



UCLA

Office of Research Administration

Research Administrators Forum January 14, 2016

**Welcome &
Happy New Year!**

Marcia Smith
Associate Vice Chancellor for Research

Agenda

- **Welcome and Announcements**
 - *Marcia Smith*
- **ORIS**
 - Update on ORA Portal Enhancements - *Jackson Jeng*
- **OCGA**
 - eRA Updates: eRA Help Mail; Submitting Proposal Central Applications to Proposal Intake - *Cindy Gilbert*
 - AB20 – State of California Contracts – *Heather Winters*
 - Grant Updates – *Kathy Kawamura*
- **EFM**
 - NIH Sub Accounting Transition Update – *Maurice Taylor*

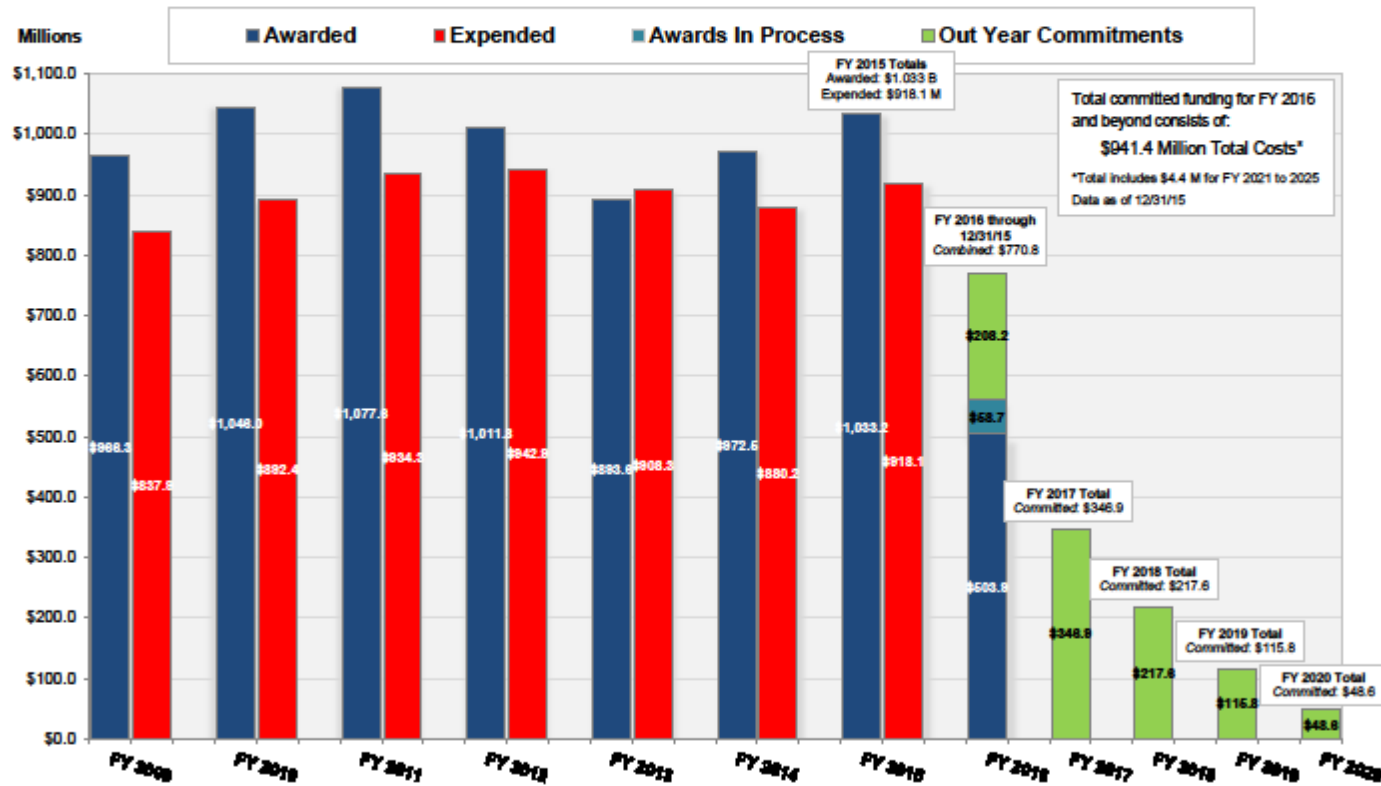
Announcements

- **ORA move from Kinross**
 - Geffen Academy At UCLA
 - Occidental Petroleum Building
- **Interim VCR**
 - Professor Ann R. Karagozian

Looking Ahead

Historical picture of awards and expenditures from FY 2009 to date, with future committed dollars through FY 2020.

Awarded, Expended, and Committed Dollars, FY 2009 to FY 2020



ORA Online Resource Center (Portal) Update

Research Administrators Forum
January 14, 2016

General Statistics

Pre-Award

Post-Award

Compliance

REPORTS

- **Award Data Reports**
Current Year Award Stats by Dept, PI
Prior Year Data Download by Dept
Advanced Search & Snapshot Report
- **Proposal Data Reports**
Current Year Proposal Stats by Dept, PI
Prior Year Proposal Data Download by Dept
Advanced Search Tool
- **Awarded Dollars for Last 12 Months**
- **Award Statistics by Sponsor** **UNDER MAINTENANCE**
- **IRB Statistics**
Approval Counts | Review Cycle Times | Award Dollars
- **ARC Statistics**
Approval Counts | Review Cycle Times | Award Dollars

LATEST STATISTICS

- **\$522.0 million** awarded YTD for FY 2015-2016
- **\$1.03 billion** awarded for FY 2014-2015
