Welcome

Marcia Smith
Associate Vice Chancellor for Research
Agenda

- **Welcome and Announcements** - Marcia Smith

- **ORDM** – Rory Constancio
  - ORDM Quarterly Update of Awards

- **OHRPP** – Kip Kantelo
  - When And How To Close A Study With The IRB

- **OCGA** – Heather Winters, Kim Duiker, Cindy Gilbert
  - Master Training Calendar Update
  - Update on Internal Training Sessions
  - UCOP Intermediate IP Training
  - Evisions - Enterprise Reporting Software Research
  - SRA Basics Research Conference
  - FDP – Federal Agency Updates
  - New Senior Grant Analyst - Claudia Thomas
  - Transforming Proposals in S2S Grants

- **EFM** – Yoon Lee
  - RAPID Closeout Tool Enhancements
  - Business Process Changes
  - Staff Update
Highlights of ORA FY 2014 Annual Report of Proposals & Awards & FY 2015 Q1

http://portal.research.ucla.edu/

Rory Constancio
Director, Office of Research Data Management
Highlights of the FY 2014 Annual Report

- Proposal Requested Dollars & Counts, FY12 to FY14
- Proposal Requested Dollars by Campus Organization
- Awarded Dollars 10-Year Overview
- Award Counts & Transactions, FY 2013 & FY 2014
- Awarded Dollars by Campus Organization
- General Campus and Health Science Focus
- Awarded Dollars by Sponsor Type FY12 to FY14
- Federal Agency Sponsors for FY 2014
- Anticipated/Committed Dollars to FY 2019
### Proposal Requested Dollars & Counts, FY 2012 to FY 2014

#### Proposal Type

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#### Proposal Type

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## Proposal Requested Dollars & Counts by Campus Organization, FY 2012 to FY 2014

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Research Awarded Dollars, FY 2004 to FY 2014

Millions

FY 2004: $755.0
FY 2005: $821.3
FY 2006: $717.9
FY 2007: $913.9
FY 2008: $889.3
FY 2009: $966.3
FY 2010: $1,046.0
FY 2011: $1,077.6
FY 2012: $1,011.8
FY 2013: $893.6
FY 2014: $972.5
## Award Counts & Transactions, FY 2013 & FY 2014

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Research Awards by Campus Organization, FY 2013 & FY 2014
Awarded Dollars for Various General Campus and Health Sciences Areas, FY 2014

- **Basic Biomedical Sciences** $17.1 M, 40.5%
- **School of Dentistry** $15.0 M, 35.6%
- **Luskin School of Public Affairs** $17.7 M, 30.2%
- **School of Law** $1.71 M, 2.9%
- **California Nanosystems Institute** $12.9 M, 22.1%
- **School of Theater, Film, & Television** $2.03 M, 3.5%
- **School of Nursing** $7.81 M, 18.5%
- **Medical Center** $0.70 M, 1.7%
- **Broad Stem Cell Research Center** $1.58 M, 3.7%
- **Other Health Sciences Areas**
- **Other General Campus Areas**
- **Administrative Areas**
- **Engineering & Applied Science**
- **Letters & Science**
- **School of Medicine**
- **Semel Institute**
- **School of the Arts & Architecture** $0.98 M, 1.7%
- **Anderson Graduate School of Management** $0.97, 1.7%
- **Science & Information Studies** $22.2 M, 37.9%
Awarded Dollars by Sponsor Type, FY 2012 to FY 2014

- **Federal Government**: $674.3 (FY 2012), $572.1 (FY 2013), $538.5 (FY 2014)
- **Business & For-Profit**: $92.1 (FY 2012), $78.8 (FY 2013), $85.9 (FY 2014)
- **State & Other Government**: $84.6 (FY 2012), $103.0 (FY 2013), $142.1 (FY 2014)
- **Higher Education**: $67.6 (FY 2012), $68.6 (FY 2013), $67.2 (FY 2014)
- **Foundations & Charities**: $67.5 (FY 2012), $72.5 (FY 2013), $77.4 (FY 2014)
- **Interest Groups & Other**: $25.7 (FY 2012), $32.3 (FY 2013), $27.7 (FY 2014)
Federal Agency Sponsors for FY 2014

- Notables: NIH 60.9%  Department of Defense 8.4%  NSF 12.7%
Awarded, Expended, and Anticipated/Committed Dollars by Direct and F & A, FY 2009 to FY 2019

