



UCLA

Office of Research Administration

Research Administration Forum February 8th, 2018

Welcome!

Marcia Smith
Associate Vice Chancellor for Research

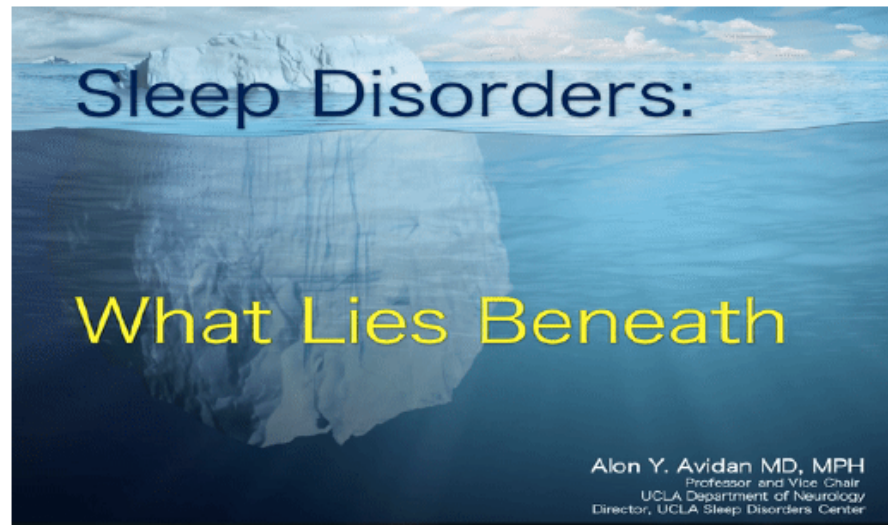
Agenda

- **Welcome and Announcements** - *Marcia Smith*
 - Research Administration and New Financial System
- **OHRPP** – *Kip Kantelo*
 - NIH Certificates of Confidentiality Policy Update
 - Revised Common Rule Update
 - NIH Single IRB Policy
 - FDA Information Sheet on Payment & Reimbursement to Subjects
- **EFM** – *Yoon Lee*
 - Fund Closeout and Deletion
 - ERS Detail Reports in the RAPID tool
 - Effort Reports – *Connie Brown*
- **OCGA** – *Patti Manheim*
 - Grants/FDP Updates/DP2 Awards – *Kathy Kawamura*
 - NIH and NSF eRA Updates – *Cindy Gilbert*
 - OCGA Master Training: Award Processing – *Jim Fong*

BioBasics Layman Seminar
Research Administrators Campus Committee Hosting

Alon Avidan MD, MPH

*Professor and Vice Chair, UCLA Department of Neurology
 Director, UCLA Sleep Disorders Center
 Chair, Faculty Executive Committee
 David Geffen School of Medicine at UCLA*



"Sleep Disorders: What Lies Beneath"

Wednesday February 14, 2018
 12:00 noon – 1:00 pm
 Room 53-105 CHS

OHRPP Updates

Kip Kantelo, Director
February 8, 2018

Today's Topics

- ❖ **Revised Common Rule (update)**
- ❖ **NIH Single IRB Policy (reminder)**
- ❖ **FDA Info Sheet on Payment & Reimbursement**
- ❖ **NIH Certificate of Confidentiality Policy**

Revised Common Rule

- ❖ Released January 19, 2017
- ❖ Effective ~~January 19, 2018~~
- ❖ Uncertainty so far
 - Congressional review
 - Administration review
 - October Delay Proposal
 - January Delay Proposal
 - No clarifying guidance
 - Agency variation

Revised Common Rule

❖ Interim Final Rule issued January 17

- Delayed effective date to July 19
- Suggestion of further delay
- Independent of NIH policies

❖ Possibility that content will be revisited?

❖ Sit tight and stay tuned

- May: expansion of flex measures for non-fed/non-FDA studies?

NIH Single IRB Policy

❖ Reminder

- Policy is now in effect for any grant/contract proposals
- More than one domestic site performing the same protocol
- Proposal must describe plan
 - ❑ OHRPP only released a sample
- Help make sure your PIs are contacting OHRPP early!!
 - ❑ irbreliance@research.ucla.edu

Payment & Reimbursement

- ❖ **FDA Updated Info Sheet on 1/25**
- ❖ **Clarification/Reinforcement**
 - **Payment is NOT a benefit**
 - **Payment raises issues for IRBs**
 - ❑ **Undue influence?**
 - ❑ **Proper description?**
 - **Reasonable travel & lodging is NOT payment**

On a related note...

