



**UCLA**

Office of Research Administration

# Research Administrators Forum August 14th, 2014

# Welcome

**Marcia Smith**  
Associate Vice Chancellor for Research

# Agenda

- **Welcome and Announcements**
  - *Marcia Smith, Associate Vice Chancellor, Office of Research Administration*
- **OHRPP Updates** – *Kip Kantelo, Director, Office of Human Research Protection Program*
  - Updates to webIRB
- **OCGA Updates** - *Patti Manheim, Director, Office of Contract and Grant Administration*
  - OCGA Master Training Calendar
  - Application Submission System & Interface for Submission Tracking (ASSIST) Update
  - OCGA Staff Update
- **ORDM Updates** – *Harry Yang, Principal Research Data Analyst, Office of Research Data Management*
  - Award Data Download Tool (ADDT) for 2013-14
- **EFM Updates** – *Kevin Cook, Interim Director, Office of Extramural Fund Management*
  - Organizational Updates
  - Business Process Enhancements
- **Questions and Discussion**

# **OHRPP Updates**

**Kip Kantelo, Director**

**August 14, 2014**

# webIRB

## ❖ Continuously Evaluating

- Simplicity
- Clarity
- Functionality

## ❖ Regular Schedule

- Off-schedule updates as needed

## ❖ Your feedback helps!

- Survey coming

## ❖ Question from last RAF

# webIRB: August update

## ❖ Consolidated JCCC questions

## ❖ Multi-site research sections

- Reduced from 5 to max of 4
- Eliminated redundant questions
- General Location Info
- UCLA site info
- Sites under UCLA responsibility
- Lead Site (if not UCLA)

# webIRB: August update

## ❖ Recruitment Sections

- Reduced from 12 to max of 4
- Eliminated redundant questions
- Identification/Recruitment Methods
- Identification Details
- Recruitment Details
- Identification by Medical Records

# webIRB: August update

## ❖ Attachment Restrictions

- \*.rtf and \*.exe no longer allowed

## ❖ Broken Links Fixed

- Throughout application
- In letters related to amendments

## ❖ Study Expiration

- Example: 1 year approval today
- Expires 11:59 pm August 13, 2015

# webIRB: August update

## ❖ Important Reminder

- **Sharing login IDs and passwords is strongly discouraged**
- **System logs all activity**
- **User is accountable for what is done with their account**
- **Personnel changes must be done by amendment**



# Thank you!

## ❖ We answer the phones and check the emails:

- **North & South General IRBs**
  - ❑ x57122
  - ❑ [gcirb@research.ucla.edu](mailto:gcirb@research.ucla.edu)
- **Medical IRBs**
  - ❑ x55344
  - ❑ [mirb@research.ucla.edu](mailto:mirb@research.ucla.edu)



# OCGA Updates

**Patti Manheim – Director**  
**August 14, 2014**

# Today's Topics

- OCGA Master Training Calendar
- Application Submission System & Interface for Submission Tracking (ASSIST) Update
- OCGA Staff Updates

# OCGA Master Training Calendar



Office of Contract and Grant Administration

## Master Training Calendar September 2014 - December 2015

**First Thursday of the Month\***  
**210 Kinross**

*\*except January 2015 (third Thursday)*

September 2014						
Su	Mo	Tu	We	Th	Fr	Sa
	1	2	3	4	5	6
7	8	9	10	11	12	13
14	15	16	17	18	19	20
21	22	23	24	25	26	27
28	29	30				

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

October 2014						
Su	Mo	Tu	We	Th	Fr	Sa
			1	2	3	4
5	6	7	8	9	10	11
12	13	14	15	16	17	18
19	20	21	22	23	24	25
26	27	28	29	30	31	

**Compliance: The  
Who, What When, and  
Why**

November 2014						
Su	Mo	Tu	We	Th	Fr	Sa
						1
2	3	4	5	6	7	8
9	10	11	12	13	14	15
16	17	18	19	20	21	22
23	24	25	26	27	28	29
						30

