Today’s Topics

- Operational Management Challenges
- OCGA Master Training Calendar
- Revised EPASS
- Introduction of New Staff
Operational Management Challenges

Background - Leadership Bodies – RAPID Results, Updates, Accomplishments, and Initiatives

RAPID Steering Committee

- Convened by EVC Scott Waugh
- Membership includes Vice Chancellors, Deans, Senior Administrators
- AVC Marcia Smith reports to the Steering Committee on ORA operations and the direction of RAPID initiatives
- RAPID Faculty Advisory Committee reports to the Steering Committee and advises on RAPID priorities
Operational Management Challenges

Background

• Presented “Challenges in OCGA Operations Management” to Steering Committee in March
• Stunned/Astounded by ramifications and complexities of OCGA day-to-day operations
• Provost invitation to present to Dean’s Council
Operational Management Challenges

Background

• Dean’s Council
  ▪ Similarly Stunned/Astounded by ramifications and complexities
  ▪ Provost summarizes risks to the institution
  ▪ Deans agree
  ▪ Provost solicits Deans analysis and recommendations
# The Issues By the Numbers FY13

<table>
<thead>
<tr>
<th>Proposals Submitted</th>
<th>4,674</th>
</tr>
</thead>
<tbody>
<tr>
<td>Received 2 days (16 working hours)</td>
<td>1,899 42%</td>
</tr>
<tr>
<td>or less in advance of sponsor deadline</td>
<td></td>
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<tr>
<td>Received 4 days (32 working hours)</td>
<td>3,468 74%</td>
</tr>
<tr>
<td>or less in advance of sponsor deadline</td>
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Larger component of our portfolio is complex
- 20% decrease in federal dollars
- 56% increase in state, foundation, other dollars
Impact of Late Proposals

- OCGA accepts ALL proposals regardless of:
  - How late it is received:
    - 5 minutes prior to deadline?
  - How complete:
    - highly variable quality and completeness
    - highly variable preparer expertise
  - How inflexible the deadline and the electronic system
- Process to accommodate a reasonable number of late proposals/real emergencies
Delays in Award Set-Up

- $21M of awards (174) currently on hold waiting for Department or PI response
- FY14 median award processing time:
  - 9 days -- complete proposal record
  - 13 days -- PI/Department information missing
- 46% of all awards in FY13 required additional information from the Department or PI before set-up
- 10% of awards ($88M) in FY13 received for proposals submitted without institutional approval (No department, DRA or OCGA approval)
Increasing Complexity of OCGA Transactions

- Increasing percentage of non-routine – one-of-a-kind or few-of-a-kind transactions

- Complex transactions require coordination with campus experts:
  - Intellectual Property
  - Development
  - Risk Management
  - UCOP
  - General Counsel
  - Humans/Animals
  - Export Control
  - Conflict of Interest
  - PI/Department
Complex, Coordinated Collaboration

O CGA Sponsor

CTAO
Campus Counsel
OHRPP
RPC
VCs
Other UCs
Dvlpmt
EFM
OIP
UCOP
Tax Svs
CTAO
PI
Cap Progs
OARO
Purch.
Chairs
Risk Mgmt
Deans
ISR
O CGA Sponsor

Sponsor
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OIP
UCOP
Tax Svs
CTAO
PI
Cap Progs
OARO
Purch.
Chairs
Risk Mgmt
Deans
ISR
What are Other UC Campuses Doing?

Berkeley – Hard Line

• Must be complete (including internal forms and all signatures) or returned
  ▪ Draft and placeholder sections are not acceptable
  ▪ Except scope/research plan
• Five days prior to the deadline
  ▪ Including pre-proposals, white papers, LOI’s
  ▪ Incomplete – returned and considered late
• Exceptions require written request for VCR approval – can be denied
What are Other UC Campuses Doing?

Berkeley – Hard Line

• SPO’s office hours: 8:00 am to 5:00 pm (M – F)
• SPO reserves the right to process non-compliant proposals only after on-time proposals for day are submitted
• Unreasonable and unfair to expect on-time proposals to be delayed or receive lesser review due to late proposals
What are Other UC Campuses Doing?

Irvine – Hard Line

- Must be complete (including internal forms and all signatures) or returned
  - Draft and placeholder sections are not acceptable
  - Except scope/research plan
- Standard Proposals: 5 days prior to the deadline
- Non-standard Proposals: 10 days prior to the deadline
  - Sponsor is not Government, UC, or Domestic Higher Ed.
  - Proposal is a contract
  - Proposal includes Award Terms and Conditions
  - Proposal includes SubAwards
  - Limited Submissions
  - Reduced F&A
What are Other UC Campuses Doing?

