Agenda

Research Administrators Forum
Office of Research Administration
Monthly Meeting for UCLA Research Administrators

July 2009 Meeting Agenda
July 9, 2009, 10:00 am to 11:30 am
Louis Jolyon West Auditorium, Room C3-183, of the Semel Institute.

Welcome
Marcia Smith, Office of Research Administration

Updates from ORA Leadership
Kathy Wadsworth, ORA Office of the Animal Research Committee
Connie Whitley, ORA Office of Contracts and Grants Administration

Updates from RPC
Ann Pollack, Research Policy and Compliance

APPM Website Update
Carole D. Zama, Administration Policies and Compliance Office

NIH F-Series Grants Transition to Electronic Applications
Fellowship Award Transmittal Form 10
M. Belinda Tucker, Graduate Division
Ana Lebon, Graduate Division
Lisa Itagaki, Graduate Division

Overview of ORA Research Administration Process Improvement and Deployment (RAPID) Project
Marcia Smith, ORA

Questions and Discussion
Updates from the Animal Research Committee (ARC)

Kathy Wadsworth
Animal Subjects Research
Update #1:

- Elimination of Requirement for ARC Review of Program Projects and Training Grants

- Effective May 6, 2009, the requirement for administrative ARC review of program projects and training grants has been removed
Update #2:

- No need to submit an amendment to remove personnel from your protocol
- Send an email to our office at arc@oprs.ucla.edu. Indicate the personnel to be removed – ARC staff will remove them for you.
Update #3:

- Prompt processing of ARRA or other new funding sources

- Call or email ARC staff *immediately* to notify of short deadlines!

- Remember to submit your grant via email to ARC, or drop off
Update #4:

- ARC staff available to provide training in RATS (Research Application Tracking System)
- Sample RATS protocol available upon request

Welcome to the UCLA Research Application Tracking System!

The Research Application Tracking System (otherwise known as RATS) has been developed to facilitate and enhance the protocol approval process for the research community at UCLA. RATS allows investigators the ability to create, submit, and manage their protocols via a web browser. At this time, it is limited to Animal Subjects and Breeding Colony protocols.

Helpful links and information:
- Tutorial (New users should review this!)
- Desktop Guide (New users should review this!)
update #5 (… well, more of a reminder)

- Summer students are coming!
  - MUST complete all required certifications, trainings & MHQ prior to working with animals
  - New Lab Staff checklist available on our website
ARC Certification Program

- ARC Training/Certification Program
- CITI Online Training
- Other Campus Training Programs
  - Division of Laboratory Animal Medicine (DLAM)
  - Office of Environment, Health and Safety (EH&S)
- Frequently Asked Questions
- Resources
- New Lab Member Checklist
Last but not least ...

- Please emphasize to your summer students the importance of proper conduct and respect for lab animals

- Suggest do not allow camera phones in labs
ARC: Who Are You Gonna Call?

- Associate Director Kathy Wadsworth
- Assistant Director Andy Perkins
- ARC Administrator Jennifer Perkins
- ARC Compliance Coordinator Rosa Harmon
- ARC Coordinator Karen Womack
- ARC Specialist Annie Ryan

x66308
arc@oprs.ucla.edu
http://www.oprs.ucla.edu/animal
Updates from the Office of Contract and Grant Administration

Connie Whitley
ORA Office of Contract and Grant Administration
State Contract Expenditure Reductions
(Governor’s Executive Order S-09-09)

- Broadly affects State Contracts and flow-through (subawards)
- Do not know the full impact yet
- OCGA and reviewing awards on a case-by-case basis and contacting sponsors
- Questions: contact your Contract and Grant Officer
ORA News – June 24, 2009

Synopses and awards will no longer be distributed as hard copy

Reviewing feedback received and discussing enhancements

Send feedback to: portal@research.ucla.edu
Additional Updates

Office of Research Policy and Compliance

Ann Pollack

Office of Administration Policies and Compliance

Carole D. Zaima

Graduate Division

M. Belinda Tucker
Lisa Itagaki
Ana Lebon
Research Policy & Compliance

Ann Pollack
Assistant Vice Chancellor – Research
July 9, 2009
Topics

- Revised UCLA Policy 913
- National Institutes of Health Guidelines for Human Stem Cell Research
- Updated UCLA SBIR/STTR Guidance
UCLA Policy 913

- Disposition of Unexpended Balances in Fixed Rate and Fixed Contracts and Nonrefundable Grants
- Revision issued June 15, 2009
- Updated in response to concerns about appropriate charging and large balances
UCLA Policy 913

- Provides guidance regarding the conditions under which unexpended balances on fixed price and fixed rate contracts and nonrefundable grants may be converted into unrestricted funds

National Institutes of Health Guidelines for Human Stem Cell Research

- Guidelines issued on July 6, 2009
- Implements Executive Order 13505 issued by President Barack Obama on March 9, 2009
- Effective July 7, 2009
New National Institutes of Health Guidelines for Human Stem Cell Research

- Anticipate that the Guidelines will affect current UC and UCLA policies and procedures
- Reviewing the Guidelines.
- Will issue campus guidance as soon as possible
UCLA SBIR/STTR Guidance

- Released June 18, 2009
- Information in the guidance memo has been restated and reorganized for clarity
- The following sections of the document include new information:
  - Federal Guidelines
  - UCLA Guidance
  - Negotiation of Subcontract Agreements
SBIR/STTR Guidance

- Under *Federal Guidelines*:
  - Information on the percentage of research that must be conducted at the small business’s research facilities
SBIR/STTR Guidance

- Under *UCLA Guidance*:
  - Small business must have letter of intent, option, or license to use UCLA-developed technology
  - Postdoctoral fellows or graduate students should not be small business PI
  - Research at UCLA must be conducted under a subcontract
  - SBIR/STTR funds cannot be used to make a gift
  - Small business recipients must meet federal eligibility criteria
SBIR/STTR Guidance

- Under *Negotiation of Subcontract Agreements*:
  - Subcontracts with small business applicants negotiated by OIP-ISR
  - Checklists being finalized:
    - How to verify federal eligibility of small business applicant
    - How to verify eligibility of UCLA PI
    - Compliance with conflict of interest and commitment policies
Where to find SBIR/STTR Guidance

Administrative Policies & Procedures Web Site

www.adminpolicies.ucla.edu
Administrative Policies & Procedures (APPs) are applicable to UCLA employees, students, and visitors.

