



UCLA

Office of Research Administration

Research Administrators Forum

July 17th, 2014

Welcome

Marcia Smith
Associate Vice Chancellor for Research

Agenda

- **Welcome and Announcements**
 - *Marcia Smith, Associate Vice Chancellor, Office of Research Administration*
- **OARO Updates**
 - *Jennifer Perkins, Director, Office of Animal Research Oversight*
 - AAALAC Site Visit
- **OCGA Updates**
 - *Patti Manheim, Director, Office of Contract and Grant Administration*
 - Funding Trends
 - F&A Exceptions – New Process
 - Staff Updates
- **EFM Updates**
 - *Kevin Cook, Interim Director, Office of Extramural Fund Management*
 - NIH Subaccounting Update
- **OHRPP**
 - *Kip Kantelo, Director, Office of Human Research Protection Program*
 - WebIRB Updates & Departmental Access
 - Injury Policy Reminder
 - Training schedule
- **Questions and Discussion**

FY 2014 Awards Total

\$972.5 M

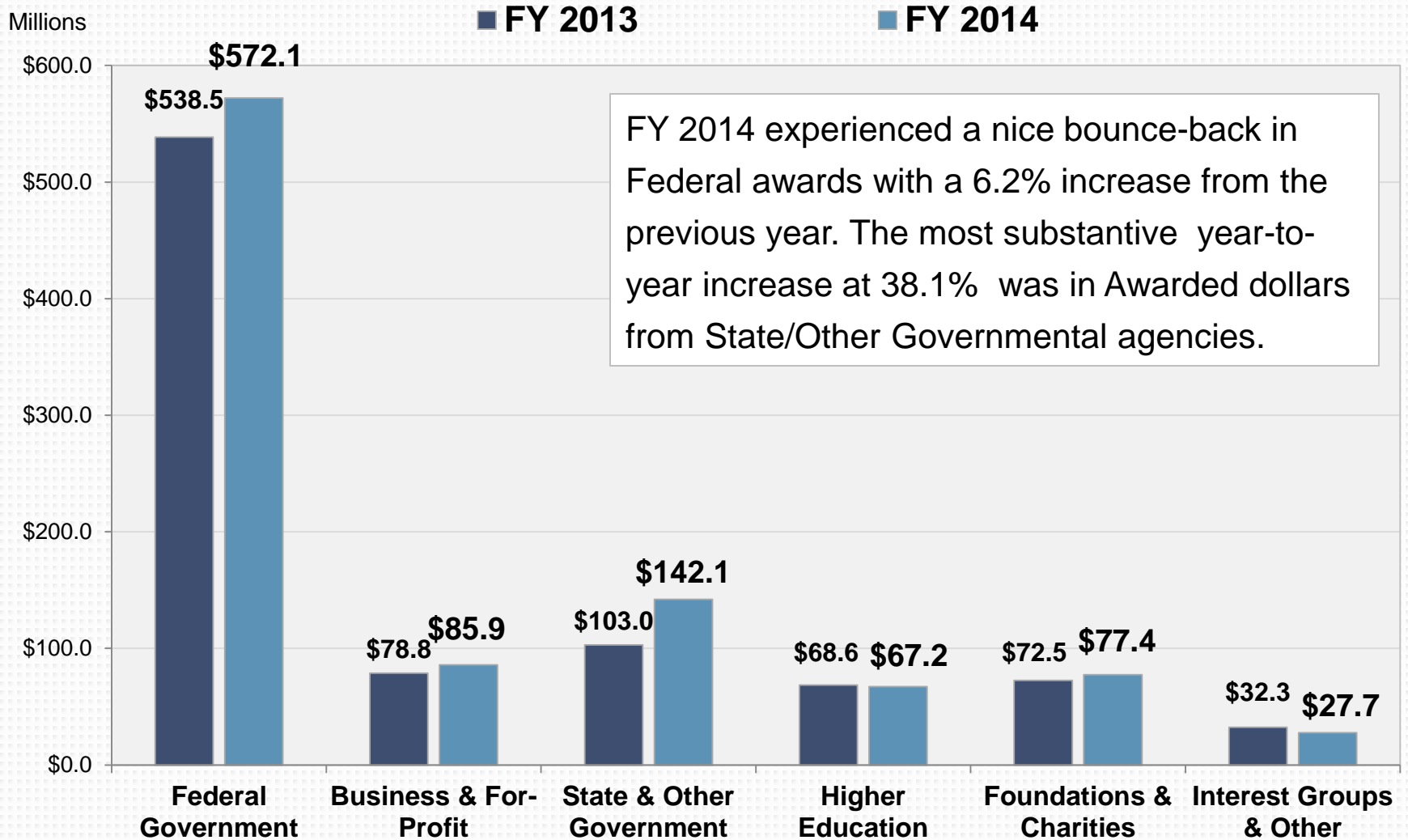
(\$972,467,059)

