
<td>Broad Stem Cell Research Center</td>
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<tr>
<td>Keith Steele</td>
<td>SOM – Pediatrics</td>
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<td>Wendy Ma</td>
<td>SOM - BEI</td>
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<td>Terry Novorr</td>
<td>SOM - BRI/Neurology</td>
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<td>Raellen Man</td>
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<tr>
<td>Catherine Rujanuruks</td>
<td>SOM - DOM Admin</td>
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<tr>
<td>Jen Ear</td>
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<tr>
<td>Jennifer Aguilar</td>
<td></td>
</tr>
<tr>
<td>Jevon Echave</td>
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<td>Jovan Iglesias</td>
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<tr>
<td>Kevin Cook</td>
<td></td>
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<tr>
<td>Yoon Lee</td>
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<td>ORA - Extramural Fund Management</td>
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Federal funds with the final deliverables due on 06/30/14 or prior
(data as of 01/31/2015)

### Distribution

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<td>2013</td>
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<tr>
<td>~ June 2014</td>
<td>43</td>
<td>8</td>
<td>205</td>
<td>256</td>
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<tr>
<td>Total</td>
<td>147</td>
<td>27</td>
<td>508</td>
<td>682</td>
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- Number of funds involved: 147
- Number of departments involved: 48
- Number of PIs involved: 125

### # of funds in Wave 1

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<th># of dept</th>
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<td>Total</td>
<td>48</td>
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Federal funds with the final deliverables due on 06/30/14 or prior
(data as of 01/31/2015)

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<tr>
<td>Total</td>
<td>147</td>
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<table>
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<th>Sponsor</th>
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<th>% of funds</th>
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<td>National Institutes of Health</td>
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<td>National Science Foundation</td>
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<td>Other</td>
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<td>Grand Total</td>
<td>147</td>
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Next Steps

Following actions are planned to take place in February

- EFM will communicate the project with campus using various channels
  - RAF
  - ORA listserv
  - Tailored communication with Schools, Divisions, or departments that have funds in wave 1

- Workgroup will finalize the procedures applicable to Wave 1

- EFM will provide each department with a tailored list of wave 1 along with the procedure document
Questions

Contact information

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X40375
yoon.lee@research.ucla.edu

Jevon Echave
X46987
jechave@research.ucla.edu

Jen Ear:
X42834,
Jen.Ear@research.ucla.edu

Jennifer Aguilar
X42846
JAGuilar@research.ucla.edu

Jovan Iglesias
X42836
jiglesias@research.ucla.edu
Post Award Management System
RAPID Closeout Tool

Katie Cadle-Business Analyst
Sendhil Kolandaivel-Project Manager
PAMS and RAPID Agenda

• PAMS
  - Closeout Packets Completed & In Process
  - Enhancements & Bug Fixes
  - Coming Soon: Uploading a RAPID COP in PAMS

• RAPID Tool
  - New Report
  - Modified Reports
  - Next Steps
Completed Closeout Packets

- **69** Completed Closeout Packets

![Bar Chart](chart.png)
In Process Closeout Packets

- **43** In Process Closeout Packets
Enhancements & Bug Fixes

- 210 Bug Fixes & Enhancements since Go-Live
- Recent Enhancements:
  - Upload RAPID COP through PAMS
  - Changed Home page to Worklist for Dept. Users
  - Changed Default Worklist Option to “My Action Required”
  - Print PI Certification Page
  - Added additional columns to the Fund Search grid
Enhancements & Bug Fixes (Contd.)

- Recent Bug Fixes
  - Linked Closeout Packets missing from results on Fund Search Page
  - Error when downloading Fund Search Grid results to Excel
  - Missing Transactions on Subawards Page
  - Pend GL Posting column not adding Sub 06 expenses
Uploading a RAPID COP in PAMS

• Goals:
  ▪ To provide users with the accurate status of Final Deliverables on all funds
  ▪ To maintain all Closeout Packets in one place, PAMS, the official system of record for Financial Deliverables

• Current options for Pilot users:
  ▪ Complete a Closeout Packet in PAMS
  ▪ Complete RAPID and submit via the RAPID Upload Tool

• New option:
  ▪ Complete RAPID and upload it via PAMS
Uploading a RAPID COP in PAMS

• Benefits
  ▪ Real-Time updates of Deliverable Status
  ▪ Approval Workflow in PAMS
Uploading a RAPID COP in PAMS

Fund Balance and Approvals

Approvals History

Dept Preparer (Michael Johnson):
Dept Approver (Jane Doe):
PI (John Smith):
EFM Preparer (Samantha Lee):
EFM Approver (Robert Williams):

