Research Administrators Forum
September 16, 2010

Sponsored by
Office of Research Administration

Marcia Smith
Associate Vice Chancellor
Meeting Agenda

- Welcome and Announcements
  Marcia Smith

- EFM Update
  Nathan Haines, Maurice Taylor, An Tran, Jennifer Aguilar

- Stem Cells Update
  Steve Peckman, Broad Stem Cell Research Center

- RAPID Project Updates
  Financial Reporting Project
  Jessica Lee
  Effort Reporting Project
  Paula Dion, Shannon McGarry, Jenna Lee

- OHRPP Updates
  webIRB Submission Requirements - Allison Orkin

- Closing Comments/Questions and Discussion
  Marcia Smith
Update on Extramural Fund Management Office

September 16, 2010
Agenda

- EFM Organizational Update
- RAPID Invoicing Tool
- Other Updates
  - ARRA
  - Audit
  - Cost Transfers
  - EFM Communities
EFM Organizational Update

- Pilot Team Progress – On-Time Submission for Reports and Invoices

![Graph showing percent of on-time submission for pilot departments]
### EFM Team Structure

<table>
<thead>
<tr>
<th>Team</th>
<th>Departments</th>
<th>Supervisor</th>
<th>Team Members</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Medicine - All Others</td>
<td>Brian Atienza</td>
<td>Diana Krekic, Christian Diaz, Jacque Stapleton, David Hidalgo</td>
</tr>
<tr>
<td>2</td>
<td>L&amp;S - all Other</td>
<td>Veronica Fuentes</td>
<td>Ping Yang, Annette Garcia, Vivian Juaner</td>
</tr>
<tr>
<td>3</td>
<td>Medicine - Medicine</td>
<td>Jennifer Aguilar</td>
<td>Nessie Huff, Chenda Seng, An Tran</td>
</tr>
<tr>
<td>4</td>
<td>Medicine - Surgery</td>
<td></td>
<td>Angelica Diaz, Simora Brooks, Robyn Latchman</td>
</tr>
<tr>
<td>5</td>
<td>Engineering</td>
<td>William Paja</td>
<td>Jevon Echave, Winny Migletz, Katie Cadle</td>
</tr>
<tr>
<td>6</td>
<td>Nursing</td>
<td>Becky Henricksen</td>
<td>Jevon Echave, Winny Migletz, Katie Cadle</td>
</tr>
<tr>
<td>7</td>
<td>L&amp;S - Physics and Astronomy</td>
<td>Linda Finley</td>
<td>Jen Ear, Grace Agustin, Vicki Lin</td>
</tr>
<tr>
<td></td>
<td>Pediatrics</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Public Affairs</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Dentistry</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>All others</td>
<td></td>
<td></td>
</tr>
<tr>
<td>7</td>
<td>Complex Agreements</td>
<td>Surjeet Sahota</td>
<td></td>
</tr>
</tbody>
</table>

* denotes the ARRA specialist
RAPID Invoicing Tool

- 40% of UCLA’s revenue comes from non-LOC awards
- 600+ AutoBill invoices submitted by EFM each month
- RAPID Invoicing tool was created to save time when completing the AutoBill each month. Additional benefits include:
  - Ability to save files electronically
  - Decrease in time needed to review
  - Includes outstanding A/R
  - Reduces manual entry of demographic information, leading to fewer revisions
RAPID Invoicing Tool

- Results
  - Past due population decreased from 1,876 invoices in July 09 to 467 invoices in May 10
RAPID Invoicing Tool

What is the financial impact of the invoicing backlog at UCLA?

- Invoicing backlog in June 2009 was roughly $42M
- Invoicing backlog in May 2010 was down to $7M

Decrease in backlog means $35M going out the door on time!!
Other Updates

- **ARRA**
  - Awards received: 383
  - Award dollars received: $192 million
  - Next department submission deadline is Monday, Sept 27th

- **Audit Coordination**
  - Paula Dion, Supervisor for Special Projects at EFM, will work across ORA units to respond to audit requests

- **Cost Transfers**
Other Updates

- EFM Communities
  - New Hire Training
  - EFM Training
  - Customer Training
  - Procedure Implementation
  - Mentoring & Performance Review
  - Employee Recognition
  - Employee Morale
  - EFM Website Development
  - Hire Process
Financial Reporting Project
RAF Update