	FY 2013	FY 2014
Awarded Dollars	893,603,316	972,467,059
Award Counts	5,194	5,386

Year-to-Year Change	
Count	Percent
78,863,743	8.8%
192	3.7%

By Sponsor Type	FY 2013	FY 2014
Federal Government	538,518,759	572,103,673
Business & For-Profit	78,756,173	85,884,367
State & Other Government	102,951,501	142,141,893
Higher Education	68,583,133	67,187,721
Foundations & Charities	72,479,968	77,441,339
Interest Groups & Other	32,313,782	27,708,066
Total	893,603,316	972,467,059

Count	Percent
33,584,914	6.2%
7,128,194	9.1%
39,190,392	38.1%
(1,395,412)	(2.0%)
4,961,371	6.8%
(4,605,716)	(14.3%)
78,863,743	8.8%



Largest Research Award for FY 2014

(excludes School of Medicine Deans Office Affiliation Agreements)

Steven Dubinett, CTSI UCLA CLINICAL AND TRANSLATIONAL SCIENCE INSTITUTE

- \$80.2 M Total Award Amount with a \$16.6 M Budget Period Award Amount for FY 2014

Largest *New Award* for FY 2014

Todd Franke, Public Affairs TRAINING AND STAFF DEVELOPMENT SERVICES CONTRACT

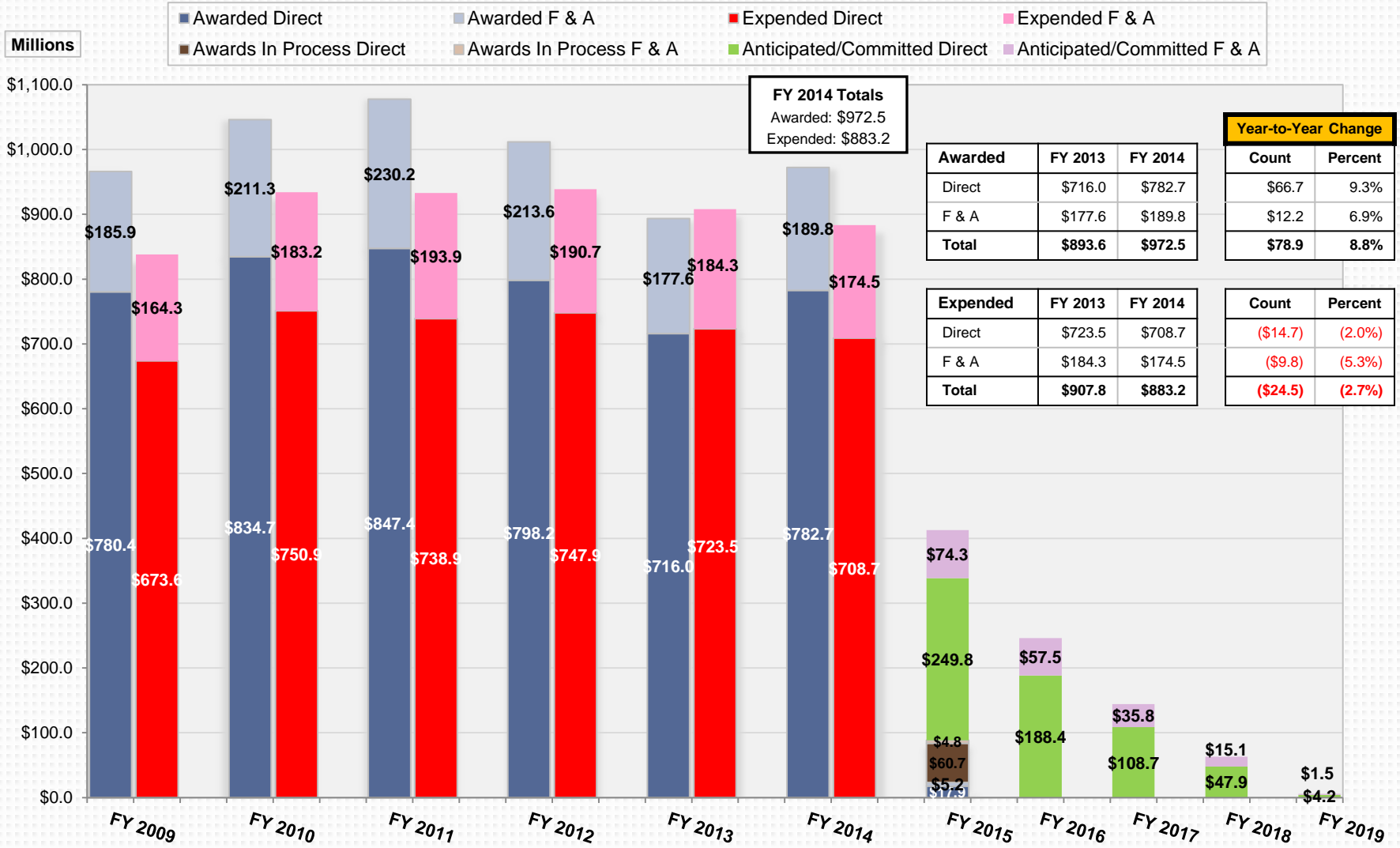
- \$25.4 M Total Award Amount with a \$8.8 M Budget Period Award Amount for FY 2014

