Meeting Agenda

- **Welcome and Announcements**
  Marcia Smith

- **OARO – ARC Policies & News Updates**
  Kathy Wadsworth

- **OCGA – NIH and NSF Updates**
  Cindy Gilbert, Kristin Lund, & Mary Haskins

- **RAPID Projects -**
  - **Invoicing Workgroup Update**
    Allison Philabaum & Olga Sanders
  - **PAMS Update**
    Jessica Lee
  - **PATS Update**
    Gloria Su & Dan Newbower

- **OHRPP – Updates**
  Sharon Friend

- **NSF RCR**
  Ann Pollack, RPC

- **Questions and Discussion**
Animal Research Administration Update

Updates and Reminders about Animal Research

Kathy Wadsworth
Director
Office of Animal Research Oversight (OARO)
PHS-Funded Animal Work

- Don’t let your PHS-Funded 3-year renewals expire!
  - Will not be able to conduct animal work
  - Will not be able to use funds to support animal work (some exceptions).
  - Might be reported to the NIH
  - Help you PI to stay in compliance by getting involved.
ARC Review Turnaround times

- New/Renewal: 6-8 weeks
- Amendments/continuation requesting significant changes: 5 weeks
- Continuations without changes: 2 weeks.
- Amendments for minor or admin changes (e.g., personnel, locations, new funding): 7-10 days.

**NOTE:** This does not include Vet Pre-Review prior to submission.
New Monthly Newsletter

To subscribe, send an email to the OARO email address: oaro@research.ucla.edu
Updated ARC Policies

- Some changes may impact your PIs protocol.
- See the OARO website for a complete listing:

http://www.research.ucla.edu/rats_help/manual/
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
Questions?

Fred
OCGA Updates

❖ NIH Updates and Reminders
   ➢ New Time Limit for Resubmissions
   ➢ Transition to Adobe-Forms-B1
   ➢ Elimination of Error Correction Window for Electronic Applications
   ➢ New Policy on Post-Submission Application Materials
   ➢ Determining Early Stage Investigator Eligibility

❖ NSF Updates
   ➢ New Proposal and Award Policies and Procedures Guide (PAPPG)
NIH Updates and Reminders

New Time Limit for Resubmissions

- **NOT-OD-10-140**: October 1, 2010
- Intended to stimulate new research directions for projects that were unsuccessful in initial submission
- Resubmission (A1) must be within 37 months of initial submission
- Special guidance if initial applications were:
  - Submitted under late policies
  - Continuous submission
NIH Updates and Reminders

- Transition to Adobe-Forms-B1
  - NOT-OD-11-007; September 29, 2010
  - Update the following forms:
    - Project/Performance Site Location(s)
    - R&R Other Project Information
  - Does not represent a major change to PHS 424 Guide
  - May use either Adobe-Forms-B or Adobe-Forms-B1 for applications due on or before May 7, 2011
  - Exceptions:
    - K-, T-, D-, and F-type applications due on or after January 25, 2011 require use of Adobe-Forms-B1
  - Watch S2S Grants list-serv for information on availability of forms
NIH Updates and Reminders

- **Elimination of Error Correction Window for Electronic Applications**
  - NOT-OD-10-123; August 16, 2010
  - Affects applications with **due date** on or after January 25, 2011
  - Changed/Corrected applications to address system generated errors or missing/incorrect application materials will be subject to late policy if submitted after the posted deadline
  - Two-day view window remains in effect
  - Can still submit changed/corrected apps within the two-day window **before** the deadline
NIH Updates and Reminders

- New Policy on Post-Submission Application Materials
  - **NOT-OD-10-115**; July 23, 2010
  - Affects applications with due date on or after September 25, 2010
  - Materials submitted after application submission but before peer review
  - Not to be used to correct oversights/errors discovered after submission
  - Signing Official concurrence required
  - Defines acceptable and unacceptable post-submission materials
NIH Updates and Reminders

