



UCLA

Office of Research Administration

Research Administrators Forum

May 12, 2016

Welcome!

Marcia Smith
Associate Vice Chancellor for Research

Agenda

- **Welcome and Announcements** - *Marcia Smith*
- **OCGA** – *Patti Manheim*
 - Staff Updates – *Patti Manheim*
 - Grants Updates – *Kathy Kawamura*
 - eRA Updates – *Cindy Gilbert*
- **OHRPP** – *Kip Kantelo*
 - NIH Policy on Single IRB Review
- **ORDM** – *Rory Constancio*
 - 3rd Quarter Research Awards & Proposals Update
- **EFM** – *Yoon Lee*
 - Fiscal Closing Schedule Update – *Maurice Taylor*
 - PAMS Update – *Yoon Lee*
 - EFM Newsletter – *Yoon Lee*
- **Questions and Discussion**



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Office of Contract and Grant Administration

Federal Updates

Research Administrator's Forum

May 12, 2016

NSF – Administrative Burden

Current Pilot

No Budgets

5 Proposals only requiring budget justification at time of submission

Detailed budgets requested during JIT

No Deadlines

2 programs that do not have a hard deadline

Second Chances

One Plus

Proposals not funded, but promising

Invited to submit for the next round

Much higher rate of success

Research.gov

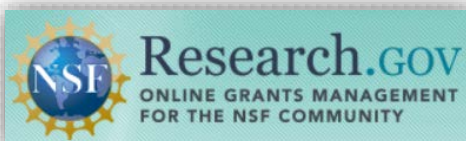
Platforms Cross Referenced



R - Reallocation of Funds Budgeted for Participant Support Costs

09/21/2011

[Now in Research.gov](#)



PI/PD or co-PI/co-PD Transfer from One Organization to Another

Forwarded to AOR

05/06/2016

 [Go to FastLane](#)

Research.gov

Multi-year project to move Proposal Submission Fastlane – implemented (1994)



Wishlist

- Maximize Proposal Pre-Population
- Have proposal become more specific to the solicitation

NIH

Mechanism – “OT” Other Transaction

Not a contract, grant, or cooperative agreement

Allows “high degree of flexibility”

NCI – Moonshot Initiative (Biden)

Accelerate cancer research

Goal: Provide more cancer therapies to more patients

Solicitation for feedback: scientific ideas or suggestions

cancerresearch@nih.gov (closes July 1)

NIH – eCommons update



....more functionality coming soon

- Change of PD/PI
- Final RPPR to replace Final Progress Report (upload)
- Cross Platform links btwn ASSIST & eCommons

GONE Act

Grants Oversight and New Efficiency Act

<https://www.congress.gov/bill/114th-congress/senate-bill/1115>

Public Law No: 114-117 (1/28/2016)

(Sec. 2) This bill requires the Office of Management and Budget to instruct each agency, in coordination with the Department of Health and Human Services (HHS), to submit to Congress and HHS by December 31 of the first calendar year beginning after this Act's enactment a report that:

- lists each federal grant award held by such agency;
- provides the total number of federal grant awards, including the number of grants by time period of expiration, the number with zero dollar balances, and the number with undisbursed balances;
- describes the challenges leading to delays in grant closeout; and
- explains, for the 30 oldest federal grant awards, why each has not been closed out.

Tracker:

Introduced

Passed Senate

Passed House

To President

Became Law

GONE Act

... the details

<https://www.congress.gov/bill/114th-congress/senate-bill/1115>

Due December 31st

List of **ALL** expired grants that have not been closed

Describe the “**challenges**” leading to delay

list the 30 oldest award – explain why it hasn’t been closed

If the agency cannot provide all the required information; they need to explain “**why**” noting THEIR “shortcomings” & plans to improve.

