Research Administrators Forum
November 10, 2011

Welcome
Marcia Smith
Associate Vice Chancellor for Research

Agenda
- Welcome and Announcements – Marcia Smith
- Professional Development Program -- Philip Jurjeu, Isaac Lin, Roberta Rey, and Brian Rubke
  "Marketing the Financial System Replacement Project"
- OCGA Updates – Patti Manheim
  - Minimum Proposal Requirements
  - OCGA Intake Pilot
- EFM Updates – Tracey Robertson
  - Update on Genomic Array Object Codes
- RAPID Project Updates
  - Effort Reporting Workgroup – Greg Swindell
  - Single Fund Number – Tracey Robertson and Terry Novor

Upcoming ORA Training Opportunities
- Rapid Close-out Tool
  - November 30, 2011 – 9:00 – Noon
- Conflict of Interest
  - December 1, 2011 – 9:00 – Noon
- Effort Reporting Basics
  - December 5, 2011 – 9:00 – Noon
OCGA Updates

Patti Manheim
Office of Contract and Grant Administration
November 10, 2011

Minimum Proposal Requirements

- **New Process**: OCGA will begin to remind departments of those minimum number of proposal items that are needed in order to perform a preliminary review and a full review of the proposal.
- Beginning March 1, 2012 the minimum number of proposal items will be mandatory in order for OCGA to begin a review. Proposal intake and review cannot occur until these minimum proposal items are submitted.
- Proposal Documents are due into OCGA 5 Business Days prior to Sponsor Deadline.
- Submitting departments, units, and schools may have their own review timeline that is outside the scope of the OCGA 5 business day deadline. Both OCGA and the PI’s submitting department need adequate time to review and approve proposal submissions. Proposals submitted within a sufficient review may be at a greater risk of being rejected/invalidated from the various electronic systems over which OCGA has no control and/or by the sponsor.

Minimum Proposal Requirements

- **Minimum Proposal Requirements**: Streamlined process that allows OCGA to review relevant/critical documents while PI finalizes Research Plan, secures necessary signatures and completes other internal forms.
  - Minimum documents to allow OCGA to conduct review of the application.
  - Remaining documents that constitute a complete application (allow OCGA to approve and submit applications) or provide institutional endorsement for hard copy submission.

<table>
<thead>
<tr>
<th>Minimum Requirements for Review</th>
<th>Requirements for Review, Approval &amp; Submission</th>
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</thead>
<tbody>
<tr>
<td>Completed EMRs with PI Signature</td>
<td>Completed EMRs with all required signatures</td>
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<tr>
<td>Sponsor Guidelines</td>
<td>Sponsor Guidelines</td>
</tr>
<tr>
<td>All Sponsor forms requiring OCGA signature</td>
<td>Final Proposal Budget, science, agency required signatures, biosketches, etc.</td>
</tr>
<tr>
<td>Final Budget with Budget Justification</td>
<td>Subaward Documents (if applicable)</td>
</tr>
<tr>
<td>Brief description of the proposals or proposal abstract</td>
<td>PI Expiration Letter (if applicable)</td>
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<tr>
<td>Subaward Documents (if applicable)</td>
<td>Signed/Completed COI forms (if applicable)</td>
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Award Intake Pilot

- **Purpose**: Create an award intake team that will review and process unilateral awards separately
  - Expedited Award Population: Unilateral Awards (No Negotiation/No Signature)
    - All NIH, NSF, DRA Awards, AHA, ONR and HRSA
    - No Cost Extensions
    - Administrative Changes (i.e. PI Change)
  - Expedited Process
    - Confirm Award Against InfoEd and File
    - Initial Communication sent to PI and Dept. Contact
    - Retrieve Outstanding Documents – those received at proposal submission will experience greater turnaround time
    - Award within 3 Business Days (after receipt of all necessary documents)
    - Fully Executed Communication to PI/Dept. Contact along with award satisfaction survey
Award Intake Pilot

- **Complex Award Population:** Awards in which Negotiation or Signature is Required
- **Complex Process:**
  - Confirm Award Against InfoEd and File
  - Initial Communication sent to PI and Dept. Contact
  - Retrieve Outstanding Documents – those received at proposal submission will experience greater turnaround time
  - Assign to OCGA Team for Negotiation/Signature
  - Fully Executed Communication to PI/Dept. contact along with Client Satisfaction Survey
- **Implementation:**
  - **Phase I:** (October 03 – Present)
    - All Expeditied Awards
    - Receipt and Assignment of all Complex Awards for 2 OCGA Teams
    - Implement Standard Communications
  - **October Results:**
    - Expedited Turnaround Time: **1.8 Days** (124 awards processed)
    - Complex Turnaround Time: **10 Days** (7 awards processed)

Award Intake Pilot

- **Continued Implementation:**
  - **Phase II:**
    - All Expeditied Awards
    - Receipt and Assignment of all Complex Awards for All OCGA Teams
  - **Phase III:**
    - All Expeditied Awards
    - Receipt, Review for Minimum Submission Requirements and Assignment of All Proposals
EFM Updates

- Genomic Arrays Object Code Updates
- ARRA Reporting

EFM Updates – Genomic Arrays

- NIH notice number NOT-OD-10-097, Budgeting for Genomic Arrays for NIH Grants, Cooperative Agreements and Contracts addresses the cost principles and reimbursement policies for high-throughput biomedical research for grants and contracts which require the purchase of the supply identified as “Genomic Array”

- The treatment of costs for purchase of Genomic Arrays as “supplies” in these specialized award budgets at high levels of usage result in the application of F & A cost recovery that is disproportionate to the actual administrative burden associated with the relatively high cost of the procurement of these Genomic Arrays.