- Acceptable:
  - Revised budget pages
  - Biosketches due to changes in senior/key personnel
  - Letters of support due to changes in senior key personnel
  - Adjustments resulting from natural disasters
  - Adjustments resulting from change of PI institution
  - Article accepted for publication
NIH Updates and Reminders

❖ Unacceptable:
  ➢ Updated Specific Aims or Research Strategy Pages
  ➢ Late breaking research findings
  ➢ Letters of support/collaboration that do not result from change in key personnel

❖ Exceptions:
  ➢ Refer to notice cited above, or
  ➢ Contact your OCGA team or DRA
NIH Updates and Reminders

- Determining Early Stage Investigator Eligibility
  - NOT-OD-09-021; November 21, 2008
  - New Investigator check box removed from SF 424 and PHS 398
  - New investigators need to establish/update Commons profile to include degree and residency dates
  - NIH Early Investigator website:

NSF Updates

- New **Proposal and Award Policies and Procedures Guide** (PAPPG)
  - Affects applications submitted or due on or after January 18, 2011
  - Key changes/clarifications – proposals:
    - Cover Sheet
    - Data Management and Sharing Plan
    - Cost Sharing
    - Project Summary
NSF Updates

- Cover Sheet - Project/Performance Primary Location
  - Consistency with FFATA requirements and SF 424 forms
  - Replaces Performing/Research Organization
NSF Updates

- Data Management and Sharing Plan
  - Part of merit review criteria
  - Must either include or provide explanation as to why it’s not necessary
  - FastLane will not allow submission if missing
NSF Updates

- **Cost Sharing**
  - Revised to implement recommendations of the National Science Board (NSB)
  - Voluntary committed cost sharing is not permitted
  - All resources required and available for the project must be described without quantifiable financial information
  - Does not alleviate the responsibility for tracking and reporting faculty effort
  - Program managers may not impose or encourage cost sharing unless explicitly included in the program solicitation
NSF Updates

❖ Cost Sharing (continued)

➢ Mandatory cost sharing only allowed by when authorized by the NSF Director, NSB or legislation

➢ When included on budget line M, legally binding and subject to audit

➢ Eligibility rather than review criterion

❖ For more information:

NSF Updates

✧ Project Summary

➢ Use of separate headings to highlight the merit review criteria is encouraged
Office of the Human Research Protection Program Updates

Sharon Friend
Director
October 2010
What is the **Best News Ever** about the UCLA IRB Review Process?

- webIRB, the web-based on-line submission system, is fully developed and implemented.
- Feedback is overwhelmingly positive.
- It’s much easier to submit an application.
- The program uses a “smart form” that walks you through the process and provides help text on the side or within links.
- Approval times are much faster!
- WebIRB submissions are even faster!
October 1 Deadline for webIRB

- For all new and continuing review submissions
- Came and went with only a flurry of paper submissions on September 30th
- Approved studies still in paper form will continue to use paper for amendments and post approval reports.
webIRB Currently Active Study Numbers (out of > 4000 Active)

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<td><strong>TOTAL</strong></td>
<td><strong>921</strong></td>
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What Were the Median IRB Turnaround Times in July 2010?

From time of complete submission to time of full IRB approval:

- **Full Committee:** 34 days
- **Expedited:**
  - 6 – no subject contact
  - 12 – subject contact
- **Continuations:**
  - 9 – expedited
  - 21 – full committee
Wave of the Future

Continued Push to Rely on Other IRBs

- OHRP
- FDA
- AAHRPP
- CTSAs
- Study Sponsors
- Local Institutions
What’s Currently in Place at UCLA?