- **\$972.5 million** awarded for FY 2013-2014
- **372** awards received for proposals submitted in FY 2015-2016
- **4761** IRB approvals completed for FY 2014-2015
- **425** ARC approvals completed for FY 2015-2016



General Statistics

Pre-Award

Post-Award

Compliance

REPORTS

- FSR Due **UNDER MAINTENANCE**
By: Organization | Department
- Fund Expiration
Expired | Upcoming
- ORA Research Proposals and Awards by Fiscal Year
| FY2013-2014 | FY2012-2013 | FY2011-2012 |
| FY2010-2011 | FY2009-2010 | FY2008-2009 |
| FY2007-2008 | FY2006-2007 | FY2005-2006 |
| FY2004-2005 | FY2003-2004 | FY2002-2003 |

TOOLS

- Award Data Reports
Current Year Award Stats by Dept, PI
Prior Year Data Download by Dept
Advanced Search & Snapshot Report
- RAPID Closeout
Smart Closeout Tool (.zip) - Non-SOM Users
Closeout Package Upload Tool
- Effort Reporting System (ERS)

FORMS

- Cost Share Form 
- Precloseout Checklist 
- Single Fund Number Benefits/FAQs
- Single Fund Number Exception Request



Award Status and Snapshot Report (ASSR)

- Online Award Snapshot delivery
- Advanced search using custom criteria

Award Data Download Tool (ADDT)

- Pre-packaged award data for prior FYs
- Official award counts and dollars

Current Year Award Stats

- Award counts and dollar for current FY
- Daily data update

DEMO

DEMO

Filter Options

	2013	2014	2015	2016	2017
Award A	Period 4	Period 5			
Award B	Period 4	Period 5	Period 5 NCE	Period 5 NCE	
Award C			Period 1	Period 2	Period 3 Anticipated

- **Currently Active Budget Period**
- Most Current Budget Period
- All Budget Periods

Filter Options

	2013	2014	2015	2016	2017
Award A	Period 4	Period 5			
Award B	Period 4	Period 5	Period 5 NCE	Period 5 NCE	
Award C			Period 1	Period 2	Period 3 Anticipated