**What Constitutes a  
Complete Proposal  
Package?**

December 2014						
Su	Mo	Tu	We	Th	Fr	Sa
	1	2	3	4	5	6
7	8	9	10	11	12	13
14	15	16	17	18	19	20
21	22	23	24	25	26	27
28	29	30	31			

**Post Submission - Pre  
Award**

January 2015						
Su	Mo	Tu	We	Th	Fr	Sa
				1	2	3
4	5	6	7	8	9	10
11	12	13	14	15	16	17
18	19	20	21	22	23	24
25	26	27	28	29	30	31

**Award Processing**

February 2015						
Su	Mo	Tu	We	Th	Fr	Sa
1	2	3	4	5	6	7
8	9	10	11	12	13	14
15	16	17	18	19	20	21
22	23	24	25	26	27	28

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

# OCGA Master Training Calendar

- **Effective September 4, 2014**
- **First Thursday of every month thereafter**
- **9:30 – 11:00 AM**
- **Kinross Building, Room 210**
- **Details available on the OCGA website:**  
<http://www.research.ucla.edu/ocga/training-calendar.html>

# OCGA Master Training Calendar

- Topic:** Filling out the EPASS: What is it, when is it required and how to complete?
- Summary:** 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 completing, reviewing or processing EPASS forms.
- Topic:** Compliance: The Who, What, When and Why
- Summary:** This session will cover the topic of compliance in relation to sponsored projects by diving into examples related to sponsor, institutional and government compliance as well as those specific compliance questions on the ORA e-PASS.

# OCGA Master Calendar

**Topic:** What Constitutes a Complete Proposal Package?

**Summary:** This session will address elements of a proposal needed to initiate a review. We will review and discuss minimum requirements for review and submission. This session is appropriate for anyone with responsibility for sending proposal materials to OCGA.

**Topic:** Post Submission – Pre Award

**Summary:** The Office of Contract & Grant Administration is the central point of contact for all pre-award actions related to sponsored projects to be funded upon receipt of satisfactory compliance. This session will focus on NIH Just-in-Time (JIT), DOD pre-award process, Reps and Certs, other authorizations (Federal, State, County) and sponsor requests.

# OCGA Master Calendar

**Topic:** Award Processing

**Summary:** UCLA Office of Contract & Grant Administration receives and processes nearly 5,000 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.



# OCGA Master Calendar

- Outgoing Subs
- Non-Financial Post Award - Prior Approval Matrix
- Responsibility matrix – Who Processes What?
- Non-Financial Closeout – Transfers, Relinquishments, Reporting
- Proposal Submission Systems
- Reviewing Sponsor Guidelines and Program Announcements
- Everything you Want to Know About NIH
- Everything you Want to Know about NSF
- OCGA: What do we do and why does it take so long?
- Working with Foreign Sponsors
- Your Ideas???

# ASSIST or Cayuse?

## ASSIST (Application Submission System & Interface for Submission Tracking)

- Grants.gov forms cannot support NIH multi-project requirements.
- NIH developed web-based front-end – preparation and submission of multi-project applications
- Since September 25, 2013 UCLA has submitted:
  - 11 prime applications and 5 subaward applications using ASSIST
  - 1 prime application using S2S Grants (Cayuse)
- Which is “better”?
  - Too soon to tell
  - Complex applications do not occur often enough to gauge preferences

# ASSIST or Cayuse?

ASSIST	S2S Grants (Cayuse)
<ul style="list-style-type: none"><li>• Budget roll up – all costs by category for all projects and cores.<ul style="list-style-type: none"><li>• Changes to individual project or cores are automatically recalculated.</li></ul></li><li>• “One-button” PDF generation of entire application.</li><li>• Overall view of validations rather than in individual components.</li><li>• User Guidelines and Help Desk assistance exact match for the ASSIST Program.</li><li>• Only SOs can delegate access rights to the application.</li><li>• Final validation process is time consuming and cumbersome.</li></ul>	<ul style="list-style-type: none"><li>• No budget roll up prior to submission.<ul style="list-style-type: none"><li>• Budget is only viewable once it is posted to the Commons.</li></ul></li><li>• No “one-button” PDF generation.<ul style="list-style-type: none"><li>• Cores/Projects need to be generated individually.</li><li>• Complete PDF only available in Commons.</li></ul></li><li>• No overall validation - only at the component level.</li><li>• NIH guidelines are written for ASSIST, not for S2S Grants.</li><li>• Initiator manages access to the application.</li><li>• Final validation process is more efficient.</li></ul>