Follow-up: have they closed “ALL” previously listed outstanding awards reporting to DHHS in turn to Congress

IG of each agency w/ more than \$500m annual funding - required to do a **Risk Assessment** on their closeouts

OMB then reports to **CONGRESS** to recommend legislation to “improve accountability & oversight”

GONE Act

... the breakdown

<https://www.congress.gov/bill/114th-congress/senate-bill/1115>

Congress has concerns about “accountability and oversight”

Congress is holding all fed agencies to reporting and explaining why items aren’t closed in a timely fashion while money has been paid out for these awards

Fun Fact: 80% of all Federal Grants paid through DHHS & PMS

QUESTION

If DHHS agencies are under the microscope from Congress and required to report & explain themselves for any “shortcomings”....

.... What do you think this means for UCLA?

Your PI?

Your Department?

MASTER TRAINING

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

MAY

Managing your Valuables

Wednesday, May 18, 2016

Kinross, Suite 210

9:30am-11:00 am

- Research Administrators manage a very unique type of workload at both the department and central level. In order to efficiently and effectively manage this special workload, research administrators need unique tools and resources. This "How-to" session co-presented by central and department office research administrators will engage participants in a creative way. We will help other Research Administrators identify:
 - who their internal and external constituents are and how to manage;
 - how to develop tools for the constantly shifting and competing priorities;
 - learn to manage the expectations of the often many parties who often have divergent agendas;
 - how to minimize the negative impact of other people's inability to manage their workloads and timelines

MASTER TRAINING

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

JUNE

S2S Grants Basics

Wednesday, June 15, 2016

Kinross, Suite 210

9:30am-11:00 am

This session will provide information to get new users started with the S2S Grants (Cayuse) system for preparation and submission of proposals. Topics include: how to get access to the system, best practices, user resources, and hints and tips.



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Office of Contract and Grant Administration

Electronic Research Administration Updates

Cindy Gilbert
Assistant Director
cgilbert@research.ucla.edu

May 12, 2016

NSF Proposal System Modernization (PSM)

A multi-year initiative to modernize proposal submission capabilities and migrate from FastLane to Research.gov

NSF Proposal System Modernization (PSM)

Using an iterative approach to allow:

- Roll out of features as they are developed
- Incorporation of user community feedback
- Smooth transition for current FastLane users

NSF Proposal System Modernization (PSM)

User Survey Results

- More pre-population of data
- Allowing certain documents and/or approvals to be submitted after the proposal
- Revising format of solicitations to identify standard NSF requirements versus solicitation-specific requirements
- Tailoring the proposal interface to reflect solicitation-specific requirements
- Publishing and enforcing NSF-wide list of proposal compliance requirements

NSF Electronic Research Administration Forum

- New initiative to gather opinions, perspectives and feedback on NSF eRA activities
- First forum, April 27, 2016, focused on PSM
- More information at:
https://www.nsf.gov/bfa/dias/policy/era_forum.jsp
- Sign up for forum list-serv by email:
NSF-ERA-FORUM-subscribe-request@listserv.nsf.gov
 - Subject line and text blank

Reminder: Use eRA Help Email

erahelp@research.ucla.edu

- Support for S2S Grants (Cayuse) as well as sponsor systems (e.g., NIH eRA Commons, NSF FastLane/Research.gov, Proposal Central)
- Questions/technical assistance
- System access

Reminder: Use eRA Help Email

Benefits

- Shared email
 - monitored by multiple staff
 - alleviates “out-of-office”
 - More efficient coverage and response time
- Monitor and address concerns/issues that may affect broad user community
- Assess potential training/outreach needs
- Ensures user access is consistent with UCLA and sponsor business practices/processes

S2S Grants Downtime

- Effective today, May 12, 2016, S2S Grants will be offline at for 15 minutes each week:
 - Thursday evenings
 - 10:45 – 11:00 PM
- Additionally, S2S Grants will be down for infrastructure maintenance:
 - Saturday, May 14
 - 11:00 AM – 11:00 PM
- Logins will not be allowed during these outages
- No changes to user interface