As of August 11, 2014, the breakdown of Anticipated/Committed to UCLA consists of:
- $594.6 Million Direct Costs
- $183.7 Million F & A Costs
- $778.3 Million Total Costs*

*Total includes $2.0 M for FY 2020
FY 2015 Q1 Summary

Proposal Requested Dollars & Counts

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Awarded Dollars & Counts

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</tbody>
</table>
# FY 2014 & 2015 Q1 Awards Comparison

<table>
<thead>
<tr>
<th>Sponsor Type</th>
<th>Fiscal Year Q1</th>
<th>Year-to-Year Change</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>FY 2014</td>
<td>FY 2015</td>
</tr>
<tr>
<td>Federal Government</td>
<td>180,189,399</td>
<td>239,749,379</td>
</tr>
<tr>
<td>Business &amp; For-Profit</td>
<td>11,918,292</td>
<td>32,696,048</td>
</tr>
<tr>
<td>State &amp; Other Government</td>
<td>39,288,596</td>
<td>25,369,961</td>
</tr>
<tr>
<td>Higher Education</td>
<td>13,063,911</td>
<td>15,586,754</td>
</tr>
<tr>
<td>Foundations &amp; Charities</td>
<td>15,245,860</td>
<td>9,915,457</td>
</tr>
<tr>
<td>Interest Groups &amp; Other</td>
<td>2,962,240</td>
<td>4,369,709</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>262,668,298</strong></td>
<td><strong>327,687,308</strong></td>
</tr>
</tbody>
</table>
FY 2014 & 2015 Q1 Awarded Dollars

Federal Government: $180.2

Business & For-Profit: $11.9

State & Other Government: $39.3

Higher Education:
- FY 2014: $13.1
- FY 2015: $15.6

Foundations & Charities:
- FY 2014: $15.2
- FY 2015: $9.9

Interest Groups & Other:
- FY 2014: $3.0
- FY 2015: $4.4
Largest New Award for FY 2015 Q1

Professor Donald Kohn

Pediatrics

$13.8 M Total Award Amount

$3.6 M Applied to FY 2015

California Institute for Regenerative Medicine (CIRM)
Study Closure: When & How

Kip Kantelo, Director
October 9, 2014
How?

- That’s the easy part
- Continuing Review in webIRB
  - Locate the specific study
  - Select “Continuing Review or Closure” in the study workspace
**Study:** Sample Approved Study for webIRB Training - 4

<table>
<thead>
<tr>
<th>Full Title of Study:</th>
<th>Sample Approved Study for webIRB Training - 4</th>
</tr>
</thead>
<tbody>
<tr>
<td>Protocol ID:</td>
<td>IRB#11-000045</td>
</tr>
<tr>
<td>Principal Investigator:</td>
<td>A PI4</td>
</tr>
<tr>
<td>Faculty Sponsor:</td>
<td></td>
</tr>
<tr>
<td>Review Type:</td>
<td>Full IRB Review</td>
</tr>
<tr>
<td>Expiration Date:</td>
<td>11/21/2016</td>
</tr>
<tr>
<td>PI Proxy:</td>
<td>Rebecca Simms (PI)</td>
</tr>
<tr>
<td>PI Assurances:</td>
<td>Completed</td>
</tr>
<tr>
<td>FS Assurances:</td>
<td>Not Required</td>
</tr>
</tbody>
</table>

Request to Continue Participants during Approval Lapse:

**Current State:** Approved

- View Study
- Printer Version
- View Differences

**Owner (IRB Staff):** IRB Staff1

**My Activities:**
- Send Training Reminder
- Send Inquiry or Reply to IRB
- Study Team - Log Private Comment
- Send Inquiry or Reply to MRSC

**CR:** Continuing Review or Closure

Filter by: Activity

- History
- Amendments
- Continuing Review or Closure
- Post-Approval Reports & Single Subject Exception
- Approved Documents
- IRB Requests
- Completed
- Conditional Determinants
How?

❖ CR in webIRB (continued)
  • A CR/Closure SmartForm opens
  • Question 2.0: pick “Study Closure”
When?

- For UCLA and where UCLA responsible
- Study has been approved
- Enrollment is closed
- Research interventions complete
- Follow-up complete
- No identifiable specimens kept
- No accessing identifiable data
When?