- Currently Active Budget Period
- ⦿ **Most Current Budget Period**
- All Budget Periods

Filter Options

	2013	2014	2015	2016	2017
Award A	Period 4	Period 5			
Award B	Period 4	Period 5	Period 5 NCE	Period 5 NCE	
Award C			Period 1	Period 2	Period 3 Anticipated

- Currently Active Budget Period
- Most Current Budget Period
- ⦿ All Budget Periods

Live Demo

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

Questions or Feedback?

portal@research.ucla.edu



Electronic Research Administration Updates

Cindy Gilbert
Assistant Director
cgilbert@research.ucla.edu

January 14, 2016

OCGA eRA Help Email

- S2S Grants Help (s2sgrants@research.ucla.edu) retired
- Replaced by OCGA eRA Help (erahelp@research.ucla.edu)
- Emails sent to s2sgrants@research.ucla.edu will automatically be forwarded to erahelp@research.ucla.edu
- Please remove s2sgrants@research.ucla.edu from address books and memory in email
- Anticipated effective date: Friday, 1/15/16 late afternoon
 - ORA News will be sent when complete

OCGA eRA Help Email

OCGA eRA Help will

- Continue to support S2S Grants (Cayuse), and
- Expand support to include **external** application and management systems such as:
 - Grants.gov
 - NIH eRA Commons and ASSIST
 - NSF FastLane and Research.gov
 - CDMRP EBRAP
 - DoE PAMS
 - NASA NSPIRES
 - proposalCentral
 - PCORI Online System
 - AHA Grants@Heart
 - ... many more

OCGA eRA Help Email

- Shared email
- Monitored by multiple staff
- Alleviates “out-of-office” responses
- More efficient coverage and response time

Submitting *Proposal Central* Applications to Proposal Intake

- Generic Professional Profile established in *Proposal Central* for Proposal Intake Team
- Once application is initiated in *Proposal Central*
 - Allows users to give **Administrator** Permissions to Proposal Intake Team
 - Eliminates guesswork in assigning Permissions – department only needs to assign Proposal Intake Team

Submitting *Proposal Central* Applications to Proposal Intake

- Enables Proposal Intake Team to
 - Access application and upload it into the PATS record
 - Assign further **Administrator** Permissions based on proposal review assignment(s)
- Effective Tuesday, January 19, **Administrator** Permissions must be assigned to Proposal Intake in order for proposal intake process to proceed

Submitting *Proposal Central* Applications to Proposal Intake

When creating a new proposal

1. Enter **Title**
2. Click **Save**

IARS **proposalCENTRAL**

Proposal To: International Anesthesia Research Society *IARS Mentored Research Award*

Proposal Sections
Click name below to go to that section.

- 1) [Title Page](#)
- 2) Download Templates & Instructions
- 3) Applicant/PI
- 4) Institution & Contacts
- 5) Collaborators
- 6) Project Summary

Save 2

Enter the title of your research project, then press Save.
Press Next to save any changes and go to the next proposal section.

* **Project Title** Sample Application for RAF 1

* **Total Amount Requested**

Resubmission

Submitting *Proposal Central* Applications to Proposal Intake

- *Enable Other Users to Access this Proposal* will appear in the **Proposal Sections** navigation panel.
- Click the hyperlink to navigate to that screen.

Proposal Sections
Click name below to go to that section.

- 1) [Title Page](#)
- 2) [Download Templates & Instructions](#)
- 3) [Enable Other Users to Access this Proposal](#)
- 4) [Applicant/PI](#)
- 5) [Institution & Contacts](#)
- 6) [Collaborators](#)
- 7) [Project Summary](#)
- 8) [Budget Period Detail](#)

Submitting *Proposal Central* Applications to Proposal Intake

Proposal Access Rights

Del	Auto Notify	Role	Name	E-Mail	Permissions
			Gilbert, Cindy	cgilbert@research.ucla.edu	Administrator ▾

Accept Changes

Proposal Access User Selector

User Selector User ID/E-Mail Enter the E-Mail address or User ID of the User and press the button to select.