Questions



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Office of Research Data Management

Update of ORA FY 2016 Q3 Research Proposals & Awards

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

Rory Constancio
Director, Office of Research Data Management

FY 2016 through Q3 Update

Proposal Requested Dollars & Counts

Requested Dollars	Proposal Counts
\$2,905,399,526	4,137

Awarded Dollars & Counts

Awarded Dollars	Award (Transaction) Counts
\$665,191,160	3,786

FY 2016 through Q3

Comparison to FY 2015

Proposal Requested Dollars & Counts

Fiscal Year	Requested Dollars	Proposal Counts
FY 2016 to Q3	\$2,905,399,526	4,137
FY 2015 to Q3	\$2,883,081,888	4,189

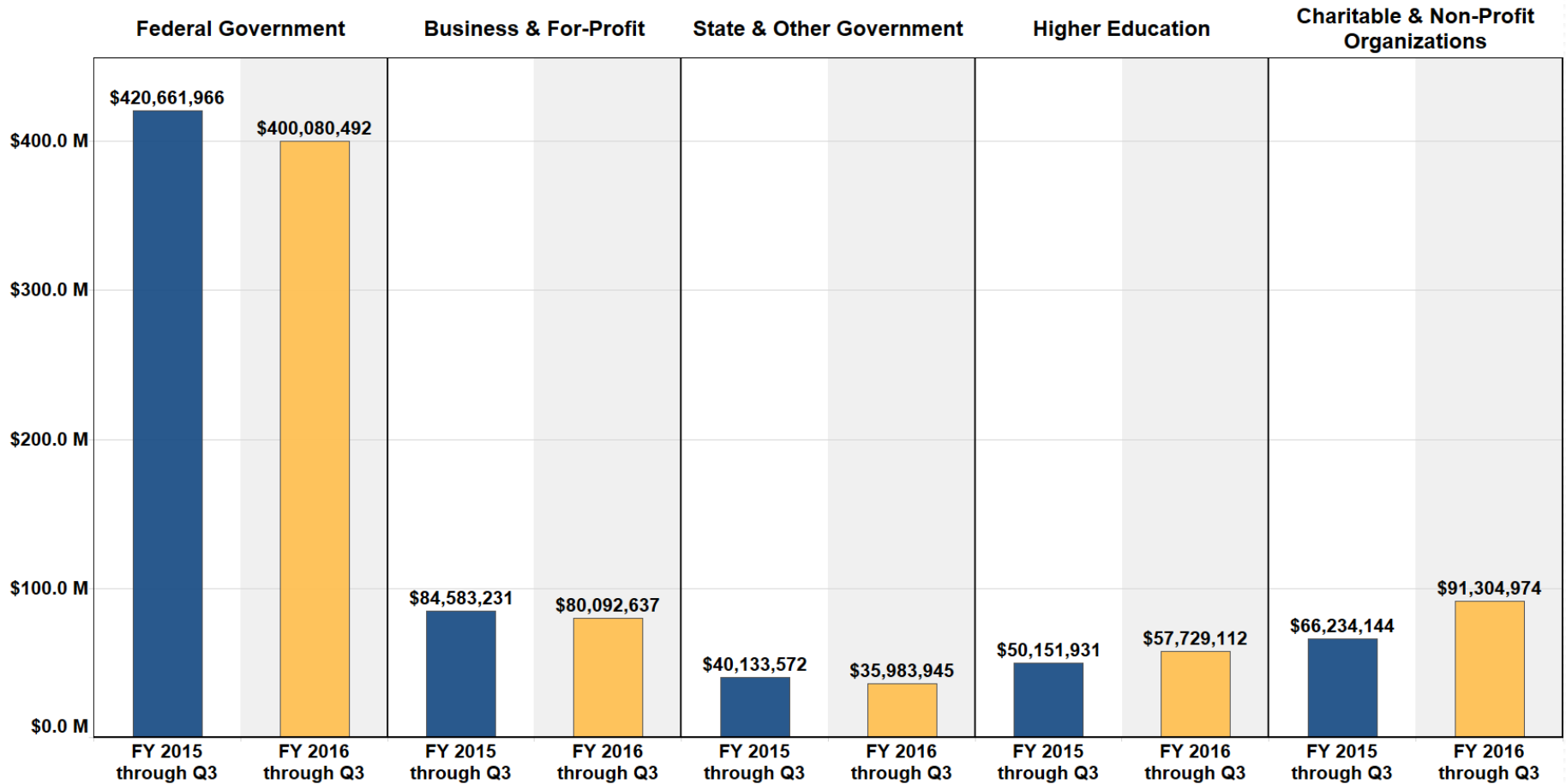
FY 2016 through Q3

Comparison to FY 2015

Awarded Dollars & Counts

Fiscal Year	Awarded Dollars	Award (Transaction) Counts
FY 2016 to Q3	\$665,191,160	3,786
FY 2015 to Q3	\$661,764,844	3,861

FY 2015 & FY 2016 through Q3 Awarded Dollars



OHRPP Updates

Kip Kantelo, Director

May 12, 2016

NIH Policy on Single IRBs

- ❖ Policy coming this month
- ❖ Effective for Jan '17
- ❖ Domestic sites of multi-center
- ❖ Applications to identify cIRB
 - Coordination plans & personnel
 - Certain direct costs allowable
- ❖ IRB rely framework in development
- ❖ More to come...

IRB Reliance

- ❖ About 350 active protocols
- ❖ Requirements
 - Agreement
 - Registration in webIRB
 - Local context
 - Ancillary Reviews
 - Training
 - Policies still apply
- ❖ irbreliance@research.ucla.edu

webIRB

❖ webIRB

- Updates deployed last night
- Read-only access
 - Process being updated
 - ORA Portal
- Department Home field

Thank you!

❖ For questions:

- **North & South General IRBs**
 - ❑ x57122
 - ❑ gcirb@research.ucla.edu
- **Medical IRBs**
 - ❑ x55344
 - ❑ mirb@research.ucla.edu



