



OCGA Tips and Tricks

Jeff Warner, Principal Contract and Grant Manager

OCGA Tips and Tricks

- Grant your Contract and Grant Officer access to a proposal as soon as you create it in an online system.
- Benefits:
 - Will allow your Officer to review the proposal as soon as it is ready.
 - The Officer can help as needed if required to meet a deadline.
 - Prevents delay at the time the proposal is ready for submission.
- OCGA will not submit a proposal without a confirmation it is ready from the department/PI.

OCGA Tips and Tricks

- At the time of proposal, verify with your Principal Investigator and/or Sponsor as to whether there is a Prime Sponsor.
- Benefits:
 - Allows your Officer to better identify areas of risk
 - Your Officer can prepare for any potentially problematic terms and conditions in the resulting award
 - Your Officer will be able to provide better proposal review notes as they will read through the guidelines of the prime sponsor

OCGA Tips and Tricks

- NIH and NSF grants and cooperative agreements are reviewed and set up by OCGA's Business Systems Team.
- Benefits:
 - Awards are issued to one general inbox that is monitored by the Business Systems Team.
 - Provides your Officers more bandwidth to spend on other areas research administration.

OCGA Tips and Tricks

- Ensure that your Principal Investigator includes the ITAR/CUI language in the scope of work for a proposal being submitted to the Department of Defense, U.S. intelligence agencies, or Homeland Security.

“The work described in this proposal is fundamental research intended to advance the state of the art and result in open scientific publications. No "covered defense information," as defined in [DFARS 252.204-7012](#) (OCT 2016) will be collected, developed, received, transmitted, used, or stored by the University to support the performance of this work. It is understood that any developmental items and specially designed parts, components, accessories and attachments fabricated under any Department of Defense award resulting from this proposal are being developed for both civil and military applications.”

<https://blink.ucsd.edu/research/policies-compliance-ethics/cui.html>

OCGA Tips and Tricks

- Benefits:
 - Mitigates potential CUI and export control concerns in agreements.
 - The language ensures that the technical point of contact or program manager at the sponsor is properly notified of the plans for the project.
 - Provide the sponsor the opportunity to develop the appropriate expectations for the project and terms that UCSD will accept in the agreement.
 - Will save your Officer time as they will not have to include this in their review notes.

OCGA Tips and Tricks

- If you are creating an ePD record for an internal proposal (i.e., one that does not have a deadline or has already been submitted to the sponsor), please choose a date six-months out as the deadline date.
- Benefits:
 - Immediately notifies your Officer that the ePD record is for internal proposal.
 - Alleviates some of the stress for your Officer as they know the proposal does not have a deadline.
- OCGA will start working on the agreement for the proposal as soon as possible after receipt.



Award Closeout

Jeff Warner, Principal Contract and Grant Manager

Slides based on RATP Closeout presentation from Wella Garcia

Award Closeout

Role	Closeout Responsibility
PI	<ul style="list-style-type: none">• Compliance and reconciliation• All deliverables have been met• Prepares and submits reports
RA	<ul style="list-style-type: none">• Compliance and reconciliation• Assists PI with reports• Financial closeout with OPAFS• Index deactivation
OPAFS	<ul style="list-style-type: none">• Compliance and reconciliation• Ensures cash is received properly• Prepares final reports and invoices• Verifies fund balances• Inactivates 'master' index• Final deallocation• Inactivates fund
OCGA	<ul style="list-style-type: none">• Final Patent and Property Reports



Award Closeout

Once an award ends, there are many components to closeout

- Financial-FUND inactive
- Technical-scientific work completed and reports submitted
- Patent and/or equipment certification
- An award isn't closed until components all are completed
- UC San Diego Award Records Retention: 6 years



Award Closeout

- UC San Diego must submit all required final financial, performance, and other reports as required by the award. The award notice specifies the closeout report requirements, including where they should be submitted.
- The following are reports that may be requested for federal awards:
 - Final Financial Report
 - Final Technical Report
 - Final Patent & Property Reports
- For inquiries to OCGA regarding closeout documents, contact us awardcloseout@ucsd.edu.



NIH direct cost cap. When are you required to obtain prior approval?