- To comply with this notice UCLA has worked with UCOP to establish new object codes to track Genomic Arrays

- We will be sending an ORA News announcement with additional details and contact information.

Effective immediately, for Genomic Arrays that will exceed $50,000 per year in any year of the project, the F & A rate reimbursement will be applied to a limited Genomic Array cost of $25,000 in addition to the $50,000 threshold for each respective year of the award. For example:

- GA is budgeted at $50,000 for each year of the project: GA costs would be treated as supplies and reimbursed in accordance to our customary procedures for supplies.

- Award is for three years and GA is budgeted at $75,000 in year one and $150,000 in years 2 & 3 respectively. For each budget year the F & A rate will be applied as follows:
  - Year one —applied to the $75,000: The first $50,000 as supplies plus the first $25,000 over the $50,000 ($25,000 rebudgeted in the consortium/subcontract line item) for a total of $75,000;
  - Year two and three—applied to $75,000 each year: The first $50,000 will be awarded as supplies and receive full F&A. The remaining balance ($100,000) will be treated as consortium/subcontract costs where the first $25,000 will also receive full F&A. Any remaining portion (in this example $75,000) of each year respectively will be excluded from the F&A cost base calculation.

Genomic Array – Object Codes

The new Object Codes established at UCLA for Genomic Array supplies, to comply with NIH NOT-OD-10-097, are as follows:

<table>
<thead>
<tr>
<th>Object Code</th>
<th>Description</th>
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<tbody>
<tr>
<td>4550</td>
<td>GENOMIC ARRAY SUPPLIES - OVERHEAD APPLIED (CFS code 8000 SUPPLIES &amp; MATERIALS) PURCHASES OF GENOMIC ARRAY SUPPLIES FOR THE FIRST $75,000 IN A GIVEN BUDGET YEAR.</td>
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<tr>
<td>4551</td>
<td>GENOMIC ARRAY SUPPLIES - OVERHEAD EXEMPT (CFS code 7210 OH EXEMPTION PORTION OF GENOMIC ARRAY) PURCHASES OF GENOMIC ARRAY SUPPLIES OVER THE FIRST $75,000 IN A GIVEN BUDGET YEAR.</td>
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</table>

When genomic testing or analysis is required the NIH announcement does not limit the F&A recovery on the analysis. The current object code 9400 - Laboratory Testing Services (CFS code 7200 miscellaneous services) can be used.
EFM Updates - ARRA Reporting

ARRA Reporting Deadline for December

- Due to the University closing for the Holiday EFM is asking departments to submit their ARRA Quarterly Reports to their fund managers by December 14th.
- Reminder notifications will be sent out shortly.
- The Federal Government Deadline remains January 10th.

Questions or Comments

Please send any questions or comments to:

tracey.robertson@research.ucla.edu
Single Fund Number

**Proposed Process:** All awards keep the same fund number for the life of the project period. Process developed and vetted amongst the following groups:

- Single fund number working group that consisted of representation from EFM, OCGA and the Departments.
- LIPE (Leadership Involvement and Procedure Enforcement)
- PAMS (Post Award Management System Team)
- RACC (Research Administrator’s Campus Committee)

**Anticipated start date:** We anticipate implementing the new process early next year. Will share more information at a future RAF.

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Single Fund Number - Advantages

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<tr>
<th>Advantages</th>
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<tr>
<td>Cost transfers reduced</td>
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<td>ERAS funds and issues with late account setups reduced</td>
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<td>Easier ERB Certification process</td>
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<td>Less manual labor for departments who have shadow systems to maintain and track awards</td>
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<tr>
<td>Reduced number of PARs that will need to be processed</td>
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<tr>
<td>Fewer closeout packets</td>
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<tr>
<td>-Subawards (reduces the # of POs issued/changed for subawards)</td>
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<tr>
<td>Cleanup and reconciliation of prior years reduced</td>
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<tr>
<td>Decrease in recycled fund numbers</td>
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<td>-Greater time gap between the use of the same fund numbers</td>
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Single Fund Number - Exceptions

**Proposed Process:** All awards keep the same fund number for the life of the project period.

### Standard and Potential Single Fund Number Exceptions

- Additional Funding is received under a separate proposal (i.e. NIH Competitive Renewals)
- Awards in which the sponsor requires a separate account for specified budget periods
  - Minority Supplements
  - ARRA Supplements

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Single Fund Number – Linked Accounts

**Proposed Process:** Utilize linked accounts for sponsor based restrictions

<table>
<thead>
<tr>
<th>Linked Account Scenarios</th>
<th>Linked Account Use</th>
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<tbody>
<tr>
<td>Varying F&amp;A rates</td>
<td>Utilize a separate linked account for each F&amp;A rate</td>
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<tr>
<td>Restricted budget categories</td>
<td>Utilize a separate linked account for each restricted item</td>
</tr>
<tr>
<td>Carryforward is not automatically allowed by the sponsor</td>
<td>Utilize a single holding account for all pending carryforwards</td>
</tr>
</tbody>
</table>
Questions or Comments

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rapidfeedback@research.ucla.edu