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Extramural Fund Management

EFM Updates

Research Administrator's Forum
May 12, 2016

Today's topics



- Fiscal Closing Schedule
- PAMS version 2 Deployment
- EFM Newsletter

Fiscal Close Update

Maurice Taylor

It's That Time of Year Again!

- April 1, 2016, the General Accounting Office distributed guidelines for this year's fiscal close
- The schedule include instructions that cover a variety of business transactions for the campus at large and deadline dates
- EFM would like to remind our research community of some key highlights that pertain to sponsored research

Reminder: According to the General Accounting Office's fiscal close guide:

- Preliminary Ledger closes July 19, 2016
 - During this period campus must monitor June financial activity with the use of the On-Line Financial Reports or FS-QDB. July 19, is the last opportunity to process any adjustments for this fiscal year. **Please reconcile monthly!**

- Interim Ledger closes July 26, 2016.
 - After July 19, 2016, adjustments are reserved for General Accounting purposes only.

The fiscal close schedule can be located at:

<https://www.finance.ucla.edu/corporate-accounting>

Revenue and Expenditures

- All revenue and expenditures that pertain to this fiscal year must be recorded in the general ledger by July 7, 2016.
 - Invoices that pertain to this fiscal year must be submitted to A/P by July 7, to be captured as this year's business, otherwise they must be reported as accrual.
 - If you are aware of expenditures that were incurred this fiscal year and have not been able to receive an invoice from the vendor for processing, please report those transactions to the General Accounting office by **July 8, 2016, at 10:00 am to Dok Yun at x42664** in General Accounting.