- ❖ ...since payment is part of recruiting...
 - Be aware of any policies about
 - Communication channels
 - Posting flyers
 - IRB doesn't make these policies
 - IRB can't exempt you from these policies

Certificates of Confidentiality

- ❖ **NIH-funded projects:**
 - human subjects OR
 - very small risk of re-identification
- ❖ **CoCs automatic, retroactive for projects active after Dec 2016**
- ❖ **Responsibilities**
 - Protection from subpoena, etc
 - Extra care in releasing info
 - Notifying recipients, sub-awardees
 - Consent (where applicable)

Certificates of Confidentiality

- ❖ **webIRB deployment tonight**
- ❖ **Announcement tomorrow AM**
 - **Consent language**
 - **What to do with existing studies**
 - **Reminder re responsibilities**
 - **Careful when funding ends**
- ❖ **CoC process for other funders remains the same**

webIRB Change for CoC

3.0 * Is this study conducted or supported by HHS (e.g., the National Institutes of Health, Centers for Control and Prevention, etc.)?

Yes No [Clear](#)

3.1 * Is NIH the HHS agency supporting or conducting the study?

Yes No [Clear](#)

3.2 * Please choose one:

I acknowledge that my study is automatically covered by a Certificate of Confidentiality and I understand the responsibilities associated with that Certificate.

The NIH Certificate of Confidentiality policy does not apply to my study (see guidance at right and explain below)

[Clear](#)

3.2.1

Effective October 1, 2017, NIH automatically grants Certificates of Confidentiality to all human subjects research (and to some use of biospecimens or generation of genomic data whether or not they constitute human subjects research). Please see <https://humansubjects.nih.gov/coc/index> for the policy and other information.

To be exempt from the NIH policy, you must be able to answer no to **all** of the following:

- Does the research involve Human Subjects as defined by 45 CFR Part 46?
- Are you collecting or using biospecimens that are identifiable to an individual as part of the research?
- If collecting or using biospecimens as part of the research, is there a small risk that some combination of the biospecimen, and other available data sources could be used to deduce the identity of an individual?
- Does the research involve the generation of individual level, human genomic data?

Thank you!

❖ For questions:

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

RESEARCH ADMINISTRATION

Extramural Fund Management

February 8, 2018

Today's Topics

- Fund Closeout and Deletion
- ERS Detail Report in the RAPID tool
- Effort Reporting

Fund Closeout and Deletion

Yoon Lee

New Financial System

- Software Selection:
 - Oracle Enterprise Resource Planning Cloud

- System Implementation Services:
 - December 2017: RFP issued
 - January – February 2018: Presentations by vendors
 - Deloitte Consulting
 - Huron Consulting
 - February 2018: The final vendor to be selected
 - April 2018: Implementation kick-off

New Financial System

- Opportunities to streamline and standardize business processes to improve efficiency and effectiveness of operations by adopting best practices when applicable
- Inventory and map business processes:
 - Conduct gap analysis from both central and departmental perspectives
- Redesign chart of accounts:
 - Compile key functionalities required for sponsored project funds
- Clean the data:
 - Close expired funds and purge closed funds

Key Steps in Closing Funds

Complete all financial deliverables

- All required Invoices and/or financial reports are submitted

Clean the general ledger

- Operating balance = \$0

Confirm all payments are collected

- Accounts receivable = \$0

Confirm all obligations are paid

- Accounts payable = \$0



Close the fund (Y/N)

- Close the fund in the fund table in FS
- Closed? "Y" + Re-appropriate? "N"

Purge the fund

- Closed funds can be purged after going through one fiscal closing cycle

Key Steps in Closing Funds

Clean the general ledger

- Operating balance = \$0

- Operating balance in all accounts/cc linked to the fund must be zero.
- Final expenses reported to the sponsor often includes adjustments to expenses recorded in the general ledger.
 - Transfer cost overrun, unallowable, and/or inapplicable expenses off from the fund timely (Provide an unrestricted FAU when requested).
 - Transfer unexpended balance (Provide assurances and explanation required by Policy 913).
 - Confirm all adjustments are posted to the general ledger as expected and reconcile discrepancy if any.
 - Address all pending encumbrance.