Search Options:
- E-Mail
- Purchasing
- Sales/Service
- Whistleblower
- Subpoenas
- Conflict of Interest
- Use of University Name

Go to APP

- Select an Active Policy or Procedure

Search Results:
- General Administration (100s)
  - Use of UCLA names, subpoenas, conflict of interest...
- Student Affairs (200s)
  - Student records disclosure, student grievances...
- Business & Finance (300s & 700s)
  - Insurance, mail/phone services, cash handling...
- Information Technology (400s)
  - E-Mail, information security, domain names...
- Human Resources (500s)
  - Employee driving records, sexual harassment...
- Facilities (800s)
  - Classroom scheduling, extracurricular use, space management...
- Research & Academic Affairs (900s)
  - Disclosing financial interests, lab animals, copyrights...

Other Policy Sites:
- UC & UCLA Policies
- UCLA Delegations of Authority

Administrative Policies & Compliance Office: 2285 Murphy Hall - Mail Code 140501 - (310) 825-9126
Frequently Asked Questions | Contact Us | Terms of Use / Privacy

©2009 UC Regents
<table>
<thead>
<tr>
<th>Type</th>
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<tr>
<td>Pol</td>
<td>900</td>
<td>Principal Investigator Eligibility</td>
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<td>910</td>
<td>Management of Sponsored Projects</td>
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<td>Approval and Submission of Contract and Grant Proposals</td>
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<td>Disposition of Unexpended Balances in Fixed Rate and Fixed Contracts and Nonrefundable Grants</td>
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<td>Expenditure or Commitment of Funds Against Contracts and Grants Prior to Receipt of an Executed Award</td>
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<td>Accepting Support for Research from Non-Governmental Organizations</td>
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<td>Disclosing Financial Interests in Non-Governmental Donors of Gifts</td>
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<td>Disclosing Financial Interests in Non-Governmental Sponsors of Contracts, Grants, and Material Transfer Agreements for Research</td>
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<td>925.3</td>
<td>Disclosing Financial Interests Relevant to Federally-Sponsored Contracts and Grants for Research</td>
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<td>Distribution of the Research Allocation Portion of Net Licence Income</td>
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<td>Ownership of Creative Work Submitted by Students</td>
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<td>Use of Laboratory Animal Subjects in Research</td>
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<td>Research Involving Recombinant DNA Molecules</td>
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<td>993</td>
<td>Responding to Allegations of Research Misconduct</td>
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### Search Text in APPs

Enter a policy or procedure number, key word, combination of key words, or combination of number and key word(s). If you do a phrase search, you must enclose text in double quotations (e.g., "misconduct in research").

Enter Search Criteria: principal investigator

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<td>Management of Sponsored Projects</td>
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<td>Accepting Support for Research from Nongovernmental Organizations</td>
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<td>Financial Conflicts of Interest in Research</td>
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<td>Policy 991</td>
<td>Protection of Human Subjects in Research</td>
<td>Active</td>
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I. REFERENCES
1. University Internal Departmental Letter to Accounting Officers from Corporate Accounting Director, June 28, 1996.

II. PURPOSE
This policy applies to the disposition of unexpended balances on fixed price and fixed rate contracts, and non-refundable grants, in which no designation was made by the sponsor as to the use of any unexpended balance.

III. STATEMENT
If there is an unexpended balance remaining after close-out of an expired or terminated fixed price or fixed rate contract or non-refundable grant, upon the Principal Investigator (PI) request and with appropriate assurance and approval as outlined in sections D. and E. below, applicable indirect costs will be applied to the unexpended balance until the remaining monies are converted to unrestricted funds to be made available in the PI.

A. When fixed price contract, fixed rate contracts, or non-refundable grants are accepted, the Office of Contract and Grant Administration (OCGA), Office of Intellectual Property & Industry Sponsored Research (OISIR), or the David Geffen School of Medicine at UCLA (DGSOM-SCU), as appropriate, will indicate on the Award Letter that any unexpensed balances remaining at the expiration of the award will be transferred to this policy.

B. Once the account/award has been reconciled (curtailed within 90 days of expiration or termination of the award) and an unexpended balance remains on fixed price and fixed rate contracts and non-refundable grant awards, Extramural Fund Management (EFM) will coordinate with business staff administering the award in the PI's department or Organized Research Unit (ORU) to initiate the close-out process.

C. If an unexpended balance exists after review and close-out, the PI can request that these monies (less applicable indirect costs) be converted into unrestricted funds.

D. In cases where the remaining unexpended balance is 25% or less of the total amount received from the sponsor, the PI's request to transfer the balance to unrestricted funds must include the following: written assurance that all work under the award has been completed, all reports submitted to the sponsor, all costs of conducting the work appropriately charged to the fund established for the award, all invoices submitted and all anticipated payments received, and written endorsement of the Department Chair or ORU Director.

E. In cases where the unexpended balance is greater than 25% of the total amount received from the sponsor, the PI must also provide a written explanation of the variance in addition to the documents required in section D., above.

F. When unexpended balances are determined to be eligible to be converted into unrestricted funds, and requests for transfer of these balances are complete, EFM will allocate the available balance to direct and indirect costs, based on the applicable indirect cost rates in effect for the award. The resulting indirect costs will be transferred to the appropriate unrestricted fund. The remaining available unrestricted balance will be transferred to the PI's account/award.

