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ACKNOWLEDGEMENTS

I would like to acknowledge the hard work of the many members of the Office of the Vice Chancellor for Research team. I would also like to draw attention to the many people who worked diligently to produce this Annual Report.

CONTRIBUTORS

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Editor: Amy Hawkins

Guest Editors:

Michelle Popowitz
Marcia Smith
Andrea Cabrera
I. ROLE OF THE RESEARCH UNIVERSITY IN SOCIETY

Society looks to America’s research universities to prepare young women and men to live constructive and productive lives in a highly competitive global society. In addition, society looks to us to solve the world’s Grand Challenges—problems related to health, poverty, the environment, social and environmental inequities, unemployment—problems that cannot be fully solved in the legislatures, industry nor in the courts. Since we receive public support, we are especially accountable to the public and must always function in its interest. We have the responsibility to serve all members of society and to provide diverse educational experiences. Consequently, we must ensure that our actions and decisions will maintain the trust and confidence of the public. We must also shield ourselves from external interventions that challenge our core values, namely, those of curiosity-driven scholarship and research, and academic freedom.

Preeminent research universities that wish to remain preeminent will need to understand, adapt, and function effectively—indeed thrive—in multiple highly competitive arenas in ever-changing global, academic, and commercial ecosystems. All of this is happening at a time when we have a critical mass of human capital and research tools with an almost unlimited capacity to address society’s pressing issues. But it is important that the public continue to view universities as social institutions critical to a democracy, not as an industry responding to and populating the marketplace. In the eras of Jefferson and Churchill, universities prepared the citizens of democracies with a liberal education steeped in classical literature and philosophy. Then, as now, the arts and humanities have been at the core of a great university; they continually invigorate faculty and students and positively reinforce the quality of education. There will be grave consequences if great research universities continue to undervalue the arts, social sciences and the humanities; here is where ideas and values are critically debated, language and writing skills honed, and given dogma repeatedly challenged.

Our current economic climate, with significant reductions in endowment, erosion of federal grant support and reduced state funding for public universities, has placed significant pressures on faculty, staff, and especially our students. This requires us to create Entrepreneurial Ecosystems in which we continually evaluate everything we do and undertake change to meet needs and expectations. A better way of achieving an advantage is through innovation, driven by good people with great ideas, often going in a new direction. We need to be able to respond vigorously to opportunities, live with risk and uncertainty, and function effectively and transparently in a culture that supports creativity, innovation and excellence. We need to be prepared to shift resources from areas of lower to areas of higher scholarship and impact.

As the faculty, staff, and administrators of a great public university, we have the responsibility to explain to society how we are meeting their expectations and why we should continue to enjoy their trust and support. This report has been generated to describe and account for the activities of the Office of the Vice Chancellor for Research (OVCR) over the 2012-2013 Fiscal Year (FY13).
II. STRUCTURE AND ACCOMPLISHMENTS OF THE OFFICE OF THE VICE CHANCELLOR FOR RESEARCH

The UCLA Office of the Vice Chancellor for Research is a complex organization that functions in support of research activity on this campus.

A. Organizational Structure of the Office of the Vice Chancellor for Research

The general organization structure is shown below.

![Organizational Structure Diagram]

B. Organization of the Annual Report

The 2012–13 Annual Report is organized in the following thematic sections:

**UCLA GRAND CHALLENGES**

UCLA Grand Challenges is the newest initiative. Much of FY13 was spent in building the foundation for this new campus-wide program.
RESEARCH SAFETY, COMPLIANCE, & OVERSIGHT

Ensuring a safe research environment is not only the highest priority of the UCLA Chancellor, it is a core value of our campus. Policies and procedures are designed to ensure and enable investigators to comply with evidence-based safety standards. All compliance and safety committees are chaired by a faculty member and populated by faculty, staff and, in some cases, community members.

RESEARCH DEVELOPMENT AND SUPPORT

The vast majority of support mechanisms for scholarship and research exists at the level of the schools, divisions and departments. The OVCR directs much of its support mechanisms for the general campus. This work is performed by staff from the VCR Administration, Strategic Research Initiatives group and the VCR Cabinet.

ENTREPRENEURSHIP, TECHNOLOGY TRANSFER, AND INDUSTRY SPONSORED RESEARCH

UCLA has a research portfolio totaling nearly $900 million in FY2013, and an impressive record of intellectual property filings and startup companies. New models of entrepreneurship continue to be introduced or enhanced which should accelerate delivery of discoveries and innovation to society.

RESEARCH ADMINISTRATION OPERATIONS AND SERVICES

One of the more complex administrative organizations on campus, ORA engages in thousands of synaptic interactions with faculty, students, staff, research sponsors and regulatory agencies. ORA is continually making iterative improvements in service, achieving operational efficiencies and decreasing compliance risk.

C. Accomplishments

The following accomplishments are described in greater detail in this Annual Report:

1. Initiation of the UCLA Grand Challenges Program. Ongoing work to develop the 1st two Grand Challenge Projects which will be revealed in FY14.
2. Refinement of laboratory safety committees and transfer of administration to ORA.
3. Successful implementation of new processes required under Objectivity in Research (Conflict of Interest) regulations including launch of new electronic disclosure system.
4. Development of modular research integrity curriculum for general campus use.
5. Through Research Informatics Strategic Planning Process, identification of 10 themes or focus areas for future investment.
7. Second request for applications for Shared Resources Consortium with 21 shared resources receiving a total of approximately $1.5 million per annum in funding.
8. Successful implementation by the Clinical Translational Science Institute (CTSI) of a number of transformative initiatives in addition to the seeding and support of new research and scholarship.
9. Expansion of membership of funding opportunity newsletters service and limited submission opportunities.
10. Commencement of targeted match service to route potentially relevant funding opportunities to specific faculty, with more than 2,000 emails sent out.
11. Regental approval to create a Board of Directors to oversee technology transfer and industry sponsored research and local approval to create a Chancellor Oversight Committee as part of the new governance structure.
12. Continued interest and growth in campus entrepreneurship activities including the launch of industry networking events, new courses and business advisory boards.
13. Formation of Business Development and New Ventures Team and Operations Team for OIP-ISR.
15. Productive year for campus with 406 invention disclosures, 301 provisional patent filings, 94 issued patents, 17 startups with UCLA technology, 1,216 agreements related to industry sponsored research with more than $23M in royalty income and $39M in industry sponsored research.
16. Ongoing enhancements to PI Portal including automated “Other Support” and “Research Support” reports for NIH and NSF grant applications.
17. Full implementation of ORA’s Proposal and Award Tracking System (PATS) enabling:
   - Workflow tracking and metrics in OCGA and full electronic record capabilities;
   - Integrated contracts and grants data for OCGA, CTAO, and ISR;
   - RPC access to data supporting PHS FCOI review requirements;
   - New Proposal Search and Award Status Search capabilities in PI Portal and ORA Portal for campus users;
   - New management data reporting capabilities, such as awards-in-process data and committed future funding.
18. Continued development of ORA’s Post Award Management System (PAMS) and training programs in preparation for Pilot Deployment in January 2014 to provide accurate fund management support across campus; dramatically streamline financial management processes; eliminate shadow systems; and standardize practices for EFM and campus fund managers.
19. New efficiencies in protocol review processes in OHRPP and OARO:
   - 3-year extended approval period in OHRPP for projects that involve no more than minimal risk to participants (as defined by 45 CFR 46.102) and are not subject to federal oversight.
   - IRB reviews for UCLA CTSI partners, reviewing protocols on behalf of collaborating CTSI partners, and relying on partner IRB reviews for protocols.
   - Elimination of non-required ARC annual reviews for projects that do not utilize USDA-regulated species and elimination of pre-review requirement for protocol amendments to improve turn-around times for these submissions.
III. OVERVIEW OF UCLA RESEARCH FUNDING SUPPORT

As was the experience of many other universities, the funding received for contracts and grants in FY13 was lower than recent years, but totaled $893.6 million. Among the factors that may have contributed to the decline include the ending of the American Recovery and Reinvestment Act (ARRA) funding, Federal budget sequestration and related uncertainty.

A. Awards by Source

As described in greater detail in this Section of the Annual Report, while Federal dollars declined, every other funding source increased. Below is a chart showing the percentage share of the major funding sources in FY13 and comparisons to FY12.

The percentage of funding received by specific sponsor type during FY13 was as follows:

- Federal awards accounted for 60.3% of all research awards;
- State and other government agencies funding accounted for 11.5% of the total amount;
- Awards from non-profits and foundations (including higher education, interest groups, and funding arrangements from other UC campuses ) accounted for 9.4% of awards; and
- Industry sponsored awards accounted for 8.8% of the total funding.

The gross funds awarded from State and other governmental agencies increased almost 22% over FY12, and the gross funds awarded from non-profits and foundations increased by nearly 26%.
In 2011 (the most recent ranking available at the time of publication), the Center for Measuring University Performance placed UCLA among the nation’s top public and private research universities. This ranking was based on: (1) the number of competitively awarded research grants and contracts; (2) faculty membership in the National Academies; (3) faculty awards; (4) the number of doctorates awarded; and (5) other factors relating to research. In particular, UCLA was ranked in the top 25 among all research universities in seven measures, including 5th in the nation in total research expenditures; 7th in the nation in faculty awards; and 7th in the nation in producing doctorates.

Provided below is a more detailed description of the sources of funds and the distribution of those funds in FY13.

**Funding Amounts by Federal Source**

UCLA received funding for 2,219 individual awards from federal sources in FY13, representing $539 million in research support. Of these awards from federal sources, approximately 67% or $363 million was received from the National Institutes of Health (NIH). The National Science Foundation was the second largest source of federal funds, providing $61 million in funding. The National Aeronautics & Space Administration (NASA) provided the third largest source of federal funds to UCLA, with $13.6 million in funding.

In 2013, UCLA was ranked 11th among all institutions in the amount of funding received from the NIH. At the time of publication, the National Science Foundation (NSF) rankings were unavailable due to the federal government shutdown.

**Funding Amounts by Other Government Agencies**

UCLA received $103 million in non-federal, government funding, which represented an $18 million increase over the previous year. Of these awards, the County of Los Angeles provided the largest amount ($28 million) with 11 individual awards. The second largest amount was received from the California Institute for Regenerative Medicine (CIRM) ($21.4 million) with 47 individual awards. The third largest amount ($17.7 million) was provided by Los Angeles County Children & Family Trust (also known as First 5 LA), in the form of 9 individual awards.

