



Research Administration Forum

February 14, 2019

Marcia Smith

Associate Vice Chancellor for Research

Agenda

Welcome and Announcements – *Marcia Smith*

- Reporting Other Research Support in Federal Grant and Contract Proposals

OCGA - *Kathy Kawamura*

- FDP Updates

OHRPP – *Alison Orkin*

- OHRPP Updates

EFM Ascend – *Yoon Lee*

- Award and Project
- Expenditure Type

UCLA Trivia – *Harry Yang*

From: Associate Vice Chancellor Marcia L. Smith <oranews@research.ucla.edu>

Sent: Wednesday, November 28, 2018 1:16 PM

Subject: Requirement to Report All Sources of Research Funding in Federal Grant Applications

Office of Research Administration

Deans, Directors, Department Chairs, Administrative Officers

Dear Colleagues:

I am writing to remind you of long-standing grant submission requirements for reporting "Other Support." On August 20, 2018, Dr. Francis Collins, Director, National Institutes of Health, [issued a letter that described several concerns \(PDF\)](#), including grantee failures to disclose substantial resource contributions from other organizations, such as foreign governments and foreign institutions of higher education, in grant applications. "Other Support" includes all sources of research funding.

To ensure compliance with federal funding application requirements, it is important to follow the instructions published by federal sponsors. For your convenience, you will find the [NIH definition of Other Support here](#), and the NSF definition of Current and Pending Support below.

NIH: “Other Support includes all financial resources, whether Federal, non-Federal, commercial or institutional, available in direct support of an individual's research endeavors, including but not limited to research grants, cooperative agreements, contracts, and/or institutional awards. Training awards, prizes, or gifts do not need to be included.”

NSF: Current and Pending Support is the support requested or available from all sources of project funding. The [NSF Grant Proposal Guide Chapter II.C.2.h](#) states that “All current project support from whatever source (e.g., Federal, State, local or foreign government agencies, public or private foundations, industrial or other commercial organizations, or internal funds allocated toward specific projects) must be listed. The proposed project and all other projects or activities requiring a portion of time of the PI and any other senior personnel must be included, even if they receive no salary support from the project(s).”

With heightened federal scrutiny and increasing concerns about this issue, it is more important than ever that we ensure the submission of accurate and complete information about project support to Federal sponsors. Please share this information with research faculty and administrators in your area. If you have questions about the policies or requirements for reporting Other Support, please contact your Office of Contract and Grant Administration representative.

Sincerely,

Marcia L. Smith

Associate Vice Chancellor

Office of Research Administration



FDP Updates

February 14, 2019



FDP (Federal Demonstration Partnership)

Mission Statement

Association of federal agencies, academic and nonprofit research institutions, and research policy organizations that work together in a collaborative initiative to streamline the administration of federally sponsored research

FDP

Open Government: Research Administrative Data Subcommittee

- **To provide a forum to track, analyze, and streamline the impact of data driven initiatives stemming from various Federal Government directives such as**
 - To facilitate the adoption of standards and their implementation to ensure transparency goals are met while maximizing positive impact and minimizing workload on all partners in the process
 - To collaborate with other FDP committees as needed (e.g. eRA, Expanded Clearinghouse) to address data-centric components of mutual interest

DATA Act

Digital Accountability Transparency Act of 2014

Address issues of

- Completeness
- Accuracy
- Use (definitions)
- Presentation (transparency)

OPEN Government Data Act (H.R. 1770)

Open, Public, Electronic, and Necessary
OMB Charge to develop and maintain

<https://www.data.gov/>

Make available to the Public

- Establish minimum standards for data
- Accountability (oversight)
- Creates Chief Data Officers at fed agencies

GREAT Act (H.R.150)

Grant Reporting Efficiency and Agreements
Transparency Act of 2019

- Data standards for Grants Reporting
- Requirement for collection and publication of data

FDP

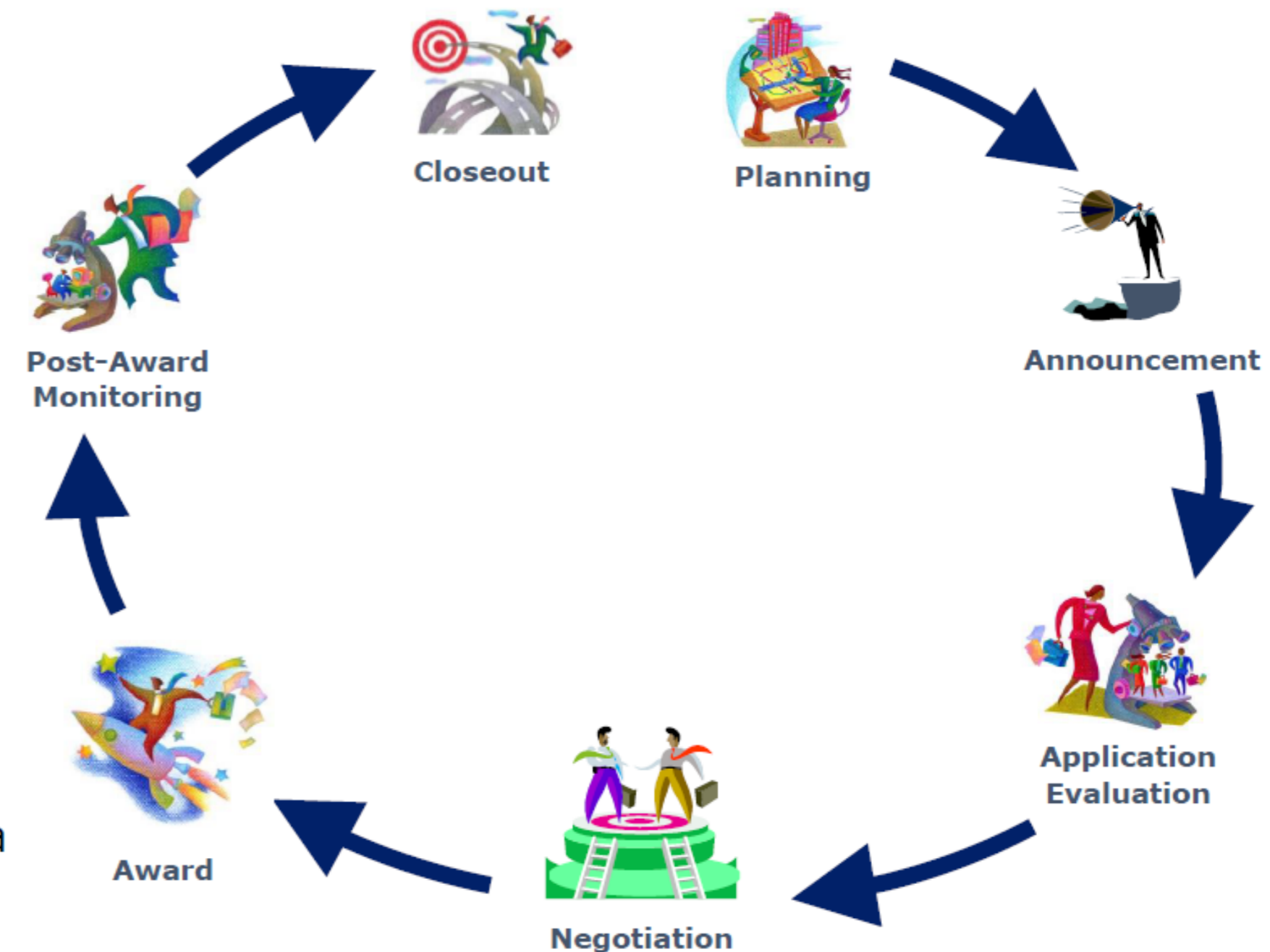
Open Government – HHS Reinvent Grants Management