Key Steps in Closing Funds

Purge the fund

- Closed funds can be purged after going through one fiscal closing cycle
- Purged funds become available to be used for new awards.
- EFM is in the process of purging funds closed during FY15-16 or prior.
- EFM is planning to purge funds closed during FY16-17 in the coming fiscal year (FY18-19).

ERS Detail Report in the RAPID Tool

Yoon Lee

Transition to UCPath

- Evaluating the need to integrate various reports consuming payroll data with UCPath.
- Multiple reports in the RAPID Tool consume payroll data in PPS today.
 - Payroll After Fund End Date
 - Employee Sum
 - Admin Salary
 - Training Grant – Postdoc Allowable/Unallowable Benefits
 - Training Grant Benefits
 - ERS Detail Reports

RAPID Tool: Payroll Related Reports

RAPID Project Quick Wins

Closeout Reports

ARRA, ERS, Billing & A/R Reports

Pre-Closeout Checklist (Recommended 2 months prior to fund end date)

Smart Closeout Tool

Summary - By Sub

Expenses - Unallowable and Warning Object Codes

Expenses - After End Date

Remaining Encumbrances

F&A Reconciliation Link

Subawards/Subcontracts/Subgrants

1198XX (Intercampus/Carryforward/STIP)

Training Grant - Trainee Expense Worksheet

Training Grant - Postdoc Allowable/Unallowable Benefits

Training Grant Benefits

Detail - Closed

Detail - After Closeout

Payroll After Fund End Date

Employee Sum

Admin Salary

Detail - Closed Warning and Unallowable Expenses

Detail Equipment - Within 90 days of Expiration

ARRA Linked Accounts by Hierarchy Code

ARRA FTE Report

ERS Detail report (11/12 Academics and Non Academics)

ERS Detail report (9/12 Academics)

Billing & Accounts Receivable

Financial Reporting and Invoicing Tool

Under evaluation

In scope for transition
(evaluating implication of CBR)

In scope for transition

ERS Detail Report in the RAPID Tool

- Tuesday, February 6, 2018: Announcement soliciting feedback on the usage of ERS Detail Reports in the RAPID tool was sent to campus via ERS listserv and ORA listserv
- Monday, February 26, 2018: Due date to submit feedback

Effort Reporting

Connie Brown

Effort Reporting Statistics

On-Time Certification Rate for the 2/7/18 Deadline

- Spring and Summer 2017
 - On-Time Rate: 89.5%
 - Released: 10,919 & Certified: 9,793
 - Number of uncertified reports: 1,126

- All Quarters Certification Rate since Spring '06
 - Rate: 99%
 - Total open reports: 1,592

Effort Reporting Certification Rates

- By academic year for all quarters as of 2/7/18

Academic Year	Fall			Winter			Spring			Summer		
	Cert Rate	Cert #	Open #	Cert Rate	Cert #	Open #	Cert Rate	Cert #	Open #	Cert Rate	Cert #	Open #
2005-2006	N/A	N/A	N/A	N/A	N/A	N/A	100%	6683	0	100%	6985	0
2006-2007	100%	6112	0	100%	6051	0	100%	6195	0	100%	6576	0
2007-2008	100%	5828	0	100%	5872	0	100%	5996	0	100%	6498	0
2008-2009	100%	5831	0	100%	5878	0	100%	6129	0	100%	7395	0
2009-2010	100%	6434	0	100%	6681	0	100%	6899	0	99%	7794	5
2010-2011	99%	6558	19	99%	6613	8	99%	6766	7	99%	7078	7
2011-2012	99%	6210	2	99%	6282	1	100%	6278	0	99%	6604	3
2012-2013	99%	5774	1	99%	5844	1	100%	5814	0	99%	6116	2
2013-2014	99%	5371	2	99%	5336	1	100%	5504	0	99%	5894	5
2014-2015	99%	5261	3	99%	5333	7	99%	5333	14	99%	5842	22
2015-2016	99%	5210	16	99%	5253	16	99%	5344	44	98%	5640	61
2016-2017	98%	5024	101	97%	5063	118	90%	4712	506	89%	5081	620