**Non-Profit and Foundation Awards**

As mentioned above, this category of awards includes non-profits, foundations, higher education institutions, interest groups and UC institutions. During FY13, UCLA received $141 million in research support from nonprofit and foundation awards. Higher education institutions and UC campuses provided $69 million in funding during FY13. The three foundations that provided the most funding support to UCLA during FY13 were: The Andrew W. Mellon Foundation, the W.M. Keck Foundation and the Robert Wood Johnson Foundation. These three foundations provided in excess of a total of $8 million for 19 awards.

**Industry Sponsored - Corporate Awards**

The category of industry sponsored or corporate awards refers to and includes funds from business and for-profit entities. In FY13, UCLA secured 804 awards in contracts and grants from corporate sponsors, for a total of $79 million. The three companies that provided the most funding support to UCLA during FY13 were: Merck & Co, Inc.; Genentech, Inc.; and Amgen. Collectively, the companies funded 42 awards.
B. Distribution of Funding

For a view of how the funds received in FY13 were distributed across the campus, please see the pie chart below.¹

While funding for the north campus disciplines declined during FY13, as it did for much of the campus, there were several North Campus departments that had notable increases in the four to eight-fold range including Art History, Classics and Near Eastern Languages and Cultures.

In recognition of and appreciation for the integral role that arts, humanities and social sciences have in a great university, the OVCR continues to focus efforts on facilitating and accelerating research and scholarship in these disciplines.

¹ To view more detailed reports of the performance of the campus during FY13, please refer to the most recent ORA Annual Report posted on the ORA Online Resource Center at http://portal.research.ucla.edu/.
IV. UCLA GRAND CHALLENGES

INTRODUCTION

In April 2012, Michelle Popowitz and Jill Sweitzer of the Vice Chancellor for Research administrative team began exploring ways to enhance the UCLA research profile, exponentially increase collaboration, and attract more funding for research to the campus. They became committed to the concept of having teams of faculty identify specific Grand Challenge Projects and map the routes to solving them. They began with pilot programs focused on the topics of brain and environment and sustainability. Faculty from these areas met extensively in the first half of FY13. During that time, the UCLA Grand Challenges initiative took shape.

OVERVIEW OF UCLA GRAND CHALLENGES

UCLA Grand Challenges is an initiative under which we will set ambitious goals, provide a supportive infrastructure, help transform the way we teach our students, and engage the campus and the public in our efforts to meet these goals.

In essence there are four components, all of which require investment and focus:

- Six Grand Challenge Projects,
- The Research Escalator,
- Education Immersion,
- Engagement.

Six Grand Challenge Projects

At the center of the initiative are the Six Grand Challenge Projects, which is how the public will understand and interact with the initiative. The first Grand Challenge Project, which relates to the Environment & Sustainability, is scheduled to be announced on November 15, 2013. [See www.grandchallenges.ucla.edu for more information.] The second Grand Challenge Project relates to the brain, and it is anticipated to be announced in 2014. The next four Grand Challenge Projects will be identified and defined by a process still under development; it is expected to commence with a Call for Concepts.

Research Escalator

To remain competitive, facilitate navigation, strengthen proposals, foster creativity, encourage team scholarship, and inspire bigger thinking, we propose to invest in new programming that we are calling the Research Escalator. More than 40 programs and events are on the list for FY14. All of these activities will be open to the campus and serve as building blocks for future ambitious multi-disciplinary projects, transformative discovery and entrepreneurship.

---

2 These broad topics were selected by the Office of the Vice Chancellor for Research in light of campus expertise and external landscape factors.
Student Immersion
The third component of the initiative is Student Immersion. As information becomes more abundant and the cost of a formal education increases, we should expect to be increasingly questioned about the value of what we deliver. UCLA Grand Challenges provides a mechanism to help transform the education process for our students—we can give our students real-life, relevant experiences. They will be invited to participate in all our Grand Challenge Projects—doing the research, helping with the marketing, learning what’s involved with a project of this scope and storytelling. They will also have the opportunity to take on their own projects. With practical courses, research experiences, field work, internships, fellowships, and campus-organized extra-curricular activities, UCLA Grand Challenges will give students an opportunity to be involved in finding solutions to real world problems from their first days at UCLA.

Public Outreach and Engagement
The fourth and final component of the initiative is Outreach and Engagement of the public. We will use traditional and new media to tell our story. There should be many stories about our projects to encourage an ongoing flow of communication out of the campus but we also will give the public a way to stay in touch with the projects. They will follow our progress as subscribed fans, help us gather data as citizen-scientists, set our direction in topics that we put up for public vote, and attend public events. It is our intention to inspire a new scale of loyalty. The public will come away with a clear understanding how UCLA is changing society and improving their lives.

FUTURE PLANS
What has become evident as this initiative develops is that the concept of UCLA solving Grand Challenges is one that resonates with many inside and outside of the university. It has also become clear that while the faculty members will be the agents of change and innovation, their teams will need a great deal of support to help them realize their aspirations. The Grand Challenge Projects require a nimble and capable team staffed with facilitators, fundraisers, marketing personnel, accountants, communicators, social media experts, and web developers. It is anticipated that Michelle Popowitz, Jill Sweitzer, and their newest team member, Amy Hawkins, will continue to be involved with the strategic direction of the initiative, internal consultants to the teams, and champions for the initiative. However, they will be unable to run this program on their own. The projects will need an administrative and communication core. Establishing this core and determining the extent to which it may be scaled for more projects will be a significant focus during FY14.

The team has accomplished a great deal in the past year; they have inspired faculty teams to think bigger working across disciplines, and there is great promise for the future. We look forward to working with the UCLA community to make the vision for UCLA Grand Challenges a reality.
V. RESEARCH SAFETY, COMPLIANCE, & OVERSIGHT

A. Introduction to Research Safety, Compliance, & Oversight

The Vice Chancellor for Research serves as the Institutional Official for a number of research safety, policy and compliance issues. To fulfill these obligations, there are many faculty-driven committees and initiatives to address research safety, policy and compliance issues. This section of the Annual Report provides an overview, list of key personnel, summary of accomplishments and challenges, and future plans for the following areas:

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<th>Area</th>
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| Laboratory Safety                         | OVCR Lead: Associate Vice Chancellor Nancy Wayne  
                                             | OVCR Safety Oversight Committee:  
                                             | - Chair: TBD  
                                             | UC Center for Laboratory Safety:  
                                             | - Executive Director: James Gibson  
                                             | - Chair of Advisory Board: Nancy Wayne  
                                             | Occupational Health & Safety Coordinating Council  
                                             | - Chair: Nancy Wayne  
                                             | LabBook IT Development Team:  
                                             | - Buddy Dennis, Maryam Ariannajad & Huang Khy |
| Chemical & Physical Safety Committee      | Chair: Kenneth Bradley  
                                             | Staff Support: Office of Research Administration |
| (CPSC)3                                   | OVCR Lead: William McBride  
                                             | ORA Office of Radiation Safety Committees (ORSC)  
                                             | Staff Support  
                                             | - FY13: Sharon Friend, ORA-OHRPP  
                                             | - FY14: Alison Orkin, ORA-OHRPP  
                                             | Radiation Safety Committee (RSC)  
                                             | - Chair: Christian Schiepers  
                                             | Academic Radiation Safety Committee (ARSC)  
                                             | - Chair: Magnus Dahlbom  
                                             | Clinical Operations Radiation Safety Committee (CORSO)  
                                             | - Chair: Barbara M. Kadell |

3 This committee was previously referred to as the “Laboratory Safety Committee.”
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### Area

#### Key Roles or Personnel Representing OVCR or Serving as Chair in FY13

- **Medical Institutional Review Board 3 (MIRB3):**
  - Chair: James McGough
  - Vice Chair: Andrew Russell
- **North General Campus Institutional Review Board (NGIRB):**
  - Chair: Todd Franke
  - Vice Chair: Frederick Frankel
- **South Campus General Institutional Review Board (SGIRB):**
  - Chair: Alison A. Moore
  - Vice Chairs: Thomas Coates & Wendie Robbins

#### Conflict of Interest Review Committee (CIRC)

- **Conflict of Interest Review Committee (CIRC):**
  - Chair: Michael Roth
  - Staff Support: Assistant Vice Chancellor Ann Pollack (Research Policy & Compliance Office)

#### Responsible Conduct of Research

- **Responsible Conduct of Research (RCR)**
  - Shira Shafir

#### Native American Graves Protection and Repatriation Act (NAGPRA) Unit

- **UCLA NAGPRA Advisory Committee**
  - Chair: Angela Riley
- **UC NAGPRA Advisor Group**
  - UCLA Representative: Angela Riley
- **Fowler Museum NAGPRA Designee & Curator of Archeology**
  - Wendy Teeter

#### Research Policy and Compliance

- **Research Policy & Compliance (RPC) Office**
  - Assistant Vice Chancellor Ann Pollack
  - RPC Coordinator: Claudia Modlin

### B. Laboratory Safety

**OVERVIEW & KEY PERSONNEL**

One of the areas in which the Research Vice Chancellor serves as an Institutional Official is in laboratory safety. In recognition of the importance of this responsibility, a new position of Associate Vice Chancellor for Research with laboratory safety oversight was created in 2010 with Professor Nancy Wayne appointed to serve in this capacity. Her primary function is to be a faculty liaison with the offices responsible for interpreting and enforcing applicable laboratory safety regulations.

The responsibility for management of safety programs for staff, faculty, patients, and visitors at UCLA lies with three primary responsible entities: 1) the Vice Chancellor for Research, who holds delegated authority for executive management of safety programs, 2) the Safety Officers
within the office of Environment, Health & Safety along with the Campus Veterinarian, and 3) the Faculty Safety Committees.

These entities function as a team whose success is dependent on the contributions of each element. The regulatory constraints vary with each potential hazard, but the general “management triangle” concept applies generally across safety programs. In general terms, the VCR has ultimate responsibility for the effectiveness of the safety programs, the Safety Officers and Campus Vet provide technical expertise and most of the day-to-day program management, while the Safety Committees represent executive management in the formulation of policy and protocol review.

Other individuals and committees are critical contributors to safety having no regulatory or executive management responsibilities. Examples are PIs and other authorized individuals who interact primarily with Safety Officers, and on a daily basis are responsible for the safe use of materials and machines and for maintaining safe local working environments, or individuals and specialized committees that facilitate the implementation of safety policies.

Safety Officers and Safety Committee chairs shall have access to and a direct line of communication with the VCR who will clearly define their authority within the programs and in emergency situations and support their direct action. Additional reporting requirements exist, for example for Safety Officers who have direct line reporting to the Director of EH&S, who may assign support personnel and allocate resources to each area and who will help coordinate emergency responses.