Find User

Enable Other Users to Access this Proposal

<<Previous Next>> Cancel Exit

- Scroll down to the **Proposal Access Rights** (a) and **Proposal Access User Selector** (b)
- Initiator of the proposal will automatically have “Administrator” permissions.

Submitting *Proposal Central* Applications to Proposal Intake

Proposal Access Rights

Del	Auto Notify	Role	Name	E-Mail	Permissions
			Gilbert, Cindy	cgilbert@research.ucla.edu	Administrator ▾

Accept Changes

Proposal Access User Selector

User Selector User ID/E-Mail proposals@research.u Enter the E-mail address or User ID of the User and press the button to select.

1 Find User 2

Enable Other Users to Access this Proposal

<<Previous Next>> Cancel Exit

1. Enter proposals@research.ucla.edu in the **User ID/E-mail** text field.
2. Click **Find User**.

Submitting *Proposal Central* Applications to Proposal Intake

Proposal Access Rights

Del	Auto Notify	Role	Name	E-Mail	Permissions
Del	<input type="checkbox"/>	<input type="text"/>	Gilbert, Cindy	cgilbert@research.ucla.edu	Administrator ▾
Del	<input type="checkbox"/>	<input type="text"/>	Proposal Intake, OCGA	proposals@research.ucla.edu	View ▾

Proposal Access User Selector

User Selector User ID/E-Mail Enter the E-Mail address or User ID of the User and press the button to select.

Enable Other Users to Access this Proposal

<<Previous

Proposal Intake, OCGA now appears with **View** Permissions.

Submitting *Proposal Central* Applications to Proposal Intake

Proposal Access Rights

Del	Auto Notify	Role	Name	E-Mail	Permissions
Del	<input type="checkbox"/>	<input type="text"/>	Gilbert, Cindy	cgilbert@research.ucla.edu	Administrator ▾
Del	<input type="checkbox"/>	<input type="text"/>	Proposal Intake, OCGA	proposals@research.ucla.edu	Administrator ▾

[Accept Changes](#)

Proposal Access User Selector

User Selector User ID/E-Mail Enter the E-Mail address or User ID of the User and press the button to select.

[Find User](#)

Enable Other Users to Access this Proposal

[<<Previous](#) [Next>>](#) [Cancel](#) [Exit](#)

1. Change **Permissions** pick-list to *Administrator*.
2. Click **Accept Changes**.

NIH eRA Commons Working Group

- Meetings held in January, May and September each year in conjunction with FDP Meetings.
- Bring together NIH eRA and policy staff and user community.
- Discuss ways to improve eRA experience for user.

NIH eRA Commons Working Group

- Mobile version of PI Status screen is now available.
 - <https://m.era.nih.gov/cmb>
 - Track and manage applications and awards on tablets and smartphones.
 - Applications are grouped based on status.
 - Expand application to view review and assignment information, NIH contacts, etc.
 - Delegation is not currently available
... but they're working on it!

NIH eRA Commons Working Group

Future Enhancements/Changes

- Adobe Forms D will be released in March.
- Redesigned SF 424 Guide will be released in conjunction with Adobe Forms D.
 - Do you like the current PDF format of the guide with multiple supplements?
 - Would you prefer HTML?
 - Both?
 - Other suggestions?

NIH eRA Commons Working Group

Future Enhancements/Changes

Enough with
the ASSIST
notifications
already!!!



- NIH has heard the message.
 - Currently reviewing ASSIST notifications to reduce the numbers.
- Looking at Access Manager functionality as well.
 - Policy issue
 - User experience versus protecting research information

NIH eRA Commons Working Group

Future Enhancements/Changes

- Module to prepare and submit prior approvals (NCEs, changes to key personnel, significant rebudgeting, etc.) coming soon.
- Commons and ASSIST will be unavailable Saturday, January 16 from 7:00 – 9:00 PM for maintenance.