Largest *Successful Competitive Renewal* for FY 2014

Judith Gasson, JCC CANCER CENTER SUPPORT GRANT

- \$26.6 M Total Award Amount with a \$4.3 M Budget Period Award Amount for FY 2014

Awarded, Expended, and Committed Dollars, FY 2009 to FY 2019



OARO UPDATES: 2014 AAALAC SITE VISIT

Jennifer Perkins

Director – Animal Research Oversight

Background

- Association for Assessment and Accreditation of Laboratory Animal Care, International
- Private, non-profit, NOT subject to FOIA
- Peer-Review
- More than 900 accredited institutions in 38 countries
- UCOP requires all UC campuses to be accredited

Site Visit

- July 28-31, 2014
- Meet with IO and administration
- Meet with ARC
- Tour facilities
- Talk to lab staff
- Ask MANY questions
- In-Briefing (Day 1)
- Exit Briefing (Day 4)

Findings

- Mandatory – must correct in order to maintain accreditation
- Suggestions for Improvement – recommended upgrades to improve an already acceptable program

How to Prepare?

- Attend July 22 Townhall meeting
- Read, review, understand your protocol
- Follow veterinary orders
- Document all treatments
- Review relevant ARC Policies
- Disaster plan
- Contact OARO for walk-through, protocol review

Questions?





OCGA Updates

Patti Manheim – Director

July 17, 2014

Today's Topics

- F&A Exceptions – New Process
- Federal Research and Development FY 2015
- OCGA Staff Updates

F&A Exceptions – New Process

Principles and Policies

“Indirect costs are real costs incurred by the institution to acquire and maintain its buildings and equipment, and to provide operational support. These support services include maintenance and operations (utilities, janitorial services, police services, etc.), library operations and administrative services. All of these costs are real, and without them, the institution could not exist. ...”

Source: [UCOP Indirect Cost FAQs](#)

F&A Exceptions – New Process

Principles and Policies

- The Regents' policy on full cost recovery imposes a duty on all University administrators and Principal Investigators to perform sponsored projects on a full cost recovery basis. Administrators and Principal Investigators are obligated to ask for and recover indirect costs from all sponsors. In fairness to all faculty and researchers, the full cost burden should be shared equally. Full cost recovery is necessary to support the University's physical and administrative capacity to perform extramural projects.
- Principal Investigators are not authorized to negotiate reduced indirect cost rates with a sponsor or to submit proposals that do not include the applicable indirect cost rate as part of the budget.

Source: [UCOP Contract and Grant Manual, Chapter 8 \(section 631\)](#)

F&A Exceptions – New Process

Background

- Until now, F&A “Waivers” required final approval by UCOP.
- Administratively burdensome and time consuming due to several layers of approval.
- Limited personnel with approval authority at UCOP.
- Delegation of approval to campus(es) has been under discussion for 2½ years.
- F&A “Exceptions” are now seen as a campus business decision.
- UCLA and UCI are piloting the new campus delegation model.
- Exception approvals are still required prior to submission of proposal.