Fiscal Close Update



Cost Transfer Processing:

The fiscal close deadline for processing low risk expense Cost Transfers set by the General Accounting and Payroll offices are as follow:

- Payroll Friday, June 24, 2016 at 8pm
- Non-payroll Tuesday, July 19, 2016 at 8pm

EFM receives a significant amount of high risk cost transfers during the fiscal close period. The deadline dates below are established to ensure adequate time for EFM to conduct appropriate review of high risk expenses transfers. EFM request that all High Risk transfers be submitted as follow:

- Payroll Monday, June 20, 2016 at 7:00 am
- Non-payroll Wednesday, July 13, 2016 at 7:00 am

High Risk Transfers:

- High Risk transfers include expenses that are being transferred 90 days after the fund expiration, 120 days after the original transaction date, and re-transfers.

Late Submission

- Due to the high volume, high risk expenses transfers submitted after the EFM deadlines will not be guaranteed to be processed by CFS deadlines. Expense transfers not processed by CFS deadlines will expire. Expired expense transfers will have to be re-submitted after June fiscal close, if so desired.
- EFM will require department to submit strong explanation and supporting documentation for high risk expenses transfers submitted after EFM deadlines. Explanation must indicate why the transfer is being submitted late and describe the procedures established to prevent these situations from reoccurring, signed by the CAO/CFO or an equivalent department senior manager.

PAMS v.2 Deployment

Yoon Lee

PAMS v.2 Deployment

Finishing up Wave 1 rollout: Departments currently enrolled

Organization	Number of Departments
Letters and Science	52
David Geffen School of Medicine	27
International Institute	16
School of Arts and Architecture	14
Henry Samueli School of Engineering and Applied Science	14
School of Law	3
UCLA Fielding School of Public Health	3
Anderson School of Management	2
Graduate School of Education and Info. Studies	2
Semel Institute	1
Basic Biomedical Sciences	1
Total	135
Total Number of Departments with C&G awards	312
Enrollment (%)	43%

PAMS v.2 Deployment



- Individualized reach out to Wave 2 departments has begun in May to
 - Determine the PAMS cluster assignment
 - Explain how to fill out a PAMS Access Form
- A complete list of departments in Wave 2 will be posted to EFM website soon

Variety of training will be available to suit the needs of different users

- In-Person Training: 64 total attendees
 - Friday, April 8th 9:00-11:00
 - Monday, April 25th 9:00-11:00
 - Additional training sessions will be held as rollout continues

- Online training: www.efm.ucla.edu
 - Quick Guides: Available for all pages in PAMS
 - Video tutorials: New videos are added frequently!
 - How to complete PAMS Access Form (available now)
 - Sign On and Worklist (available now)
 - Invoices and Reports Due to Sponsor Dashboard (coming soon)
 - Closeout Packet Dashboard (coming soon)
 - Deliverables (coming soon)

EFM Newsletter

Yoon Lee

- To provide UCLA research community with a way to keep informed of current developments at EFM and beyond:
 - EFM staffing update, procedures and process changes
 - Industry updates
 - Announcements
 - Any topics of your interest

- Your topic suggestions are welcome and appreciated!
 - E-mail to EFM Operation: EFMOperations@research.ucla.edu

- Inaugural Issue will be released this month
- Quarterly release through ORA listserv
 - Subscribe via e-mail: ora-news-subscribe@lists.ucla.edu



Volume 1, Issue 1
May 2016

www.efm.ucla.edu

Inaugural Issue

Welcome to the inaugural issue of the EFM Newsletter! We're excited to provide a way to keep you informed of current developments at EFM and beyond.

Introducing Our New Staff Members

We are pleased to announce the appointments of Valena Mann and Duy Dang as Fund Management Team Managers. Valena and Duy have extensive experience in Contract and Grant Administration, both having previously served in departmental roles before joining EFM. They are excited to join EFM and can be contacted with questions regarding their team's portfolios.

Questions

Contact information

EFM Website

www.efm.ucla.edu

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