G. If there are concerns about a request for transfer, EFM staff shall confer with the appropriate campus officials about resolution.

H. All project accounts are subject to University audit. If in an audit it is found that project charges have been inappropriately recorded, corrections and adjustments will be made.

ISSUING OFFICER
[Name]

Vice Chancellor - Research
E-Mail Me Whenever an APP Changes

To receive an email whenever an Administrative Policy or Procedure is modified, added or rescinded, fill in the information below and click on "Subscribe".

Email Address: 
First Name: 
Last Name: 

Subscribe
Policies & Delegations Web Site

www.policies.ucla.edu
Graduate Division Staff

- M. Belinda Tucker, Associate Dean, Grad. Division
  - Institutional signing authority for all F-applications via Grants.gov & all other extramural individual fellowship applications requiring institutional submission (e.g., American Cancer Society, American Heart Association, Autism Speaks, Parkinson’s Disease Foundation)

- Office of Postdoctoral and Visiting Scholar Staff
  - Postdoc & Visiting Scholar appointments & payments
  - All Extramural Individual Fellowship Applications
    - Lisa Itagaki, Director (Payments, Tax)
    - Jenny Tang, Analyst (Individual Fellowships)
    - Esther Chang, Analyst (Appointments)
NRSA Electronic Submission Process

Effective with the August 8, 2009 submission date, all F-series grant applications for the Individual National Research Service Award (NRSA) Fellowships will require electronic submission through Grants.gov to eRA Commons. These include:

- F30 (dual doctoral degree fellowships)
- F31 (predoctoral fellowships)
- F32 (postdoctoral fellowships)
- F33 (senior fellowships)
NIH NRSA Fellowship Resources

• Website: [www.gdnet.ucla.edu](http://www.gdnet.ucla.edu)

• NIH Help Desk: [http://www.grants.gov/help/help.jsp](http://www.grants.gov/help/help.jsp)

• Office of Postdoctoral and Visiting Scholar Staff
  • Lisa Itagaki, Director  [litagaki@gdnet.ucla.edu](mailto:litagaki@gdnet.ucla.edu)  5-0636
  • Jenny Tang, Analyst  [jtang@gdnet.ucla.edu](mailto:jtang@gdnet.ucla.edu)  6-9791
Postdoctoral Scholars

Prospective Postdocs

- How to Apply for a Position
- Faculty Research Interests
- About UCLA Postdocs

New/Current Postdocs

- Orientation
- Privileges and Courtesies
- Bruin Direct Deposit
- Postdoctoral Fellowship Tax Info
- NRSA Individual Fellowships
- Funding Opportunities
- Housing Options
- Union Representation

Administrators & Mentors

- Campus Announcements
- Introduction to Policy
- Appointment Types & Criteria
- Appointment Guidelines & Forms
- Employment/Labor Relations
- Leaves and Other Benefits
- Health & Welfare Benefit Plans
- Postdocadmin LIST
- Postdoctoral Scholar Staff

Career Development

- Chancellor’s Award for Postdoctoral Research
- UC and National Resources

Campus Resources

- Visiting UCLA
- Campus Information
- Campus Services
- Libraries & Centers
- Arts & Culture
- Recreation & Organizations
- Resources for International Scholars

Key References

- Postdoctoral Scholars Directory
- Tool Kit
- UCLA Society of Postdocs
For all August 8, 2009 applications, deadline to email application to Graduate Division is July 31, 2009, at 5pm

Authority

Associate Dean M. Belinda Tucker serves as the institutional official for all pre- and postdoctoral fellowship applications and related paperwork. The Office of Postdoctoral and Visiting Scholar Services provides administrative oversight and assists with the review and eventual activation of all individual NRSAs. All documents requiring Associate Dean Tucker’s signature should be submitted to the Office of Postdoctoral and Visiting Scholar Services, located in 1237 Murphy Hall.

Application Instructions

Effective with the August 8, 2009 submission date, all grant applications for the individual National Research Service Award (NRSA) Fellowships (F-series) will require electronic submission through Grants.gov to eRA Commons. These include:

- F30 (dual doctorate degree fellowships)
- F31 (predoctoral fellowships)
- F32 (postdoctoral fellowships)
- F33 (senior fellowships)

For a complete listing of Fellowship Program Announcements (PAs), see the F-Kiosk

FAQ's & common errors

National Research Service Award (NRSA) Electronic Application Submission Process (PDF-722KB)

The Graduate Division has created a short synopsis of the electronic submission process with information relevant to applicants at UCLA. The instructions and screen shots of a sample application are meant to help answer commonly asked questions and to avoid frequent errors that may occur. Please do not solely rely on the information provided on this site. Please download entire SF424 (R&R) Individual Fellowship Application Guide for NIH and AHRQ (PDF-2.577KB) for detailed instructions.

At anytime during the application process, you can contact the NIH help desk for assistance: Jenny Tang at jtang@gdnet.ucla.edu or (310) 206-9791, and Lisa Itagaki at litagaki@gdnet.ucla.edu or (310) 206-0935 in the Office of Postdoctoral and Visiting Scholar Services are also available to assist.
eRA Commons ID

• The eRA commons is NIH's infrastructure for electronic transactions to receive, review, award, monitor and administer NIH grant awards to organizations and investigators worldwide.

• Must have eRA Commons ID to apply.

• PI or student can contact Jenny Tang or Lisa Itagaki, with full name and email to obtain ID.

• Student should NOT register for Grants.gov account
Download Application at Grants.gov

DOWNLOAD APPLICATION PACKAGE

Note: You will need to download and install PureEdge Viewer / Adobe Reader, prior to downloading an Application Package.