# ASSIST or Cayuse?

OCGA recommends using ASSIST for the near term

- NIH system for NIH applications
- Extensive guidance available
- All in the “same language” (system, guidelines, help desk)
- If UCLA is a sub – parent institution likely to prepare in ASSIST

# ASSIST or Cayuse?

If you are more comfortable with S2S Grants (Cayuse) consider the following:

- Are there any subawards
- Do the institutions also use Cayuse?
  - Ability to import subs into UCLA application (Cayuse to Cayuse)
- Familiarity with NIH complex/multi-project applications – less reliance on ASSIST Guidelines or Help Desk.
- Contact your Grant Analyst and Cindy Gilbert, eRA Coordinator as early as possible to:
  - Strategize
  - Coordinate
  - Prioritize

# Need ASSISTance?

## Training Session:

Preparing Multi-Project NIH Applications using ASSIST

Monday, August 25, 2014

Kinross Building, Room 210

9:00 – 11:30 a.m.

- Open to any members of the campus research community.
- Topics covered include:
  - Planning and organization of your team and application
  - Initiating the application in ASSIST
  - Managing application permissions and users
  - Building the application
  - Finalizing the application for OCGA review and submission
- Formal registration is not required.

# OCGA New Staff

Alice Young-Singleton, Contract and Grant Officer

- Effective August 1, 2014
- Experience:
  - Extensive experience in research administration at USC.
  - Pre- and post-award administrative duties.
  - Drafting, reviewing and negotiating complex contracts.

# QUESTIONS



# Award Data Download Tool

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

## **What is the Award Data Download Tool?**

**Mechanism through which campus personnel can readily draw down awards data for a given Fiscal Year.**

## The Tool's Three Main Purposes:

To enable campus units to generate, easily and on their own, awards data

- Self-serve model is guided by the Principle of Autonomy
- The download tool is easy-to-use: two clicks to select an entity, one click to select year, one last click to Open or Save (or Cancel!) the file

## Three Main Purposes (continued):

Pathway to consistency, standardization in measuring awards at our institution

- Let's talk the same language
- For especially, personnel new to UCLA and/or the Research Administration field, this simple-to-use tool can be utilized as an introduction to particular research-related concepts