The Challenge

REIMAGINE HHS

Pain Points across the Grants Lifecycle

- Excessive and duplicative grant management burden (i.e., admin paperwork).
- Processes are complex, fragmented, and managed differently among OpDivs and StaffDivs.
- Numerous IT Systems across the OpDivs and StaffDivs for the same stages of grant management.
- No data centralization or standardization, limited data sharing, and absence of data visibility at the Department level.
- Reliance on manual processes to report grants data and limited ability to use data for proactive decision-making.



FDP

Blockchain

- "an open, distributed ledger that can record transactions between two parties efficiently and in a verifiable and permanent way"
 - Inexpensive
 - Secure
 - Efficient

Example: BitCoin

NIH

NIH Training Grant Applications

- Harassment and Discrimination Protections in NIH Training Applications
 - [NOT-OD-19-056](#)
 - Letters of Support (to be combined into 1 upload)
 - Institutional Commitment for the Success of the Planned Program
 - Institutional Commitment to Ensure “proper policies, procedures, and oversight are in place to prevent discriminatory harassment and other discriminatory practices”

NIH

NIH Inclusion Enrollment

- [NOT-OD-18-116](#)
- Reminder: All Competing Grant Applications with due dates on or after January 25, 2019 require
 - All individuals regardless of age “must” be included in all human research subjects
 - Based upon the research project, should it not be appropriate to include certain subjects based upon their age, the exclusion rationale must be address
 - Institutional Commitment to Ensure “proper policies, procedures, and oversight are in place to prevent discriminatory harassment and other discriminatory practices”

NIH Early Stage Investigators Status (ESI) NOT-OD-18-235

- Extension of ESI status possible on case by case basis

- **Must include**

- eCommons Username
- Number of Months for Extension
- New ESI End Date
- Justification for Extension Request

Most ESI request due to childbirth

NIH will allow 1 year extension of ESI status w/ inclusion of child birth date and justification

Other Areas Considered

- Family Care Responsibilities
- Extended Periods of Clinical Training
- Extended Periods of Additional (non-degree) Research Training
- Disability or Illness
- Active Duty Military Service
- Clinical Loan Repayment Requirements
- Natural or Other Disaster

[Information on
Early Stage
Investigators](#)

NIH Early Stage Investigators Status (ESI)

- [NOT-OD-18-235](#)
- Extension of ESI status possible on case by case basis
 - Link to electronic ESI extension request
 - https://grants.nih.gov/policy/early-investigators/esi_extension_add.htm

Website lists possible rationale for ESI status extensions that they will entertain.

Name (as it appears in NIH eRA Commons):

Email Address:

eRA Commons User ID:

Number of Months for Requested Extension:

 (Please enter a whole number)

New ESI End Date Month/Year:

 (e.g., 12/2010)

Reason for the Request – limited to 300 words (review FAQs to determine the information needed by the committee and please keep your request brief):

REMINDER: if submitting a request for multiple reasons, please include the number of months associated with each reason.

Security Check: (Please Enter 3129 in the Box below)

 Enter 3129 in this Box.

Submit Extension Request

NSF

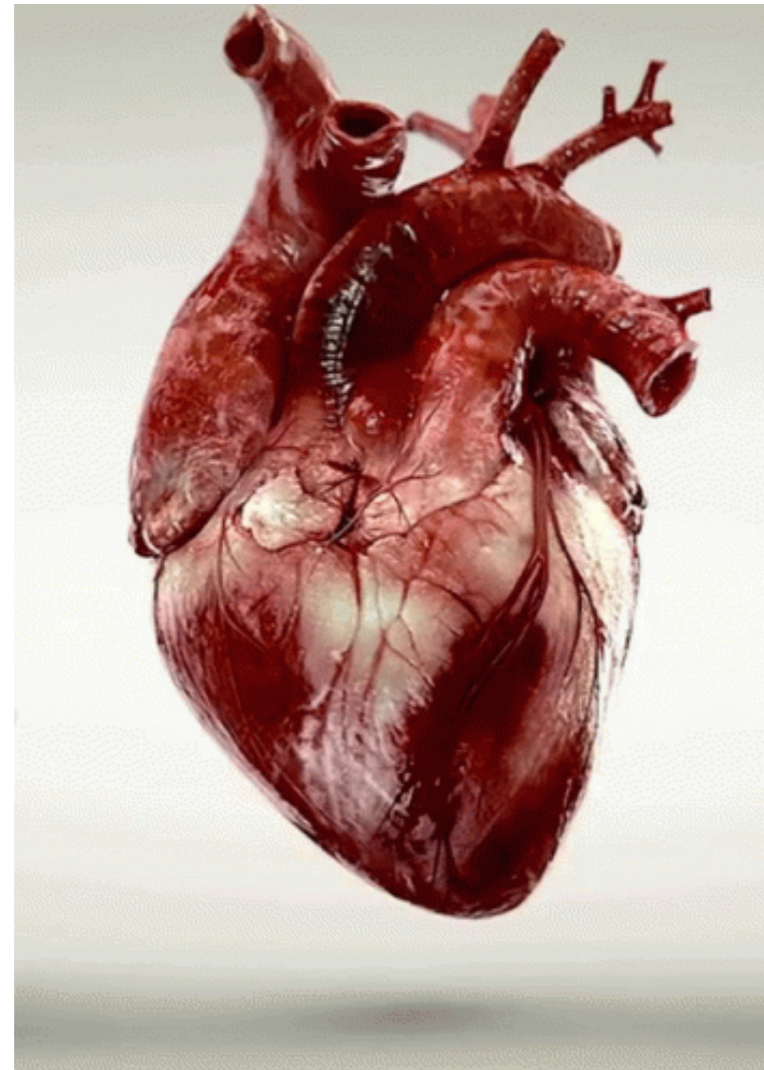
SLIDE SUBTITLE

Proposal & Award Policies & Procedures Guide

(PAPPG), (NSF 19-1)

- Effective date moved back – for Proposals Submitted, or Due On/After February 25, 2019
 - Addition of [Research.gov](https://www.research.gov) as an option for proposal preparation and submission, and proposal file updates;
 - Revision of eligibility standards for unaffiliated individuals;
 - Specification that conference proposals over \$50,000 and all equipment proposals must include the Collaborators and Other Affiliations information in the proposal submission;
 - Revision of resubmission guidelines for NSF programs that accept proposals at any time;
 - Implementation of NSF's policy on sexual harassment and other forms of harassment, or sexual assault;
 - Specification that proposers are required to have a policy or code-of-conduct that addresses sexual harassment, other forms of harassment, and sexual assault, and that includes clear and accessible means of reporting violations of the policy or code-of-conduct. This policy or code-of-conduct must be disseminated to conference participants prior to attendance at the conference as well as made available at the conference itself;
 - Emphasis on the importance of training faculty in the responsible and ethical conduct of research;
 - Incorporation of existing patent policy into the PAPPG. This policy was previously implemented by regulation at 45 CFR 650; and
 - Numerous clarifications and other changes throughout the document.