To download an application package, enter the appropriate CFDA Number OR Funding Opportunity Number and click the "Download Package" button.

CFDA Number:  
Funding Opportunity Number: PA-03-2071
Funding Opportunity Competition ID:  

Click to download package

Input PA number here to search for application

If you do not remember the Funding Opportunity Number for the grant opportunity, return to the Find Grant Opportunities section to locate the grant opportunity and then return to this screen to enter the number.
Application Submission Process

• Email completed application to uclafellow@gdnet.ucla.edu by July 31 at 5pm to 1237 Murphy Hall. Only final, completed applications will be accepted.

• Graduate Division staff will review your proposal package for errors. Once errors are corrected, Associate Dean Tucker will submit your application on Grants.gov.
Once your submission is accepted via Grants.gov, your application moves into the eRA Commons where it will be validated and compiled into a single PDF file.

The two-day viewing window begins to correct errors.

Please check email regularly as primary means of communication with Graduate Division for errors, warnings, and pdf compilation issues.
Two-day Viewing Window

The NIH eRA Commons two-day viewing window should be used to:

- Review errors and warnings.
- Correct applications that have errors.
- Correct applications that have critical warnings that could cause the application to be rejected by the Center for Scientific Review.
- View compiled application to ensure integrity of the PDF conversion.

The NIH eRA Commons two-day viewing window should not be used to:

- Correct typographical errors.
- Correct non-critical warnings from validations.
- Make corrections based on input from sponsors and/or mentors.

**Applications with Errors:**

If an application has errors, it will not be accepted by NIH until the errors are corrected.

- Review the errors in the NIH eRA Commons.
- Make the necessary changes.
- E-mail the application back to uclafellow@gdnet.ucla.edu.
- Include an explanation of the errors that have been corrected.
- Only make changes to the application to address the errors.

**Applications with Critical Warnings:**

Most warnings are simply that, warnings. If you are unsure whether warnings need to be corrected, consult with Lisa Tagaki or Jenny Tang. If it is determined that the warnings should be addressed and a changed/corrected application submitted:

- Change the application type to "Changed/Corrected".
- Enter the NIH Accession Number (AN:00000000) in Field #4 (Federal Identifier).
- Make the necessary changes.
- E-mail the application back to uclafellow@gdnet.ucla.edu.
- Include an explanation of the errors that have been corrected.
- Only make changes to the application to address the errors.

**Applications with PDF Compilation Issues:**

If the PDF compilation results in the format of the application being compromised, you may submit a changed/corrected application. Follow the same steps as for "warnings" above.

If you need to submit a changed/corrected application after the deadline, you must include a cover letter stating why the application is late. In most cases, submitting a changed/corrected application after the deadline, but within the two-day window, will not result in the application being rejected.
Form 10

- Graduate Student Form 10s & payments
  Ana Lebon
  Director, Graduate Student Support
  1228 Murphy Hall

- Postdoc and Visiting Scholar Form 10s & payments
  Lisa Itagaki
  Director, Postdoctoral and Visiting Scholars
  1237 Murphy Hall
Graduate Student Support
1228 Murphy Hall

Graduate Student Support

• Ana Lebon, Director, x64309
• Sherman Chew, Office Manager, x55174
• Arlene Ortiz, Adm. Analyst, x55702
• Henry Hernandez, Adm. Analyst, x51985
• Jenny Luna, Adm. Adm. Analyst, x51465
• Fred Merrick, Adm. Analyst, x54213
• Jenny Tang, Adm. Analyst, x69791
HOW TO Process an Award Transmittal Form aka Form 10
PURPOSE

To issue fellowship awards to individual students/postdoctoral fellows in the form of stipend, tuition or fees.
New Fee and Tuition Award for a student
**EXAMPLE 1**

**New Fee and Tuition Award**

**UCLA GRADUATE DIVISION FELLOWSHIP AWARD TRANSMITTAL**

<table>
<thead>
<tr>
<th>UID</th>
<th>NAME (Last, First, MI)</th>
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<tr>
<td>902999999</td>
<td>Anita Break</td>
<td><a href="mailto:abreak@ucla.edu">abreak@ucla.edu</a></td>
</tr>
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</table>

**Payee Code**: G = Graduate Student

**Citizenship**: US

**Award 1**

- **Account Information**: 783938 - 1C - 21664
- **Award Type**: F = Fees
- **Fund Name**: Award Name must match the Account & Fund
- **Authorizing Agency**: FG = Federal Gov.
- **Award Eligibility**: M = Merit

**Disbursement Information**: N = New 2008-2009 9,981.50

**Quarterly Payments**
- **Fall Quarter**: 3,326.50
- **Winter Quarter**: 3,327.50
- **Spring Quarter**: 3,327.50

**Monthly Payments**

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**Award 2**

- **Account Information**: 783938 - 1C - 21664
- **Award Type**: T = Tuition
- **Fund Name**: Award Name must match the Account & Fund
- **Authorizing Agency**: FG = Federal Gov.
- **Award Eligibility**: M = Merit

**Disbursement Information**: N = New 2008-2009 14,694.00

**Quarterly Payments**
- **Fall Quarter**: 4,898.00
- **Winter Quarter**: 4,898.00
- **Spring Quarter**: 4898.00

**Monthly Payments**

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Form

Completed by: Emma Star

Date: 10/31/08

Phone: 51111

Email: estar@humnet.ucla.edu

Department: Creative Writing

Department FAX Code: 2665

Name of Graduate Advisor, P.I., Chair or Dean: Noah Chadwin

**Signature of Graduate Advisor, P.I., Chair or Dean**

Date

Please print, obtain departmental signatures, and mail or deliver completed form to:
Stipend Award for a Student or Postdoctoral Fellow
**EXAMPLE 2**