F&A Exceptions – New Process

Pilot Process

- UCOP has reviewed the pre-approved waiver list, and eliminated a number of waivers.
- Transitioning from waivers to Verified Sponsor Policy (VSP) list.
 - Reduced from 1,900 class waivers to 400 VSP list (either sponsor policy or program-specific).
 - OCGA has requested additions to the proposed list.
 - Full roll-out anticipated during Fall 2014.

F&A Exceptions – New Process

OCGA Process

- If sponsor/program remains as a pre-approved exception, no further action required.
- Not-for-profit sponsor – **with** a verifiable F&A policy, but no existing pre-approved exception :
 - Requires published evidence of policy
 - Publicly displayed on website
 - Published in program guidelines
 - Formal letter on entity letterhead – signator's title evidence's position of authority
- Based on substantive evidence, Patti Manheim has final approval.

F&A Exceptions – New Process

OCGA Process

- Not-for-profit – **without** a verifiable F&A policy, and all other requests for exception are processed as “Vital Interest”
 - Requests for approval of vital interest exceptions should be sought, and will be approved, only when the VCR determines that acceptance of an award is considered vital to the campus, and the prospect of the potential loss of the award is deemed more important than recovery of full indirect costs.
 - PI letter must be approved by Chair and/or Dean (ORU Director)
 - PDF attachment via e-mail
 - E-mail from Chair/Dean/ORU Director indicating approval

F&A Exceptions – New Process

OCGA Process

- AVC Marcia Smith reviews and confers with VC Economou.
- VC Economou approves.
- OCGA processes final approval in UCOP REMS (Research Enterprise Management System).

F&A Exceptions – New Process

OCGA Process

- Federal Sponsor (or federal flow-through subaward) exceptions are not delegated to the campus
 - AVC Marcia Smith reviews and confers with VC Economou.
 - VC Economou approves.
 - OCGA forwards to UCOP for final approval via UCOP REMS.

F&A Exceptions – New Process

Benefits

- Campus level business decision.
- Faster turnaround times.
- Better access to decision makers.
- More input from campuses.

Federal Research and Development FY 2015

- Background
- Trends in Federal Spending Since FY 2010
 - Total Federal R&D : \$24 Billion Decrease

R&D Change by Function 2010 - 2014

• NIST	38.4%
• Agriculture	23.9%
• Transportation	15.0%
• Applied Energy	12.2%
• Environmental Agencies	8.8%
• Health (NIH)	6.2%
• General Science (NSF, DOE)	3.7%



Federal Research and Development FY 2015

- R&D in FY15 Base Budget – 1.1% change from FY14

■ DOE Defense	12.7%
■ DOE Energy	10.5%
■ US Geological Survey	3.8%
■ NIST	1.7%
■ Transportation	1.2%
■ DOD Other	0.2%

■ Homeland Security	-16.8%
■ DOD S&T	-12.0%
■ NOAA	-4.1%
■ NASA	-2.7%
■ EPA	1.8%

■ NSF	-1.4%
■ VA	-1.4%
■ NIH	-1.0%
■ Agr	-0.5%
■ DOE Sci	-0.4%

Federal Research and Development FY 2015

Administration R&D Priorities

- Department of Energy: National Nuclear Security Administration, renewables and efficiency, ARPA-E
- Neuroscience
- NASA: industry partnerships
- Transportation: highways and high-performance rail
- Extramural ag research (“innovation institutes”)
- Advanced Manufacturing