- UC-Wide Memorandum of Understanding (MOU) to rely on each others IRBs
  - Being used for Expedited and Exempt Studies
  - Used over 700 times since 2006
  - Plans for expanded use for Full Committee Studies in spring 2011

- CTSA MOU for Cedars, LABioMed, Charles Drew and UCLA
  - Limited implementation but plan for expanded use in spring of 2011

- Use of Federal-wide IRBs
  - NCI, NIDA, NICHD, others
**Tools of the Trade**

- **Human Research News**

- **OHRPP Website**
  - [www.research.ucla.edu/ohrpp](http://www.research.ucla.edu/ohrpp)

- **Medical IRBs**
  - Telephone: 310-825-5344
  - E-mail: mirb@research.ucla.edu

- **General Campus IRBs**
  - Telephone: 310-825-5344
  - E-mail: gcirb@research.ucla.edu

- **webIRB Help Desk**
  - 310-267-1887
  - E-mail: webIRBhelp@research.ucla.edu
RAPID Project Updates – Invoicing Workgroup
Invoicing Workgroup

Invoicing Volume
- Reimbursement of approximately 36%, or $349M, of research volume is obtained through invoicing at UCLA
- 600+ AutoBill invoices due each month
- 400-500 other invoicing types due each month

Challenges
- Backlog of 1,800+ invoices in July 2009
- Inconsistent technology that required manual processing
- Inability to revise and edit invoice
- Cumbersome worklist reports
- Inconsistent communications being sent to departments when requesting closeout packets or detailed information

RAPID Invoicing Workgroup
- Consists of 31 members from EFM, ORA, and OCGA
- Identified 59 opportunities on how to improve the Invoicing process
Invoicing Workgroup

Examples of the 59 Opportunities

- *System that accommodates exclusion details (F&A)*

- *Require fewer signatures during the invoicing process for all interim invoices, alleviates time required from Supervisor*

- *Separate process for final vs. interim invoices to expedite the processes*

- *Improve the accuracy of the auto-bill process. Reduce the number of revised invoices*

- *Review and update 30 day communication verbiage; provide specific instructions for certain actions items such as NCTE, CF, etc.; Include relevant contact information*

- *Create a standardized/improved progress tracking spreadsheet among teams*
Invoicing Workgroup

Results

- Standard worklist for EFM accountants
  - Real-time management and performance metrics
  - Eliminated exception reports

- Email communications sent to departments
  - 30 days prior to end date
  - At fund expiration
  - 15-30 days before Invoice is due to the sponsor

- Delegated signing authority to certain accountants
Results

- RAPID Invoicing tool - Created to save time when completing the AutoBill each month. Additional benefits include:
  - Ability to save files electronically
  - Allows accountants to make revisions
  - Decreases the time needed for accountant and Supervisor review
  - Includes outstanding A/R
  - Reduces manual entry of demographic information, leading to fewer revisions
  - Increases the number of “AutoBill” invoices
Invoicing Workgroup

Results

- Past due population decreased by 41% from July 09 to July 10
Invoicing Workgroup

Results

- All 59 opportunities for improvement have been implemented, are no longer needed or have been wrapped into other initiatives

- Led to improvements in other areas:
  - Financial Reporting
  - Scheduled Payments
  - Milestones
  - A/R tracking and Aging Report
  - Electronic folders
Invoicing Workgroup

RAPID Invoicing Team Members

Simora Brooks  David Hidalgo  Winny Migletz
Katie Cadle   Sarah Horner   Jill Narciso
Sharon Castillo  Nessie Huff   Dan Newbower
Ken Castro-Oistad  Vivian Juaner   Allison Philabaum
Kaaren Davis  Diana Krekic   Rob Rubens
Jevon Echave  Robyn Latchman   Olga Sanders
Linda Finley  Ed Lee   Gloria Su
Veronica Fuentes  Jenna Lee   An Tran
Annette Garcia  Jessica Lee   Terry Wingo
Nate Haines  Vicki Lin   Ping Yang
Becky Henricksen
Research Administration Process Improvement & Deployment

Financial Reporting Project
RAF Update

October 14, 2010
Agenda

- Financial Reporting Project Overview
- RAPID Smart Closeout Tool Metrics
- Post Award Management System (PAMS) progress
Project Overview

- **Goal:** Improve Financial Reporting to address the cause of delays in on-time submission of financial reports to sponsors