Any Questions?



Contact Information

Website URL

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



OHRPP Updates

February 14, 2019

OHRPP Updates

- **OHRPP Staffing Announcement**
- **Revised Common Rule**
- **Expansion of ability to use Commercial IRBs**
- **FDA regulations update**

OHRPP Staffing Announcement

NEW Assistant Director, Education and Quality Improvement:

Moore Rhys

Education & Training:

- Including Investigator training and CITI online coursework
<http://ora.research.ucla.edu/OHRPP/Pages/EducationTraining.aspx>

Quality Improvement:

- Including Post approval reports and on-site reviews
<http://ora.research.ucla.edu/OHRPP/Pages/EducationTraining.aspx>

Revised Common Rule Updates

- **UCLA OHRPP Human Research News – Sent to campus February 12, 2019**
 - Transitioning Projects to the 2018 Revised Common Rule
 - Continuing Review
 - **NEW Annual Principal Investigator (“PI”) Assurances for Eligible Studies**
 - Exempt Determinations and Limited IRB Review
 - Broad Consent
 - Grant Congruency Review
 - Commensurate Protections for Research that is not Federally Supported
 - **NEW** General Requirements for Informed Consent – Key Information Summary
 - **NEW** Basic and Additional Informed Consent Requirements
 - **NEW** Investigator Responsibility: Consent Form Posting

RCR Updates – Annual PI/FS Assurances

- **January 2019 Human Research Policy Board approved process for studies that no longer require continuing review**
- **To be completed by the Principal Investigator and Faculty Sponsor (as applicable)**
- **webIRB processes are in development – we will provide demonstration at future RAF meeting.**
- **Overall, studies that do not require continuing review will still need the PI/FS to login to webIRB annually to assure:**
 - The study remains ongoing;
 - No changes were made to the research that were not submitted to the IRB in advance of implementation;
 - No reportable events (PARs) took place that were not reported to the IRB.

Revised Common Rule Updates

- **NEW** General Requirements for Informed Consent – Key Information Summary
- **NEW** Basic and Additional Informed Consent Requirements
- **NEW** Investigator Responsibility: Consent Form Posting

See details in January 2019 RAF presentation

- <http://www.research.ucla.edu/ora/training/documents/Jan-19/RAF-2019-01-OHRPP.pdf>

Expansion of Ability to use Commercial IRBs

- **January 2019 Human Research Policy Board approved expansion beyond industry-sponsored research, at the discretion of the OHRPP Director.**
 - Example: NIH multi-site study where UCLA is primary awardee.
- **OHRPP is working on revising guidance and the website – Updates will be provided at future RAF meetings.**

FDA Regulations Update

- **Proposed Rule for Waiver Guidance on IRB Waiver or Alteration of Informed Consent for Minimal Risk Clinical Investigations.**
 - Comments period closed February 13, 2019.
- **It appears that the FDA is moving to harmonize with the DHHS regulations; more information appears to be coming by mid-year (likely with a NPRM/comment period)**

Questions?

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Mark Mimnaugh mmimnaugh@research.ucla.edu

UCLA Office of the Human Research Protection Program (OHRPP)



Extramural Fund Management

February 14, 2019

Agenda

- **Ascend Project**
 - Project Portfolio Management (PPM) and POETAF
 - Award and Project
 - Expenditure Type

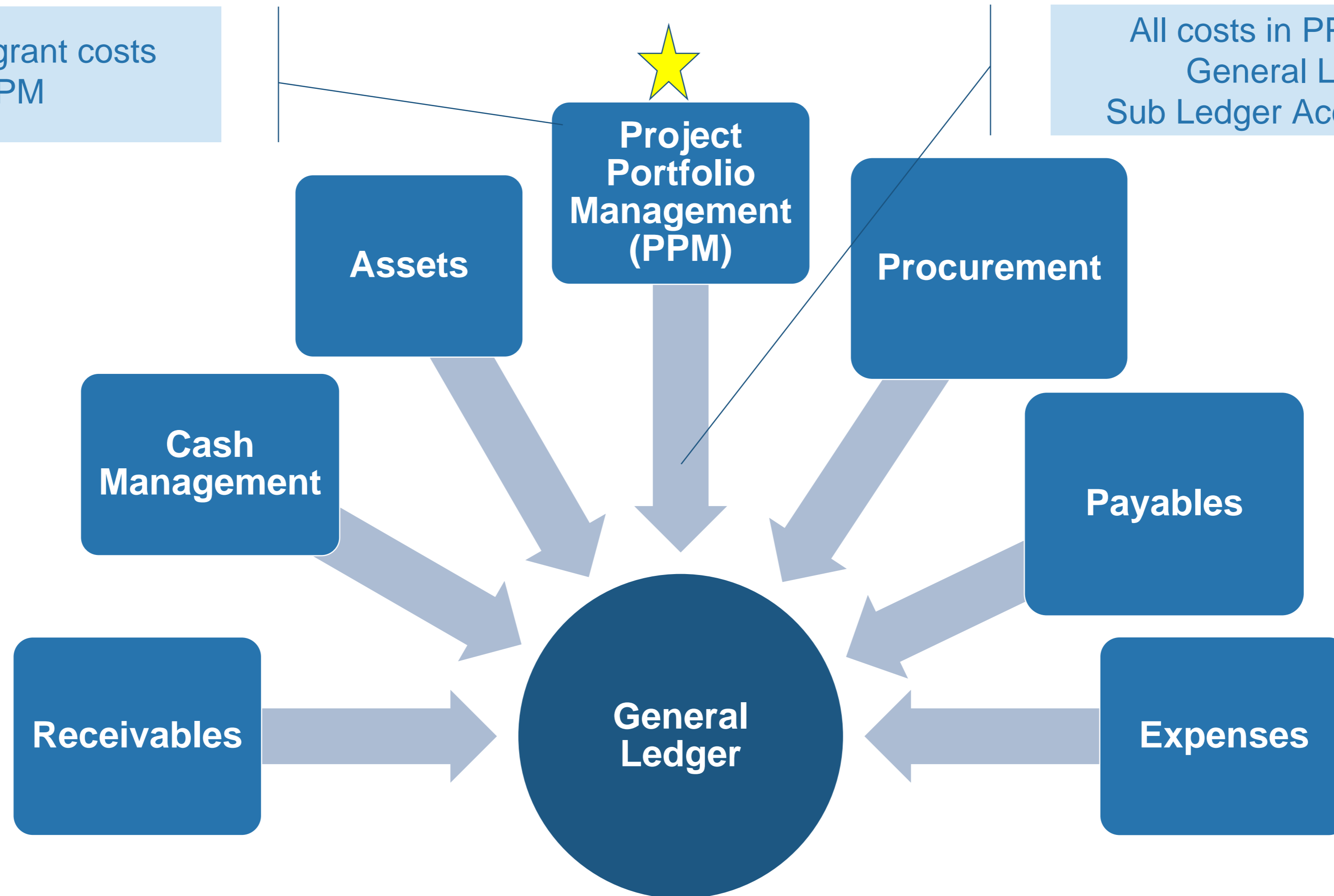
PPM and POETAF

PPM and POETAF

General Ledger and Sub-Ledger

All sponsored contract and grant costs will be captured in PPM

All costs in PPM will be posted to General Ledger based on Sub Ledger Accounting (SLA) Rules