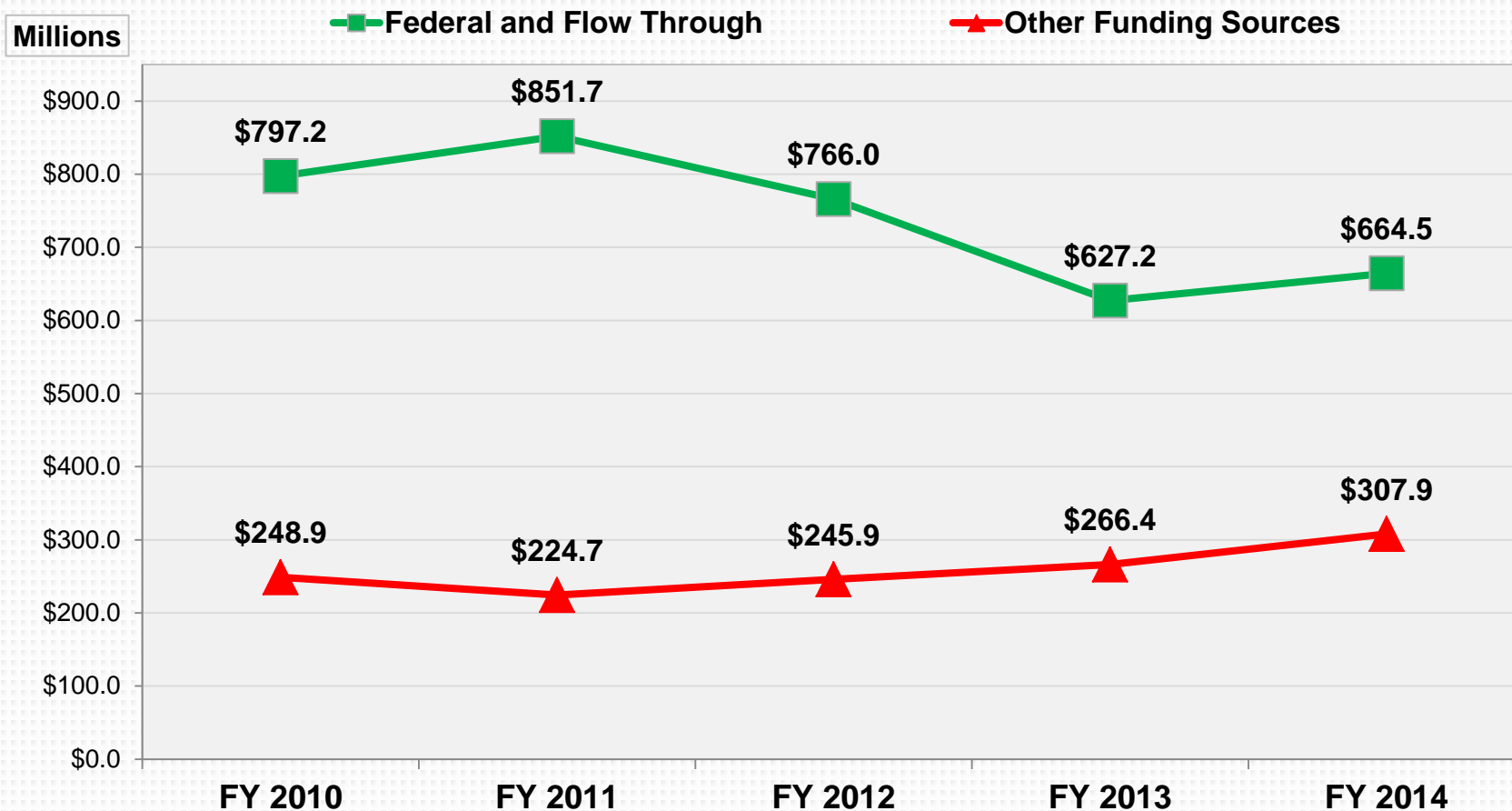
Federal Research and Development FY 2015

UCLA - 2014

- 2011 federal and federal flowthrough dollars represented 80% of UCLA's total awarded dollars
- 2014 federal and federal flowthrough dollars represented 70% of UCLA's total awarded dollars

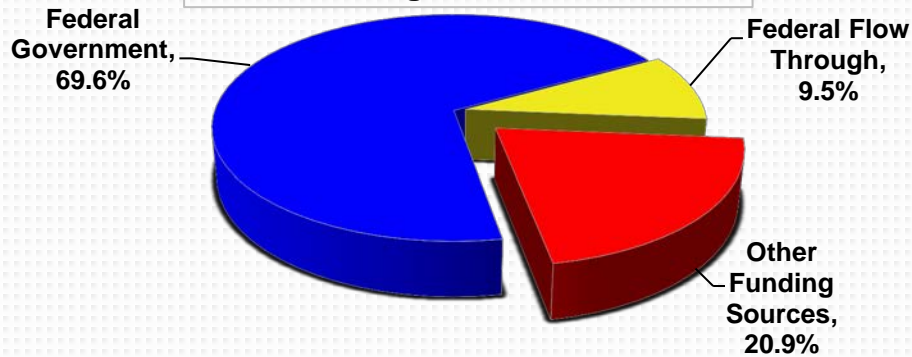
Federal Research and Development FY 2015