September 16, 2010
Agenda

- Project Overview
- RAPID Smart Closeout Tool
  - Metrics
- Post Award Management System (PAMS)
  - Progress Chart
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 Tool

- Interim Excel-based Quick Win Tool
- Accessible from ORA Portal
- Mandatory adoption as of **9/1/2010**
- Held 5 Training Sessions > 200 attendees
- Smart Closeout Tool Open Houses held 8/16 and 8/23
  - Approximately 30 – 35 attendees in total
- Deployed updates to the user guide
Effort Reporting Updates

September 16, 2010
Completion Rates at UCLA

- 87% certification rate for Effort Reporting through Fall 2009

Open Reports

- Currently 23,865 open reports as of 9/09/10
- 11,719 of these reports are overdue back to Spring 2006
- 1,379 reports are in Certified/Adjustment Required status - 29% decrease since May!
### Effort Reporting Issue Dates and Deadlines for Certification

<table>
<thead>
<tr>
<th>Quarter</th>
<th>Release Date</th>
<th>Due Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Winter 2010</td>
<td>August 17, 2010</td>
<td>October 8, 2010</td>
</tr>
<tr>
<td>Spring 2010</td>
<td>August 17, 2010</td>
<td>October 8, 2010</td>
</tr>
<tr>
<td>Goal for Completion of Backlog:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Overdue Open Reports</td>
<td>75% Completion</td>
<td>September 30, 2010</td>
</tr>
<tr>
<td>Overdue Open Reports</td>
<td>100% Completion</td>
<td>December 31, 2010</td>
</tr>
</tbody>
</table>
EFM has been visiting individual departments to help work through the open effort reports. Progress since May:

- 7 Department Visits Complete
- Average **increase of 38% in completion rates** for Summer and Fall 09 Quarters 60 days after visit
- Average **increase of 10% in overall completion rates** 60 days after visit

After documenting the common issues and fixes for certifying reports, EFM has an ERS FAQ that they continue to update: [http://www.efm.ucla.edu/ERS%20FAQs.htm](http://www.efm.ucla.edu/ERS%20FAQs.htm)

If you are interested in setting up a meeting with EFM, please email ershelp@research.ucla.edu

**Future Assistance**: Effort Report Open Houses may be held. These will be scheduled times for Departments to bring effort reports with which they need assistance. EFM experts will be on hand to answer questions and troubleshoot ERS.
ERS Forum Agenda

- Effort Reporting at UCLA (Marcia Smith)
- Effort Reporting Basics (Lilit Amirkhanyan, Catherine Rujanuruks)
- Effort Report Statuses in ERS (Tsegaye Teshome)
- Challenges to 100% On-Time Certification (Martha Riemer, Connie Brown)
- Tips for Ensuring Compliance (Lilit Amirkhanyan)
- Q&A (Shannon McGarry)
Agenda

- Project Overview
- RAPID Smart Closeout Tool
  - Metrics
- Post Award Management System (PAMS)
  - Progress Chart
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 Tool

- Interim Excel-based Quick Win Tool
- Accessible from
  - ORA Portal (Non-SOM)
  - Mednet network (SOM)
- Held 5 Training Sessions > 200 attendees
- Smart Closeout Tool Open Houses held 8/16 and 8/23
  - Approximately 30 – 35 attendees in total
- Deployed updates to the user guide
- Mandatory adoption as of 9/1/2010
# Smart Closeout Tool Metrics

<table>
<thead>
<tr>
<th></th>
<th>June</th>
<th>July</th>
<th>August</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total # Closeout Submissions</td>
<td>131</td>
<td>98</td>
<td>148</td>
</tr>
<tr>
<td>RAPID Closeout Packets Submitted</td>
<td>96</td>
<td>73%</td>
<td>85</td>
</tr>
<tr>
<td>Closeout Packets Submitted via Upload Tool</td>
<td>50</td>
<td>52%</td>
<td>55</td>
</tr>
</tbody>
</table>

- **Thank You!!!**
Post Award Management System (PAMS)
Long-term web-based system
Design and Development under way
Project Team reviewing progress
  ~25 members from campus and ORA
## Progress Chart