NIH eRA Commons Working Group

Commons Working Group notes and handouts are available at:

https://era.nih.gov/commons/about_cwg.cfm

Have suggestions?

Email me: erahelp@research.ucla.edu



Questions

REMINDER!

Intergovernmental Personnel Agreements (IPA)
allowable charges:

- Salary
- Fringe Benefits
- Travel

TIF is NOT allowable

AB20

Model Agreement

Heather Winters
Assistant Director – Contracts
OCGA
heather.winters@research.ucla.edu

Miesha Bailey
Contract Officer
OCGA
mbailey@research.ucla.edu

History

- Assembly Bill 20 signed by Governor in 2009
- In January 2010, AB20 became effective
- Meetings began in January 2010 with State DGS, UC and CSU
- Meetings occurred until conclusion in 2015
- November 2, 2015 the MOU for the AB20 model agreement was executed by the three parties
- January 1, 2016 = implementation

The Agreement Template and University Terms & Conditions

The intent of AB20 was to eliminate the need for negotiation. Alterations are expected to be rare and only for compelling circumstances

*note, the AB20 doesn't apply to CIRM or CEC awards

The Agreement Template and the University Terms & Conditions

- **Standard Form 213:** standard cover page
- **Exhibits A-A7:** the Scope of Work and attendant detail exhibits
 - *note: UCOP intends to hold webinars for Principal Investigators on completion of Exhibit A
- **Exhibits B-B2:** the Budget and Justification
- **Exhibit C:** the university terms and conditions (UTC-116) incorporated by reference

The Agreement Template and the University Terms & Conditions

- **Exhibit D:** Additional Requirements Associated with Prime funding
- **Exhibit E:** Special Conditions for Security of Confidential Information (if applicable)
- **Exhibit F:** Access to State Facilities or Computing Systems (if applicable)
- **Exhibit G:** Negotiated Alternate Terms (if applicable)

HOWEVER.....



Terms Not Included in the Model Agreement

The State and the universities were unable to reach agreement on two significant issues:

1. Establishing a State-wide indirect cost rate and base for the universities
2. Agreement on a default patent provision

Patents

- Per UC Policy, UC owns inventions made by its personnel in the performance of extramurally funded activities. Any deviation from this is an exception to policy that must be approved by UCOP
- These will be negotiated (if necessary) on a case by case basis

Indirect Cost

UCOP's understanding from DGS and recommendations to campuses is:

- Rate will increase from 25% to 40% of the Modified Total Direct Costs over a 4 year period
- If the source of funding to the State agency is Federal (State is a pass-through entity) as defined in 2 CFR 200.93 and 2 CFR 200.74, then the full federally negotiated rate shall be requested

Indirect Cost

- In its first year, the rate has a core component of 25% of the MTDC for administrative costs and no facilities cost
- Starting on July 1, 2017 the facilities costs increase by 5% until the rate reaches 40% MTDC
- Multi-year projects will maintain the same rate through the term of the contract and is based on submission date, not project start date

Facilities	Administration	Total Rate	Base	Effective Date
0%	25%	25%	MTDC (F&A Rate Agreement)	January 1, 2016
5%	25%	30%	MTDC (F&A Rate Agreement)	July 1, 2017
10%	25%	35%	MTDC (F&A Rate Agreement)	July 1, 2018
15%	25%	40%	MTDC (F&A Rate Agreement)	July 1, 2019

Questions?