Awarded Dollars by Funding Source

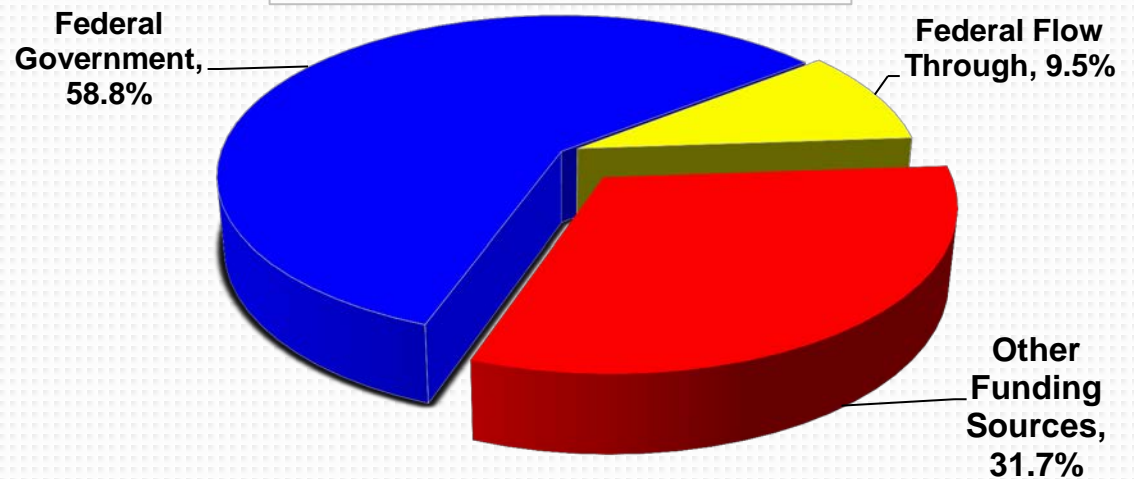


Federal Research and Development FY 2015

Award Funding Sources, *FY 2011*



Award Funding Sources, *FY 2014*



Federal Research and Development FY 2015

What This Means for OCGA and the Research Community

- More diverse sponsor portfolio:
 - less reliant on standardized/uniform federal sources.
- Different pressures:
 - increased number of application submissions,
 - increased complexity,
 - smaller individual awards.

OCGA New Staff

Shauna Huntsman, Senior Grant Analyst

- Effective June 2, 2014
- Experience:
 - Senior Research Administrator at UCSF
 - Grant and contract proposal review and award negotiation
 - UC expertise
 - Solid background in federal and non-profit sponsors

QUESTIONS



UCLA

Extramural Fund Management

EFM Updates

Kevin Cook
Interim Director, EFM

Agenda

- **DHHS Pooled to Subaccounting Transition Update**
- **Closeout Timeline**

Pooled to Subaccounting Transition

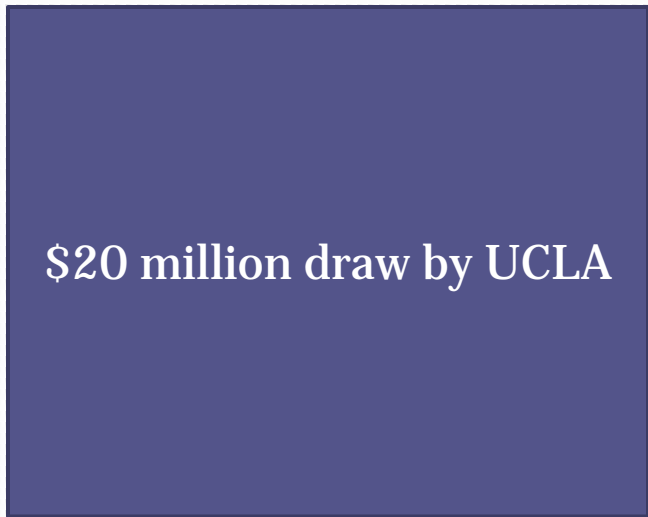
Pooled to Subaccounting Transition

- **Change in cash draw in PMS**
 - Reimbursements for DHHS expenditures are drawn from the Federal Payment Management System (PMS)
 - EFM currently draws cash from a pooled account
 - EFM must draw cash from subaccounts for new and continuing awards as NIH establishes them in the PMS subaccounts

