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 Novorr
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

- **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 **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>
</tr>
</thead>
<tbody>
<tr>
<td>Completed EPASS with <strong>PI Signature</strong></td>
<td>Completed EPASS with <strong>all required signatures</strong></td>
</tr>
<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 proposal aims or proposal abstract</td>
<td>PI Exception Letter (if applicable)</td>
</tr>
<tr>
<td>Subaward Documents (if applicable)</td>
<td>Signed/Completed COI forms (if applicable)</td>
</tr>
</tbody>
</table>
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 without 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.
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, ORA 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**
  - Execute Award **within 3 Business Days** (after receipt of all necessary documents)
  - **Fully Executed Communication** to PI/Dept. Contact along with Client 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 Expedited Awards
    - Receipt and Assignment of all Complex Awards for 2 OCGA Teams
    - Implement Standard Communications
Award Intake Pilot

- **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 Expedited Awards
    - Receipt and Assignment of all Complex Awards for **All** OCGA Teams
  - **Phase III:**
    - All Expedited Awards
    - Receipt and Assignment of all Complex 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.
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>
</tr>
</thead>
<tbody>
<tr>
<td>4550</td>
<td>GENOMIC ARRAY SUPPLIES - OVERHEAD APPLIED (CFS code 8000 SUPPLIES &amp; MATERIALS)</td>
</tr>
<tr>
<td></td>
<td>PURCHASES OF GENOMIC ARRAY SUPPLIES FOR THE FIRST $75,000 IN A GIVEN BUDGET YEAR.</td>
</tr>
<tr>
<td>4551</td>
<td>GENOMIC ARRAY SUPPLIES - OVERHEAD EXEMPT (CFS code 7210 OH EXEMPTION PORTION OF GENOMIC ARRAY)</td>
</tr>
<tr>
<td></td>
<td>PURCHASES OF GENOMIC ARRAY SUPPLIES OVER THE FIRST $75,000 IN A GIVEN BUDGET YEAR.</td>
</tr>
</tbody>
</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 3400 - Laboratory Testing Services (CFS code 7200 miscellaneous services) can be used.
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.
## Advantages

<table>
<thead>
<tr>
<th>Advantage</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cost transfers reduced</td>
<td></td>
</tr>
<tr>
<td>ERAS funds and issues with late account setups reduced</td>
<td></td>
</tr>
<tr>
<td>Easier ERS Certification process</td>
<td></td>
</tr>
<tr>
<td>Less manual labor for departments who have shadow systems to maintain and track awards</td>
<td></td>
</tr>
<tr>
<td>Reduced number of PARs that will need to be processed</td>
<td></td>
</tr>
<tr>
<td>Fewer closeout packets</td>
<td></td>
</tr>
<tr>
<td>• Subawards (reduces the # of POs issued/changed for subawards)</td>
<td></td>
</tr>
<tr>
<td>Cleanup and reconciliation of prior years reduced</td>
<td></td>
</tr>
<tr>
<td>Decrease in recycled fund numbers</td>
<td></td>
</tr>
<tr>
<td>• Greater time gap between the use of the same fund numbers</td>
<td></td>
</tr>
</tbody>
</table>
**Proposed Process:** All awards keep the same fund number for the life of the project period.

<table>
<thead>
<tr>
<th>Standard and Potential Single Fund Number Exceptions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Additional Funding is received under a separate proposal (i.e. NIH Competitive Renewals)</td>
</tr>
<tr>
<td>Awards in which the sponsor requires a separate account for specified budget periods</td>
</tr>
<tr>
<td><strong>Examples:</strong></td>
</tr>
<tr>
<td>• Minority Supplements</td>
</tr>
<tr>
<td>• ARRA Supplements</td>
</tr>
</tbody>
</table>
**Proposed Process**: Utilize linked accounts for sponsor based restrictions

<table>
<thead>
<tr>
<th>Linked Account Scenarios</th>
<th>Linked Account Use</th>
</tr>
</thead>
<tbody>
<tr>
<td>Varying F&amp;A rates</td>
<td>Utilize a separate linked account for each F&amp;A rate</td>
</tr>
<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

Please send any questions or comments to:

rapidfeedback@research.ucla.edu