ERS Reminders

- Fall 2017 and Winter 2018 Effort Reports
 - Release mid-April
 - Deadline July 2018

- Effort Report Training Course
 - May 9 and 10
 - Register: Learning Management System (LMS) at <http://lms.ucla.edu>

- ERS Notifications
 - To subscribe: Send an e-mail to: ers-subscribe@lists.ucla.edu or ora-news-subscribe@lists.ucla.edu. The subject line and body of the e-mail can be blank

- ERS Help Desk:
 - Connie Brown at ershelp@research.ucla.edu

“SEE YOU ALL AT ...!”

100%

Contact information

EFM Website

<http://ora.research.ucla.edu/EFM/>

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Grant Updates

Research Administrator's Forum

February 8, 2018

NIH Salary Cap (FY 2018)

NIH Salary Cap 2017: \$187,000

Executive Level II: \$187,000

Effective: January 8, 2017



NIH Salary Cap 2018: **Pending**

Executive Level II: \$189,600*

Federal Exec Level II Effective: January 2018

**can be used with Proposals, not to be used with awards/payroll expenses*

ORA News: 1/25/2017

DP2 – NIH Director’s New Innovator Award

Exercise in Award Information

Notice of Award – read thoroughly, click on link; if you have questions please refer to OCGA

Since the full budget/project period funding for this award is issued from one fiscal year's appropriation, an extension of time for a period after June 30, 2019 is not allowable. It is imperative that the Final Financial Status Report and the Federal Cash Transactions Report be submitted by September 30, 2019.

Google it

9. Is it possible to request a no-cost extension at the end of the grant period if there are unexpended funds?

No, by law all Federal agencies are required to cancel any remaining grant balances by September 30th of the 5th fiscal year after the award funds were issued. This means that after 5 years, any unspent grant money is by law returned to the Treasury and is no longer available for expenditure. Because the NIH Director’s New Innovator awards are multi-year funded (all award funds are issued up front), the 5-year deadline coincides with the end of the project period, and therefore, no-cost extensions cannot be allowed.

NIH

Project Outcomes (RPPR/FRPPR)

- Do not include any proprietary, confidential information or trade secrets
- Will be published on [NIH RePorter](#) for general public



CAYUSE

NIH Application Guidelines

Allowable Characters

- The standard character set for our application forms is Unicode, with UTF-8 encoding (including Greek and other special characters).
- Characters known to cause issues and recommended substitutions
 - o “Smart quotes” or “curly quotes” that curve into your text - use straight single and double quotes (the ones you type from your keyboard) instead.
 - o “Em-dash” (the long dash) - use the short dash instead.

CAYUSE

NIH Forms E – Study Records

non-ASCII Characters (warning)

- May not pass Sponsor validations due to cut/paste from word.doc or rich text source

Solution:

- Scrub text before pasting text into proposal/submissions

<https://jhy.io/tools/convert-word-to-plain-text>

NSF

Coming Soon!

NSF will institute software to Read Files

Proposed Checks

- ✓ Margin Size
- ✓ Font Size
- ✓ Font Type
- ✓ Text includes required SubHeader Titles
(ex: Project Summary – Overview, Intellectual Merit, Broader Impacts)

NSF Update

Proposal & Award Policies & Procedures Guide (PAPPG) - effective January 29, 2018

Budget Justification

- Personnel section define “year” as fiscal year (July 1st – June 30th)
- 3 pages to now 5 pages

Project Description

- Intellectual Merit new sub-section

Composite Benefit Rate

(Application for Proposals)

<https://www.finance.ucla.edu/composite-benefit-rate-assessment>

Complete all **5** steps to ensure correct CBR category is identified

[Title Code Lookup](#)