In recent months, the campus laboratory safety has undergone further refinement. Among the modifications to the structure have been the formalization of certain principles:

- One Safety Officer for each area (Radiation, Chemical/Physical, Biosafety) with the Campus Veterinarian performing this role for the Animal Research Committee.
- Faculty Safety Committees for each area
- An OVCR Safety Oversight Committee staffed with the Chairs of the Safety Committees, the Director of EH&S (as a single representative for the Safety Officers) the Campus Vet, and the delegate of the VCR.

The updated structure is depicted in the organizational chart above.
ACTIVITIES

There are a number of activities that occurred during the year, some of which represent ongoing responsibilities and others that represented special projects.

Refinement of Committee Structure
As mentioned in the Overview Section above, during the year and moving beyond the Fiscal Year, the faculty committee structure was reexamined and refined. Some of the resulting modifications, in various stages of implementation, include the following:

- Renaming and re-purposing the committee previously referred to as the “Laboratory Safety Committee” to Chemical and Physical Safety Committee (CPSC).
- Establishment of a new OVCR Safety Oversight Committee to serve as a super-committee with membership of Chairs of various safety committees. The purpose of this super-committee is to review and adjudicate broad policy issues and to facilitate coordination between the different safety areas.
- Change in the office providing administrative support for the Institutional Biosafety Committee and an examination of the scope and operation of the committee’s review processes.

Continued Collaboration with Environmental Health & Safety (EH&S)
The OVCR continues to collaborate with EH&S. Associate VCR Wayne serves as a liaison with EH&S Director James Gibson on issues of lab safety involving the UCLA research community.

UC Center for Laboratory Safety
UCLA continues to have an active role in the UC Center for Laboratory Safety. Associate VCR Wayne provides collaborative leadership for the UC Center for Laboratory Safety which was established in FY11. The Center’s mission is to: (a) support and conduct research in laboratory safety practices; (b) use that information and current understanding to develop best practices; and (c) document and analyze outcomes in order to optimize lab safety practices. For more information about the UC Center for Laboratory Safety, please refer to its website at http://cls.ucla.edu/.

LabBook
Work continues on the development of LabBook, a central lab researcher database. The purpose of this database is to centralize the tracking of the varied and expanding training requirements for PIs and lab personnel, which are currently distributed across multiple websites and UC/campus units. LabBook provides ‘one-stop shopping’ for all required and recommended training courses for PIs, lab supervisors, research staff, and trainees. After months of beta testing, it was rolled out to the David Geffen School of Medicine and Physical Sciences Division. LabBook may be accessed at http://www.labbook.ucla.edu. We hope to add enhancements that allow for an easier “electronic handshake” between the various systems that house training data.

Occupational Health & Safety Coordinating Council
The OVCR has involvement with the Occupational Health & Safety Coordinating Council. The purpose of this council is to improve coordination between the different units on campus that deal with issues associated with human health & safety of researchers and staff working with animals (DLAM, OARO, EH&S, Occupational Health Facility, OVCR). This Council meets quarterly.
UCLA Biosafety Professional Training Program

The Office continues to have a role with the development of the new Biosafety Professional Training Program, which was created in recognition of the national shortage of biosafety specialists and officers for research programs involving biological hazards. The program will provide courses and internship training (2-year program), preparing students in the areas of microbiology and immunology with sufficient experience to gain employment as a beginning biosafety officer. The program is being administered through the Department of Environmental Health Sciences in the Fielding School of Public Health (FSPH). Visit the website for more information: http://biosafetytraining.cls.ucla.edu/.

UCOP Lab Safety Working Groups

Associate VCR Wayne participated in the UC System-wide Office of EH&S meetings to help develop lab safety policies for all ten campuses. The challenge is to develop policies that are reasonably consistent for the ten campuses, while addressing the highly varied needs and circumstances from researchers in diverse fields.

FUTURE PLANS

The focus for the next year is to continue the current programs and initiate several new ones:

- Expand the reach of the UC Center for Laboratory Safety.
  - Increase the number of funded CLS seed-grant research projects
  - Develop extramural grant applications to support lab safety research.
  - Plan a second Lab Safety Workshop for Spring 2014.
- Continue to strengthen the campus biosafety program
- Continue to refine the faculty committee structures to meet campus research needs.

C. Chemical and Physical Safety

OVERVIEW & KEY PERSONNEL

As mentioned above in the Overview Section for Laboratory Safety, at the end of FY13, the former Laboratory Safety Committee was reorganized and renamed as the Chemical and Physical Safety Committee (CPSC). This committee focuses on chemical and physical hazards involved with research in laboratories. The faculty chair of this committee, Kenneth Bradley, serves as a member on the OVCR Safety Oversight Committee. The committee will be supported by staff members from the Office of Research Administration. [For the Chemical and Physical Safety Committee Roster, see Appendix 5-C.]

ACTIVITIES

Since the committee was established at the end of the fiscal year, any reports of activities will be included in the FY14 Annual Report.
D. Radiation Safety

OVERVIEW & KEY PERSONNEL

In 2011, there were significant organizational changes to the approach to Radiation Safety on UCLA campus. At that time, an umbrella Radiation Safety Committee (RSC) was established with four integrated subcommittees each with a specific focus. [See org chart on next page]. These committees were supported administratively by ORA. The new structure has proven to be effective. In particular, the establishment of a brand new Clinical Operations Radiation Safety Subcommittee (CORSC) has allowed for a more tailored focus on safety and compliance for clinical operations. This committee, like all of the subcommittees, has worked closely with the Radiation Safety Officer (RSO) within EH&S to develop programs that support the safe use of ionizing radiation at UCLA.

The RSC is chaired by Christiaan Schiepers and supported by staff members in the Office of Research Administration. The four subcommittees are chaired by the faculty members listed below:

<table>
<thead>
<tr>
<th>Subcommittee</th>
<th>Faculty Chair</th>
</tr>
</thead>
<tbody>
<tr>
<td>Academic Radiation Safety Committee (ARSC)</td>
<td>Magnus Dahlbom</td>
</tr>
<tr>
<td>Clinical Operations Radiation Safety Committee (CORSC)</td>
<td>Barbara M. Kadell</td>
</tr>
<tr>
<td>Medical Radiation Safety Committee (MRSC)</td>
<td>Jorge Barrio</td>
</tr>
<tr>
<td>Radioactive Drug Research Committee (RDRC)</td>
<td>Jorge Barrio</td>
</tr>
</tbody>
</table>
ACTIVITIES

The new committee structure has resulted in greater faculty participation in shaping campus requirements and policies for radiation safety. Perhaps the greatest impact has been the development of more formalized connections with the medical center programs through the efforts of CORSC. Among those achievements are the following:

- Incorporation, by ORA, of the Medical Radiation Safety Committee/Radioactive Drug Research Committee (MRSC/RDRC) application into the webIRB electronic application intake system for ease of submission for researchers, improved data capture, and increased efficiency in administering applications.
- MRSC/RDRC review of nearly 300 human-use studies involving radiation;
- Publication of a new UCLA Administrative Policy 994: Office of Radiation Safety Committees, to define the roles and responsibilities of the RSC;
- Continued review by the Academic Radiation Safety Committee (ARSC) of Authorized User applications;
- ARSC detailed review and analysis of commissioned labs as well as violation policies.

FUTURE PLANS

RSC goals for FY14 include the following:

- Expansion of Machines Database - ORA plans to expand the current Radiation Machine Database to include more data that will facilitate regulatory compliance.
- Education – Increased availability of education materials that are tailored for the type of occupational exposures.
- Committee Member Education – The development of training materials, policies and guidelines specific to the RSC and each of the four sub-committees is planned.
- Web-based Information - Education and the provision of web-based information will continue to evolve through the joint efforts of the ORA-Office of Radiation Safety Committees (ORSC), the RSC, and the RSO. An effective system will be integrated with other safety programs at UCLA to provide effective training and relevant information for personnel potentially exposed to radiation sources, and to inform patients on possible negative aspects and positive advantages of clinical radiation procedures.

E. Institutional Biosafety

OVERVIEW

UCLA fulfills a commitment to the Federal Government by ensuring that biological research on the UCLA campus, and by UCLA faculty, is performed according to approved standards of safety and ethics. Review of biological research at UCLA is performed by an Institutional Biosafety Committee (IBC) that is appointed by the VCR. The focus of the review of the research relates primarily to the use of recombinant DNA, and biohazardous material comprised of human tissue and cell lines, infectious agents and biological toxins. These materials may be used in basic research, vaccine trials, gene therapy studies and, in some cases, in high containment facilities [See Section V-F for information about High Containment Facilities]. The nature of
the research to be performed determines the required level of review following guidelines from the National Institutes of Health (NIH) and the Centers for Disease Control and Prevention (CDC). Low-risk research may be initiated upon notification of the IBC; higher risk research requires approval from the IBC, and in certain cases from the NIH, before experiments may be initiated. There is a separate process for review of research in high containment facilities [See Section V-F]. Routine inspections of laboratories and laboratory practices are performed by the EH&S Biosafety Officer and assistants. The criteria assessed by the IBC during application review includes: inherent risks and safety of the biologicals and research procedures; adequate training; written standard operating procedures; laboratory infrastructure appropriate to the risk; and other appropriate institutional approvals. IBC approvals are issued for a three-year period with yearly checks for changes in protocols and staff.

**KEY PERSONNEL & COMMITTEE STRUCTURE**

The Chair for the IBC in FY13 was David Campbell and he has been succeeded by Jerome Zack. Professor Campbell will serve as Vice Chair in FY14 to help ensure a smooth transition. The IBC consists of 24 members including scientists, representatives of campus administrative units, community members, and Environmental Health & Safety staff members. To date, the membership slots have been allocated in accordance with the following methodology:

- The scientists account for eleven of the committee member slots, and they come from the Departments of Medicine (Digestive Diseases, Infectious Diseases, Internal and Occupational Medicine, Hematology & Oncology, Surgery), Microbiology Immunology & Molecular Genetics, Molecular Cell & Developmental Biology, Molecular & Medical Pharmacology, and Pathology & Lab Medicine. These members have expertise with protocols including gene therapy, infectious agents, plant manipulation, recombinant DNA, stem cells, and viral vectors. One of the 11 is a staff scientist.
- There are four representatives from campus administrative units. These representatives come from the Division of Laboratory Animal Medicine, Occupational Health and Safety, the Office of the Vice Chancellor for Research, and the Office of Research Administration. These members communicate with other campus regulatory committees and offices.
- There are three community members who are non-affiliated scientists from the Los Angeles area representing L.A. County Acute Communicable Diseases Control, LA County – Public Health Laboratory, and Beckman Coulter, Inc. These community members provide external input into the IBC review mechanism.
- Finally there are three EH&S members: the Director, the Biosafety Officer, and the Associate Biosafety Officer.
- The administration of the IBC is handled by Ms. Alyse DiStefano, a staff member from the Office of Research Administration (ORA).