New Stipend Award

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**UCLA GRADUATE DIVISION FELLOWSHIP AWARD TRANSMITTAL**

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<td>902999999</td>
<td>Anita Break</td>
<td><a href="mailto:abreak@ucla.edu">abreak@ucla.edu</a></td>
</tr>
</tbody>
</table>

**Payee Code**
- G = Graduate Student

**Citizenship**
- US

**Award 1**

**Account Information**
- Account ID: 839961C_21654

**Award Type**
- S = Stipend

**Fund Name**
- Award Name must match the Account & Fund
- FG = Federal Gov
- M = Merit

**Debursement Information**
- New / Revised: Yes
- Fiscal Year: 2008-2009
- Total Award Amount: 6,000.00

**Quarterly Payments**
- Fall Quarters: 2,000.00
- Winter Quarters: 2,000.00
- Spring Quarters: 2,000.00

**Monthly Payments**

<table>
<thead>
<tr>
<th>Month</th>
<th>July</th>
<th>August</th>
<th>September</th>
<th>October</th>
<th>November</th>
<th>December</th>
<th>January</th>
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</tbody>
</table>

**Award 2**

**Account Information**
- Account ID: 

**Award Type**
- 

**Fund Name**
- 

**Debursement Information**
- 

**Quarterly Payments**
- Fall Quarters: 
- Winter Quarters: 
- Spring Quarters: 

**Monthly Payments**

<table>
<thead>
<tr>
<th>Month</th>
<th>July</th>
<th>August</th>
<th>September</th>
<th>October</th>
<th>November</th>
<th>December</th>
<th>January</th>
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</tr>
</tbody>
</table>

---

Form completed by Emma Star
Date 10/31/08
Phone
Email estar@humnet.ucla.edu

Department: Creative Writing
Dept. Code: 2685

Name of Graduate Advisor, P.I., Chair or Dean: Noah Chadun
Signature of Graduate Advisor, P.I., Chair or Dean: 
Date: 

Please print, obtain departmental signatures, and mail or deliver completed form to:
Graduate Student Support Office, 1192 Murphy Hall, Mail Code: 44101 — Graduate Division Use Only
How to Revise a Form 10

**Example 1**
**Award 1**
Receiving full fee award. Student will be employed as a GSR for fall and winter quarters with remission benefits. Need to revise award amount of fees.

**Example 2**
**Award 1**
You found out that the stipend award for fall needs to be for a total of $3,500 and not $2,000
EXAMPLE 3

Revise fee award: Student became a TA for Fall and Winter
Revise stipend award: Department awards more funds to the student in the Fall

**UCLA GRADUATE DIVISION FELLOWSHIP AWARD TRANSMITTAL**

<table>
<thead>
<tr>
<th>ACCOUNT</th>
<th>Account - GC - Fund</th>
<th>Award Type</th>
<th>Full Name</th>
<th>Authorizing Agency</th>
<th>Award Eligibility</th>
<th>Account ID</th>
</tr>
</thead>
<tbody>
<tr>
<td>INFORMATION</td>
<td>7.83936 - 1C - 21664</td>
<td>F = Fees</td>
<td>Award Name must match the Account &amp; Fund</td>
<td>FG = Federal Gov</td>
<td>M = Merit</td>
<td></td>
</tr>
<tr>
<td>DECREASE</td>
<td>R = Revised</td>
<td>2008-2009</td>
<td>3,557.50</td>
<td>TA for 08F and 09W</td>
<td></td>
<td></td>
</tr>
<tr>
<td>QUARTERLY PAYMENTS</td>
<td>Fall Quarter</td>
<td>114.50</td>
<td>Winter Quarter</td>
<td>115.50</td>
<td>Spring Quarter</td>
<td>3,327.50</td>
</tr>
</tbody>
</table>

**MONTHLY PAYMENTS**

<table>
<thead>
<tr>
<th></th>
<th>July</th>
<th>August</th>
<th>September</th>
<th>October</th>
<th>November</th>
<th>December</th>
<th>January</th>
<th>February</th>
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</tbody>
</table>

**ACCOUNT 2**

<table>
<thead>
<tr>
<th>ACCOUNT</th>
<th>Account - GC - Fund</th>
<th>Award Type</th>
<th>Award Name</th>
<th>Authorizing Agency</th>
<th>Award Eligibility</th>
<th>Account ID</th>
</tr>
</thead>
<tbody>
<tr>
<td>INFORMATION</td>
<td>7.83936 - 1C - 21664</td>
<td>S = Stipend</td>
<td>Award Name must match Account &amp; Fund</td>
<td>FG = Federal Gov</td>
<td>M = Merit</td>
<td></td>
</tr>
<tr>
<td>DECREASE</td>
<td>R = Revised</td>
<td>2008-2009</td>
<td>7,500.00</td>
<td>Adding $1500 to 08F</td>
<td></td>
<td></td>
</tr>
<tr>
<td>QUARTERLY PAYMENTS</td>
<td>Fall Quarter</td>
<td>3,500.00</td>
<td>Winter Quarter</td>
<td>2,000.00</td>
<td>Spring Quarter</td>
<td>2,000.00</td>
</tr>
</tbody>
</table>

**MONTHLY PAYMENTS**

<table>
<thead>
<tr>
<th></th>
<th>July</th>
<th>August</th>
<th>September</th>
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<th>November</th>
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<td>$</td>
</tr>
</tbody>
</table>

Form Completed by: Emma Star Date: 10/31/08 Phone: Email: estar@humnet.ucla.edu

Department: Creative Writing Department #: 2665

Name of Graduate Advisor, P.I., Chair or Dean: Noah Chadwin

Signature of Graduate Advisor, P.I., Chair or Dean Date:

Please print, obtain departmental signature, and mail or deliver completed form to:
Graduate Student Support Office, 1228 Murphy Hall, Office Hours, Graduate Division Use Only