Step	Action
1	Map employee to Composite Benefit Employee Group based upon Title Code Link
2	<p>IF DOS Code Is equal to ACA or ACM or ACR or SSC</p> <p>THEN Reassign employee to the "Faculty Summer" group</p>
3	<p>IF Benefit Eligibility Level Indicator Assigned (BELIASI) does not equal 1</p> <p>AND Standard Group Is one of the following: Faculty, Other Academic, Staff, HCOMP Senior Faculty, Food-Custodian-Grounds</p> <p>THEN Reassign employee to the "Employees & Students with Limited Benefits" group</p>
4	<p>IF Standard Group Is equal to "Staff"</p> <p>AND Fair Labor Standards Act (FLSA) Status Is equal to E (Exempt)</p> <p>THEN Reassign employee to "Staff Exempt"</p>
5	<p>IF Standard Group Is equal to "Staff"</p> <p>AND Fair Labor Standards Act (FLSA) Status Is equal to N (Non-Exempt)</p> <p>THEN Reassign employee to "Staff Non-Exempt"</p>

Composite Benefit Rate

Updated for FY18-19

CBR + Vacation Accrual * = Total Fringe Benefit Rate

COMPOSITE BENEFIT EMPLOYEE GROUP	COMPOSITE BENEFIT RATE
Faculty Summer	5.0%
HCOMP Senior Faculty	26.0%
Faculty	31.8%
Other Academics	44.4%
Post Docs	31.8%
Staff Exempt	44.4%
Staff Non-Exempt	54.7%
Food-Custodian-Grounds	71.1%
Employees & Students with Limited Benefits	5.0%

FY18-19 VACATION LEAVE RATE GROUP	LEAVE RATE
Fiscal Year Faculty	8.2%
Accruing Staff & Non Faculty Academics	8.7%
Non-Accruing Staff & Academic Year Faculty	0.00%

Future Budget Years may include a 1% increase to the Total Fringe Benefit Rate

* if allowable by Sponsor

Composite Benefit Rates

UCLA CBR Assessment

- No change to OCGA practice
- Proposal submitted should continue to use applicable CBR
- Award Expenses will only reflect actual expenses whether CBR or real when expense hits

MASTER TRAINING

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

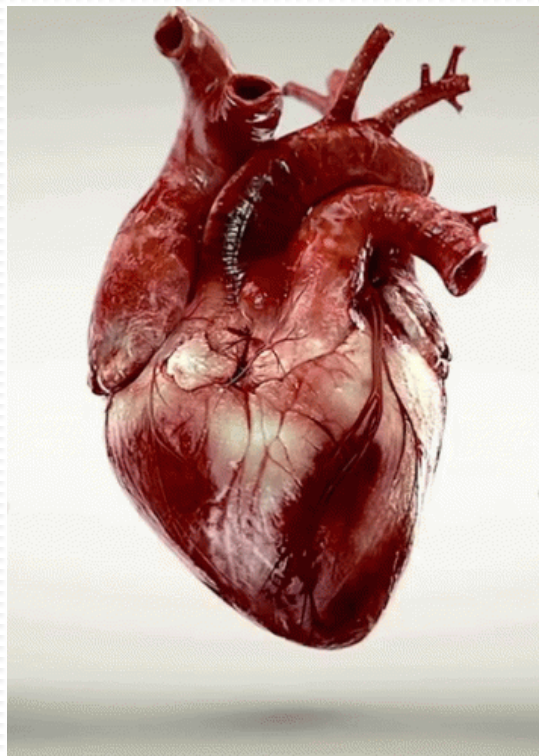
February Award Processing

Wednesday, February 21, 2018
10889 Wilshire Blvd., Conf Room 820-20
9:30am-11:00 am

The UCLA Office of Contract & Grant Administration receives and processes nearly 5000 awards per year. This session will address the complexities surrounding the acceptance of an award including: administrative delays due receipt of required internal documents; common problematic terms and conditions; and assuring institutional and sponsor compliance.

MASTER TRAINING

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



MARCH

**NIH Assist Basics from the
Preparers Perspective**

APRIL

Outgoing Subaward Basics



Cindy A. Gilbert
Assistant Director

February 8, 2018

Topics

- NIH eRA Commons – ORCID ID Registration
- NSF Proposal Submission Modernization (PSM)

NIH eRA Commons – ORCID ID Registration

Functionality added to NIH eRA Commons to allow researchers to register and/or link their Commons Personal Profile to ORCID:

- Register for new ORCID ID
- Link existing ORCID ID to Commons Personal Profile

Home Admin Institution Profile **Personal Profile** Status ASSIST Prior Approval

Non-Research
Personal Profile

Ms Cindy A. Gilbert

Roles:
 BO - Business Official
 FSR - Financial Reporting users
 SO - Signing Official
 FCOI - External FCOI Officer
 PACR - Public Access Compliance Role - Role used for tracking purposes

Person ID: 8303778
 ORCID iD: Unavailable ?