It is anticipated that the appointment methodology will be refined in early FY14 in response to changes in the types of issues that will be reviewed by this committee. A current roster of the committee is contained in the Appendix [See Appendix 5-E]. The IBC convenes twice monthly to evaluate applications and discuss biological safety issues. This committee now is supported by the Office of Research Administration.
ACCOMPLISHMENTS

As referenced above, the operational support for the IBC was transferred from EH&S to ORA. This reorganization will enable the EH&S Biosafety staff members to concentrate their efforts on laboratory inspections, and will enable the ORA staff to apply standard processes, practices, and systems to streamline IBC administration. During the year, ORA undertook a process and systems analysis of the IBC review procedure to facilitate future streamlining of the review process.

Ongoing challenges include improving coordination between different units that oversee different aspects of research safety, and streamlining the IBC application process.

FUTURE PLANS

Future plans for streamlining the review process include: re-evaluation of the IBC composition; evaluation and delineation of the respective roles of the IBC and the Biosafety Office in the review of use of biohazardous agents; analysis of appointment term periods for the IBC members; and re-organization of the application reviews at the IBC meetings.

F. High Containment Facilities

OVERVIEW

The last decade has seen a surge in research on high-risk, Biosafety Level 3 (BSL-3) microorganisms, particularly the Select Agents that have the potential for use in bioterrorism. There are approximately 1400 BSL-3 laboratories in the United States. Rules and regulations surrounding high containment (BSL3 and BSL4) select agent facilities are both extensive and comprehensive and address a wide array of issues related to the physical space, engineering requirements, biosafety and biosecurity requirements, risk assessment, administrative, standard operation procedures and personal protective equipment requirements. These rules and regulations are established at the institutional, state and federal level and include but are not limited to: UCLA Laboratory Design Guide, Cal OSHA regulations, Biosafety in Microbiological and Biomedical Laboratories (BMBL) 5th edition, NIH Guidelines (BSL3 Certification Guidelines) and 42 CFR Part 72 and 73 (Select Agent Rules and Regulations). For the majority of the UCLA BSL3 (select agent) facilities on UCLA campus, the BMBL recommendations and 42 CFR Part 72 and 73 are followed.

“Select Agents” are those biological agents or biological toxins that have been declared by the U.S. Department of Health and Human Services or by the U.S. Department of Agriculture to have the “potential to pose a severe threat to public health and safety.” Consequences of a potential laboratory exposure to a Select Agent could be devastating not only for the individual(s) but also for the organization and beyond. Furthermore, institutional and personal fines associated with breaches in compliance with Federal Select Agent Program regulations can be substantial and can impact research funding. These events underscore the need for rigorous safety oversight of these laboratories.

Currently, there are three high containment facilities at UCLA; two that are operational and a third pending commissioning. All three are at Biosafety Level 3 (BSL3) and collectively, they occupy a total of more than 7,000 sq. ft. A number of pathogens are studied in these laboratories; all projects are federally funded.
KEY PERSONNEL

Early in 2012, a single Director for High Containment Facilities was appointed to coordinate BSL-3 research on campus. As Director of High Containment Facilities, Natasha Griffith oversees biosafety and biosecurity, the Select Agent program, medical and incident surveillance, and operations and maintenance of all campus BSL3 facilities. Each facility also has a Faculty Director who oversees all research activities. All research and support personnel with access to the high containment facilities receive training on an annual basis as required by current institutional (EHS), state (Cal OSHA) and government regulations (42 CFR 72 and 73). Training is delivered by an NIH-recognized biosafety consultant and the UCLA Director of High Containment Facilities. Furthermore, all personnel with access to Select Agents are cleared by the Department of Justice.

ACTIVITIES

Some of the highlights from this year include the following:

- Creation of UCLA High Containment Program to foster a uniform approach for BSL3 facilities.
- Creation of the UCLA Personnel Suitability Program (pre-access and ongoing) to satisfy CDC DSAT Tier 1 Select Agents regulatory requirements.
- Refinement of policies and procedures to ensure compliance with new CDC DSAT Tier 1 Select Agent regulations, which became effective April 2013.
- Continued work to obtain accreditation and the official opening of the Global BioLab in 2014.

G. Human Pluripotent Stem Cell Research Oversight (hPSCRO)

OVERVIEW

The UCLA Human Pluripotent Stem Cell Research Oversight (hPSCRO) committee ensures that UCLA human pluripotent stem cell (hPSC) research meets the highest scientific and ethical standards as well as compliance with California law. These goals are achieved in collaboration with UCLA administration, UCLA Institutional Review Boards (IRBs), other applicable campus compliance committees, and with the participation of the research community.

The UCLA hPSCRO committee, previously known as the Embryonic Stem Cell Research Oversight (ESCRO) committee, was formed in 2006 in response to a call from the National Academy of Sciences and the California Institute for Regenerative Medicine (CIRM) for oversight of the derivation of and research with human embryonic stem cells (hESC). The name was later changed to hPSCRO as its charge expanded to include all hPSC when the field was revolutionized with the reprogramming of human somatic cells and the derivation of induced pluripotent stem cells.

The committee reviews protocols for new research, modifications to currently approved research (called amendments), and continuing research or renewals, when such research:

- uses or creates human pluripotent stem cells;
- proposes to collect and use germ or other cells designed to generate pluripotent stem cells; or
proposes to use “covered cells” as required by State or Federal law.

In addition to conducting reviews, the committee is also required to track the derivation and use of hPSC at UCLA. The UCLA BSCRC website hosts information regarding the hPSCRO, including policies and forms: https://www.stemcell.ucla.edu/oversight-review.

KEY PERSONNEL

In FY13, the committee was chaired by Marie-Francoise Chesselet, M.D., Ph.D. (Chair, Department of Neurobiology), vice-chaired by Otoniel Martinez-Maza, Ph.D. (Department of Obstetrics and Gynecology), and included two non-scientific, non-affiliated patient advocates. The committee was recently staffed by BSCRC Administrator Lorraine Castro. The staff is supervised by BSCRC Associate Director Steven Peckman [See Appendix 5-G for the membership list].

ACTIVITIES

Committee Review Activities

The hPSCRO devotes most of its effort to the review of new, amended, and renewal research applications submitted by UCLA faculty. Meetings also serve as a vehicle for addressing policy and ethical issues. There are two types of review:

1. Expedited Review

Expedited review policy gives authority to one or more sufficiently expert members to review, request modifications to achieve approval, and approve specific types of research without a convened meeting of the full committee. New and renewal projects may be eligible for expedited review if the investigator proposes in vitro and some in vivo uses of stem cell lines that are currently approved at UCLA and/or techniques for creating hPSC previously approved by the hPSCRO. Expedited review may also be conducted for amendments that do not substantively modify the currently approved research.

Expedited reviews are conducted by the Chair, or in her absence, the vice-Chair. For new projects or when amendments include scientific changes, the protocol is reviewed by two members of the committee who have appropriate scientific expertise. Any protocol that raises questions is then brought to a convened committee meeting for review. If two projects cannot be approved through expedited review, the proposed research is forwarded for convened committee review.

2. Convened Committee Review

Proposed research that is not eligible for expedited review is reviewed by the convened committee. Applications reviewed by the convened committee commonly include new derivation techniques, interactions/interventions with donors of biological materials, e.g., embryos, gametes, or somatic cells for reprogramming. The committee also reviews projects in which the provenance of the biological material has not been previously vetted by the committee or the NIH.

Volume of Reviews and Current Approved Protocols

In FY13, the hPSCRO reviewed 159 applications for new protocols, renewals and amendments. As is evident from the tables below, only 20% of the applications required convened committee review. As of the end of FY13, there were 77 approved protocols overseen by the hPSCRO.
## 2012-13 Statistics

<table>
<thead>
<tr>
<th>Review of New Protocols (FY13)</th>
<th>Review of Renewals (FY13)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total # New Protocol Applications</td>
<td>Total # of Renewal Applications</td>
</tr>
<tr>
<td>21</td>
<td>101</td>
</tr>
<tr>
<td>Convened Committee Review</td>
<td>Convened Committee Review</td>
</tr>
<tr>
<td>13</td>
<td>16</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Review of Amendments (FY13)</th>
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</thead>
<tbody>
<tr>
<td>Total # of Amendment Applications</td>
</tr>
<tr>
<td>Convened Committee Review</td>
</tr>
</tbody>
</table>

## FUTURE PLANS

In FY14, the hPSCRO will revise and simplify its application forms and hopes to collaborate with the ORA-OHRPP to extend the webIRB application to include the hPSCRO application. The web-based, shared application will streamline the process for investigators and the committees.

## H. Research Involving Animals

### OVERVIEW

There are three campus groups that oversee research involving animals as indicated in the adjacent diagram and described below:
Animal Research Committee (ARC)
The first group is the Chancellor's Animal Research Committee (ARC), an independent animal research review committee mandated by the federal Animal Welfare Act and the PHS Policy on Humane Care and Use of Laboratory Animals. The ARC is charged with the responsibility of overseeing the entire animal care and use program at UCLA.

Animal Research Resources Board (ARRB)
The second group is the Animal Research Resources Board (ARRB), a faculty committee responsible for evaluating the status of animal resources available at UCLA, how well they function to meet investigators’ needs, and how they compare with other top universities.

Office of Animal Research Oversight (OARO)
The third group is the Office of Animal Research Oversight (OARO), the administrative division in the Office of Research Administration that supports the ARC. OARO serves as the institutional office of record and regulatory resource for the ARC. The OARO coordinates protocol monitoring and ARC facilities inspection, and provides administrative support to the ARC.

KEY PERSONNEL
The ARC is composed of 16 members plus two category-specific alternates. Of the members, there are 11 scientists, two veterinarians, and three nonscientists, two of whom are not affiliated with the University. Of the alternates, one is a veterinarian and one is a scientist. The non-affiliated members include a member of the entertainment industry and a consultant. The ARC meets twice monthly.

The ARRB includes eight faculty members that are experienced researchers, as well as an Assistant VCR, the ARC Chair, the Campus Veterinarian, and the Director of the Office of Animal Research Oversight (OARO) as non-voting members.

Individuals serve on the ARRB in a volunteer capacity.

