Research Administrators Forum
November 18, 2010

Sponsored by
Office of Research Administration

Marcia Smith
Associate Vice Chancellor
Meeting Agenda

- Welcome and Announcements
  Marcia Smith

- UCLA Library Outreach on the NIH Public Access Policy: Challenges and Opportunities
  Sharon E. Farb, Assoc. Univ. Librarian for Collection Management and Scholarly Communication, UCLA Library ~and~ Janet D. Carter, Collection Coordinator, UCLA Biomedical Library

- Research Policy and Compliance Update
  Ann Pollack

- OARO Update
  Kathy Wadsworth

- OCGA Update
  Kristin Lund and Evan Garcia

- ARRA Reporting Update
  Marcia Smith

- EFM Update
  Jennifer Aguilar

- Questions and Discussion
ORA Announcements
ORA Winter Closure

Office of Research Administration offices, including EFM, OCGA, OHRPP, OARO and ORIS, will participate in the Winter Holiday Closure announced by Executive Vice Chancellor, Scott Waugh.

ORA offices will be closed:
Saturday, December 18, 2010 – Sunday, January 2, 2011
O CGA Deadlines

For sponsor deadlines between December 20, 2010 and January 7, 2011:

Proposals due to O CGA by 8:00 a.m. December 15, 2010
EFM Deadlines

For ARRA reports due to sponsor
January 10, 2011:
Department reports due to EFM by
December 14, 2010

FSR Reports due to sponsor by
January 5, 2011:
Closeout reports due to EFM by
December 6, 2010

~Please certify all outstanding effort reports~
OARO Deadlines

ARC Deadline for Submissions
November 24, 2010
December 17, 2010
January 14, 2011

ARC Meeting Date
December 13, 2010
January 10, 2011
January 31, 2011
# OHRPP Deadlines

## MIRB 1 Meeting Schedule
- **Deadline**: November 17, 2010
- **Meeting Date**: December 1, 2010
- **Deadline**: December 8, 2010
- **Meeting Date**: January 12, 2011

## MIRB 2 Meeting Schedule
- **Deadline**: November 23, 2010
- **Meeting Date**: December 8, 2010
- **Deadline**: December 8, 2010
- **Meeting Date**: January 5, 2011

## MIRB 3 Meeting Schedule
- **Deadline**: November 23, 2010
- **Meeting Date**: December 9, 2010
- **Deadline**: December 16, 2010
- **Meeting Date**: January 13, 2011

## NGIRB Meeting Schedule
- **Deadline**: November 23, 2010
- **Meeting Date**: December 9, 2010
- **Deadline**: December 9, 2010
- **Meeting Date**: January 6, 2011

## SGIRB Meeting Schedule
- **Deadline**: November 23, 2010
- **Meeting Date**: December 7, 2010
- **Deadline**: December 14, 2010
- **Meeting Date**: January 11, 2011
Research Administrators Forum

No RAF meeting in December 2010
UCLA Library Outreach on the NIH Public Access Policy: Challenges and Opportunities

November 18, 2010
UCLA Office of Research Administration
Research Administrators’ Forum

Sharon E. Farb    Janet D. Carter
UCLA Library Scholarly Communications Steering Committee
Library Outreach to Faculty

- Using Copyrighted Material in Teaching and Research
- Managing Your Copyright
- Copyright 101 For Tas
- Fair Use
- NIH
- New Forms of Scholarly Publishing
NIH Public Access Policy

... require[s] that investigators funded by the NIH submit or have submitted ... an electronic version of their final, peer-reviewed papers upon acceptance for publication to be made publicly available no later than 12 months after the official date of publication.