PPM and POETAF

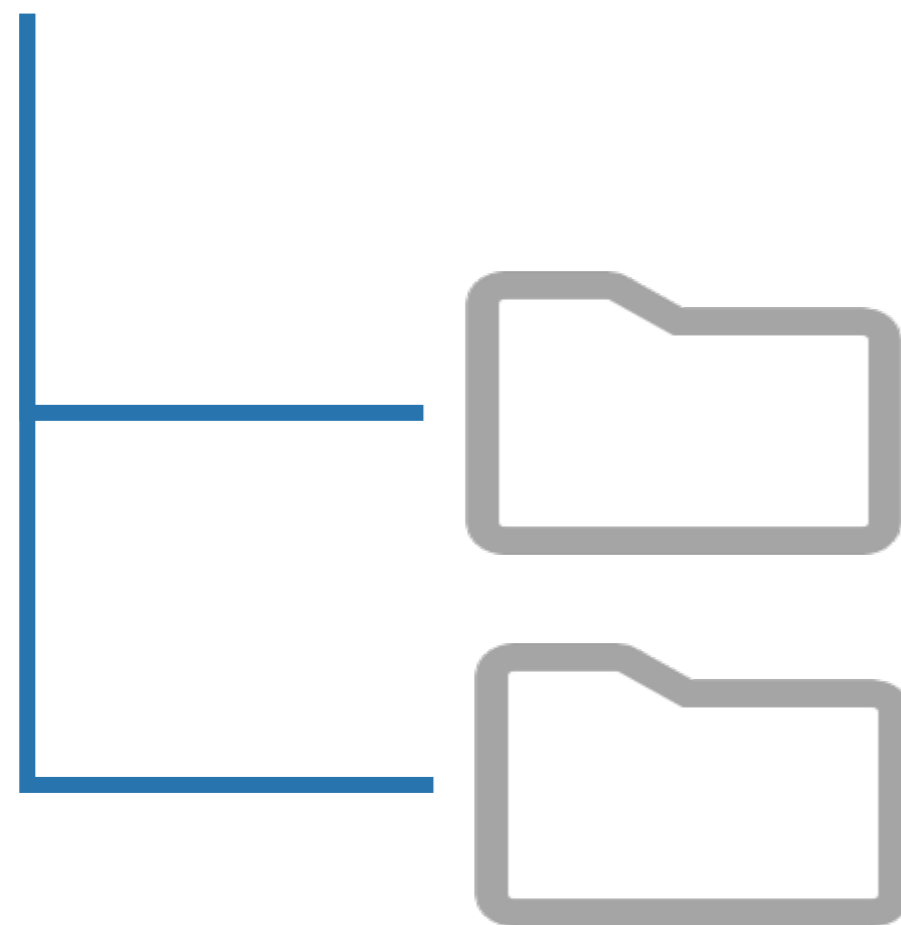
Key PPM Transaction Fields

POETAF: Combination that describes a PPM expenditure

P ROJECT NUMBER	<ul style="list-style-type: none"> • Unique number assigned to identify each project under an award • Contains budget by expense category
O RGANIZATION	<ul style="list-style-type: none"> • Unit that owns a given project expenditure • Department must be designated as an expenditure-owning organization
E XPENDITURE TYPE	<ul style="list-style-type: none"> • Identifies the specific type of transaction • Corresponds with Natural Account segment in the CoA
T ASK	<ul style="list-style-type: none"> • Identifies the project activity
A WARD	<ul style="list-style-type: none"> • Umbrella record that contains overall financial and demographic information with projects associated underneath
F UNDING SOURCE	<ul style="list-style-type: none"> • The funding source supporting a specific expenditure • Options generally include sponsor and an internal source, such as a cost share fund