 [Create or Connect your ORCID iD](#)

Changes to your Personal Profile will NOT save if there is any missing information.

NAME AND ID ?

DEMOGRAPHICS ?



EMPLOYMENT ?

Profile updated:

- ✓ PERSONAL PROFILE SUMMARY
- ✓ NAME AND ID
- ✓ DEMOGRAPHICS
- ✓ EMPLOYMENT

ORCID

Sign into ORCID or [Register now](#)

 Personal account  Institutional account

Sign in with your ORCID account



Email or iD

ORCID password

[Sign into ORCID](#)

[Forgotten your password?](#)

Sign in with a social media account ?

NIH eRA Commons – ORCID ID Registration

What is an ORCID ID?

- Unique identifier for researchers (16 characters).
- Designed to be used publicly.
- Links scholarly works, training, employment, and funding and other information with a specific researcher.
- Internationally used and recognized by funders, publishers, research institutions, and others.
- Search criteria in PubMed.

NIH eRA Commons – ORCID ID Registration

Get Started

- Registration takes about a minute.
- Add scholarly works:
 - Enable automatic updates
 - Delegate management of record
- Use your ORCID ID
 - Add to webpage, biosketch, grant applications, publications, etc. to get credit for work.

[Home](#)[Open Mike](#)[Archive](#)[Subscribe](#)[Contact](#)

Posted on [January 30, 2018](#) by [NIH Staff](#)

Having Challenges Tracking Down Students and Postdocs at the Time of the RPPR? Here is a Tip to Make It Easier...

Having challenges tracking down students and postdocs at the time of reporting? Establishing a process where you have students and postdocs establish an eRA Commons account at the time they start working on an NIH grant award can save you a lot of time and energy trying to track down people who may no longer be at your institution at the time of your [Research Performance Progress Report \(RPPR\)](#) submission. You may even want to have them create an [ORCID ID](#) as well! (In case you missed it, read the [November 2017 Open Mike blog post](#) to learn more about eRA Commons and ORCID integration.)

Click [here](#) to view.

NSF Proposal Submission Modernization

IT'S SHOWTIME!

Phased Implementation Starts this Month

NSF Proposal Submission Modernization

February 2018 – Preview of PI Functions

- Initiate Proposal
- Add Co-PIs, Senior Personnel and OAUs
- Upload proposal documents
- Create Budget
- Compliance Check
- Allow SRO Access

Note: no demo site available

NSF Proposal Submission Modernization

April 2018 – Initial Release for Full Submission

- Research Proposals – non-collaborative
 - Proposal File Update and Budget Revision
- Additional features will be available in future releases.
- Preview of screens available [here](#).

Supported Proposals and Submission Types	Preview (Feb 2018)	Initial Release (Apr 2018)	Subsequent Releases
Research Proposals	✓	✓	✓
Proposal Types other than Research (RAPID, EAGER, etc)			✓
Full Proposals	✓	✓	✓
Proposal Submission Types other than Full (LOI, Preliminary, Renewal, etc)			✓
Non-collaborative Proposals	✓	✓	✓
Collaborative Proposals			✓
PAPPG (18-1)	✓ (Full, Research only)	✓ (Full, Research only)	✓ (All types)
SBIR/STTR			✓

Source: [January 2018 FDP Meeting](#)

Supported Features	Preview (Feb 2018)	Initial Release (Apr 2018)	Subsequent Releases
Automated Compliance Checking	✓	✓	✓
Access for Pls, co-Pls, Other Senior Personnel, Other Authorized Users	✓	✓	✓
Proposal Access for SPOs and AORs	✓	✓	✓
Support for multiple fonts	✓ (Times New Roman, Symbol only)	✓ (Times New Roman, Symbol only)	✓ (Additional fonts)
Proposal Submission		✓	✓
Proposal File Update/Revised Budget		✓	✓
Email Notifications		✓	✓
Improved error/warning messages		✓	✓
Single Sign On links into FastLane's Research Administration		✓	✓
Print Proposal		✓	✓
Delete Proposal			✓
Withdraw Proposal			✓