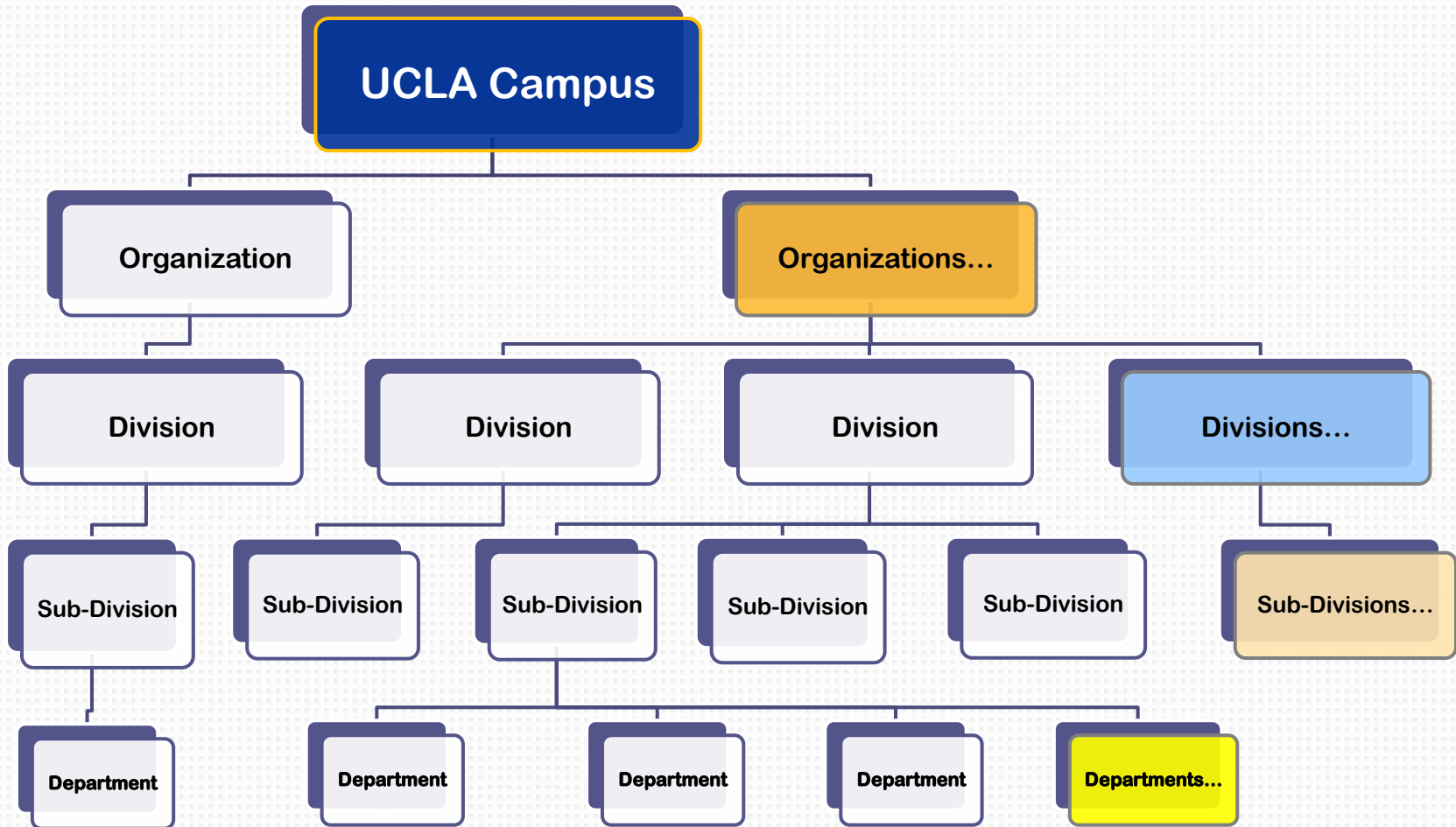
## Three Main Purposes (continued):

### Transparency

- Rather than only seeing, and/or handed an aggregated awards number through documents such as the Annual Report, units can view the composition of their yearly awards

# How is the Award Data Download Tool Organized?

## Based on the Financial System Organizational Hierarchy



# Contents of the Award Data Download Tool

	FY 2013	FY 2014
Organization Level Files	28	26
Division Level Files	40	38
Sub-Division Level Files	74	73
Department Level Files	196	197
<b>Total Files</b>	<b>338</b>	<b>334</b>

# Questions or Comments

Please contact

[ReportHelp@research.ucla.edu](mailto:ReportHelp@research.ucla.edu)





**UCLA**

Extramural Fund Management

# EFM Updates

Kevin Cook  
Interim Director, EFM

# Agenda

- **EFM Business Process Changes**
- **Organization Update**

# Business Process Changes

# Business Process Changes

- **P913 Transfers**
  - **Old Process**
    - Balance  $\leq$  25%: Final approval by EFM Supervisor
    - Balance  $>$  25%: Final approval by ORA AVC
  - **New Process**
    - Balance  $\leq$  25%: Final approval by EFM Supervisor
    - Balance  $>$  25%:
      - Balance  $\leq$  \$10,000: Final approval by EFM AD or Director
      - Balance  $>$  \$10,000: Final approval by ORA AVC
  - **Benefit**
    - Quicker approvals for P913 transfers