Award and Project

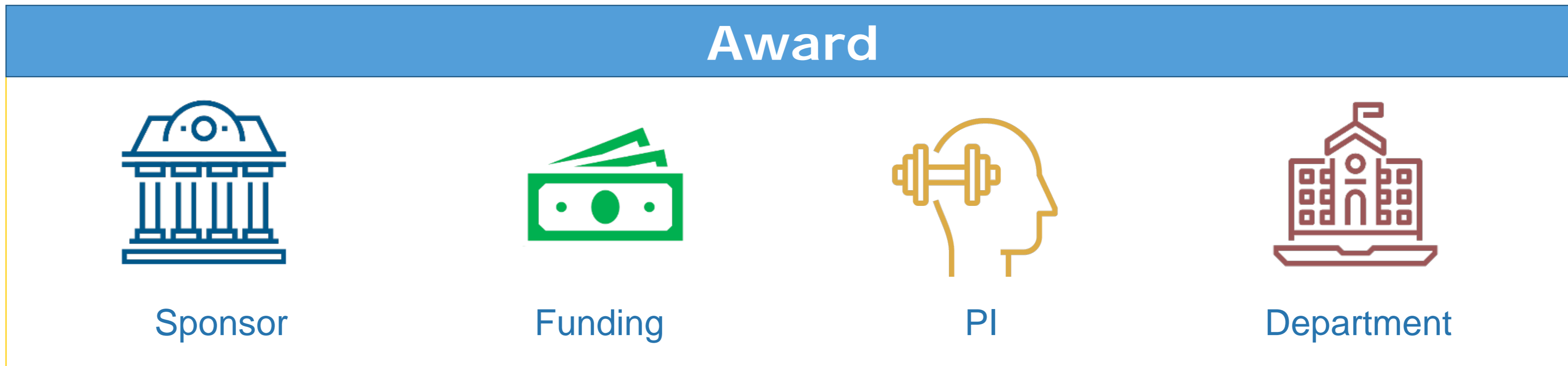
Award and Project



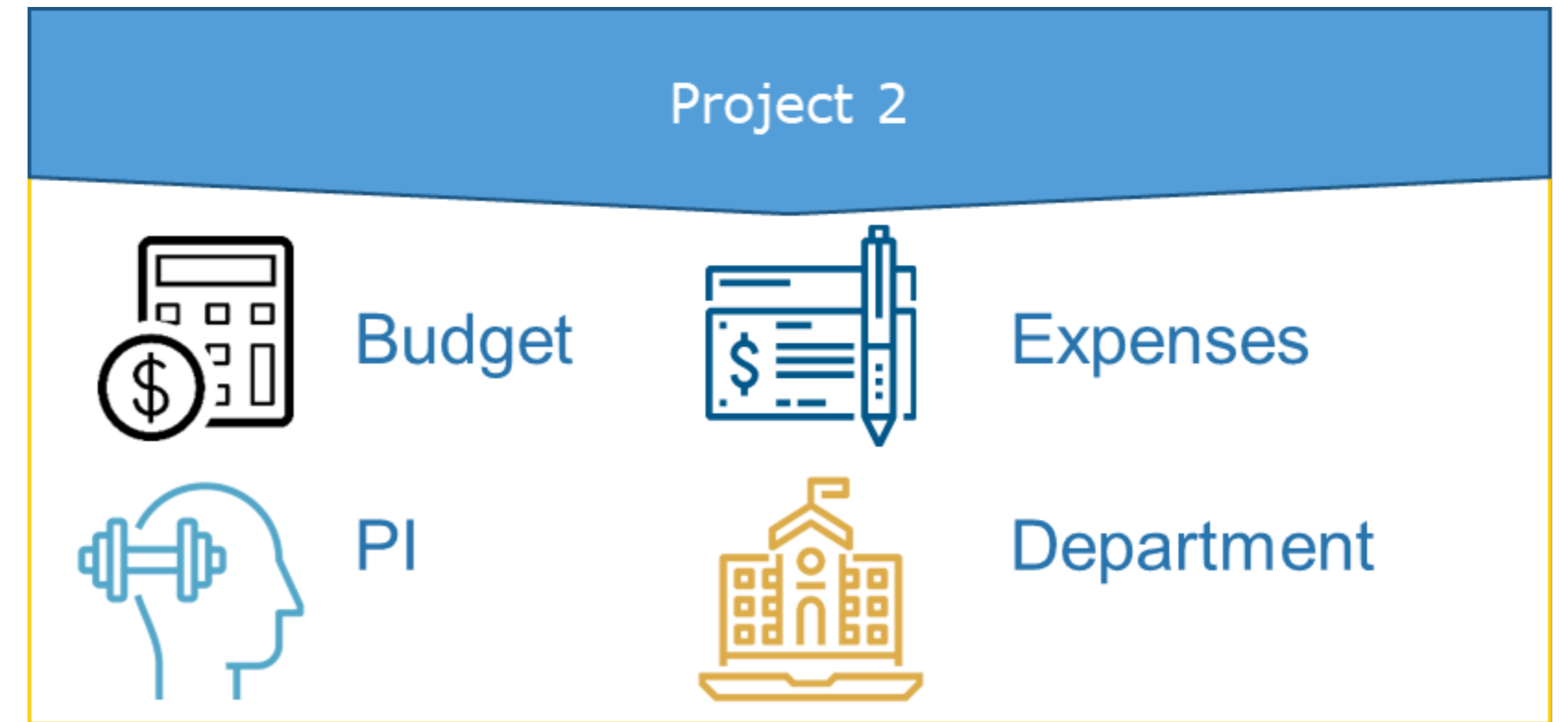
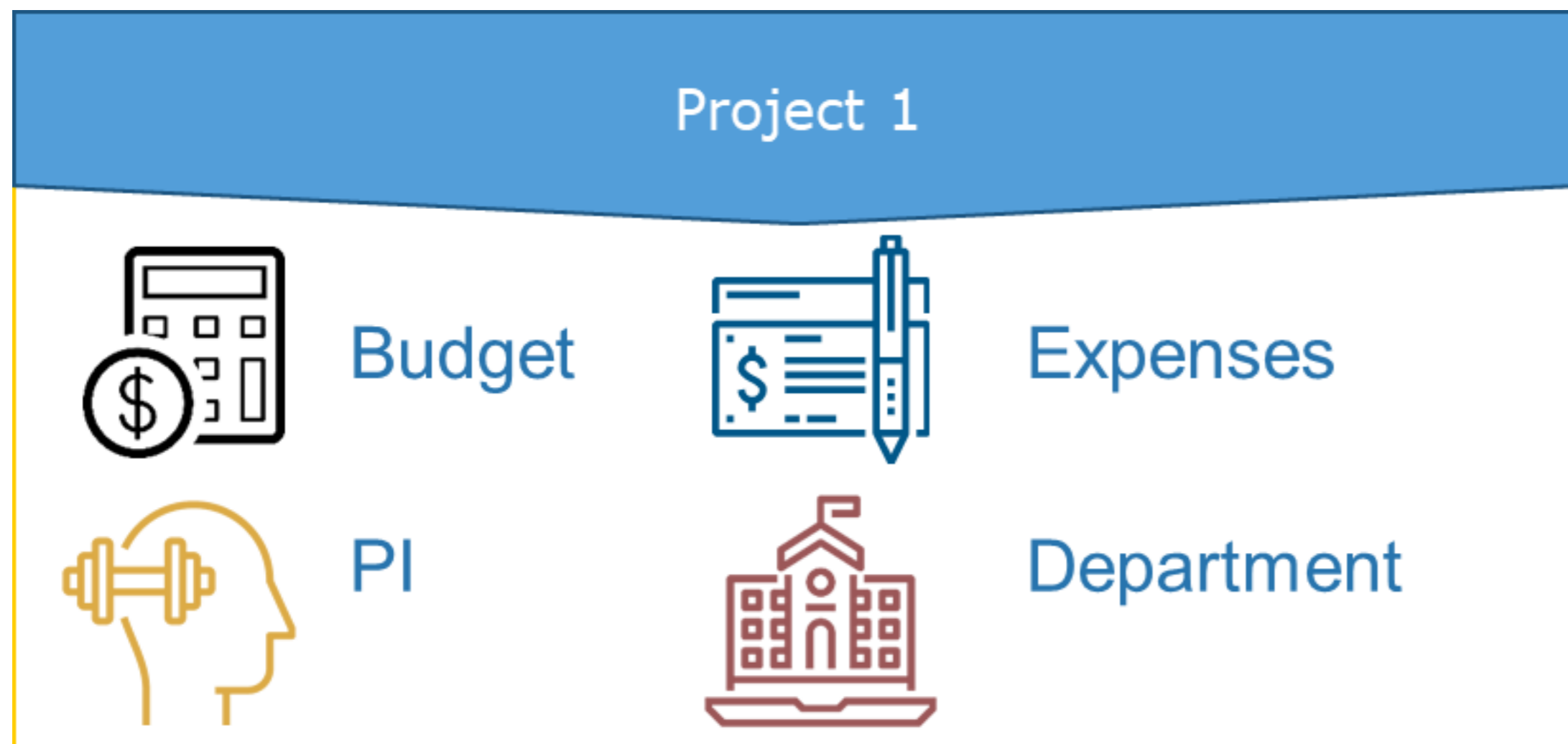
Today, **Fund** represents a sponsored award (contract, grant, cooperative agreement, etc.)
Tomorrow, the equivalent of Fund will be **Award**.

Project is a sub grouping of the Award, similar to today's combination of expense account and cost center in the Financial System.

Award and Project







Separate projects are needed whenever there is a need to track budgets and expenses separately.