Approval Comments: Approved by (Dr. Zhang) on 02/08/2015

[Buttons: Approve, Reject, Upload RAPID COP]
RAPID Tool Updates

- New Report: Detail-Closed Warning and Unallowable Expenses
RAPID Tool Updates

- Displays all Warning and Unallowable Expenses by individual expense rather than summing them by Object Code

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<th>Sub</th>
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<th>Object</th>
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| Sub 03 |                |                    |                |          |        |         |         |                    |             |             |                |                                | 0.00          | 150.00 |
| Sub Grand Total |                |                    |                |          |        |         |         |                    |             |             |                |                                | 0.00          | 150.00 |
RAPID Tool Updates

• Modified Reports
  - Expenses After End Date
    - Now excludes all transactions that have an Effective Date after the Period End Date but have a Doc Date within the period
  - Payroll After End Date
    - Now excludes all transactions that have an Effective Date after the Period End Date but have an Earned Date within the period
RAPID Tool Updates

• Next Steps:
  ▪ School of Medicine
    ▪ Released on February 5th
  ▪ Other Departments
    ▪ Tool available for download on the ORA Portal
Effort Reporting

Connie Brown
Compliance Support
Effort Reporting
Effort Reporting Statistics

• As of 2/9/15
  
  - UCLA’s Campus Rate (Spring’06 - Summer’14)
    
      • 99% Certified

  - Spring & Summer 2014 deadline, 2/6/15
    
      • Generated: 11,295
      • Certified: 10,479
      • Open: 816
      • On-Time Rate – 92.5%

  - Spring & Summer 2014 to date
    
      • Current Rate – 94%
Historical On-Time Certification Rates

- Spring & Summer '10: 74%
- Fall '10 & Winter '11: 80%
- Spring & Summer '11: 70%
- Fall '11 & Winter '12: 74%
- Spring & Summer '12: 82.5%
- Fall '12 & Winter '13: 83%
- Spring & Summer '13: 78%
- Fall '13 & Winter '14: 90%
- Spring & Summer '14: 92.5%
### 100% Club

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# Effort Reporting Crusade

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Total Open: 55
Total Open: 12,421
Total Open: 0
Total Open: 214
How to Reach 100% On Time:

- Start reviewing effort reports **early**!
  - Expect the unexpected

- Exception status is a “red flag”
  - Adjustment is required

- Partially-certified status is still “open”
  - Report is considered “open” until all PI’s projects are certified
Reminders...

• Report cost sharing
  ▪ Employee was not paid on a federal project, but cost sharing is required

• PIs must self-certify
  ▪ PI should not certify another PI’s project
  ▪ Administrators should never certify on behalf of the PI

• Employees paid on federal projects must certify an effort report
  ▪ Contact your department coordinator or ERS Support, if report is missing

• Off-campus access: VPN and www.efm.ucla.edu
ERS Announcements

- Release 10.11 and 10.12
  - Archive Reports

- Fall 2014 & Winter 2015 reports will be released in mid-April 2015

- ERS Training Course
  - Date: Wednesday, May 20th
  - Time: 9:00 a.m. - 3:00 p.m.
  - Place: Wilshire Center, 10th Floor
  - (Sign-up through LMS)
ERS Support

• Outreach Support
• Help Desk: ershelp@research.ucla.edu
  ▪ Connie Brown
  ▪ Leticia Calderon
Q&A
“SEE YOU ALL AT …”
Staff Update
Val Gomez – Accountant I

- Promoted to Accountant 1 in EFM Fund Management Team 2 – Effective December 15, 2014.

- Earth, Planetary and Space Sciences, Institute of Plasma Science and Technology, Institute for Pure and Applied Mathematics, and Undergraduate education

- Joined EFM in January 2014 as Administrative Specialist
QUESTIONS

Yoon Lee
yoon.lee@research.ucla.edu
(310) 794-0375
Review ORA FY 2014 Research Proposals & Awards & FY 2015 Q2

http://portal.research.ucla.edu/

Rory Constancio
Director, Office of Research Data Management
FY 2015 through Q2 Update

Proposal Requested Dollars & Counts

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Awarded Dollars & Counts

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FY 2015 through Q2
Comparison to FY 2014
Proposal Requested Dollars & Counts

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## FY 2015 through Q2 Comparison to FY 2014

**Awarded Dollars & Counts**

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FY 2014 & FY 2015 through Q2
Awarded Dollars

Millions

FY 2014 through Q2
FY 2015 through Q2

Federal Government
$322.8
$278.0

Business & For-Profit
$56.8
$27.5

State & Other Government
$50.0
$29.8

Higher Education

Higher Education
$33.6
$34.1

Foundations & Charities
$30.2
$26.9

Interest Groups & Other
$13.0
$10.7

Total
$322.8
$278.0