Research Administrators Forum

Sponsored by the
Office of Research Administration

Marcia Smith
Associate Vice Chancellor

September 8, 2011
Agenda

- Welcome and Announcements
  Marcia Smith
- OHRPP Updates – Alisa Irwin
  Request for Comments on Changes to the Common Rule
- OCGA Updates – Patti Manheim
  Multi-Campus Agreement (MCA) Procedures
- EFM Updates – Nate Haines
  Genomic Arrays – Nate Haines
  NPEAR updates – Maurice Taylor
- RAPID Project Updates
  Effort Reporting Workgroup – Tsegaye Teshome and Shannon McGarry
  PAMS – Jessica Lee and An Tran
  PATS – Gloria Su and Cindy Gilbert
Proposed Revisions to DHHS Regulations for Research Involving Human Subjects

“The Common Rule”

Alisa Irwin
Research Administrators Forum
September 8, 2011
DHHS is Proposing Changes to the Common Rule

- Seeking public comment on array of issues related to ethics, safety and oversight of human research

- Historic event: First proposed changes to the Common Rule since 1991

- Comment period ends October 26, 2011
Why Revise the Common Rule?

- **Two overarching goals:**
  - Enhance the *protection* of research subjects
  - Improve *efficiency* of the review process

- **Seven possible regulatory reforms described in Advance Notice of Proposed Rulemaking (ANPRM):**
  - On the surface, the changes appear to be really good and well intentioned, but the devil is in the details!
ANPRM Highlights

- Proposed revisions (with enhanced research protections in mind):
  - Specific data security protections, calibrated to the level of identifiable information collected
  - Require written consent for research use of biospecimens, even those that have no identifiers
  - Greater specificity about how consent forms are written and what information they contain
ANPRM Highlights

- Proposed revisions (with efficiency in mind):
  - Use of a **single IRB of record** for multi-site studies
  - No IRB **continuing review** of minimal risk research (expedited studies)
  - Revise and simplify **exempt research categories** and the process of exemption
  - Create a single website for **adverse event reporting**, stored in a single database
How to Comment on the ANPRM

- **Individually:**
  - Go to [www.regulations.gov](http://www.regulations.gov)
  - Docket ID# HHS-OPHS-2011-0005

- **Part of a group - UCLA and UCOP will be submitting a response**
  - UCLA survey will be sent next week
  - Comments can be sent by email to Sharon Friend: [sfriend@research.ucla.edu](mailto:sfriend@research.ucla.edu)
Office of Human Research Protection website:

http://www.hhs.gov/ohrp/humansubjects/anprm2011page.html

- Read ANPRM
- View FAQs
- How to submit / browse comments
- View table comparing existing regulation with changes in the ANPRM
OCGA Updates

Patti Manheim
Office of Contract and Grant Administration
September 8, 2011
Outgoing Multi-Campus Award (MCA) – Revised Proposal and Award Procedures

- Multi-Campus Award (MCA) – A subaward issued from one UC campus to another UC campus.
- Effective November 1, 2011 all MCAs issued by OCGA will be processed by the OCGA Subaward Team.
REQUIRED UC CAMPUS DOCUMENTS

The following documents must be forwarded to OCGA *prior* to submission of the prime proposal to the sponsor:

- Signed MCA Commitment form – new form
- Statement of Work (SOW)
- Budget and Justification
- Any other documents required by UCLA or Sponsor
Outgoing MCA – Proposal Process

- UCLA incorporates other UC campus proposal and SOW into UCLA’s application as one proposal.
- UC campus budget listed as a Subrecipient/Consortium line item in UCLA’s budget.
- UC campus documents (e.g. budget forms, biosketches, other support) as required by sponsor.
- UCLA PI forwards completed UCLA proposal to OCGA for review, including signed MCA Commitment Form.
Outgoing MCA – Award Process

- UCLA PI/Department sends MCA Checklist (new form), IRB/ARC Approval(s) and any other updated documentation to OCGA Subaward Team via fax; (310)943-1466 or e-mail; outgoingmca@research.ucla.edu.

- OCGA Subaward Team prepares and issues a MCA document, including scope of work, budget, budget justification and a copy of the prime award.

- MCA transmitted via email to UC campus contact, Extramural Fund Management (EFM) and PI/Department.
Outgoing MCA – Award Process

MCA Monitoring/Closeout

- PI responsible for monitoring UC campus technical progress.
- PI/Department receives and reviews/approves intercampus request for reimbursement, technical reports, patent disclosures and any other closeout obligations in accordance with the UCLA prime award.
Outgoing MCA – Revised Procedure

Benefits:

- Streamline intake and process.
- Single point of contact.
- Standardize outgoing MCA documents.
- Electronic tracking and monitoring.
- Consistent monitoring of federal reporting and compliance requirements (ARRA, FFATA, A-133, debarment, IRB/ARC approvals, etc.).
QUESTIONS??