- **Sponsored Clinical Trial?**
  - Sponsor permission
  - Close-out visit complete
  - Close-out issues resolved
  - Source documentation not needed
  - Contract/budget issues complete
When?

- Expired or not
- Within 30 days
Special Situations

- Re-opening
- PI leaves UCLA without closing
- New safety information
Remember!

- Re-starting requires approval
- Record retention period
- Data confidentiality
- New safety information
- Further use of data
Thank you!

❖ For questions:
- North & South General IRBs
  - x57122
  - gcirb@research.ucla.edu
- Medical IRBs
  - x55344
  - mirb@research.ucla.edu
OCGA Updates

Kim Duiker
Cindy Gilbert
Heather Winters
Assistant Directors
October 9, 2014
Today’s Topics

• Master Training Calendar Update
• OCGA Staff Training updates
• FDP – Federal Agency Updates
• New Senior Grant Analyst - Claudia Thomas
• Transforming Proposals in S2S Grant
Training updates

• Master Training Calendar
  ▪ http://www.research.ucla.edu/ocga/training-calendar.html

• OCGA Staff Training updates
  ▪ SRA Basics Research Conference
  ▪ UCOP Intermediate IP Training
  ▪ Evisions Research Conference
  ▪ FDP
FDP Updates

Department of Defense: Delays in Incremental Funding due to Late or Delayed Invoicing

• Army Research Office (ARO)
  ▪ Draft language
    “To ensure consistency with the approved budget timeline, thirty (30) calendar days before a subsequent funding option/increment is scheduled, the performer is expected to have invoiced at least 60% of the most recent option/increment (and 100% of any prior-year funds, if applicable) to be favorably considered for the subsequent option/increment.”

• Air Force Office of Scientific Research (AFOSR)
  ▪ Late billing jeopardizes funding on present projects and/or awarding of new grants
  ▪ Rate at which AFOSR obligates their current funds determines their future funding

• Watch future RAF agendas and ORA News for updates.
FDP Updates

NIH Updates

• RPPR will be required for all progress reports submitted on or after October 17, 2014
  ▪ See NOT-OD-14-092
FDP Updates

NIH Updates

• eRA Commons User ID requirements
  ▪ RPPR - NOT-OD-13-097
    • Commons ID required for all graduate and undergraduate students listed in the RPPR All Personnel Report with effort of one person month or more
    • RPPR module currently generates a *warning* if Commons ID is missing
    • Beginning October 17, 2014 the RPPR module will generate an error which will prevent submission if Commons ID is missing
  ▪ Individual NRSA Applications – NOT-OD-14-129
    • Commons ID required for Primary Sponsor (faculty supervisor)
    • If sponsor has an existing Commons ID, *Sponsor* role needs to be added
  ▪ For new Commons ID or updates, contact Cindy Gilbert cgilbert@research.ucla.edu and provide:
    • Full Name
    • E-mail address
FDP Updates

NSF Updates

- New Proposal and Award Policies and Procedures Guide (PAPPG)
  - Effective for awards issued and proposals submitted on or after December 26, 2014
  - Implements Uniform Guidance
  - Publication pending final approval from OMB
  - Automated Non-compliance Checking
    - Non-compliance findings will be triggered when PI forwards the proposal to SPO
FDP Updates

NSF Updates

- PAPPG - Other significant changes
  - Special Exceptions to Deadline Date Policy
  - Proposal Format – Automated Compliance Checking
  - Project Description – Broader Impacts
  - Results from Prior NSF Support
  - Budget Justification
  - Ideas Lab – new funding mechanism

Complete presentations available at:
http://sites.nationalacademies.org/PGA/fdp/PGA_152105
OCGA New Staff

Claudia Thomas, Senior Grant Analyst

• Effective September 15, 2014

• Over 12 years experience
  ▪ Central pre-award
  ▪ Departmental
  ▪ Grant Accounting

• Stanford, UCSF, USC
Transforming Proposals in S2S Grants

Copy/Transform functionality in S2S Grants can be valuable, timesaving tool.

However, there are things to consider when deciding to use it.
Transforming Proposals in S2S Grants

- With it’s auto fill capability and validation checking, S2S Grants is already timesaver.
- When you copy or transform a proposal, it’s likely that most attachments will have to be deleted and replaced by updated attachments.
  - So does copying or transforming a proposal really save time?