Division G, Title II, Section 218 of the Consolidated Appropriations Act of 2008

http://publicaccess.nih.gov/policy.htm
Benefits of the Policy

The legislation broadens access to and dissemination of the scholarly record. Making the results of federally funded research publicly accessible is important not only to NIH, but also to:

- achieving UC’s mission as a public university to create and disseminate knowledge for the betterment of our global society through commitment of academic freedom, including open access to information.
- UCLA Library supports UC mission by supporting NIH as part of larger strategic initiative to provide broadest public access and use of scholarly record.
UCLA Library Faculty and Researcher Outreach Re NIH

October 13, 2008 First Library NIH Public Access Seminar
Since then quarterly seminars open to all plus
Departmental Seminars plus
One-on-one, small group consultation
Over 200 faculty and researchers attended since inception
Challenge: How can we collaborate to expand capacity to reach majority funded researchers?
NIH and other Public Access Initiatives

• Wellcome Trust
• Howard Hughes Medical Center
• National Institute of Health (NIH)
• The Federal Research Public Access Act
  – $100 million or more to provide the public with online access to research manuscripts stemming from funded research no later than six months after publication in a peer-reviewed journal
## UCLA NIH Awards 2009

<table>
<thead>
<tr>
<th>Funding Mechanism</th>
<th>Dollar Amount</th>
<th>Number Awarded</th>
</tr>
</thead>
<tbody>
<tr>
<td>Other</td>
<td>$1,575,940</td>
<td>4</td>
</tr>
<tr>
<td>Fellowships</td>
<td>$2,158,239</td>
<td>65</td>
</tr>
<tr>
<td>Training</td>
<td>$12,821,950</td>
<td>55</td>
</tr>
<tr>
<td>Research Grants</td>
<td>$364,874,327</td>
<td>750</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$384,430,456</strong></td>
<td><strong>874</strong></td>
</tr>
</tbody>
</table>
More on UCLA NIH

<table>
<thead>
<tr>
<th>Major Component</th>
<th>Dollar Amount</th>
<th>Number Awarded</th>
</tr>
</thead>
<tbody>
<tr>
<td>School of Medicine</td>
<td>$253,438,911</td>
<td>541</td>
</tr>
<tr>
<td>School of Arts and Sciences</td>
<td>$36,650,821</td>
<td>121</td>
</tr>
<tr>
<td>Overall Medical</td>
<td>$55,099,490</td>
<td>122</td>
</tr>
</tbody>
</table>
UCLA Library Outreach
Highlights

- October 13, 2008
- October 28, 2008
- February 25, 2009
- April 28, 2009
- December 10, 2009
- March 4, 2010
- School of Nursing
- School of Medicine
- Neurology Faculty
- Radiation Oncology
- RCMAR/CHIME
- CURE
Purpose of the Policy

- **Archive**: Create a central collection of NIH-funded research
- **Advance**: Provide an information resource for scientists to research publications and for the NIH to better manage its entire research investment
- **Access**: Makes available to the public research publications resulting from NIH-funded research
Overview

The NIH Public Access Policy ensures that the public has access to the published results of NIH funded research. It requires scientists to submit final peer-reviewed journal manuscripts that arise from NIH funds to the digital archive PubMed Central upon acceptance for publication. To help advance science and improve human health, the Policy requires that these papers are accessible to the public on PubMed Central no later than 12 months after publication.

How to Comply

All of your papers that fall under the NIH Public Access Policy, whether in press or in print, must include evidence of compliance in all of your NIH applications and reports.

1. **Determine Applicability**
   Does the NIH Public Access Policy apply to your paper?

2. **Address Copyright**
   Ensure your publishing agreement allows the paper to be posted to PubMed Central in accordance with the NIH Public Access Policy.

3. **Submit Paper**
   Submit papers to PubMed Central and approve public release.

4. **Include PMCID in Citations**
   Include the PMCID at the end of the full citation in your application or report.
Questions/Help?

The UCLA Library is working closely with the UCLA Office of Research, Contract, and Grants, and others.

The UCLA Library can help individual faculty with questions about author agreements and publisher options regarding the implementation of the policy.

Contact Us: nih@library.ucla.edu
Research Policy & Compliance

Ann Pollack
Assistant Vice Chancellor – Research
November 18, 2010
UCLA Policy 900 Update

- “Principal Investigator Eligibility”
- Key changes affect PI Eligibility for HSSEAS employees eligible to serve as a PI, Co-PI or Multiple PI (sections B.2 and 3).
UCLA Policy 900 Key Changes

- Full-time Adjuncts (at the associate and full level), and full-time research series appointees (at the associate and full level) within the School of Engineering are no longer eligible to serve as a PI (or Co-PI or Multiple PI) without individual exceptions.
UCLA Policy 900 Key Changes, con’t.