Graduate Division Signature Date:
EXAMPLE 4

Revise fee award: Student became a TA for Fall and Winter
Revise stipend award: Department awards more funds to the student in the Fall

LA GRADUATE DIVISION FELLOWSHIP AWARD TRANSMITTAL

<table>
<thead>
<tr>
<th>NAME (Last, First, Md.)</th>
<th>Anita Break</th>
</tr>
</thead>
<tbody>
<tr>
<td>Payee Code</td>
<td></td>
</tr>
<tr>
<td>Citizenship</td>
<td>US</td>
</tr>
</tbody>
</table>

**AWARD 1**

<table>
<thead>
<tr>
<th>ACCOUNT</th>
<th>Account - CC - Fund</th>
<th>Award Type</th>
<th>Fund Name</th>
<th>Authorizing Agency</th>
<th>Award Eligibility</th>
<th>Account ID</th>
</tr>
</thead>
<tbody>
<tr>
<td>INFORMATION</td>
<td>83996.1C - 21664</td>
<td>F = Fees</td>
<td>Award Name must match the Account &amp; Fund</td>
<td>FG = Federal Gov</td>
<td>M = Merit</td>
<td></td>
</tr>
<tr>
<td>DISBURSEMENT</td>
<td>New / Revised</td>
<td>2008-2009</td>
<td>Total Award Amount</td>
<td>COMMENTS</td>
<td></td>
<td></td>
</tr>
<tr>
<td>INFORMATION</td>
<td>R = Revised</td>
<td>230.00</td>
<td>TA for 08F and 09W</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**QUARTERLY PAYMENTS**

<table>
<thead>
<tr>
<th></th>
<th>Fall Quarter</th>
<th>Winter Quarter</th>
<th>Spring Quarter</th>
</tr>
</thead>
<tbody>
<tr>
<td><em>award_1</em></td>
<td>114.50</td>
<td>115.50</td>
<td></td>
</tr>
</tbody>
</table>

**MONTHLY PAYMENTS**

<table>
<thead>
<tr>
<th></th>
<th>July</th>
<th>August</th>
<th>September</th>
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<th>November</th>
<th>December</th>
<th>January</th>
<th>February</th>
<th>March</th>
<th>April</th>
<th>May</th>
<th>June</th>
</tr>
</thead>
<tbody>
<tr>
<td><em>award_1</em></td>
<td>$</td>
<td>$</td>
<td>$</td>
<td>$</td>
<td>$</td>
<td>$</td>
<td>$</td>
<td>$</td>
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<td>$</td>
</tr>
</tbody>
</table>

**AWARD 2**

<table>
<thead>
<tr>
<th>ACCOUNT</th>
<th>Account - CC - Fund</th>
<th>Award Type</th>
<th>Fund Name</th>
<th>Authorizing Agency</th>
<th>Award Eligibility</th>
<th>Account ID</th>
</tr>
</thead>
<tbody>
<tr>
<td>INFORMATION</td>
<td>83996.1C - 21664</td>
<td>S = Stipend</td>
<td>Award Name must match the Account &amp; Fund</td>
<td>FG = Federal Gov</td>
<td>M = Merit</td>
<td></td>
</tr>
<tr>
<td>DISBURSEMENT</td>
<td>New / Revised</td>
<td>2008-2009</td>
<td>Total Award Amount</td>
<td>COMMENTS</td>
<td></td>
<td></td>
</tr>
<tr>
<td>INFORMATION</td>
<td>R = Revised</td>
<td>1,500.00</td>
<td>Stipend for 08F</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**QUARTERLY PAYMENTS**

<table>
<thead>
<tr>
<th></th>
<th>Fall Quarter</th>
<th>Winter Quarter</th>
<th>Spring Quarter</th>
</tr>
</thead>
<tbody>
<tr>
<td><em>award_2</em></td>
<td>1,500.00</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**MONTHLY PAYMENTS**

<table>
<thead>
<tr>
<th></th>
<th>July</th>
<th>August</th>
<th>September</th>
<th>October</th>
<th>November</th>
<th>December</th>
<th>January</th>
<th>February</th>
<th>March</th>
<th>April</th>
<th>May</th>
<th>June</th>
</tr>
</thead>
<tbody>
<tr>
<td><em>award_2</em></td>
<td>$</td>
<td>$</td>
<td>$</td>
<td>$</td>
<td>$</td>
<td>$</td>
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<td>$</td>
</tr>
</tbody>
</table>

Form

Completed by Emma Star Date 10/31/08 Phone

Department Creative Writing Department Pk Code 2665

Name of Graduate Advisor, P.I., Chair or Dean Noah Chadwin

Please print, obtain departmental signature, and mail or deliver completed form to:
Graduate Student Support Office, 1234 Murphy Hall, Mailcode 444404
Graduate Division Use Only

---

Incorrect revision

- Spring Fee award of $3087.50 was originally awarded, by leaving this blank, you are instructing us to cancel spring fee award and only process the BOF for fall and winter.

- By leaving winter and spring blank, you are instructing us to cancel winter and spring stipend.