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NIH direct cost cap

- Request for Application (RFA):
 - Identifies a more narrowly defined area for which one or more NIH institutes have set aside funds for awarding grants
 - Usually has a single receipt date
 - Usually reviewed by a Scientific Review Group convened by the issuing awarding component
- Program Announcement (PA):
 - Identifies areas of increased priority and/or emphasis for a particular area of science
 - Usually accepted on standard receipt dates on an on-going basis (i.e., deadlines that cycle throughout the year)
 - Remains active for three years from date of release

NIH direct cost cap

- The NIH supports research projects with large budgets but needs to consider such awards as early as possible in the budget and program planning process.
- Regardless of the merit of the application or the budget justification, unanticipated requests for unusually high amounts of direct costs are difficult for NIH to manage.
- It is in the best interest of all parties if applicants anticipating large direct costs to contact the appropriate NIH program staff as early as possible to ensure that an Institute/Center would be willing to accept the application.



NIH direct cost cap

- NIH policy, [NOT-OD-02-004](#), requires applicants to seek agreement from Institute/Center staff at least 6 weeks prior to the anticipated submission of any PA application requesting \$500,000 or more in direct costs for any year.
- If staff is contacted less than 6 weeks before submission, there may be insufficient time to make a determination about assignment prior to the intended submission date.
- If the requested dollars are significantly greater than \$500,000, then approval should be sought even earlier.
- This policy does not apply to applications submitted in response to RFAs or in response to other Announcements that include specific budgetary limits. However, such applications must be responsive to any budgetary limits specified, or they will be returned to applicants without review.

NIH direct cost cap

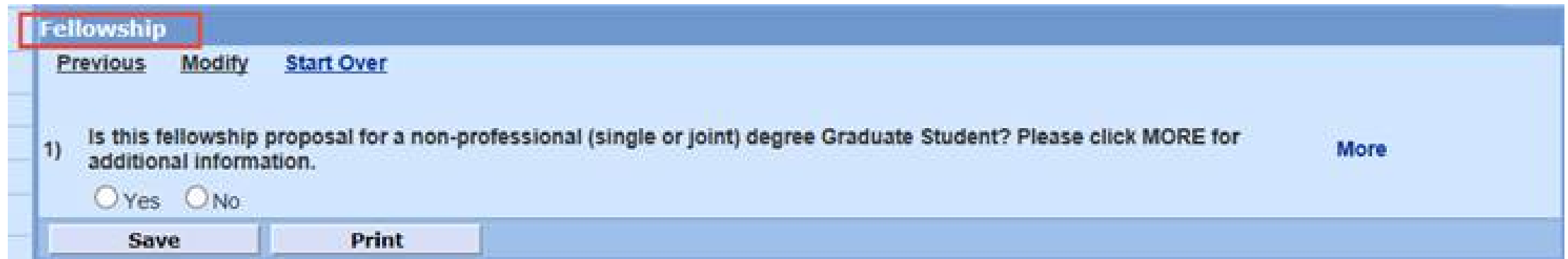
- If the NIH PO or grant staff determine that they wish to receive a request for prior approval through an electronic process, they will initiate an invitation to the Principal Investigator which will open up a request in the Prior Approval module in the eRA Commons (see [NOT-OD-17-005](#)).
- The Principal Investigator will receive an email notifying them of the invitation. The Principal Investigator will complete the form and submit it back to the initiating PO for review.
- Please be sure to notify your Contract and Grant Officer if the request is approved so they are informed prior to reviewing the proposal.

RA Training Program – Fall Sessions

- Level 1 (4 full day) – Almost Full
 - *Tuesdays 9am-4pm – October 2, 9, 16, and 23*
- Level 2(4 full day) - FULL
 - *Wednesdays 9am-4pm – October 3, 10, 17, and 24*
- NEW Level 2(4 full day) – Opens soon
 - *Thursdays 9am-4pm – October 4, 11, 18, and 25*
- <https://blink.ucsd.edu/sponsor/ra-training/offerings/certificate-programs.html>

Fellowships – New questionnaire

- Starting Thursday, August 30, 2018



The screenshot shows a web-based questionnaire interface. At the top, there is a blue header bar with the word "Fellowship" in white text, which is highlighted by a red rectangular box. Below the header, there are three navigation links: "Previous", "Modify", and "Start Over". The main content area contains a question labeled "1)" with the text: "Is this fellowship proposal for a non-professional (single or joint) degree Graduate Student? Please click MORE for additional information." To the right of the question is a blue link labeled "More". Below the question are two radio button options: "Yes" and "No". At the bottom of the form, there are two buttons: "Save" and "Print".