# Business Process Changes

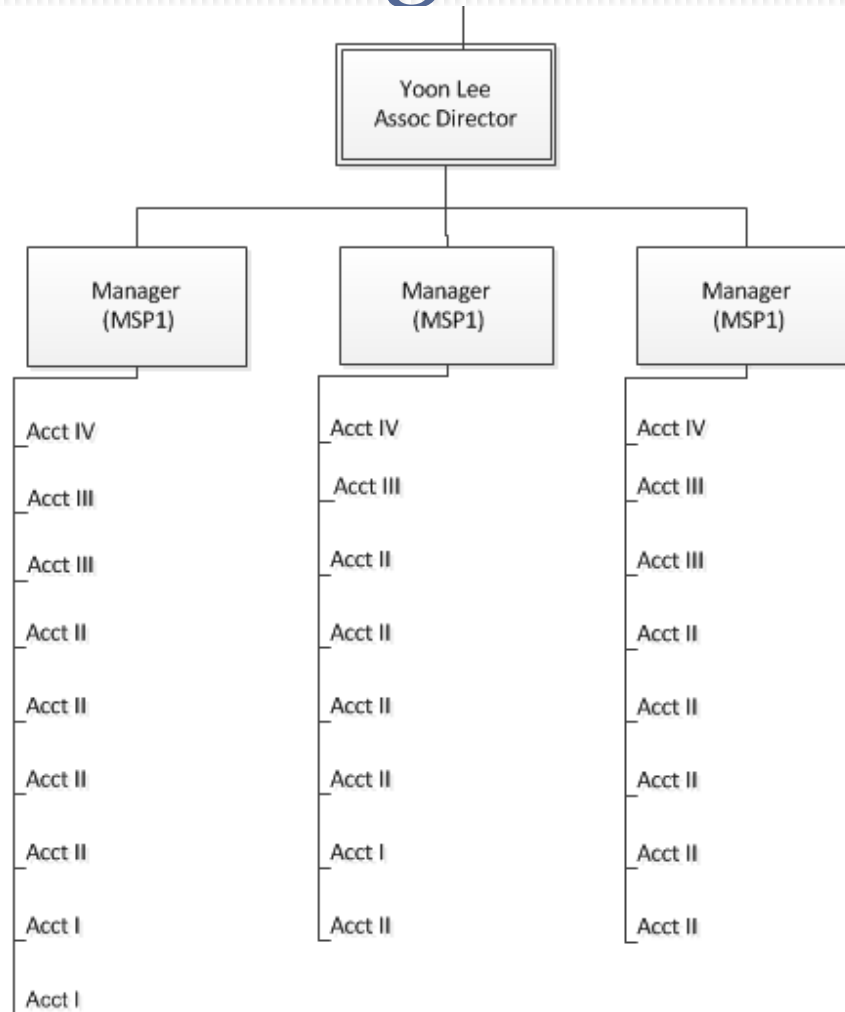
- **Signature Authority**
  - **Change**
    - Added signature authority to additional individuals in EFM
  - **Benefit**
    - Quicker sign off and submission of invoices and reports
    - Allows EFM Supervisors to refocuses efforts in other priority areas
- **Invoicing and Reporting**
  - **Change**
    - Invoicing quarterly rather than monthly when sponsor allows
  - **Benefit**
    - Fewer invoices and reports to submit allows EFM frees up capacity to focus on other priority areas
    - Decreased workload increases customer service and response times

# Organization Update

# Goals of New EFM Team Structure

- **Create long term relationships with departments**
- **Focus points of contact departments have with EFM**
- **Streamline existing team structure**
- **Provide opportunities for advancement and outline a clear career path**
- **Facilitate consistent practices**
- **Maximize production output**
- **Create a more robust and independent team structure**

# New Fund Management Team





# New Cash and A/R Team