Award and Project

Award





			
NSF	\$500,000	Dr. John Smith	Physics

Dr. John Smith at Physics is the PI
 Dr. Joe Taylor is a co-investigator at Chemistry

Project 1

	\$360,000		\$950 in Supplies
	Dr. John Smith		Physics

Project 2

	\$140,000		\$5,000 in Salary
	Dr. Joe Taylor		Chemistry

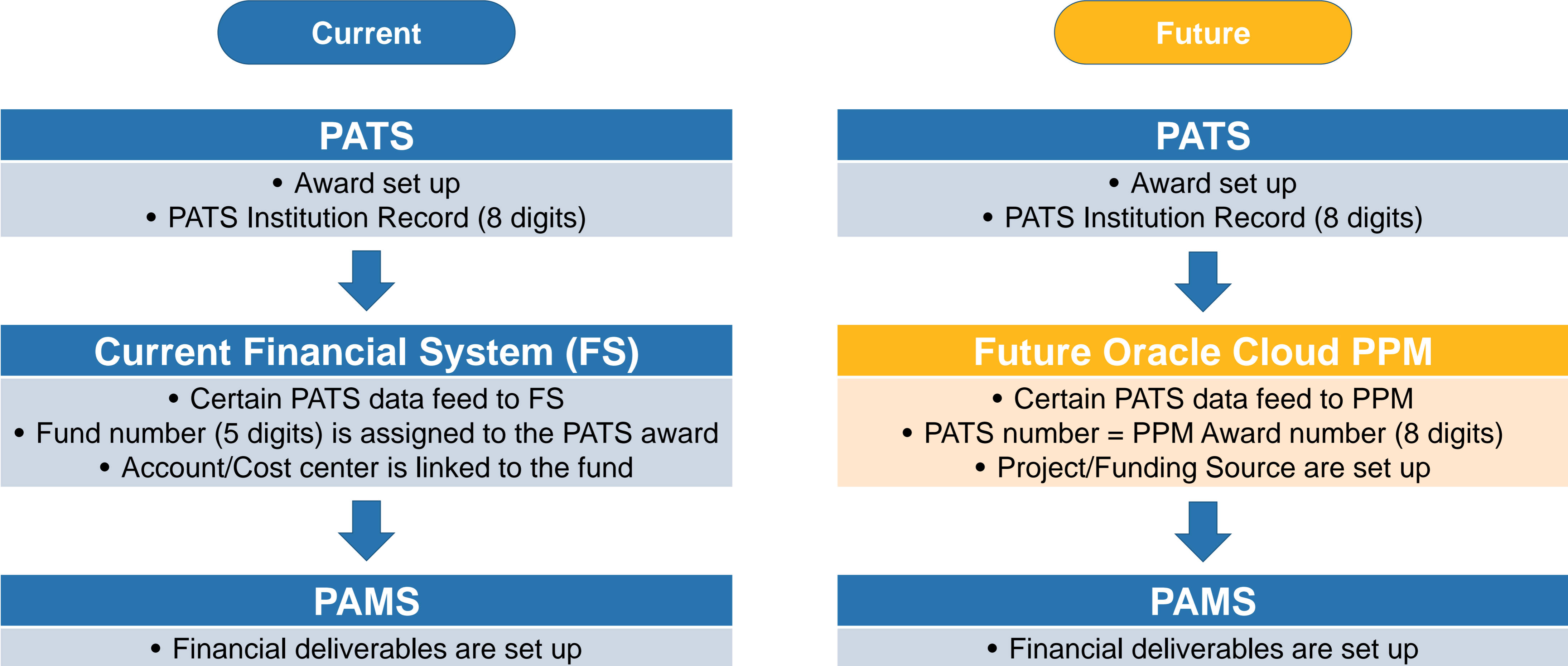
Multiple Projects on Awards

Separate projects are needed whenever there is a need to track budgets and expenses separately.

- **Multiple F&A Rates**
 - On Campus
 - Off Campus
 - No F&A
- **Multiple Investigators & Departments**
 - Biochemistry
 - Physics
- **Different Earning Basis**
 - Cost-Reimbursable
 - Fixed Price / Fixed Rate
- **Sponsor Restricted Funds**
 - NSF Participant Support Costs
 - Diversity Supplement
- **Other Scenarios**
 - Program Project/Center Grants

PATS, PAMS, and Oracle PPM

When an award is executed



PATS, PAMS, and Oracle PPM

- PATS and PAMS will continue to exist and integrate with PPM.
- FS Fund number will no longer exist.
- PPM Award number is equivalent to today's FS fund number.
- PPM Award number will be the same as PATS award number.
- PPM Award Project is a sub grouping of the award.
- PPM Award Project will be used as a vehicle to separate budget and expenses within the award.

Expenditure Type

Current Structure of Cost Classification

- Object Codes are used to identify the nature of expense to support accurate financial and management reporting.
- Sub Codes group object codes based on logical classifications.
- More than one sub code are applicable to an object code.

Object Code	Applicable Subs							Restrictions	Object Code Title
	03	04	05	07	08	09	9H		
2000	X	-	X	X	X	-	-	ALLOWABLE	TRAVEL-IN-STATE AND DOMESTIC
2005	X	-	X	X	X	-	-	ALLOWABLE	TRAVEL - OUT-OF-STATE
2010	X	-	X	X	X	-	-	ALLOWABLE	CAR ALLOWANCE(MILEAGE)

- Object code is used to indicate allowability of costs.
- Object code is used to establish F&A base.

Expenditure Types and Categories in PPM

- Expenditure Types will be used to describe the nature of expense (like object codes today).
- Expenditure Categories will be used to group similar nature of the expenditure types (like sub codes today).
- Only one expenditure category will be applicable to each expenditure type (unlike today's sub codes).
- Expenditure Types will be used to indicate allowability of costs.
- Expenditure Types will be used to establish F&A base.
- Expenditure Types will be mapped to correct values in Account in General ledger to support accurate financial and management reporting.

Design Principles for Expenditure Type in PPM

- Minimize the number of expenditure types while supporting accurate financial and management reporting.
 - Currently, 1013 object codes are available; however, 494 codes were never used and 66 codes were used less than 10 times across campus for FY17-18.
- Ensure an expense item can be correctly mapped to the correct value in the Account in Chart of Account in the General Ledger (G/L).
 - PPM expenditure type cannot be more general than the level maintained in the G/L.
- Support effective and efficient compliance monitoring.
 - Provide more clarity to the nature and allowability of an expenditure type with description to avoid or minimize questioned costs (warning object code items).
 - Establish a separate expenditure type for the nature of expense subject to different F&A assessment based on the amount (e.g. subcontract, genomic array, etc.).

Initial Analysis

- Reviewed 120 open funds for the 3 pilot departments and consolidated 246 object codes to 75 Expenditure Types following the design principles.
- 10 expense categories have been established based on common reporting requirements from sponsors.
 - (1) Salary and wages, (2) Benefits, (3) Supplies, (4) Travel, (5) Services, (6) Equipment, (7) Stipends, Tuition and Fees, (8) Subcontract(s), (9) Other Direct costs, and (10) Indirect Costs.
- Some detailed expenditure types remain because the Expenditure Type list cannot be more general than the CoA Account List.
- Certain Object Codes with “Warning” today will be described as program specific in the expenditure type description and those expenditure types will be allowable.
- Unallowable Object Codes will not exist in the Expenditure Type list.
- The current draft of expenditure categories and expenditure type list will be sent via ORAlistserv for feedback.