Pooled Account vs. Subaccounts

Pooled Account:

Total Draw: \$20 million
Total Awards: 1,000



Draws submitted in aggregate

Request made
 for all award
 under DHHS/
 NIH

Subaccount:

Total Draw: \$20 million
Total Awards: 1,000

Award	Expense	Draw Amount
A	100.00	100.00
B	100.00	100.00
C	100.00	100.00
D	100.00	100.00
E	100.00	100.00
F	100.00	100.00
G	100.00	100.00

Draw requested by award

Latest Update

- **COGR has been notified that the Department of Health and Human Services (HHS), Office of Grants Policy, has granted NIH an extension for implementing subaccounts.**
- **Effectively, this would represent a continuation of the current policy where new awards or competing continuations only are transitioned to subaccounts. This has been in effect since October 1, 2013.**
- **We expect that this extension will be for one more year and that all awards will be required to be transitioned to subaccounts beginning October 1, 2015.**

Closeout Timeline

Closeout Phases

Phase 1 – Notification and Preparation

90/30/0 Days Before

RAPID Closeout
Notification to
Department/PI

Department/PI Review
Fund

Fund Ends

Phase 2 – Reconciliation and Report

45 Days Before

Department finalizes review
of Fund

30 Days Before

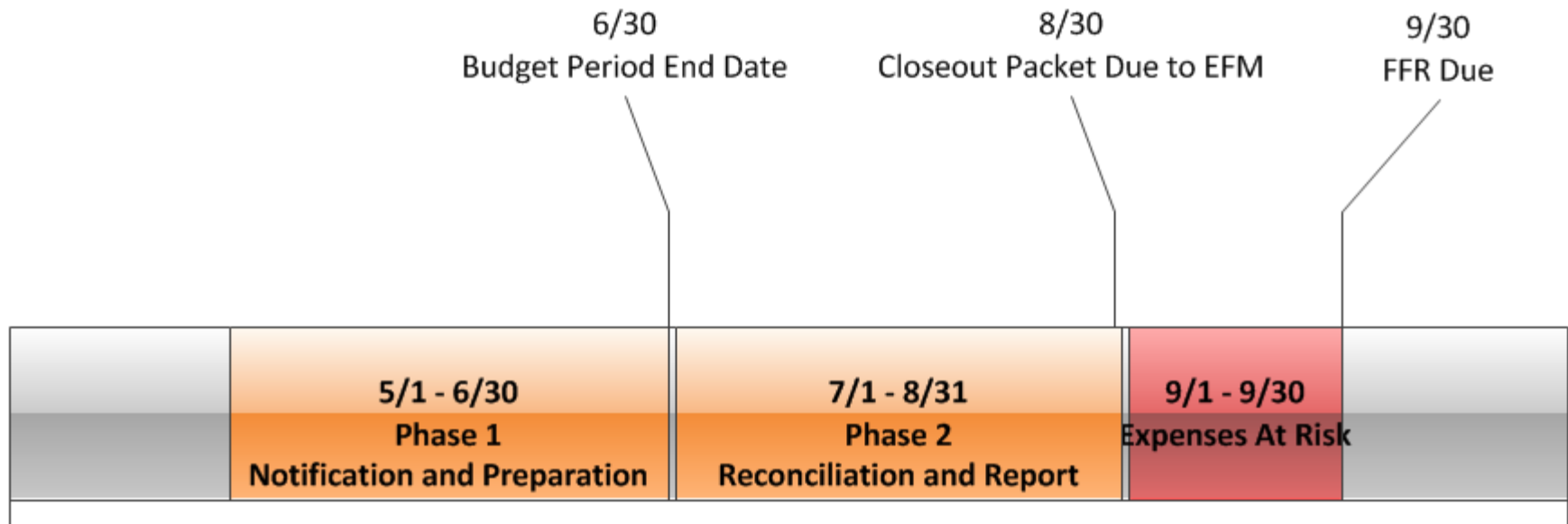
Department will provide Fund
with Closeout Packet