Original award was for $2000 per quarter under this FAU.
Are you reducing the total award for the academic year to $1500?
Or, is the $1500 in addition to what was already awarded?
If it is in addition, the total amount should be increased to $7,500.00 and fall should reflect $3500.00
One More Revision

The incorrect fund number was used to pay the stipend and therefore you need to make changes to the original form 10 as follows:

Original Account information used: 783936-1C-21664
New Account information to use: 783936-1C-28888

Submit a form 10 to make the change to the stipend award:
Fall 3,500
Winter 2,000
Spring 2,000
Total 7,500
**EXAMPLE 5**

**Changing / Switching Fund Number**

**CLA GRADUATE DIVISION FELLOWSHIP**

**1. Award 1**

<table>
<thead>
<tr>
<th>Account</th>
<th>Account - CC - Fund</th>
<th>Award Type</th>
<th>Fund Name</th>
<th>Authorizing Agency</th>
<th>Award Eligibility</th>
<th>Account ID</th>
</tr>
</thead>
<tbody>
<tr>
<td>739586 - 1C - 21661</td>
<td>S = Stipend</td>
<td>Award Name must match the Account &amp; Fund</td>
<td>FG = Federal Gov</td>
<td>M = Merit</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**DISBURSEMENT**

<table>
<thead>
<tr>
<th>New / Revised</th>
<th>Fiscal Year</th>
<th>Total Award Amount</th>
<th>COMMENTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>R = Revised</td>
<td>2008-2009</td>
<td>0.00</td>
<td></td>
</tr>
</tbody>
</table>

**MONTHLY PAYMENTS**

- Fall: 0.00
- Winter: 0.00
- Spring: 0.00

**2. Award 2**

<table>
<thead>
<tr>
<th>Account</th>
<th>Account - CC - Fund</th>
<th>Award Type</th>
<th>Fund Name</th>
<th>Authorizing Agency</th>
<th>Award Eligibility</th>
<th>Account ID</th>
</tr>
</thead>
<tbody>
<tr>
<td>739586 - 1C - 28888</td>
<td>S = Stipend</td>
<td>Award Name must match the Account &amp; Fund</td>
<td>FG = Federal Gov</td>
<td>M = Merit</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**DISBURSEMENT**

<table>
<thead>
<tr>
<th>New / Revised</th>
<th>Fiscal Year</th>
<th>Total Award Amount</th>
<th>COMMENTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>N = New</td>
<td>2008-2009</td>
<td>7,500.00</td>
<td></td>
</tr>
</tbody>
</table>

**MONTHLY PAYMENTS**

- Fall: 3,500.00
- Winter: 2,000.00
- Spring: 2,000.00

---

**Form Completed by** Emma Star
**Date** 10/31/08
**Phone**
**Email** estar@humnet.ucla.edu

**Department** Creative Writing
**Department FICA Code** 2665

**Name of Graduate Advisor, P.I., Chair or Dean** Noah Chadun
**Signature of Graduate Advisor, P.I., Chair or Dean**
**Date**

---

**Please print, obtain departmental signature, and mail or deliver completed form to:**
**Graduate Student Support Office, 113 Murphy Hall, Mailcode 14440L**
**Graduate Division Use Only**

**Graduate Division Signature**
**Date**
**EXAMPLE 6**

**Changing / Switching Fund Number**

**CLA GRADUATE DIVISION FELLOWSHIP AWARD TRANSMITTAL**

<table>
<thead>
<tr>
<th>Account - C.C.</th>
<th>Fund</th>
<th>Award Type</th>
<th>Fund Name</th>
<th>Authorizing Agency</th>
<th>Award Eligibility</th>
<th>Account ID</th>
</tr>
</thead>
<tbody>
<tr>
<td>83936.1Q-28888</td>
<td>S</td>
<td>Stipend</td>
<td>Award Name must match the Account &amp; Fund</td>
<td>FG = Federal Gov.</td>
<td>M = Merit</td>
<td></td>
</tr>
</tbody>
</table>

**DEBUTMENT INFORMATION**

<table>
<thead>
<tr>
<th>New / Revised</th>
<th>Fiscal Year</th>
<th>Total Award Amount</th>
<th>COMMENTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>N = New</td>
<td>2008-2009</td>
<td>7,500.00</td>
<td></td>
</tr>
</tbody>
</table>

**CHANGING FUND NUMBER:**

**QUARTERLY PAYMENTS**

<table>
<thead>
<tr>
<th>Fall Quarter</th>
<th>Winter Quarter</th>
<th>Spring Quarter</th>
</tr>
</thead>
<tbody>
<tr>
<td>3,500.00</td>
<td>2,000.00</td>
<td>2,000.00</td>
</tr>
</tbody>
</table>

**MONTHLY PAYMENTS**

<table>
<thead>
<tr>
<th>July</th>
<th>August</th>
<th>September</th>
<th>October</th>
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</table>

**AWARD 2**

<table>
<thead>
<tr>
<th>Account - C.C.</th>
<th>Fund</th>
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<th>Award Eligibility</th>
<th>Account ID</th>
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<tbody>
<tr>
<td></td>
<td>S</td>
<td>Stipend</td>
<td>Award Name must match the Account &amp; Fund</td>
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<th>COMMENTS</th>
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</thead>
<tbody>
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<td>7,500.00</td>
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**QUARTERLY PAYMENTS**

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<thead>
<tr>
<th>Fall Quarter</th>
<th>Winter Quarter</th>
<th>Spring Quarter</th>
</tr>
</thead>
<tbody>
<tr>
<td>3,500.00</td>
<td>2,000.00</td>
<td>2,000.00</td>
</tr>
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**MONTHLY PAYMENTS**

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</tbody>
</table>

**Please note:** Without cancelling the award under the original fund number, you will be giving the payee double the award.