Grant & Cooperative Agreement Updates

Kathy Kawamura
Assistant Director
January 14, 2016

NIH Salary Cap

NOT-OD-16-045

- \$185,100 (Executive Level Salary II)
- effective January 10, 2016

APPLICABILITY

- Institutional Base Salary must be \$185,100 or higher
- Competing Awards issued on/after 1/10/16 will be adjusted; additional funds to match new Cap
- Rebudgeting allowed up to new Cap starting 1/10/16

NIH Salary Cap

REMINDERS

PROPOSAL

- Show actual institutional base salary or include language in justification noting institutional base salary is higher than current NIH salary cap; calculation of salary requested in detailed budget against the NIH salary cap

NIH – PHASE 1 (Reminder)

[NOT-OD-16-004](#) – NIH/AHRQ Changes in Policies, Instructions and Forms for 2016 Grant Applications

Phase 1 - All Research & Training Applications w/ due dates **Jan 25th** & later, changes to existing **Forms-C**

Exceptions: C06, G08, G11, G12, G13, G20, R13, S06, S10, S21, SB1, U13, U55, UB1, UC6, UC7, UG4, UH4, X02, and 333; K02, K05, and K24

Phase 2 – Fellowship & Training Grant Applications w/ due dates **May 25th** & later, **NEW Forms-D**

NIH - Phase 1

RIGOR & TRANSPARENCY ([NOT-OD-16-011](#))

- Revision to Research Strategy (Significance, Approach)
- New “Authentication of Key Biological and/or Chemical Resources” – Other Project Information/ Other Attachments (to be moved into Research Plan section for May applications)
- Study section Review of information
- **RPPR** – to address Rigor (submitted Jan 25 or later)

NIH – Rigor & Reproducibility

Reminder: Effective January 25, 2016

NIH Resources:

[Rigor & Reproducibility FAQs](#)

[Rigor & Reproducibility Overview](#)

[Rigor & Reproducibility Video](#)

NIH Policy: Rigor and Transparency - Module 1 (00:04 / 33:19) Resources Exit

NIH Policy: Enhancing Reproducibility through Rigor and Transparency



reproducibility@nih.gov

Menu Notes

1. NIH Policy: Enhancing Reproducibility through Rigor and Transparency
2. How to Navigate This Presentation
3. Rigor and Transparency: Module 1
4. Training Objectives
5. NIH Policy
6. The Problem
7. Sex as a Biological Variable
8. Resource Authentication
9. Deliberative Efforts
10. Principles and Guidelines for Reporting Preclinical Research
11. Pilot Programs
12. Communicating NIH Policies
13. Key Areas
14. Scientific Premise
15. Example: Amyotrophic Lateral Sclerosis (ALS)
16. Sample Size vs. Significance
17. Paper: A Call for Transparent Reporting
18. Scientific Premise
19. Scientific Premise for Innovative Research
20. Updated Application Instructions: Scientific Premise
21. Updated Review

NIH - Phase 1

VERTEBRATE ANIMALS ([NOT-OD-16-006](#))

- Updated guidance on criteria to be addressed (description of procedures, justifications, minimization of pain and distress, and euthanasia)
- Description of veterinary care is no longer required
- Justification for the number of animals has been eliminated
- Description and justification of the method of euthanasia is required only if the method is not consistent with AVMA guidelines

DEFINITION OF CHILDREN ([NOT-OD-16-010](#))

- Revised from under 18 to under 21 years old
 - ** does not apply to AHRQ applications*

NIH - Phase 1

RESEARCH TRAINING

Changes to descriptive content included in the following sections:

- Recruitment & Retention Plan to Enhance Diversity
- Human Subjects
- Vertebrate Animals
- Progress Report

NSF - PAPPG



National Science Foundation
WHERE DISCOVERIES BEGIN

Reminder: NEW Proposal & Award Policies & Procedures Guide (NSF 16-1)

Effective : January 25, 2016 for proposals submitted by or awards made on or after

MASTER TRAINING

<http://www.research.ucla.edu/ocga/training-calendar.html>

NEW SCHEDULE for 2016!

Wednesday

9:30-11:00 am

11000 Kinross Avenue, Suite 210

MASTER TRAINING

<http://www.research.ucla.edu/ocga/training-calendar.html>

JANUARY

Filling out the EPASS: What is it, when is it required and how to complete

Wednesday, January 27, 2016

Kinross, Suite 210

9:30-11:00 am

This session will address the background and purpose of the EPASS. We will review and discuss each section of the EPASS with specific examples of questions from users. This session is appropriate for anyone with responsibility for reviewing or processing EPASS forms.