- A joint degree is not a dual degree; a dual degree will result in two degrees and a joint degree is a collaboration between institutions that results in a single degree at each institution
 - An example of a non-professional single degree is a MA, Ph.D., etc.
 - An example of a non-professional joint degree is a Ph.D and MPH

Fellowships – Central Offices

- **OCGA:** General Campus and Health Sciences (non-NIH)
- **HS SPPO:** Health Sciences NIH and AHRQ, including subaward fellowships
- **SIO OCGA:** SIO departments
- **Graduate Division:** single degree and joint degree non-professional Graduate Student fellowships, all divisions/departments

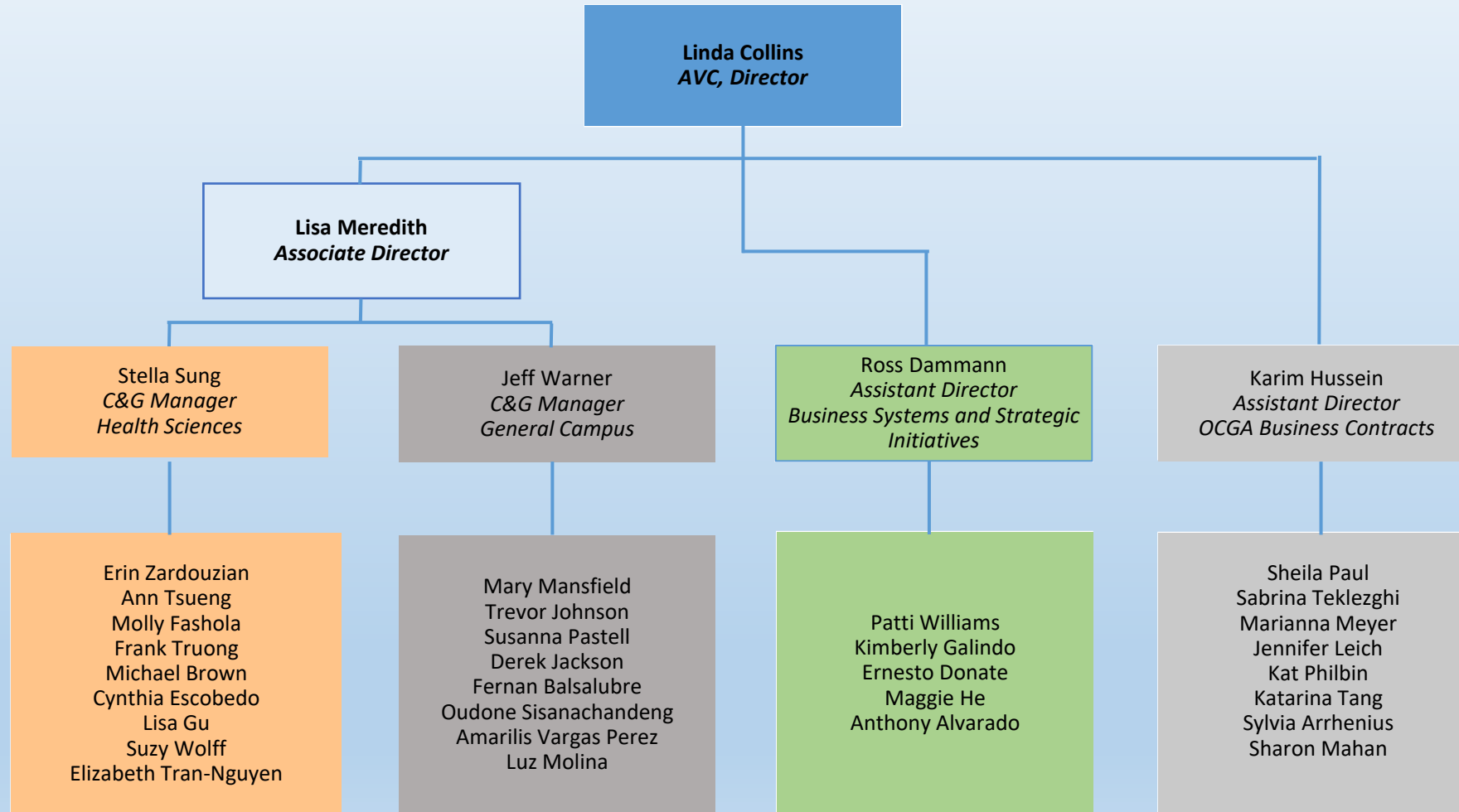
Where should I go for this agreement?

OCGA Teams and Assignments

August 2018

Presenters: Ann Tsueng, Sabrina Teklezghi

OCGA Org Chart (July 2018)





OCGA has four major teams

- Health Sciences Contracts and Grants / MTA team – proposed and funded research for Health Sciences departments, and MTAs
- General Campus Contracts and Grants – proposed and funded research for General Campus departments
- Business Systems & Strategic Initiatives – OCGA operations, business systems, award set-up / processing
- OCGA Business Contracts – outgoing subawards and MCAs, incoming service agreements for General Campus departments, unfunded agreements, ADCS contracting



So you've got an agreement...