Questions to Campus

Departmental perspective is critical to refine the business processes around two following topics and your feedback by February 28, 2019 is appreciated.

- **Award Projects:**
 - Do you have any awards that will require multiple projects on one award for the reasons not listed in the slide #10?
- **Expenditure Type List:**
 - Does the initial draft of expenditure category and expenditure type list meet the reporting needs of the department?

Any Questions?

Contact Information

EFM Website

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

Yoon Lee

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Email: yoon.lee@research.ucla.edu

100 Years of
The University of California, Los Angeles
Trivia



Research Administration Forum

Thursday, February 14, 2019

1. When established in May 1919,
what was UCLA called?

UCSF

University of California
San Francisco

Cal

UNIVERSITY
OF
CALIFORNIA



Southern Branch



2. The Westwood Campus opened in 1929. Name 1 of 4 Original Buildings.

- Royce Hall
- Chemistry Building (now Haines Hall)
- The College Library (now Powell Library)
- The Physics-Biology Building (now Humanities Building)
- *Royce Quad or Main Quad (Dickson Plaza)*



Image source: Daily Bruin <https://dailybruin.com>

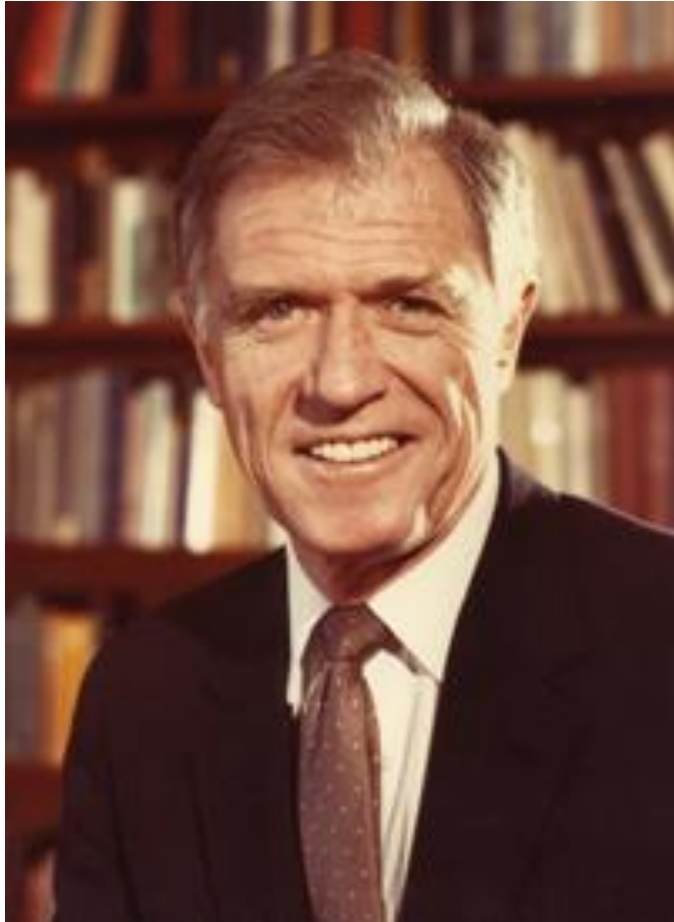
3. Name 1 of 2 Schools
established in 1945.

College of Engineering, 1945

School of Medicine, 1945

4. Who is the longest serving
Chancellor of UCLA?

Charles E. Young



- Formally inaugurated on May 23, 1969, the 50th anniversary of UCLA, at the age of 36.
- Young retired on June 30, 1997 after 28 years as Chancellor.