ACTIVITIES
During FY13, the ARRB prepared a comprehensive report regarding:

- Potential cost of animal care
- Consolidation of vivaria activities
- Increased involvement of faculty with the oversight strategy
- Improved coordination of and support for faculty oversight committees

I. Research Involving Humans

OVERVIEW

The Institutional Review Boards (IRBs) are the groups formally designated by UCLA to review, approve, require modifications to, or disapprove human subjects research conducted under the aegis of UCLA. Additional responsibilities include review of unanticipated problems, investigations of allegations of noncompliance and prompt reporting to Institutional Officials and governmental agencies if required. The IRBs are functionally located within and
administered by the Office of the Human Research Protection Program in the Office of Research Administration [See Section VIII-E].

The IRBs operate under strict guidelines promulgated by the Department of Health and Human Services (DHHS) Office for Human Research Protection (OHRP), and the Food and Drug Administration (FDA), state and local laws, and University policies. Additionally, as required by the terms of UCLA assurance with DHHS, the IRBs follow written procedures developed by OHRP that assure its compliance with the regulations.

KEY PERSONNEL

Overall UCLA policy related to protecting human subjects involved in research is set by the UCLA Human Research Policy Board (HRPB). HRPB is advisory to and its members are appointed by the Executive Vice Chancellor. Voting members include chairs of each of the five Institutional Review Boards, the Vice Chancellor for Legal Affairs, the Vice Chancellor for Research, six Distinguished faculty representatives (three with experience in clinical human subjects research; one with experience in non-clinical human subjects research, one from the general medical campus who is not involved in human subjects research, and one-at-large member who is not involved in human subjects research), and a member of the Academic Senate. The Academic Senate representative is specifically responsible for consulting with the Senate and bringing Senate leadership comments to the HRPB for consideration. Nonvoting members include the Director of the Office of Human Research Protection Program, the Assistant Vice Chancellor for Research Policy and Compliance, and the Associate Vice Chancellor for Research Administration.

The review of protocols for proposed research involving human subjects is conducted by five IRBs, each specializing in a particular type of research:

- The North General Campus IRB (NGIRB) reviews research from the College of Letters & Science and the Professional Schools (Chair: Todd Franke).
- The South General Campus IRB (SGIRB) reviews social-behavioral research from South campus researchers who conduct health services research in areas such as public health, quality of care, quality of life, health prevention and health education research (Chair: Alison A. Moore).
- Medical IRB1 (MIRB1) reviews general and internal medicine, infectious diseases, and dental and ophthalmologic research (Chair: Daniel Clemens).
- Medical IRB2 (MIRB2) reviews oncology and hematology research (Chair: Fairooz Kabbnavar).
- Medical IRB3 (MIRB3) reviews neuroscience, neurology, psychiatric, drug abuse, and related behavioral science research (Chair: James McGough).

The average number of members on the Medical IRBs is 15; the average number for the General Campus IRBs is 10. Membership rosters are included in the Appendix [See Appendix 5-I].

Members of the committees are appointed by the Vice Chancellor for Research for one to two years with an option to renew. Members and membership are formally evaluated on a yearly basis. The Vice Chancellor also appoints a Chair for each committee as well as one to two Vice Chairs; their appointments may be longer than member appointments.

The majority of IRB members are UCLA faculty, appointed at the Associate Professor level and above, who conduct human research. Additionally, by law, at least one non-affiliated member
and one non-scientist must serve on each IRB. Members are expected to adhere to established performance standards, which includes attendance at least 75% of the IRB meetings.

Chairs and Vice Chairs are asked to perform additional duties. They review expedited studies in addition to full committee studies. They also review unanticipated problems, subject complaints, and allegations of noncompliance, as well as attend annual chair meetings. The IRBs are supported by OHRPP within the Office of Research Administration. The Director of OHRPP during FY13 was Sharon Friend, who has since retired from a distinguished career. Alison Orkin is currently serving as Interim Director.

ACTIVITIES

There are currently over 4,000 active human research studies at UCLA. As shown in the bar graph below, the number of studies has been increasing every year.

![IRB Approvals by Fiscal Year](image)

One notable achievement during FY13, was initiation of a 3-year extended approval period. In concert with sister UC campuses, the OHRPP implemented a procedure for granting approval for up to 3 years for non-exempt human research projects that involve no more than minimal risk to participants (as defined by 45 CFR 46.102) and are not subject to federal oversight.

Another achievement during the past year was the reorganization of the OHRPP website. The OHRPP website was redesigned to align with the updated Office of Research Administration (ORA) look. The website’s improved navigation makes information more accessible to the research community.

FUTURE PLANS

Below are the goals for the upcoming year:

- *Continue Developing and Expanding Use of Reliance Agreements:* The OHRPP will continue to develop policies and procedures, and to enhance existing electronic application and documentation systems to support IRB of record agreements that reduce the number of IRB reviews required for collaborative human subjects research involving UCLA and one or more other institutions.
- **Implement Regular and Routine Training for IRB Members:** The IRB member training program will be expanded and formalized to comply with AAHRPP guidelines.
- **Expand Internal Quality Improvement Activities:** The OHRPP will conduct more frequent internal audits of IRB activities to determine whether the office is meeting established performance standards and compliance requirements.

### J. Conflict of Interest Review Committee (CIRC)

#### OVERVIEW

Originally established by the Chancellor in the mid-1980s to advise the Vice Chancellor for Research, the CIRC is a peer review panel composed of faculty from a cross-section of academic disciplines. Its goal is promoting faculty interests and research progress while helping to assure research objectivity and public trust in our accomplishments.

The Committee serves the campus by (a) reviewing outside personal financial interests disclosed by University researchers; (b) making determinations about whether those outside financial interests constitute conflicts of interest; and (c) making recommendations about how those conflicts of interest may be eliminated, reduced, or managed so that external support for research, research training, and other sponsored projects can be accepted and work can commence. It also serves as the independent substantive review committee required under the State of California Political Reform Act. The CIRC also serves as the “designated official(s)” required under federal policy/regulation on financial conflicts of interest related to research.

#### KEY PERSONNEL

The CIRC is chaired by Michael Roth and supported by the Office of Research Policy and Compliance (RPC). Senior staff includes Ann Pollack, Assistant Vice Chancellor – Research, and Claudia Modlin, Research Policy and Compliance Coordinator [See Section V-M]. Current CIRC members include:

<table>
<thead>
<tr>
<th>Member</th>
<th>School/Department</th>
</tr>
</thead>
<tbody>
<tr>
<td>Michael Roth</td>
<td>School of Medicine/Department of Medicine, Division of Pulmonary and Critical Care</td>
</tr>
<tr>
<td>Greg Carman</td>
<td>HSSEAS, Department of Mechanical and Aerospace Engineering</td>
</tr>
<tr>
<td>Joseph Doherty</td>
<td>School of Law</td>
</tr>
<tr>
<td>Patricia Ganz</td>
<td>School of Medicine/Department of Medicine, Division of Hematology &amp; Oncology, School of Public Health/Department of Health Services</td>
</tr>
<tr>
<td>William Kaiser</td>
<td>HSSEAS, Department of Electrical Engineering</td>
</tr>
<tr>
<td>John Mamer</td>
<td>Anderson Graduate School of Management</td>
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<tr>
<td>Member</td>
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<td>------------------------</td>
<td>-----------------------------------------------------------------------------------</td>
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<tr>
<td>Caius Radu Member*</td>
<td>School of Medicine/Department of Medical and Molecular Pharmacology</td>
</tr>
<tr>
<td>Mary C. Territo Member**</td>
<td>School of Medicine/Department of Medicine, Division of Hematology &amp; Oncology</td>
</tr>
<tr>
<td>Todd Yeates Member</td>
<td>College of Letters and Science/Division of Physical Sciences, Department of Chemistry and Biochemistry</td>
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</tbody>
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* Term began on January 1, 2013
** Term ended on January 31, 2013

[See Appendix 5-J for detailed roster (including photos of the members).]

**ACTIVITIES**

This year was the first experience with the revised Public Health Services regulations on Objectivity in Research (effective as of August 24, 2012). This regulation requires that the institution (rather than the individual investigator) determine which, if any, of multiple financial interests disclosed may be related to the activity sought to be funded. The process by which this determination is made is referred to as a Relatedness Review.

RPC completed more than 1,000 relatedness reviews during FY13, leading to the common view that what was issued in the spirit of increasing transparency, actually created an unfunded mandate and regulatory burden for universities.

A critical element of the campus’s successful implementation of the revised regulations was the development of a web-based disclosure database designed to reduce the reporting burden on investigators. This system also permits the campus to warehouse information that can be accessed for required reviews. It was developed by RPC in conjunction with ORA staff, including the Office of Research Information Systems (ORIS). The system known as the UCLA electronic Disclosure Gateway (eDGE) was launched on August 10, 2012. The adjacent diagram shows the potential workflow for each awarded project.
FUTURE PLANS

The implementation of eDGE was envisioned as the first phase of a longer-term project in which all research-related financial interests are reported in eDGE. RPC staff is now evaluating the first year experience, which information will be used to inform the development of Phase 2.

K. Responsible Conduct of Research

OVERVIEW

Responsible conduct of research (RCR) and scholarship is a defining concept of a research university. A sense of accepted ethical standards is an essential component of education and community standards. While all education must strive to impart a rational set of rules for behavior, graduate and post-doctoral training is a time at which faculty, both individually and collectively, have a particular obligation to impart training in ethical standards accepted within academic and community life, and to include in that training specific rules of behavior appropriate to their particular discipline(s).

A growing number of programs now require formal instruction in RCR, including the National Institutes of Health (NIH) and the National Science Foundation (NSF). Because of funding mandates, students and post-doctoral scholars who are supported by the NIH or the NSF must receive at least 8 hours of RCR training every 4 years, and at least once per stage (i.e. as an undergraduate, graduate student and as a post-doctoral fellow or scholar). The NIH and NSF training materials are not entirely applicable for students and postdoctoral scholars who fall outside of the disciplines covered by these funding agencies.

In the interest of ensuring that a broader cross-section of students and trainees were aware of the issues that arise with research, the Office of the Vice Chancellor for Research started an RCR initiative to create materials for students engaged in research. The RCR training materials produced by the UCLA Office of the Vice Chancellor for Research are designed for disciplines that have not been mandated to participate in responsible conduct of research training and yet participate in scholarly activities that would benefit from formal didactic training in RCR that can be individualized by discipline.