Completed by: **Emma Star**

Date: 10/31/07

Phone: 

Email: estar@hum.net.ucla.edu

Department: **Creative Writing**

Department, F.$ Code: 2665

Name of Graduate Advisor, P.I., Chair or Dean: **Noah Chaduin**

Signature of Graduate Advisor, P.I., Chair or Dean: 

Date: 

Graduate Division Use Only

Graduate Division Signature: 

Date: 

Please print, obtain departmental signature, and mail or deliver completed form to:

Graduate Student Support Office, 1218 Murphy Hall, Mailcode 14416L
QUESTIONS?
Overview of ORA Research Administration Process Improvement and Deployment (RAPID) Project

Marcia Smith
ORA
Analysis of Assessment Report

- Review and analysis of the assessment report
  - Attended Steering and Working Group Meetings during project performance
  - Met with campus leadership, researchers, department research administrators, Office of Research Administration (ORA) leadership and ORA staff
- Initial organization and prioritization of initiatives
  - Catalogued and classified recommendations involving ORA processes
  - Developed initial prioritization of recommendations based on project goals: Improve service to faculty, enhance financial performance, mitigate compliance risk
  - Factored in new developments: Recovery Act requirements, AAHRPP return site visit
  - Developed high-level project and resource plans
- Met with Huron Team to review and discuss the initial prioritization of recommendations and to identify appropriate projects for Huron Team support
Initial Priorities for Action

Overarching Recommendations

- ORA Organization
  - Stabilize operations and strengthen leadership
  - Establish communication and outreach plan
  - Develop performance management measurement metrics
  - Develop training and education programs
  - Define roles and responsibilities
  - Update policy and procedure

- Information Systems
  - Integrate technology solutions across ORA units
  - Develop technology strategic plan

- Business Process
  - Conduct detailed process redesign to standardize, reduce inefficiencies
  - Develop standard desktop SOP and compliance manuals
Initial Priorities for Action

Specific Business Process Recommendations

- Proposal and award management
  - Proposal development, review, approval and submission
  - Award acceptance/setup
  - Sub-award development, negotiation and execution
- Post-award financial management
  - Financial status reporting and invoicing
  - Letter of Credit cash management
  - Effort reporting
  - Cost transfers
  - Award close-out
- Protection of human subjects
  - AAHRPP Accreditation
  - webIRB
  - Protocol management
- Protection of animal subjects
  - Protocol management
Steps Taken and Progress to Date

Overarching Priorities

- Stabilize operations and strengthen ORA organization
  - Integrate ORA operational units
  - Develop plan for ongoing staff professional development
- Establish campus communication and outreach plan
  - Monthly RA Forum Meetings
  - ORA News
  - RACC Meetings
  - CAO Meetings
  - OOC Meetings
  - Department Faculty Meetings
  - RAPID Project Web Site (in development)
- Develop performance management measurement metrics
  - Review, improve, integrate and standardize data collection
  - Develop management reports
  - Communicate metrics through ORA portal
Steps Taken and Progress to Date

Overarching Priorities (Continued)

- Develop and deploy training and education programs
  - Monthly RA Forum meetings
  - OPRS Open House
  - S2S hands-on training and open house sessions
  - Update and expand curriculum for Research Administration Certification Program

- Integrate technology solutions across ORA units
  - Provide IRB/IACUC approval information for OCGA
  - Post IRB approval packets and OCGA award notices on the portal

- Conduct detailed process redesign to standardize, reduce inefficiencies
Steps Taken and Progress to Date

Business Process Analysis, Redesign and Deployment Priorities

- **Proposal and Award Management**
  - Proposal development, review, approval and submission
  - Prepare for American Reinvestment and Recovery Act (ARRA) funding
    - Implement ARRA Help Line and FAQs
    - Develop and deploy proposal checklists
    - Hold S2S training sessions and Open House sessions
    - Deploy temporary/OT staffing in OCGA to manage proposal surge
  - Implement new proposal intake, data collection and tracking process
    - ARRA Proposal Submissions: 1,123 proposals, $570M
    - ARRA Award Transactions: 47 awards, $18M
- **Award acceptance/setup** *(Huron-led project)*
- Initiate award acceptance/setup business process analysis working group
  - Form interdisciplinary working group
  - Begin business process analysis
Steps Taken and Progress to Date

Business Process Analysis, Redesign and Deployment Priorities (Continued)

- **Post-Award Financial Management**
- Prepare for ARRA rapid award setup and unprecedented reporting requirements
- Requirement for detailed budgets
- OIG funding for monitoring grantees – ARRA funds to be treated with “extreme sensitivity to waste, fraud and abuse.”
- Quarterly reports of programmatic and financial progress:
  - details of funds received, obligated and expended;
  - evaluation of the project status;
  - number of jobs created and jobs retained for each project;
  - detailed information on all subcontracts and sub-grants awarded
- Individualized Letter of Credit drawdown for each ARRA award
- Cost Transfers
- Design, schedule implementation of payroll system control to manage salary transfers
Steps Taken and Progress to Date

Business Process Analysis, Redesign and Deployment Priorities (Continued)

- **Post-Award Financial Management (Continued)**
- **Financial status reporting and invoicing (Huron-led project)**
  - Initiate financial reporting business process analysis working group
    - Form interdisciplinary working group
    - Perform business process analysis
    - Begin process redesign
- **Letter of Credit cash management (Huron-led project)**
  - Initiate Letter of Credit business process analysis working group
    - Form interdisciplinary working group
    - Perform business process analysis
    - Complete process redesign
    - Develop implementation plan
Steps Taken and Progress to Date

Business Process Analysis, Redesign and Deployment Priorities (Continued)

- **Post-Award Financial Management (Continued)**
- Effort reporting
  - Develop management reports for campus and ORA monitoring of compliance
  - Plan Initiation of effort reporting team for monitoring, trouble-shooting, and training

- **Protection of Human Subjects**
  - Revised organizational structure
  - Implemented an expedited process for expedited studies
  - Achieved full AAHRPP accreditation
  - Continued with webIRB development
  - Improved HRPP staffing, retention, and training
  - Cleared backlog of meeting minutes
Next Steps
Next Steps

- Gather feedback on the current initiatives from the RAPID Steering Committee and other campus groups
- Continue to move forward with the implementation of priority process improvements
- Evaluate progress and ongoing resource requirements
- Continue to communicate and report on progress of RAPID initiatives
- Establish a website to share information about the ongoing efforts with the UCLA research community
Questions and Discussion