FFR is Due

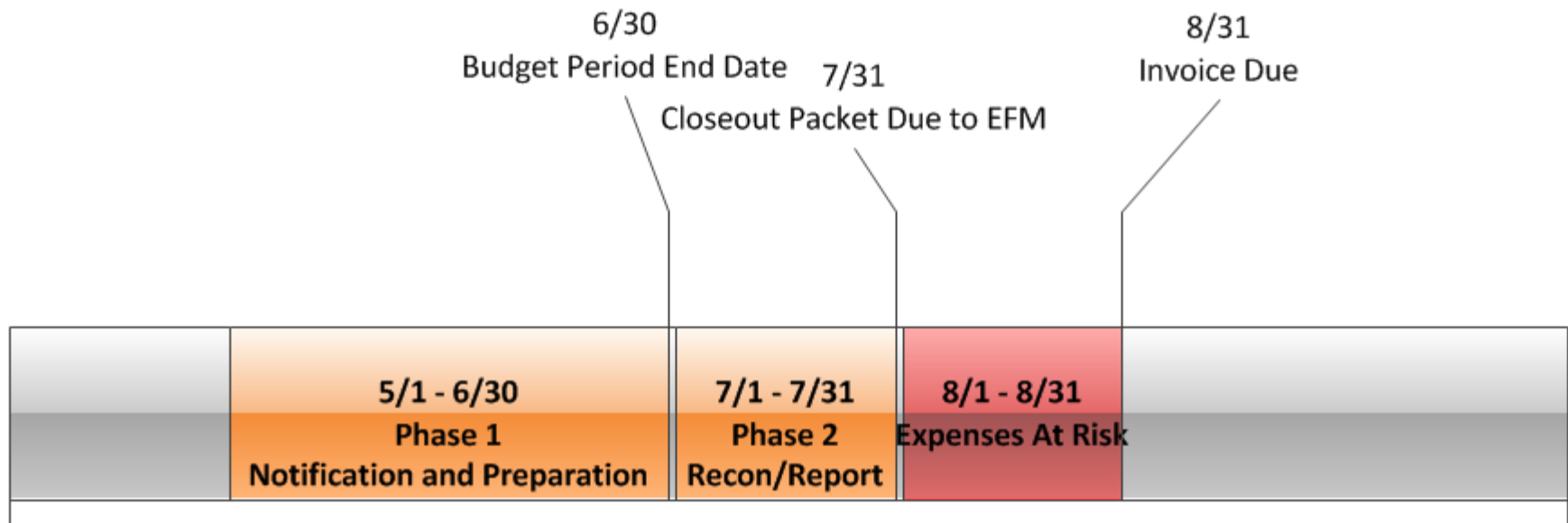
Drivers for Closeout Phases

- Effective under the new subaccounting process, no reimbursements will be made on requests for payments more than 90 days after Budget End Date
 - <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-13-112.html>
- **Impact:** All expenditures must post in a timely manner to meet the above referenced deadlines for direct and pass-through federal awards in order to be reimbursed.

Example of FFR Due 90 Days After



Example of Invoice Due 60 Days After



OHRPP Updates

Kip Kantelo, Director

July 17, 2014

QI & Education

- ❖ **Marcia Malmet, Interim Assistant Director**
- ❖ **QI activities positive**
- ❖ **Feedback for expansion of education**
- ❖ **Fulfill university's responsibilities when relying**

Education

- ❖ Education & Training on left menu of website
- ❖ Consults
- ❖ Noontime Education Series, 3rd Wednesdays
- ❖ Learn at Lunch, 1st Thursdays
- ❖ webIRB, 1st Tuesdays
- ❖ Training Upon Request
- ❖ Human Research News Listserv
 - e-mail to: investigators-l-subscribe@lists.ucla.edu

Reliance

- ❖ Priority for UC, funding agencies, government overseers
- ❖ Several mechanisms for relying on the reviews of other IRBs or for others to rely on us
- ❖ 500+ protocols over the past 8 years
- ❖ “Relying on Other IRBs” on left menu
- ❖ Contact us for letters of support or to explore options

Injury Policy

- ❖ UC injury policy & contract terms
- ❖ Consent forms are not for contract terms
- ❖ Standard language reflects UC injury policy
- ❖ Other sections shouldn't address injury
- ❖ Inserting other language can cause delays in IRB review or later on with Coverage Analysis
- ❖ Trouble with sponsors?

webIRB

- ❖ **Departmental access**
- ❖ **Access to protocols**

Thank you!

❖ We answer the phones and check the emails:

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