KEY PERSONNEL

Progress towards a campus-wide RCR Program began in May 2011 with the hiring of Shira Shafir, an assistant professor from the Department of Epidemiology. Dr. Shafir has extensive training and experience in the instruction of Responsible Conduct of Research, including attendance at the National Institutes of Health supported Annual Conference on Teaching Survival Skills and Ethics. Additionally, Dr. Shafir has been teaching a course on the responsible conduct of research in the School of Public Health since she joined the faculty in 2007. Dr. Shafir worked with Dr. Nancy Wayne, Associate Vice Chancellor for Research, to create this program.

ACTIVITIES

A number of activities occurred during FY13, which has resulted in the completion of this special project:
Meetings with Associate Deans of Research from the Schools, as well as appointed representatives from most of the schools to discuss the RCR program offerings and share prepared materials.

Development of a streamlined 90 minute model curriculum for the teaching of RCR. It was designed to be modular with core content that is universal for all research disciplines, and the ability to swap in and out other components as are relevant to the particular disciplines.

Development of a webpage to house the materials for campus use. See [https://vcr.ucla.edu/ovcr-initiatives/rcr/responsible-conduct-of-research-initiative](https://vcr.ucla.edu/ovcr-initiatives/rcr/responsible-conduct-of-research-initiative).

### L. Native American Graves Protection and Reparation Act (NAGPRA) Unit

**OVERVIEW**

The Native American Graves Protection and Repatriation Act (NAGPRA) is a federal law requiring inventories of human remains and funerary objects, and summaries of potentially eligible cultural material for the purpose of repatriation. The statute also sets forth and mandates extensive consultation with descendant tribes and tribal communities on the part of subject institutions. Pursuant to NAGPRA, in 1995, any UCLA department with potentially NAGPRA eligible human remains and objects transferred them to the Fowler Museum at UCLA in preparation for notice publications. Accordingly, the Fowler currently houses, inventories, and manages approximately 2,000 sets of human remains and 1,000 cubic feet of related NAGPRA materials.

The UCLA NAGPRA unit ensures UCLA compliance with NAGPRA by:

1. Completing all inventories, summaries, notices, and policies related to NAGPRA within the mandated time frames;\(^4\)
2. Managing the repatriation of NAGPRA eligible materials, initiating and/or responding to tribal requests for consultation, garnering expert testimony, preparing documentation for Notices of Inventory Completion and Notices of Intent to Repatriate, reviewing notices;
3. Continually reviewing collections for eligible materials; and,
4. Providing access to NAGPRA materials for tribal consultation and research purposes.

**KEY PERSONNEL**

The Vice Chancellor for Research appoints the UCLA NAGPRA Advisory Committee (UCLA Advisory Committee) on a yearly basis based on the recommendation and nomination of the designated Committee Chair. In addition to nominating the Committee members, the Chair represents the campus on all NAGPRA matters to the UC Office of the President. The Chair also

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works closely with the Fowler Museum NAGPRA designee to ensure statutory compliance. This Committee reviews and votes on all UCLA NAGPRA Notices before they are sent to the University Advisory Group on Cultural Affiliation and Repatriation of Human Remains and Cultural Items (UC Advisory Group) for review and recommendation to the UC President or their designee, who provides the final decision on all UC NAGPRA claims.⁵

Professor Angela R. Riley is the Chair of the UCLA Advisory Committee and the UCLA Representative to the UC Advisory Group. All requests for information and access, as well as any partnerships and grants pertaining to UCLA NAGPRA eligible materials, are fulfilled by the Fowler Museum NAGPRA designee and Curator of Archaeology, Dr. Wendy G. Teeter.

**Tribal Claims: NAGPRA Flow Chart**

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**ACTIVITIES & CHALLENGES**

**Accomplishments**

- **Submitting Notices, Pending Notices and Repatriation Completion:**⁶ The UCLA Advisory Committee submitted one Notice of Intent to Repatriate and four Notices of Inventory Completion to the UCOP for approval to submit to the National NAGPRA Office for publication. The Committee also completed a Transfer of Control of funerary items to the Gila River Indian Tribe and also a Transfer of Custody of NAGPRA eligible items to the Sequoia National Forest. As hoped, the Committee finished updating the inventory for the Southern Utah collections and have initiated consultation with the Southern Paiute and other Pueblo tribes with hopes of finishing by June 2014.

- **Consultations:** In the last fiscal year, the Fowler Museum consulted with 21 tribes regarding NAGPRA eligible materials.⁷

- **Outside Funding:** The Fowler Museum, through Dr. Teeter, received funding from the Bureau of Indian Affairs to complete NAGPRA notices on collections gathered from BIA trust lands and curated at the Fowler Museum.

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⁵ See Appendix 5-L1, “University Advisory Group on Cultural Affiliation and Repatriation of Human Remains and Cultural Items (UC Advisory Group).”

⁶ See Appendix 5-L2, “Notices.”

⁷ See appendix 5-L3, “UCLA NAGPRA Consultations (January 2012 to Present).”
Supporting Research: In order to foster student research and support future research partnerships, the Fowler Museum offers volunteer opportunities for matriculating and non-matriculating UCLA and UCLA Extension students to learn more about NAGPRA compliance and related research.

Building Relationships: The UCLA Advisory Committee maintains a consistent and respectful relationship with tribes throughout the United States and indigenous groups from around the world. The Committee continued its process of enhancing relations with local and U.S.-based tribes, and also engaged with indigenous peoples outside the U.S. in regards to repatriation issues. For example, they consulted with the general counsel of Penn State University regarding the process for successful completion of Wiyot remains. In March 2013, Dr. Teeter hosted Tarita Rapu, a representative of the indigenous community of Rapa Nui (Easter Island), who visited the Fowler Museum for one month to observe repatriation processes and procedures. Dr. Teeter also consulted with Rangi Te Kanawa, a Maori scholar from Te Papa Museum in New Zealand, about repatriation and indigenous approaches to preservation of cultural items. The Committee’s partnerships are an essential part of the consultation process and assists in gathering critical information regarding NAGPRA eligible materials and in determining the most appropriate tribes to consult with about such materials.

Providing NAGPRA Compliance Training: The Fowler Museum and the UCLA Tribal Learning Committee & Educational Exchange Program (TLCEE) in the School of Law supports, consults, and assists in NAGPRA training for tribes, colleges, small museums, and federal entities as requested.

Maintaining Interdisciplinary Membership: The 2012-2013 Committee includes staff, faculty, and community representatives from a wide range of disciplines and backgrounds. This multi-disciplinary approach to the Committee’s membership ensures that UCLA’s NAGPRA notices are well developed by effectively addressing the wide range of disciplines that can be referenced when determining eligibility for repatriation.

Challenges:

Centralized Decision-Making: The current centralized decision-making process for repatriation claims impedes individual campus’ efforts to comply with deadlines as mandated by the statute.

Absence of Clear Internal Deadlines: The UCLA Advisory Committee would greatly benefit from clear internal deadlines for Notice comments from the UC Advisory Group members and time lines from the UCOP in order to ensure that tribal claims are responded to within the statutorily mandated 90-day deadline.

Providing Legal Support: When no clear permit or deed is available to determine control for the purpose of completing notices and consultation for NAGPRA eligible materials, the UCLA Advisory Committee would greatly benefit from receiving legal advice from UCLA legal representatives.

FUTURE PLANS

Updating Inventory
The Fowler Museum will continue to update the last outstanding section of the UCLA NAGPRA inventory, the Santa Ynez Chumash Section. The ultimate date of completion depends on the number of new tribal claims, which receive priority.
Facilitating Future NAGPRA Claims

The Fowler Museum is dedicated to negotiating future NAGPRA claims and maintaining cooperative relationships with tribal governments and communities to identify and repatriate NAGPRA eligible materials.

Continuing to Educate Students

The Fowler Museum will continue offering volunteer opportunities for matriculating and non-matriculating UCLA and UCLA Extension students to learn more about NAGPRA compliance and related research.

M. Research Policy and Compliance

OVERVIEW

The Office of Research Policy and Compliance (RPC) has a range of responsibilities. Primary among them is responsibility for supporting the campus Conflict of Interest Review Committee (CIRC), a faculty panel that reviews financial interests in conjunction with research and is advisory to the VCR [See Section V-J]. RPC staff also serves as consultants to the campus research community on a range of conflict of interest matters.

A second key area is providing support for the Vice Chancellor for Research in his role as the campus Research Integrity Officer. In this capacity, RPC responds to allegations; coordinates formal assessments, inquiries, and investigations as appropriate; and communicates with research sponsors and federal oversight agencies in order to maintain the campus’ federal assurance. RPC also addresses concerns about research integrity, authorship disputes, questions about data access or ownership, and violations of ethical norms. Staff provides guidance and makes referrals to other campus officials as appropriate. Senior staff also represents the OVCR and works closely and collaboratively with the Office of the Vice Chancellor for Academic Personnel, Deans of various schools and colleges across campus, the Office of the Deans of Students, the Graduate Division, and the Office of Legal Affairs in resolving highly complex, case-specific situations that lie at the nexus of policy and law.

Additionally, RPC serves as a campus resource in the area of federal export control regulations, providing advice to the campus, as well as applying for export licenses under the U.S. Departments of Commerce, State and Treasury regulations. RPC is responsible for reviewing and providing I-129 Export Compliance Certification for all H1-B and J visas before the applications are forwarded to the Dashew Center for processing.

RPC provides leadership as well in shaping, interpreting, implementing, and updating UC and UCLA research-related policies, procedures, and guidance. Senior RPC staff represents the Office of the Vice Chancellor for Research on a number of UC and UCLA standing and ad hoc committees and task forces including the UCLA Human Research Policy Board (Pollack), the UC Export Controls Workgroup (Modlin), and campus Stewardship Roundtable Steering Committee (Pollack). Mrs. Pollack and Mrs. Modlin are active participants on the UC Research Compliance Workgroup, the campus Investigations Workgroup, and the UC Conflict of Interest Coordinators.
KEY PERSONNEL

The RPC office operates under the direction of Ann Pollack, Assistant Vice Chancellor for Research in accordance with the organization chart below. [See Appendix 5-M1 for bios of the senior staff.]

ACTIVITIES

During the past year, RPC staff devoted substantial time to consulting with faculty, chairs, deans, and the Ombuds Office in responding to questions about possible allegations of research misconduct. RPC has become increasingly involved in these matters and in determining whether the concerns constitute allegations of research misconduct or other unethical conduct.

During the past year, RPC has made a concerted effort to increase its visibility through outreach, especially in areas related to research misconduct, conflict of interest and export control. Staff members have made numerous presentations about a variety of topics.