<table>
<thead>
<tr>
<th></th>
<th>Wkload Mgmt</th>
<th>Closeout Sub</th>
<th>EFM Process</th>
<th>Fin Rpt &amp; Invoice Templates</th>
<th>Metrics</th>
<th>Sys Admin</th>
<th>Sys Integration</th>
</tr>
</thead>
<tbody>
<tr>
<td>REQS</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>DESIGN</td>
<td>X</td>
<td>X</td>
<td>IN PROG</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>DEVELOP</td>
<td>IN PROG</td>
<td>IN PROG</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>TEST</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Effort Reporting Updates
Paula Dion, Shannon McGarry, Jenna Lee
Completion Rates at UCLA
- 87% certification rate for Effort Reporting through Fall 2009

Open Reports
- Currently 23,865 open reports as of 9/09/10
- 11,719 of these reports are overdue back to Spring 2006
- 1,379 reports are in Certified/Adjustment Required status - 29% decrease since May!
Effort Reporting

Effort Reporting Issue Dates and Deadlines for Certification

<table>
<thead>
<tr>
<th>Quarter</th>
<th>Release Date</th>
<th>Due Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Winter 2010</td>
<td>August 17, 2010</td>
<td>October 8, 2010</td>
</tr>
<tr>
<td>Spring 2010</td>
<td>August 17, 2010</td>
<td>October 8, 2010</td>
</tr>
</tbody>
</table>

Goal for Completion of Backlog:

| Overdue Open Reports | 75% Completion | September 30, 2010 |
| Overdue Open Reports | 100% Completion | December 31, 2010 |
EFM has been visiting individual departments to help work through the open effort reports. Progress since May:

- 7 Department Visits Complete
- Average increase of 38% in completion rates for Summer and Fall 09 Quarters 60 days after visit
- Average increase of 10% in overall completion rates 60 days after visit

After documenting the common issues and fixes for certifying reports, EFM has an ERS FAQ that they continue to update:

http://www.efm.ucla.edu/ERS%20FAQs.htm

If you are interested in setting up a meeting with EFM, please email ershelp@research.ucla.edu

Future Assistance: Effort Report Open Houses may be held. These will be scheduled times for Departments to bring effort reports with which they need assistance. EFM experts will be on hand to answer questions and troubleshoot ERS.
ERS Forum Agenda

- Effort Reporting at UCLA (Marcia Smith)
- Effort Reporting Basics (Lilit Amirkhanyan, Catherine Rujanuruks)
- Effort Report Statuses in ERS (Tsegaye Teshome)
- Challenges to 100% On-Time Certification (Martha Riemer, Connie Brown)
- Tips for Ensuring Compliance (Lilit Amirkhanyan)
- Q&A (Shannon McGarry)
OHRPP Update: webIRB Submission Requirements

Alison Orkin
Assistant Director
Beginning **October 1, 2010**, the IRB will accept *only* webIRB applications for

- New Studies and
- Continuing Reviews of
  - IRB Approved and
  - Exempt studies.

**Applications in webIRB to date**
- 468 approved
- 186 in review

**Total active human research studies in FY 2008/09**: 4367, including IRB approvals & exemptions
After October 1, 2010

- At the time of **Continuing Review** a new webIRB application will be required.

- A new webIRB application is will be required for an **amendment** to an existing paper **Exempt study**.

- **Data Analysis Phase Only**: If study is at the phase that it is *only* analyzing data at the time of continuing review, the webIRB application will require information about that phase of the study *only* (and will, therefore, be short and easy to complete).
Paper Submissions Allowed for a Small Subset

The following types of post approval submissions will be accepted in paper version for paper versions of IRB-approved studies until the studies are converted to webIRB:

- **Amendments** (modifications), except for studies previously certified as Exempt.
- **Post Approval Reports** (PARS—adverse events, violations and incidents, and safety updates)
Important Notes

**New IRB Number:**
- When investigators enter studies into webIRB at the time of continuing review or amendment of an exempt study, the studies are assigned a new IRB number.
- *New number is in the format YY-NNNNNNN.*
- Please notify any study sponsors and/or campus departments involved with the study of the new IRB number once assigned.

**Plan Ahead:**
- Because conversion will require a one-time extra investment in time, investigators need to plan ahead.
- This is particularly true for conversions at the time of continuing review to assure that the approval period does not lapse.
Where to Get Help


- Contact the IRB Staff: See http://ohrpp.research.ucla.edu/ for general numbers and numbers for individual staff

- Contact the webIRB Help Desk at
  - (310) 267-1887 or
  - webirbhlp@research.ucla.edu.

- To subscribe to the webIRB listserv: Send an e-mail to: webIRB-subscribe@lists.ucla.edu. The subject line and body of the e-mail can be blank.