- **Deliverables:**
  1. Process Improvements
  2. Short-Term Solution
     - RAPID Smart Closeout Tool
  3. Long-Term Solution
     - Web-based Post Award Mgmt System
RAPID Smart Closeout Metrics

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<th>August</th>
<th>Sept</th>
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<td>Total # Closeout Submissions</td>
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<td>RAPID Closeout Packets Submitted</td>
<td>85</td>
<td>146</td>
<td>139</td>
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<tr>
<td>Closeout Packets Submitted via Upload Tool</td>
<td>55</td>
<td>123</td>
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<tr>
<td></td>
<td>87%</td>
<td>96%</td>
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- Closeout Tool Submission at 99%!! 😊
- Usage Goal
  - Smart Closeout Tool 100%
  - Upload Tool 100%
Closeout Upload Tool

- Located: ORA Portal Post-Award Tab
  - http://portal.research.ucla.edu

- Benefit
  - Saves mail server space
  - Ensures proper routing to EFM

- Expect EFM friendly reminders

- Enhancement: Sponsor Name
# PAMS Progress Chart

## Post Award Management System (PAMS)

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<th>Wkload Mgmt</th>
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PAMS

- Design, Development, and project team Review under way
- Fund Expiration Notification to use a component of PAMS
- Collaboration with PATS
Thank You
Proposal and Award Tracking System (PATS) Project Update

Gloria Su & Dan Newbower
Agenda

- Objectives
- Scope
- Phases
- Team Members
- Workgroups
- Next Steps
Project Objectives

- Improve usability of UCLA’s proposal and award tracking system
- Address current system limitations and challenges
- Expand data collection
- Implement a new data structure to improve reporting capabilities
- Clean up data to address inconsistencies created by changes in functionality over years of use
Project Scope

- Upgrade the proposal and award tracking system to InfoEd Version 12 and the “New Portal”
- Business process re-design related to the use and capture of data in the system
- Data clean-up/conversion
- Report re-design
Project Phases

Phase 1: Plan
Phase 2: Design
Phase 3: Develop
Phase 4: Test
Phase 5: Deploy

Today
Project Team

OCGA
- Barbara Siegel
- Ann Tsueng
- Cindy Gilbert
- Evan Garcia
- Joe Gibbs
- Keith Andre
- Kim Duiker
- Mark Lipschutz
- Mary Haskins
- Miesha Bailey

ORA
- Marcia Smith
- Dan Newbower

EFM/IPAS
- Li Tran
- Karla Bernal
- Marybeth Juezan
- Myra Huanosta
- Nancy Tse

CTCU
- Helene Orescan

OIP-ISR
- Lillian Smith

ORIS
- Jackson Jeng
- Gloria Su
- Porscha Madu

Huron
- Phil Infurna
- Kate McHugh
Workgroups

Primary
- Pre-Award/Proposal Intake Processing
- Award Processing
- Revised Goldenrod

Special Focus Groups
- Subawards
- Award Maintenance
- Unfunded Proposals/Agreements
- Custom Fields
- Reporting
Near Term Next Steps

- Document business processes and system configuration changes
- Meet with additional focus groups as needed
- Collaborate with PAMS
- Begin planning for data conversion
Research Policy & Compliance

Ann Pollack
Assistant Vice Chancellor – Research
October 14, 2010
Responsible Conduct of Research (RCR)

- Formal education in RCR required by NSF under the America COMPETES Act
- UCLA required to implement a plan for delivery of training and ensure compliance
- NSF expects monitoring and compliance
- Individual research proposals *do not need* to include plan details
UCLA Implementation

- Content created by UCLA faculty committee
- Based upon *On Being a Scientist* (National Academy of Sciences)
- Designed as an on-line course*

*COMING SOON*
UCLA Implementation

- Required of all faculty, students, postdoctoral scholars and staff supported by NSF research or training awards
- PIs encouraged to supplement “core” course with discussion and other mentoring activities
Questions

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