RPC staff collaborated as well with colleagues from the UC Office of the President, other campuses and UCLA, on a range of intersecting conflict of commitment, conflict of interest, and regulatory compliance matters. RPC staff served as consultants to OIP-ISR on the “FAQ and Guide for UCLA Entrepreneurs” published in late 2012 and revised in early 2013. They created the content for a second brochure “FAQ and Guide to SBIR and STTR Grants” issued jointly by RPC and OIP&ISR published earlier this year [See Appendix 5-M2 or online at www.research.ucla.edu/tech/UCLA_SBIR_STTR_FAQ.pdf].

Assuring that the campus research community complies with export control regulations remains a continuing priority. The volume of cases reviewed during FY13 was approximately 150 and this number is expected to remain consistent. Also on the increase are questions from OIP-ISR
about shipping biological materials and cell lines. Through the execution of a multi-campus agreement we were able to procure the part-time services of an export control expert at another UC campus in order to ensure that RPC has sufficient staff coverage to respond to campus needs.

**FUTURE PLANS**

- RPC staff will continue working with the UC Export Control Officer to increase outreach activities and heighten campus awareness of export control issues and of the personal and institutional, criminal and civil penalties that may result from non-compliance.
- Modification and enhancement of eDGE system for the mandated relatedness reviews.
- As time permits, increased outreach and development of new materials to raise awareness of the various conflict of interest policies, disclosure requirements and review processes, and to make available resources better known to the campus research community.
A. Introduction to Research Development & Support

Research development may be defined as a broad array of activities designed to facilitate individual faculty members, teams of researchers, and the campus as a whole in attracting extramural research funding, creating research relationships, and developing and implementing strategies that increase institutional competitiveness.

A number of initiatives from the Office of the Vice Chancellor for Research and in partnership with this Office, may be characterized as “research development,” including UCLA Grand Challenges [See Section IV]. The programs and activities described in this Section of the Annual Report include:

- Research Informatics Strategic Planning (RISP)
- Transdisciplinary Seed Grants (TSG)
- Shared Resources Consortium (SRC)
- Diversity Research Activities
- Clinical and Translational Science Institute (CTSI) Activities
- Funding Opportunities, Proposal Support and Collaborations

B. Research Informatics Strategic Planning (RISP)

OVERVIEW

In 2011, a strategic planning process was initiated by the Office of Information Technology (OIT) and the Office of the Vice Chancellor for Research (OVCR), in recognition of the need to specifically identify current and future research directions and to anticipate the types of data that people will be using, how it is collected, processed, accessed, analyzed, leveraged and shared [See Last Year Appendix 5-L1]. The term “research informatics” may be used in different contexts. We use the term to mean the application of information science, information processing, and the engineering of information systems to support and enable research activities, such as data collection, processing, analyses and sharing.

The goals of this Research Informatics Strategic Planning (RISP) project are as follows:

- Develop a 10-year vision for UCLA and the strategic principles that will guide planning
- Develop a 5-year detailed roadmap that defines priorities and critical paths
- Scope effort and develop cost estimate for a 5 year initiative
- Develop a 1-year project and implementation plan
- Define the governance process for research informatics on campus

KEY PERSONNEL

RISP has been co-led by Arash Naeim, M.D., Ph.D., faculty in the Department of Medicine Division of Hematology/Oncology (representing the Office of the Vice Chancellor for Research) and Jim Davis, Ph.D., Vice Provost for Information Technology & Professor of Chemical &
Biochemical Engineering (representing the Office of Information Technology). During FY13, Warren Mori, Ph.D., Director of Institute for Digital Research and Education (IDRE) became a more active participant in the final shaping of the strategic plan.

**ACTIVITIES**

To ensure the development of a tangible action-oriented plan, the planning process was divided into three phases:

**Phase One**
The goal of Phase One is to define research informatics needs, barriers, and obstacles that currently exist for faculty. It was structured around five discipline-oriented committees involving over 70 faculty and staff. Through their deliberations the committees identified a series of foundation level informatics services and support needs for researchers, such as expertise in data design and collection, analysis and interpretation, manipulation, reporting and presentation, and statistical modeling. The needs were divided into four categories, based upon the immediacy in which they could be addressed. Implementation of many of these needs and services began in November 2012 [See Appendix 6-B1 for status of implementation], and include a newly developed Research Resource Portal that is being coordinated with the already existing campus Knowledge Base and FacTech (Faculty Technology Awareness) programs.

During this first phase, the RISP process was brought to the attention of the entire campus through the Research Informatics Visioning Contest, through which all students, researchers, and staff were invited to share their most innovative ideas for using data to achieve new capabilities in research, and for collecting, processing, analyzing, sharing, and leveraging research data within the campus community and beyond.

**Phase Two**
The goal of Phase Two was to identify a vision of themes that not only set the context for first actions but also, if pursued, would enable UCLA to differentiate itself as a leader in research informatics in the next 5-10 years. It involved individual discussions about future and vision with over 60 additional faculty members, through the course of one-on-one interviews and small group meetings with IDRE, the IDRE Board, the Humanities, Arts, Social and Information Sciences Research Group (HASIS), the Clinical Translation Science Institute (CTSI) Board, and additional faculty in the Social Sciences Division. In addition, an external advisory board with expertise in research informatics, big data, and other related fields, was organized in order to review the draft plan.

**Phase Three**
The goal of Phase Three was to create a new governance system to ensure cross-campus coordination of the research informatics plan on campus. This phase was nearing completion at the time of publication of this Annual Report.

**Identification of UCLA’s Strategic Themes**
A primary objective of the above planning process was to establish 5-10 year directional areas of emphasis or themes for the campus to focus near term decisions and to target investments of time and effort. Through faculty discussions 10 categorical themes emerged:

1. Cross-disciplinary Collaboration
2. Research Ecosystem (rEcosystem)
3. Enabling a broader base of researchers
4. Data Ownership and Big Data
5. Real-time Dynamic Data
6. Multi-Use Data
7. Image Data
8. Data Visualization
9. Citizen Scholar
10. Mobile and Social Networking

These 10 themes viewed together and then followed with associated action and investment will make up the focal point of UCLA’s informatics strategic planning initiative [See Appendix 6-B2 for a description of each theme].

FUTURE PLANS

Transformative and Catalytic Recommendations
A number of recommended actions also emerged from the planning process as a way to support the 10 cross-campus themes. These actions were designed to set into motion a series of directional changes for UCLA that address an institutional strategy and build institutional capacity where most useful, while also recognizing the distributed and domain-driven nature of UCLA research. These actions were split into two categories: Transformative Recommendations and Catalytic Recommendations.

The recommended actions are expected to: (1) provide a central point for the collection of priority research informatics policy, infrastructure, and service issues; (2) foster shared standards; (3) leverage existing strengths in imaging and wireless technology innovation; (4) allow faculty an opportunity to define issues pertinent to their own research; and (5) expose students and faculty to cutting edge informatics and technology advances emanating from the community and corporate world [See Appendix 6-B3 for the full list of recommendations].

Proposed Governance Structure
The RISP team has proposed a formal Research Informatics Strategic Planning Board, which will be charged with resolving the findings in the RISP plan into an actionable set of priorities and actions for the entire campus.

Finalize and Circulate RISP Report
The RISP team is now finalizing a copy of the RISP report which summarizes the above findings, sets forth an implementation plan, and the proposed governance structure. This report will be circulated to the entire campus for review and comments in FY14.
C. Transdisciplinary Seed Grants

OVERVIEW

University research and scholarship traditionally has been driven by individual faculty members, perhaps influenced by the academic promotion process in which faculty members are judged by the demonstration of “independence.” In recognition that discoveries and new approaches often occur at the intersection of disciplines, a priority for the Office of the Vice Chancellor for Research is to foster transdisciplinary research. The OVCR Cabinet introduced the Transdisciplinary Seed Grant (TSG) program in Spring 2011 to stimulate north-campus driven transdisciplinary collaborations. The program has been very well received and continued through FY13.

To qualify for funding, a project seeking funding under TSG must meet the following criteria:

- The lead PI must be a UCLA faculty member with a primary appointment in a “north campus” department or unit.
- The proposal must represent a collaboration of at least two distinctly different disciplines.
- In addition to these requirements, the solicitation of proposals expresses the following preferences:
  - Proposals featuring new areas of inquiry or at least new areas of inquiry at UCLA.
  - Proposals featuring new working relationships.
  - Proposals featuring novel/innovative questions.
  - Research and creative projects. This funding mechanism is not designed to fund seminars, courses or conferences.
  - Projects that employ UCLA graduate students over projects that hire outside personnel.

KEY PERSONNEL

The program is administered by Michelle Popowitz and Jill Sweitzer. The review committee includes members of the VCR Cabinet, Academic Senate Council on Research with the addition of reviewers for specific topics such as diversity, health and welfare and collaborative informatics.

ACTIVITIES & CHALLENGES

Recipients

Below please find the recipients of TSG Cycles 3 and 4. All projects funded to date may be viewed online with project descriptions at: [https://vcr.ucla.edu/ovcr-initiatives/tsg/recipients](https://vcr.ucla.edu/ovcr-initiatives/tsg/recipients).