Maybe ...
Transforming Proposals in S2S Grants

When might transforming a proposal save time?
- When a proposal was created using the wrong FOA.

Things to consider:
- Different FOAs may have different guidelines.
  - Pay very close attention to validations once transform is completed.
- Transforming proposals may lead to unsettling consequences …
Transforming Proposals in S2S Grants

... particularly when transforming between different Adobe Forms versions
Transforming Proposals in S2S Grants

1. Application Type:
From SF 424 (R&R) Cover Page and PHS398 Checklist. The responses provided on these pages, regarding the type of application being submitted, are repeated for your reference, as you attach the appropriate sections of the research plan.

*Type of Application: [ ] New [ ] Resubmission [ ] Renewal [ ] Continuation [ ] Revision

Adobe-Forms-B1

2. Research Plan Attachments:
Please attach applicable sections of the research plan, below.

0. Composite PDF.
1. Introduction to Application (for RESUBMISSION or REVISION only)
2. Specific Aims
3. * Research Strategy
4. Inclusion Enrollment Report (IER)
5. Progress Report Publication List

Human Subjects Sections
6. Protection of Human Subjects
7. Inclusion of Women and Minorities
8. Targeted/Planned Enrollment Table
9. Inclusion of Children

Forms-C

PHS 398 Research Plan
Please attach applicable sections of the research plan, below.

0. Composite PDF.
1. Introduction to Application (for RESUBMISSION or REVISION only)
2. Specific Aims
3. * Research Strategy
4. Progress Report Publication List

Human Subjects Sections
5. Protection of Human Subjects
6. Inclusion of Women and Minorities
7. Inclusion of Children

Adobe-Forms-C
Transforming Proposals in S2S Grants

Result

• Two “leftover” attachments from Adobe-Forms-B1 resulted in a PDF compilation issue when transformed to Forms-C.
• Issue only appeared locally in S2S Grants.
• No impact on document that was submitted to Grants.gov and NIH.
Yoon Lee
Associate Director, EFM

October 9, 2014

Yoon Lee
Associate Director, EFM
Agenda

- RAPID Tool Enhancement
- Business Process Changes
- SFN Exception for Training Grant
- Staff Update
RAPID Tool Enhancement

- Enhancements will be made to RAPID closeout packet to improve efficiency in preparing and reviewing RAPID closeout packets

- New reports to be added to RAPID closeout packet
  - Policy 913 page to provide assurance and explanation
  - Warning and Unallowable report to provide details on a transaction level in addition to the summary level already provided
  - Expense prior to the project start date

- Modification to the existing reports
  - Expenses After the End Date report
    - To exclude transactions with a Document or Earned Date within the period
  - Updated page breaks

- Estimated time of new version release: to be announced
  - EFM is currently working with SOM RAPID Tool team
  - New version will be released in a few waves as certain enhancements are completed
Business Process Changes

High Risk Cost Transfer Reviewed by EFM

• Old process
  - EFM Supervisor and designated Accountant III reviewed all high risk cost transfers of the team

• New Process
  - All accountants review high risk cost transfers for the departments they serve except for Accountant I

• Benefit: Better customer service
  - One point of contact for the department
  - Faster turn-around time: 5 business days to 3 business days

• Effective date: to be announced
  - System update in progress
Single Fund Number Exception – Training Grant

- NIH T32 is exempt from SFN
  - SFN exemption was granted to help reconciliation process for unliquidated obligation to be reported to the sponsor.
  - Department does not need to submit SFN exception request.

- All other training program type awards
  - Automatic SFN exception is not granted.
  - If an award has the same kind of reporting requirements like T32 or any other special circumstance that require MFNOA, department can submit SFN exception request form to OCGA intake team: awards@research.ucla.edu
  - SFN review committee, composed of members from OCGA, ORDM, and EFM will review each request and inform the department of the decision.

- FAQ on SFN can be found on the EFM website
  - http://ora.research.ucla.edu/EFM/Pages/FAQ.aspx
Lourdes Montes – Accountant I

- Joined EFM in 2008 as Administrative Assistant
- Promoted to Administrative Specialist in Cash Management in 2010
- Experience in cash application, clinical trial appropriation, intercampus payments
QUESTIONS

Yoon Lee
yoon.lee@research.ucla.edu
(310) 794-0375