Irvine – Hard Line

• Applies to all extramural proposals – even if NO signature or institutional concurrence
• Final scope/research plan no later than 8 business hours before deadline time
• First-In/First-Out – no preference for late proposals
• Exception to 5/10 days require written request for VCR approval – *can be denied*
What are Other UC Campuses Doing?

- Will provide data/feedback to Provost and Deans Council
- Currently reviewing standard/mandatory expectations for proposal completeness
- Currently reviewing OCGA proposal review processes and expectations based on when received
- Finalizing proposal receipt process (via Proposal Intake Team)
  - Proposals@research.ucla.edu
Revised EPASS

- Based on campus and ORA feedback
- Updated Form and Instructions available on the OCGA Forms site
Revised EPASS

Section 2: Department or ORU

• Added two ORUs to the pick-list:
  • California Center for Population Research (CCPR)
  • Grand Challenges
Revised EPASS

Section 5: Sponsor Information

• Reorganized fields and provided more information to clarify direct versus prime sponsor
  • Left side: Sponsor Information (Entity which will provide funding directly to UCLA)
  • Right Side: Prime Sponsor Information (Complete this section when UCLA is a subrecipient)
Revised EPASS

Section 6: Proposal Checklist

• Added Cost Sharing Amount to cost sharing question(s):

<table>
<thead>
<tr>
<th>Is any Cost Sharing/Matching proposed in this application? (Do not include unfunded effort or salary cap differential here.)</th>
</tr>
</thead>
<tbody>
<tr>
<td>If Yes, required by sponsor? Yes (mandatory committed) No (voluntary committed)</td>
</tr>
<tr>
<td>Cost Share Amount: Source/FAU#:</td>
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</table>

• Human and Animal Subjects; If yes, indicate “Pending” or IRB #:

<table>
<thead>
<tr>
<th>Human Subjects? If yes, indicate “Pending” or IRB#:</th>
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<tbody>
<tr>
<td>Are study related patient care costs to be billed to the award OR to a third party payor (i.e. medical insurance/Medicare)? If yes, then a Policy 915 Coverage Analysis is required (refer to <a href="http://www.clinicaltrials.ucla.edu">www.clinicaltrials.ucla.edu</a>).</td>
</tr>
<tr>
<td>Animal Subjects? If yes, indicate “Pending” or ARC#:</td>
</tr>
</tbody>
</table>

Delayed Onset
Revised EPASS

Section 7: Additional Forms Required

• Added clarifying language to 700-U
  • Required for Research
  • Hover over help for types of Research

**Type of Research:** Applied Org Research, Basic Org Research, Clinical Research, CT Device, CT Drug, CT Gene Therapy, CT Gov./Non-Profit, CT In Kind, CT PI, CT Other, Dev Org Research, Other Org Research, Research Training or Visiting Scientist

<table>
<thead>
<tr>
<th>Additional Forms Required</th>
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<tbody>
<tr>
<td>Yes</td>
</tr>
<tr>
<td>□</td>
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<tr>
<td>□</td>
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OCGA Master Training Calendar

- Beginning September 2014
- First Thursday of each month
- Kinross 210
- 60 – 90 minute sessions on a focused topic
- Presented by subject matter experts
Topic: Filling out the EPASS: How and Why
Date: Thursday, September 4, 2014
11000 Kinross Ave, Room 210 9:30AM-11:00AM
Presenter: Patti Manheim
Summary: This session will address the background and purpose of the EPASS. We will review and discuss each section of the EPASS with specific examples of questions from users. This session is appropriate for anyone with responsibility for completing, reviewing or processing EPASS forms.
RSVP: Click here to RSVP
New OCGA Staff

Sam Perez, Award Intake/Grant Analyst

• Experience
  - Nine years in OCGA as a Contract and Grant Specialist
  - Comprehensive understanding of OCGA processes and procedures, technical expertise with ORA/OCGA systems
New OCGA Staff

Rae Anne Robinett, Senior Grant Analyst

• Previous experience:
• UCLA Office of Intellectual Property and Industry Sponsored Research
  ▪ Eight years of in-depth and comprehensive expertise in reviewing proposals, negotiating complex agreements.
New OCGA Staff

Stephanie Saelzler, Grant Analyst

• Previous experience:
  - Contract and Grant Specialist with UCSD
  - EPA as a Grant Specialist

• UC expertise as well as a comprehensive background in complex grant proposals, foreign agreements and federal regulations.
Shauna Huntsman, Senior Grant Analyst

- Effective June 2, 2014
- Experience:
  - Senior Research Administrator at UCSF
  - Grant and contract proposal preparation and award negotiation
  - UC expertise
  - Solid background in federal and non-profit sponsors
OCGA Staff – Open Positions

- Contract and Grant Officer
- Contract and Grant Specialist
- Assistant to the Director
QUESTIONS