Supported Sections	Preview (Feb 2018)	Initial Release (Apr 2018)	Subsequent Releases
Proposal Setup Wizard	✓	✓	✓
Main Proposal Page	✓	✓	✓
Budget (New consolidated format)	✓	✓	✓
Manage Personnel	✓	✓	✓
Project Summary	✓	✓	✓
Senior Personnel Documents	✓	✓	✓
All other Research Proposal sections	✓	✓	✓
List of Submitted Proposals		✓	✓
Other Supplementary Documents	✓	✓ (Single Upload)	✓ (Improved Upload)
Single Copy Documents			✓
BIO Proposal classification form			✓
DUE form			✓
Other specialized forms			✓

Source: [January 2018 FDP Meeting](#)

Award Processing Preview

Jim Fong, *Interim* Assistant Director, Contracts Team
Research Administration Forum
February 8, 2018

UCLA Office of Contract & Grant Administration received and processed 5,779 award transactions in FY 2017.

This session will explain the process and complexities surrounding the acceptance of an award including: administrative delays due receipt of required internal documents; common problematic terms and conditions; and assuring institutional and sponsor compliance.

ORA by the Numbers

At this time one year ago on February 7, 2017:

- FY17
 - \$548.28 Million Awarded
 - 2956 Award Transactions so far

As of yesterday, February 7, 2018:

- FY18
 - \$607.58 Million Awarded
 - 3413 Award Transactions so far

Overview

Responsibility Matrix (Who does what?)

Internal Processing at OCGA

- Award Intake Team
- Expedited vs. Complex Awards
- Processing of Awards
- Common Delays in Award Processing

Responsibility Matrix

Responsibility for the handling of agreements related to certain sponsored projects is distributed across various UCLA administrative offices based on the nature of the transaction and sponsor.

In some cases, multiple offices may share responsibility for different aspects of the negotiation and administration of the agreement.

This does not include Gifts and Sales & Services funded projects.

Responsibility Matrix

- OCGA - Office of Contract & Grant Administration
 - Government or Non-Profit supported Sponsored Agreements
- TDG - Technology Development Group
 - Industry supported Sponsored Agreements
- CTC&SR - Clinical Trials Contract & Strategic Relations
 - Industry supported Clinical Trials but not Government or Non-Profit supported
- Other Offices involved as well

Responsibility Matrix

- **Other Types of Agreements**
 - Material Transfers Agreements
 - Licensing Agreements
 - Subawards & Subcontracts
 - Data Use Agreements
 - Non-Disclosure or Confidential Disclosure Agreements
- **Is it Inbound or Outbound?**

Internal Processing

Awards are received in a variety of methods and are handled by the Award Intake Team. Awards are received via:

- Automated Email notification (NIH, NSF, ONR)
- individually OCGA staff
- Hardcopy mail
- Retrieval from Electronic Databases (FedConnect)

Awards are then identified with a matching record in internal system (using PI, Sponsor, Proposal Title). Awards are then uploaded into matching record and then either processed by the Award Intake Team or assigned to the appropriate officer or analyst.

Award Intake

What does the Award Intake Team do?

- OCGA classifies awards received into two categories: Expedited and Complex.
 - Expedited Awards are processed by the Award Intake Team
 - Complex Awards are processed by the Grants and Contracts Team

What happens after OCGA processes the award?

Complex Award Processing

- Read the agreement, incorporated attachments and incorporated referenced
- Review the terms for UC policy and legal ramifications, conflicts, etc.
- Compare the agreement and attachments against the proposal (scope of work, budget, justification, etc.)

Complex Award Processing

- Common issues that slow down the process - Violates UC Policy
 - For example, liability to University (indemnification, insurance)
- Negotiate or apply for exception to policy

OCGA Master Training Class

Award Processing

Presenters:

Harveen Kukreja, OCGA Intake Manager

Mellani Nolan, OCGA Contract and Grant Officer

Jim Fong, *Interim* Assistant Director, Contracts

February 21, 2018

9:30 – 11:00 a.m.

10889 Wilshire Blvd

Conference Room 820-20