- Who are the parties in the agreement?
- What does the title of the agreement say?
- What is the purpose of the agreement?
- Is there money involved?
- If yes, in what direction is the money going?



Purpose: UCSD receiving money for research

- Is the purpose of the proposal or agreement for UCSD to receive money for research, training, a fellowship, or other sponsored activities?
- If yes, [create an ePD record](#) to route to correct central office -> [OCGA team](#) -> [OCGA service line](#).
- [Gifts](#): contact Advancement Services' Corinne Cramer (ccramer@ucsd.edu) for individual gifts. Contact Foundation Relations at ocfr@ucsd.edu for institutional gifts.



Purpose: UCSD receiving money for a service

- Is the purpose of the agreement to hire UCSD to perform a service?
- If yes, this is known as an [incoming service agreement](#).
- If you are from a Health Sciences department, [contact the Health Sciences Office of Business Contracting](#).
- If you are from a General Campus department, [fill out the OCGA Incoming Service Agreement Request eform](#). An OCGA Business Contracts officer will be assigned.



Purpose: Exchanging materials

- Is the purpose of the agreement for the PI to either receive or send materials? If yes, this is a Material Transfer Agreement.
- [Create a new eMTA request](#)
- The OCGA MTA Helpdesk will triage the eMTA request to the correct office (OCGA or OIC)
- MTAs to receive materials or to send outgoing human materials are handled by OCGA HS/MTA team (assigned by complexity).
- Outgoing UCSD-developed or UCSD-modified materials are handled by the Office of Innovation and Commercialization (OIC)



Purpose: UCSD paying someone else money

- Is the purpose of the agreement to pay the other party for conducting research on a UCSD research project?
- Is the other party in question a fellow UC sister campus?
- If yes to both, this is an outgoing multi-campus agreement.
- [Fill out the OCGA Business Contracts Outgoing multi-campus award request eform](#). An OCGA Business Contracts officer will be assigned.
- Remember, this is to pay another UC campus for conducting research on a UCSD project. If to receive money from a UC campus for research, [create an ePD record](#).



Purpose: UCSD paying someone else money

- Is the purpose of the agreement to pay the other party for conducting research on a UCSD research project? (And the other party is not UC)
- If yes, this is known as an outgoing subaward
- [Create a Subaward iRequest via Marketplace.](#)
- After you submit the Subaward iRequest, an OCGA Business Contracts officer will be assigned.
- Remember, this is for paying another institution (non-UC) for conducting research on a UCSD research project. If to receive money from a subaward, [create an ePD record.](#)



Purpose: UCSD paying someone else money

- If you are trying to pay another institution for performing a service, this is known as a procurement contract.
- Handled by Office of Integrated Procure to Pay Solutions (IPPS) Strategic Procurement team, not by OCGA
- List of commodities by Procurement team
- Marketplace Purchase Orders



Agreement does not have money or materials

- What is the purpose of the agreement?
- Unfunded agreements handled by OCGA Business Contracts: non-disclosure / confidential disclosure agreements, data use agreements, software license agreements, equipment loan agreements, memorandum of understanding/letter agreements, teaming agreements, unfunded collaboration agreements.
- [Fill out the OCGA unfunded agreement eform.](#) An OCGA Business Contracts officer will be assigned.



Where should I go for this agreement?

- OCGA sponsored research service lines are only for research or other sponsored activities where UCSD is receiving money
- Fill out the correct online form to kick off the review process
- Sending the agreement to the wrong team without the necessary form may cause a delay
- For grey areas contact the OCGA team most likely to be experienced with *what the agreement is trying to accomplish.*
 - E.g. unfunded collaboration agreements with an exchange of materials

OCGA contact information

- OCGA Website: <http://blink.ucsd.edu/sponsor/ocga/index.html>
- Now updated to clarify sponsored research activities (proposals and awards) and ancillary research agreements
- OCGA general office email: ocgainfo@ucsd.edu, x43330
- OCGA proposed or funded sponsored research or other activities: <https://blink.ucsd.edu/sponsor/ocga/staff-assignments.html>
- OCGA MTA Helpdesk: MTAHelpDesk@ucsd.edu
- OCGA Incoming Service Agreements: UCSD-Provided-Svcs@ucsd.edu
- OCGA Outgoing Multi Campus Awards (UC only): multicampusawards@ucsd.edu
- OCGA Outgoing Subawards (non-UC): subawards@ucsd.edu
- OCGA Unfunded Agreements: ocgacontractsupport@ucsd.edu