Source: <http://www.pastleaders.ucla.edu/>

5. What are the Names of
UCLA's Mascots?

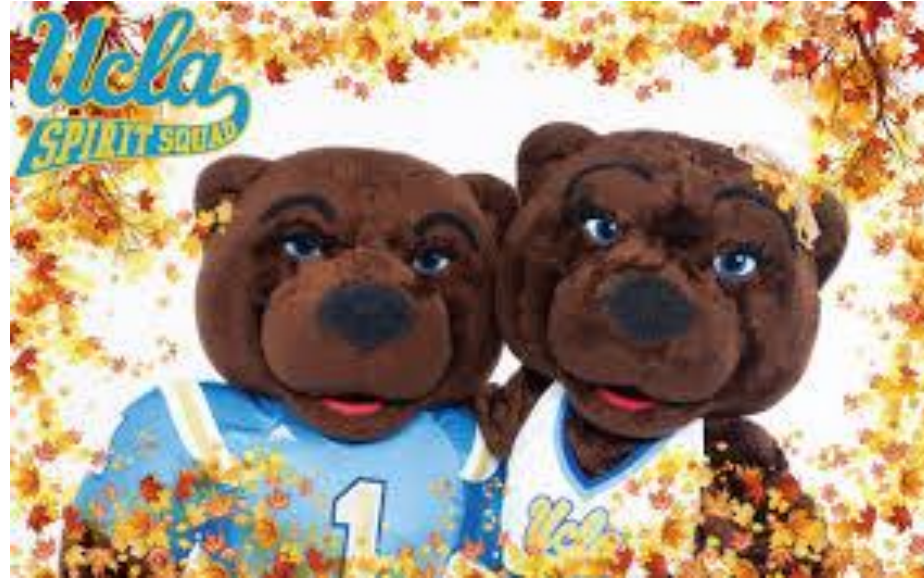


Image source: alumni.ucla.edu

Joe Bruin & Josephine Bruin

Costumed versions born in the 1960s

Source: <https://luskinconferencecenter.ucla.edu/20-fun-facts-about-ucla/>

6. What is the seating capacity for Pauley Pavilion?

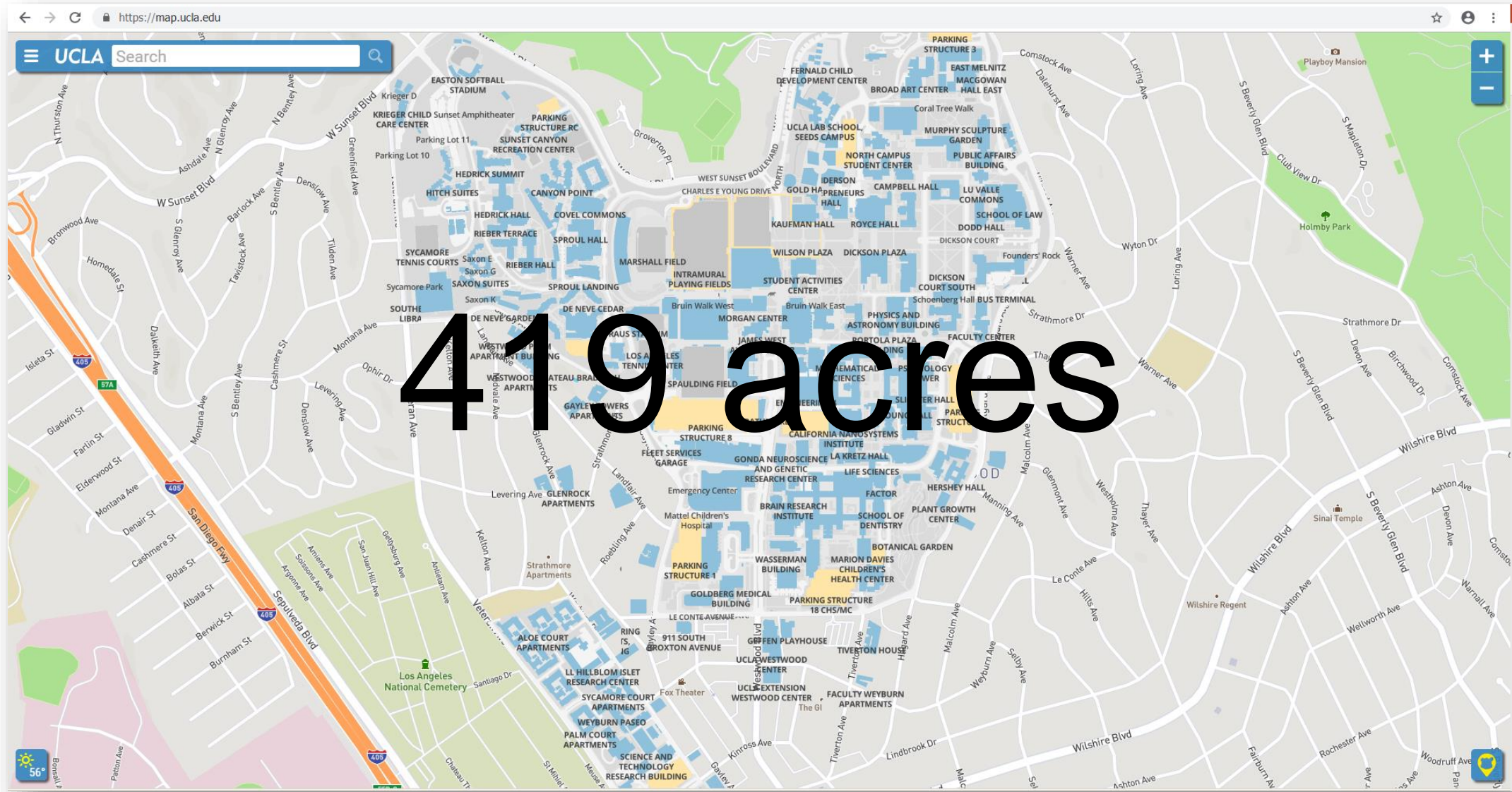
13,800

12,829 prior to the 2012 renovation



Source: https://en.wikipedia.org/wiki/Pauley_Pavilion & <https://uclabruins.com/facilities/>

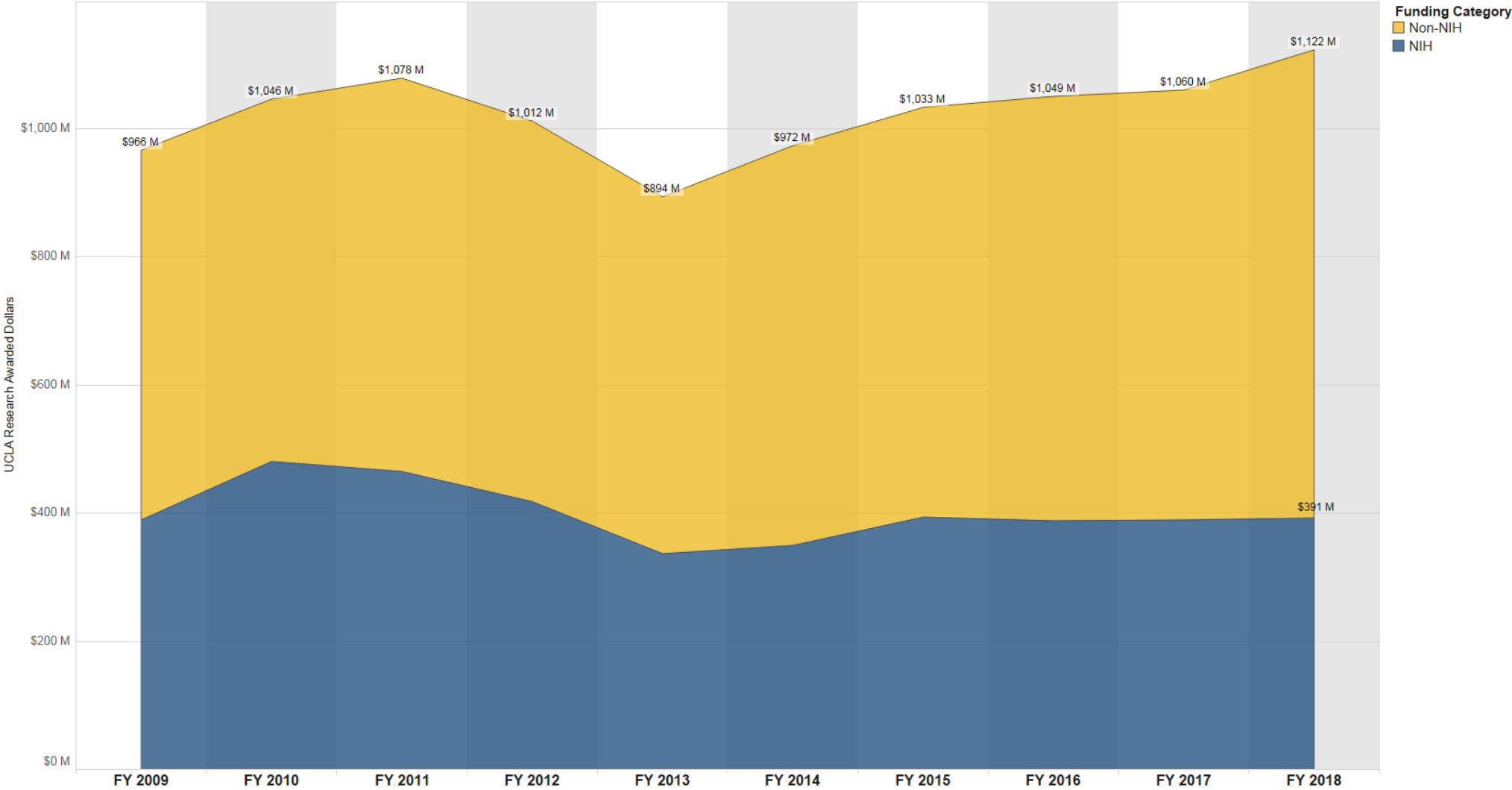
7. What is the size (in acres)
of the UCLA Campus?



Source: <https://map.ucla.edu> & <http://newsroom.ucla.edu/ucla-fast-facts>

8. What percent of UCLA's Research Awarded Dollars are from the National Institutes of Health?

For FY 2018, UCLA Faculty Researchers received around 35% of Total Research Funding from NIH



Source: UCLA Research Administration



Questions

harry.yang@research.ucla.edu