Outgoing MCA – Revised Procedure
Outgoing MCA – Revised Procedure

OCGA Subaward Team:

Sharon Lam  Subaward Administrator
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Harveen Kukreja  Subaward Analyst
hkukreja@research.ucla.edu  x40194

Jennifer Tang  Subaward Assistant
jtang@research.ucla.edu  x42979
NON-PAYROLL EXPENSE TRANSFERS

Maurice Taylor, Assistant Director
EXTRAMURAL FUND MANAGEMENT
Non-payroll Cost Transfers

**UPDATE:**
AIS and General Accounting are upgrading the Non-payroll Expense Transfer (NET) system.

**UGRADE:** The catalyst is to move the platform to JAVA base system which provides greater flexibility in making future upgrades and enhancements easier.
Non-payroll Cost Transfers

- Implementation
  - General Accounting asked EFM to test
  - EFM reached out to campus dept. representative to participate in the testing
  - Campus reps work as preparers and EFM as reviewers in testing
Non-payroll Cost Transfers

• Expectations

- Work as usual and continue to follow the policies

- Transfers greater 120 days from original transaction date,

- Transfer greater than 90 days past expiration, will continue to be routed to EFM for review
Non-payroll Cost Transfers

• Changes:
  - The screen will have a new look and feel
  - Retransfers will be routed to EFM for review.
  - Six policy questions will be listed in the transfer system.
  - Transactions routed to EFM for review will route to your EFM team assignment.
Non-payroll Cost Transfers

- Changes

My Status
- Saved - work in process
- Submitted - Waiting to be processed
- Processed - Posted to ledger within last 90 days
- Pending Central Office Approval - waiting to be approved
- Central Office Approved - Waiting to be processed
- Redo Central Office - Revise and Resubmit
- Rejected by Central Office - Declined by approver

Reports
- Audit
- Compliance
Non-payroll Cost Transfers

- Work-in-process
  - Continue with testing
  - Developing Compliance reports
  - Review results of testing
  - Provide updates at future RAF
### Effort Reporting Metrics

As of 9/7/11

- **Completion Rates at UCLA**
  - 96% certification rate on Campus

- **Open Reports**
  - 5,253 open reports out of 131,202
  - 1743 reports certified between 8/9/2011 and 9/7/2011

### Spring 2011 and Summer 2011 quarters

- Release projected for mid November

#### Effort Reporting Metrics Table

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<th>Fall</th>
<th>Winter</th>
<th>Spring</th>
<th>Summer</th>
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ERS Search Functions

- **Home Department (Current Default Search)**
  - The Home Department search captures all of the reports for people *currently* assigned to the department in EDB.
  - This may not capture all of the people that performed effort in the department.

- **Account Department**
  - The Account Department search captures all of the people paid from department funds (example 19900, sponsored projects, non-sponsored projects, all other departmental FAUs) regardless of EDB home department.
  - Account Department will give you a more accurate reflection of those that performed effort in the department.
Effort Reporting Update – ERS Search

Account Department Search

[Image of ERS Search interface showing filters for departments and search results for AAP-New Student Programs and Acad Geriatrics Res PRGR]

FILTER BY:
- Choose department type: Home Department
- Department name or Account Department
- Fund Department

FILTERED RESULTS LIST:
- Click one or more results to add them to the collection:
  - AAP-New Student Programs
  - 0524
  - Acad Geriatrics Res PRGR
  - 8205

SEARCH COLLECTION:
- Click an item to remove it from the collection:
- 0 items in collection

UPDATE FILTER | RESET FILTER | SAVE | SAVE AS | VIEW
PAMS Project Update

An Tran, Business Analyst
Jessica Lee, Project Manager
Agenda

- Project Overview
- PAMS Phase 1 Scope
- PAMS Benefits
- PAMS Progress Updates
- Screen Development Progress and Process
- PAMS Next Steps
Project Overview

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

- **PAMS**: Post Award Management System

- A single *web-based system* that can be used by departmental fund managers and EFM to manage the development and submission of financial reports to the various sponsors.
PAMS Phase 1 Scope

- Closeout
- Department and EFM Worklists
- Financial Reporting
- Invoicing
PAMS Benefits

- Real time view on status and approvals
- Real time collaboration
- Integration with other systems
- Automated Worklist
- Improve Journal Submission Process
- Reduce Manual Data Entry
- Reduce Shadow systems
  - (FRS, RAPID, Worklist)
PAMS Progress Updates

- Workflow Complete
- Cross Functional Team Mtgs Continue
- Department Screens
  - Completed Mockup Reviews
  - Dev and Demos in Progress
- EFM Screens
  - Mockups and Reviews in Progress
- Started Development for Provision Logic
- Document storage and retrieval work started

Rapidfeedback@reseach.ucla.edu
PAMS Next Steps

- Continue Screen and Logic Development
- Continue Screen Reviews
- Feed Live Data to Screens
- Testing
- Demos
Thank You
Proposal and Award Tracking System (PATS)  
Project Update  
Research Administrators Forum  
September 8, 2011  

Gloria Su  
Office of Research Information Systems (ORIS)  

Cindy Gilbert  
Office of Contract and Grant Administration (OCGA)
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
What's in it for me?
What’s in it for me?

- Improved reporting capabilities and access to *accurate* contracts and grants-related information
- Consistent, streamlined business processes
- Expedited award set-up
- New and improved *Award Snapshot*
- Enhanced communication between ORA and PIs/Research Administrators via automated alerts and reminders
Project Phases

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

We are here
Completed To Date

- Design and document complete “cradle-to-grave” business process
- Design, document and apply system configuration changes
- Design and document conversion of data from old to new system
- Design and document changes to data feeds to accommodate new system
- Revise existing and design new reports for QA, metrics, workload and maintenance
In Progress

- Data conversion underway
- Executing final walk-through sessions and collecting feedback from user groups
- Developing testing and training materials
Upcoming

- Complete tasks in progress
- Data feed changes
- Testing
- Training
- Cutover to new system