Follow us on Twitter: [@UCLAocga](https://twitter.com/UCLAocga)

MASTER TRAINING

<http://www.research.ucla.edu/ocga/training-calendar.html>

FEBRUARY

Contracts 101

Wednesday, February 24, 2016

Kinross, Suite 210

9:30-11:00 am

This session will identify the elements which distinguish a grant from a contract and provide an overview of basic contractual components as it relates to sponsored project activities. Attendees will learn the differences between cost-reimbursable and fixed price agreements and be provided information relating to proposal development (cost proposals, bids, etc.), contractual obligations (FAR clauses, certifications, restrictions, etc.) and monitoring/management of contracts (reporting requirements, restrictions, etc.).

MASTER TRAINING

<http://www.research.ucla.edu/ocga/training-calendar.html>

MARCH

OCGA Outgoing Subaward Basics

Wednesday, March 23, 2016

Kinross, Suite 210

9:30-11:00 am

This session will discuss OCGA's process of Outgoing Subawards. Will address definitions, including distinguishing between a subrecipient and a contractor. Included will be a review of the updated outgoing subaward forms. This session is appropriate for anyone with responsibility for issuing outgoing subawards.

NIH Subaccount Transition Update

January 14, 2016

Maurice Taylor
EFM – Cash Management Team

Agenda



- Overview transition process
- Non-SNAP updates
- Reminders
- New Update NIH Transition to Sub-accounting

SNAP and Non-SNAP Process

- SNAP & Non-SNAP carry a distinct closeout processes for the transition
 - SNAP awards will require an interim financial report to close out the Pooled portion, and assist in the transition to Sub Account portion based on closed G/L.
 - Non-SNAP awards will require a **COP** from dept. to assist EFM in
 - filing the interim financial report, and
 - processing final draw under the pooled account.
 - **Departments will receive a new fund number in advance for the remaining performance period.**

What we've done



- In December we distributed notices to departments affected by the transition.
- The notification listed all Non-SNAP funds and the expected issuance date of the advanced and effective date of the new fund.

Advance Fund Numbers issued Non-SNAP Awards

- Since our announcement departments who received advanced funds to date:
 - Molecular, Cell & Developmental Biology 1
 - Pathology 1
 - Pediatrics-Neonatology 1
 - Neurology 2
 - Molecular, Cell & Developmental Biology 2

This is done to allow advance set-up of activity for a smooth transition.

Non-SNAP Awards



- **Reminder**
- Please submit all Closeout Packets (COP) for the transition on time so that we may file the Transition Final Financial Report (TFFR) on time to NIH
- EFM Cash Management will also be able to make the final reimbursement claim (Drawdown) on time for a full and complete closeout of the “pool account”
- **SNAP awards do not require a COP. The TFFR will be closed based off the close general ledger for the final month**

NIH New Update



Supplement Funding:

- NIH NOT-OD-16-028
 - This notice addresses guidance for supplements received during the transition from Pooled account to Sub-account on or after October 1, 2015.
 - Supplemental Funding will be issued under the “sub-account” not the “pool account” even if attached to the parent award issued under the “pool” method

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-16-028.html>

- Non-SNAP fund, ORA-ORDM will assign a new fund number with a designated account & cost center to record the supplemental expenditures.
- Upon receipt of the NOA (continuation), ORA-ORDM will update PATS. Campus departments must record expenditures as usual to the general ledger on the non-supplement account.
- SNAP awards will be managed using the same fund number and a separate account cost center to record supplemental expenses.

Effort Reporting

- Certification Deadline is 3 weeks away
- Spring and Summer 2015 Quarters
- Deadline is February 5, 2016
- Please login and certify all reports requiring certification



Questions?