- Only Full-time Adjuncts (at the associate and full level), and full-time research series appointees (at the associate and full level) within the College of Letters and Science may continue to submit proposals without seeking special exceptions.
Coming Soon

- Additional revision needed based on ratification of the UAW contract for postdoctoral scholars.
- References to APM 390 will be replaced by references to the UAW contract.

Questions about the policy should be directed to Ann Pollack, Assistant Vice Chancellor - Research, at x40387 or apollack@research.ucla.edu.
UCLA Policy 993 Update

- “Responding to Allegations of Research Misconduct”
- Two primary changes:
  - a change in the way allegations against students will be handled, and
  - a change in the limitation period within which the alleged misconduct must have taken place in order to initiate the response process.
Allegations Against Students

- October 27, 2010, version applies to all academic appointees (including postdocs) and staff AND students working on externally sponsored research or supported by external training grants, if the sponsor requires that allegations of research misconduct be handled through a process that mirrors federal standards.

- Research Misconduct allegations against other students are handled under the Student Conduct Code as academic dishonesty (plagiarism or fabrication which includes falsification).
Coming Soon

- The Student Conduct Code will be revised to:
  - Indicate that research misconduct allegations against students that are not covered by Policy 993 are specifically considered violations of the Student Conduct Code; and
  - Indicate that it will be the responsibility of the Research Integrity Officer to initiate retractions or corrections of any publications, if needed.
UCLA Policy 993 Updates


- Questions about the policy should be directed to Ann Pollack, Assistant Vice Chancellor - Research, at x40387 or [apollack@research.ucla.edu](mailto:apollack@research.ucla.edu).
NSF Responsible Conduct of Research (RCR) Training Requirement - update

- UCLA required to implement a plan for delivery of training and ensure compliance
- Individual research proposals do not need to include plan details
- Required of all faculty, students, postdoctoral scholars and staff supported by NSF research or training awards
RCR Course Access for Employees

- UCLA employees subject to this requirement will receive electronic notification of the course via LMS.
- Other employees (not supported by NSF awards) may voluntarily access the NSF RCR core course through the UC Learning Center website at http://lms.ucla.edu, via the “Research Administration” menu.*

*COMING SOON
RCR Course Access for NSF Stipend Recipients

- Students receiving stipends through NSF awards and subject to this requirement will receive electronic notification of the course via LMS.
Questions

- See UCLA’s plan at: [http://www.research.ucla.edu/researchpol/documents/RevisedPlanforNSFRCREducationalProgram.pdf](http://www.research.ucla.edu/researchpol/documents/RevisedPlanforNSFRCREducationalProgram.pdf)
- Contact Ann Pollack, Assistant Vice Chancellor – Research at [apollack@research.ucla.edu](mailto:apollack@research.ucla.edu) or x40387.
Animal Research Administration Update

Updates and Reminders about Animal Research

Kathy Wadsworth
Director
Office of Animal Research Oversight (OARO)
ARC Deadlines

- Deadlines used to be 17 days prior to ARC meetings.
- As of January 1, 2011, deadlines will be 10 days prior to meetings.
- As always, if you have an urgent need, please call us!
### February 2011

<table>
<thead>
<tr>
<th>Sunday</th>
<th>Monday</th>
<th>Tuesday</th>
<th>Wednesday</th>
<th>Thursday</th>
<th>Friday</th>
<th>Saturday</th>
</tr>
</thead>
<tbody>
<tr>
<td>30</td>
<td>31</td>
<td>1</td>
<td>2: Groundhog Day</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>6</td>
<td>7</td>
<td>8</td>
<td>9</td>
<td>4</td>
<td>11</td>
<td>12: Lincoln’s Birthday</td>
</tr>
<tr>
<td>13</td>
<td>14: St. Valentine’s Day</td>
<td>15</td>
<td>16</td>
<td>17</td>
<td>18</td>
<td>19</td>
</tr>
<tr>
<td>20</td>
<td>21: President’s Day</td>
<td>22: Washington’s Birthday</td>
<td>23</td>
<td>24</td>
<td>25</td>
<td>26</td>
</tr>
<tr>
<td>27</td>
<td>28: ARC Meeting</td>
<td>29</td>
<td>30</td>
<td>31</td>
<td>1</td>
<td>2</td>
</tr>
</tbody>
</table>

**17 Day Lead Time**

- **ARC Meeting**: 28th February

**Previous Deadline**
New Deadline

February 2011

Sunday  Monday  Tuesday  Wednesday  Thursday  Friday  Saturday
30      31      1        2  Groundhog Day  3        4        5
6       7       8        9        10       11       12  Lincoln’s Birthday
13      14  St. Valentine’s Day  15       16       17       18
20      21  Presidents Day  22  Lincoln’s Birthday  23       24       25
27      28      1        2        3        4        5

10 Day Lead Time

ARC Meeting
ARC: Who to Contact at OARO?

- Director Kathy Wadsworth
- Assist. Director Compliance & Education Andy Perkins
- Assist. Director ARC Jennifer Perkins

(310) 206-6308
arc@oaro.research.ucla.edu
http://www.oaro.research.ucla.edu
OCGA Updates

Research Administrators Forum
November 18, 2010
Evan Garcia, Grant Analyst
Kristin Lund, Senior Grant Analyst
OCGA Updates

- NSF and NIH reminders from October RAF
- NSF Project Outcomes Report for the General Public
Reminders from October 2010 RAF

❖ NIH:
  ➢ Transition to Adobe-Forms-B1
    - October 19; S2S Grants guidance sent via list-serv
    - Send e-mail to: s2sgrants@research.ucla.edu to request a copy
  ➢ Elimination of Error Correction Window

❖ NSF:
  ➢ New PAPPG affects applications submitted or due on or after January 18, 2011

❖ See October 2010 RAF handouts at:
NSF Project Outcomes Report

- Required by the America COMPETES Act
- Applies to new awards, funding increments, or supplements issued on or after January 4, 2010
- Brief description, in laymen’s terms, of nature and outcome of the project
- Must be submitted within 90 days of project end date
- Does not replace final project reports which are still submitted via FastLane
NSF Project Outcomes Report

- Submitted by PI or Co-PI through Research.gov (using FastLane logon procedures)
  - Currently, PI/Co-PI cannot delegate edit authority to other users
- Displayed for public viewing exactly as submitted by PI/Co-PI
  - Not subject to approval by NSF program manager
- Within 30 days of submission, PI/Co-PI edit, add/remove images
- After 30 days, addenda may be added but cannot be edited or deleted
NSF Project Outcomes Report

**Resources:**
- [Research.gov – About Project Outcomes Report for the General Public](#)
- [Research.gov – Help](#)
- [NSF PAPPG](#)
- [Research.gov – Research Spending and Results Search](#); to view submitted Project Outcomes Reports
EFM Update

Jennifer Aguilar
Agenda

- RAPID Closeout and Upload Tools
  - Adoption rates
  - EFM’s response when tool not used

- EFM’s Deadline- Submission of Closeout Packets
RAPID Closeout/Upload Tools

- Mandatory use effective 09/01/10

<table>
<thead>
<tr>
<th>Smart Closeout Tool Metrics</th>
<th>June</th>
<th>July</th>
<th>August</th>
<th>Sept</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total # Closeout Submissions</td>
<td>131</td>
<td>98</td>
<td>152</td>
<td>140</td>
</tr>
<tr>
<td>RAPID Closeout Packets Submitted</td>
<td>96</td>
<td>85</td>
<td>146</td>
<td>139</td>
</tr>
<tr>
<td></td>
<td>73%</td>
<td>87%</td>
<td>96%</td>
<td>99%</td>
</tr>
<tr>
<td>Closeout Packets Submitted via Upload Tool</td>
<td>50</td>
<td>55</td>
<td>123</td>
<td>109</td>
</tr>
<tr>
<td></td>
<td>52%</td>
<td>65%</td>
<td>84%</td>
<td>78%</td>
</tr>
</tbody>
</table>
RAPID Closeout/Upload Tools

RAPID Closeout Metrics

<table>
<thead>
<tr>
<th>Month</th>
<th>Submissions</th>
<th>Uploaded</th>
</tr>
</thead>
<tbody>
<tr>
<td>June</td>
<td>73%</td>
<td>52%</td>
</tr>
<tr>
<td>July</td>
<td>87%</td>
<td>65%</td>
</tr>
<tr>
<td>August</td>
<td>96%</td>
<td>84%</td>
</tr>
<tr>
<td>Sept</td>
<td>99%</td>
<td>78%</td>
</tr>
</tbody>
</table>

- %
# EFM Deadlines: Submission of Closeout Packets

<table>
<thead>
<tr>
<th>If the Report is Due to the Sponsor…</th>
<th>Then the Closeout Packet is Due to EFM…</th>
</tr>
</thead>
<tbody>
<tr>
<td>60 days or more after the Award End Date</td>
<td>30 days prior to the Sponsor deadline (e.g., 60 days after the Award End Date if sponsor deadline is 90 days)</td>
</tr>
<tr>
<td>14-59 days after the Award End Date</td>
<td>Sponsor deadline divided by 2 (e.g., 20 days after the Award End Date if the sponsor deadline is 40 days)</td>
</tr>
<tr>
<td>14 days or fewer after the Award End Date</td>
<td>7 days prior to the Sponsor deadline (e.g., 7 days prior to the Award End Date if the sponsor deadline is the Award End Date)</td>
</tr>
</tbody>
</table>
ARRA Reporting Update
ARRA Reporting Updates

- Internal Deadline for ARRA Reports:
  - Reports will be available for completion online beginning 11/29/10
  - You must complete your report on the online portal by 12/14/10
  - Sub-awardees have a deadline of December 13, 2010

- New Guidance for Award Description and Quarterly Activities/Project Description fields issued at the end of last quarter - many reports were returned due to improper information in these two fields
ARRA Reporting Updates

- **Important:**
  - Review these two fields in the reports generated for the new quarter in the online portal.
  - The information is pre-populated from your last quarter’s report.
  - **You will need to update with the following guidance:**

- **Award Description:** This field should include Award Title *and* description that captures the overall purpose of the award. It should be informative to the public. In addition, if you have a supplement on an award, describe the work of the supplement, rather than the parent grant.

- **Quarterly Activities/Project Description:** This field should be a description of the overall purpose and expected outputs of the award and first-tier sub-awards. If there are no significant changes from the Award description field, then it is acceptable to say “As defined in the Award Description field” otherwise include only significant changes. If a grant is to be relinquished or transferred in the quarter, that should be noted in this field.
ARRA Reporting Updates

**Award Description**

**For Grants and Loans:** Award Title and description with purpose of each funding action if any. The description should capture the overall purpose of the award and, if there are multiple funding actions, sufficient description to define the need for each funding action.

**For Federally Awarded Contracts:** Provide a description of the overall purpose and expected outcomes, or results of the contract or action under the contract funded by the Recovery Act, including significant deliverables and, if appropriate, associated units of measure.

**Project Name or Project/Program Title**
The brief descriptive Title of the project or activity funded in whole or in part with recovery act funds

**Quarterly Activities/Project Description for Prime and Sub-recipients**

**For Grants and Loans:** A description of the overall purpose and expected outputs and outcomes or results of the award and first-tier Subaward(s), including significant deliverables, status, and, if appropriate, units of measure.

- For an award that funds multiple projects such as a formula block grant, the purpose and outcomes or results should be stated in terms that allow an understanding of accomplishments.

- In instances where the final prime recipient expenditures are less than the award amount listed on the report due to an amendment in the original agreement or if the project came in under budget, the recipient must provide a description in this field explaining why the final amount in the —Total Federal Amount of ARRA Expenditure—field does not equal the amount in the —Award Amount—field, and confirming that no more funds will be expended by the prime recipient.

**For Federally Awarded Contracts:** A description of all significant services performed/supplies delivered, including construction, for which the prime contractor invoiced in this calendar quarter.