<table>
<thead>
<tr>
<th>Collaborators</th>
<th>Project Name</th>
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<tbody>
<tr>
<td>G.Buccellati, P. Lucio Scandizzo</td>
<td>Renewal: The Modern Face of an Ancient City: Sustainable Economic Development of a Mesopotamian Archaeological Site (Renewal)</td>
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### Cycle 3 - Spring 2012

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<tr>
<td>A. Burke, F. Höflmayer, B. Lorentzen with S. Manning, J. Feinberg</td>
<td>Radiocarbon Chronology and the Late Bronze Age Eastern Mediterranean</td>
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<tr>
<td>J. Copic, G. Wong</td>
<td>A microeconomic approach to understanding and controlling antibiotic-resistant infections from bacterial communities (CTSI)</td>
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<tr>
<td>D. Favro, E. Taciroglu, A. Caldwell</td>
<td>Reverse Engineering History: Structural Analysis of The Lighthouse at Alexandria</td>
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<td>D. Fessler, M. Iacoboni, C. Holbrook, K. Izuma</td>
<td>Reducing Group Prejudice with Neuromodulation (CTSI)</td>
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<td>M. Fisher, T. Boyadjian, A. Nahapetian</td>
<td>Comparative Text Classification and the Literary Geography of Otherness, 1100-1500</td>
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<td>T. Franke, D. Estrin, B. Zima</td>
<td>Optimizing Early Stimulant Medication Treatment Using Real-time Hyperactivity Ratings from a Portable 3-D Motion Sensor: A Small Feasibility Pilot (CTSI)</td>
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<td>S. Graham, J. Juvonen, M. Phillips</td>
<td>Transition to High School in Los Angeles: Opportunities and Risks (CTSI &amp; Diversity)</td>
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<td>G. Greenberg, R. Kelly, S. Cumming</td>
<td>Renewal: The Semantics of Film Narrative: Emotional Structure</td>
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<td>M. Heim, K. Hui, S. Pritzker</td>
<td>Best Practices in the Translation of Integrative East-West Medicine</td>
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<td>B. Lawrence, M. Stephen</td>
<td>Lifting the Fog: Networks of Career Opportunity for Minorities (Diversity)</td>
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<td>F.A. Longstaff, L. Meyer, A.M. Ghez, R.M. Rich</td>
<td>Identifying different dynamical regimes of the accretion flow around the Galactic supermassive Black Hole</td>
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<td>E. Pearlstein, M. García-Garibay, K.J. McGraw, M. Hughes</td>
<td>Identification and measurement of chemical and microstructural changes in bird feathers as early markers of light induced degradation</td>
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### Cycle 4 - Fall 2012

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## Cycle 4 - Fall 2012

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<tr>
<td>M. Delmas, N. Goldstein, M. Kahn</td>
<td>Leveraging SmartMeter Technology to Reduce Energy Consumption (Collaborative Informatics)</td>
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<td>D. Gere, I. Holloway</td>
<td>A Multicomponent Evaluation of the AMP! Program at the University of California, Los Angeles</td>
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<tr>
<td>M. Orellana, M. Rodriguez</td>
<td>Immigrant Youth as Family Health Brokers (Health &amp; Welfare)</td>
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<td>T. Philip, G. Gee, M. Shih</td>
<td>Racial Identity, Burn-Out, and Attrition, in New Teachers of Color (Diversity)</td>
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<td>D. Shorter, T. McCarty, J. Wan, D. Shaul</td>
<td>WIL: Wiki for Indigenous Languages (Collaborative Informatics)</td>
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<tr>
<td>M. Smith, T. Gillespie</td>
<td>Finding History: Predictive Modeling and the Search for Asokan Inscriptions in the Indian Subcontinent (Collaborative Informatics)</td>
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<td>D. Sportiche, R. Ryder, H. Koopman, I. Charnavel</td>
<td>Toward Exploring the pre-Babel World</td>
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<tr>
<td>B. Taub, R. Jarrahy</td>
<td>Facing the Future: Changing Paradigms in Global Health Delivery (Health &amp; Welfare and Cultural Awareness)</td>
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</table>

**Outcomes**

We have collected final reports from the recipients of TSG Cycle 1 and the reports for TSG Cycle 2 were being collected at the time of publication. From the limited data set, it is evident that the mechanism has not only stimulated new conversations and collaborations but has produced publications, applications to external funding mechanisms, and in some cases, funding from external mechanisms. Outcomes information is expected to be reported online in the coming academic year.
**Next Steps**

Beginning in FY14, we expect to reduce the frequency of the cycles with the expectation that the Cabinet and COR may be involved with new seed grant programs related to UCLA Grand Challenges.

**D. Shared Resources Consortium**

**OVERVIEW**

There are approximately 135 shared resources (SRs) at UCLA that support research-related activities. These SRs operate independently, and their financial responsibility is “owned” or “co-owned” by the administering unit (school, department, division, or organized research unit). UCLA SRs reside in the School of Medicine, the School of Engineering, and the College. For the FY13, research-related shared resources at UCLA provided goods and services at a value of $63M and revenue of $59M (prior year balances more than covered the difference between these 2 numbers). To review a subset of the SRs, please refer to the CTSI webpage at: [http://www.ctsi.ucla.edu/research/pages/ucla_westwood](http://www.ctsi.ucla.edu/research/pages/ucla_westwood).

The OVCR commissioned a study of shared resources at UCLA in 2010. The study made a number of observations including the absence of a campus-wide system to track research-related shared resources, the operation of some SRs with significant deficits, the lack of standardization, opportunities for improvement, and the need for a mechanism to provide capital input for new goods, services, and equipment. Based on this analysis, the OVCR developed a new funding model for shared resources which has been named the UCLA Shared Resources Consortium (SRC). Funding is provided by the OVCR and additional academic partners. As described in the following sections, these funds are administered by a SRC steering committee that issues Requests for Applications (RFA), reviews the proposals, and administers the funding.

**Sources of SRC Funding (FY13):**

SRC funding for FY13 was obtained from the Office of the Vice-Chancellor for Research (OVCR), the David Geffen School of Medicine (DGSOM), the Clinical and Translational Research Institute (CTSI), the Jonsson Comprehensive Cancer Center (JCCC), the Broad Stem Cell Research Center (BSCRC), the Henry Samueli School of Engineering and Applied Science (HSSEAS), the Division of Life Sciences in the College, and the Division of Physical Sciences in the College. The combined amounts, along with a carry-over of funds from the previous year, totaled $1,551,156 [see table, right].

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<td>Jonsson Comprehensive Cancer Center</td>
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<td>One-time Supplement from OVCR</td>
<td>$50,000</td>
</tr>
<tr>
<td>Prior Year Carry Forward</td>
<td>$51,156</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td><strong>$1,551,156</strong></td>
</tr>
</tbody>
</table>
KEY PERSONNEL

The SRC is chaired by Kenneth Dorshkind (DGSOM) and co-chaired by Bruce Dunn (HSSEAS) and Robert DuWors (OVCR). Additional members of the SRC steering committee include Diana Huffaker (HSSEAS), Harley Kornblum (DGSOM), Tom Mason (College of Letters and Science), and Anna Wu (DGSOM).

ACTIVITIES & CHALLENGES

The RFA and Eligibility

The SRC issued a Request for Applications (RFA) on April 1, 2013 with submissions due on April 30, 2013. The SRC considered requests for the purchase of new instrumentation between $25,000 and $200,000. In order to be eligible for SRC funding, SRs had to be operating as an approved sales and service activity and without significant deficits. Applications were submitted electronically through the SRC website (https://ccle.ucla.edu/course/view/SRC?section=4). The short application requested a description of how SRC funds would be used (i.e., purchase of new equipment or upgrade of existing instrumentation), how this instrumentation would enhance research at UCLA, and a summary of the shared resource’s business operations. In addition, established shared resources were required to document that the services they provided had supported the publication of high impact papers and been instrumental in the receipt of grants awarded to the campus.

SRC Review Process

The twenty-six applications received in response to the RFA were reviewed via a three-step process as shown in the adjacent figure. First, an administrative review to ensure that the application met administrative and eligibility criteria was conducted by K. Dorshkind, B. Dunn, and R. DuWors. Of the 26 applications received in 2013, 21 were then assigned to a member of the SRC steering committee and at least two UCLA ad hoc reviewers with relevant expertise. Thirty-one faculty members from the DGSOM, the College, and HSSEAS served as ad hoc reviewers.

Each reviewer numerically scored the assigned application. The numerical scores were averaged and the applications were rank ordered. The SRC steering committee then met to discuss each application. The steering committee member who had been assigned the application served as the primary reviewer and described the request, summarized the reviews, and recommended a final score and budget that was then voted on by the full SRC steering committee.
2013 Funding Decisions

During the 2012-2013 year, the SRC reviewed 26 applications requesting $2,620,051 in funding. Of these, 11 received funding and a total of $1,537,508 was distributed. The adjacent chart provides information about the distribution of SRC funding.

FUTURE PLANS

The SRC has now operated successfully through two funding cycles. The response of the campus community to the RFA in each of the past two years has been strong, and an objective review process in which multiple faculty members participate has been established. In addition, funding partners have received a return on their investment that at times has exceeded their contribution. However, the more important point is that over the past two years approximately $2.78M in funding has been allocated to upgrade cores and purchase new state-of-the-art instrumentation that enables UCLA faculty to conduct cutting edge research. The continued operation of the SRC will be dependent on the continued participation of its funding partners, and this constitutes its major challenge.

The most ambitious future plan of the SRC is to implement a Shared Resources Management and Billing System that will be available to all SRs. Such a system will allow each SR to schedule delivery of services and provide an efficient means for billing. The programs will also facilitate the future application of a particular SR for intramural or extramural funding by allowing relevant data to be efficiently retrieved.

The SRC also plans to work with SR directors and campus leadership to ensure that established SRs do not duplicate efforts in terms of services offered or equipment purchased. In this regard, the SRC may be able to initiate establishment of external advisory committees.

E. Diversity Research

The OVCR has an interest in fostering Diversity Research. There are a few activities in which we engage each year in collaboration with and support of the Office of Office of Diversity and Faculty Development to achieve this objective: (1) co-publish a monthly Diversity Funding Opportunities Newsletter circulating related funding opportunities and activities; (2) solicitation and funding of several diversity and cultural awareness transdisciplinary research projects through the Transdisciplinary Seed Grant program [See the table in Section VI-C]; and (3) other ad hoc programs.

F. Clinical and Translational Science Institute (CTSI)

OVERVIEW

The Clinical and Translational Science Institute (CTSI) is a partnership of UCLA, the Burns and Allen Research Institute at Cedars-Sinai Medical Center, Charles Drew University of Medicine, and Science and Los Angeles Biomedical Institute at Harbor-UCLA Medical Center. The CTSI
belongs to a prestigious, NIH-supported network of 61 institutes focused on translating academic discoveries into tools, therapies, and interventions that improve health. CTSI received a five-year Clinical and Translational Science Award (CTSA) in June 2011. This Institute is included in the OVCR Annual Report due to the close collaboration between the OVCR and CTSI, and in recognition of the fundamental role that the Institute plays in supporting campus research.

KEY PERSONNEL

Dr. Steven Dubinett, Associate Vice Chancellor for Translational Science, is CTSI Executive Director. He is assisted by the following four Senior Leaders, all of whom are DGSOM assistant deans for translational science: Dr. John Adams, Vice Chair for Research, Department of Orthopaedic Medicine, DGSOM; Dr. Leslie Raffel, Associate Director, Common Diseases Genetics Program, Cedars-Sinai Medical Center; Dr. Christina Wang, Professor of Medicine, Los Angeles Biomedical Institute at Harbor-UCLA Medical Center; and Dr. Mayer Davidson, Charles Drew University of Medicine and Science.

Dr. Eugene Washington, Vice Chancellor for Health Sciences and Dean of DGSOM, and Dr. James Economou, Vice Chancellor for Research, co-chair the Institutional Steering Committee. Other committee members are Dr. David Carlisle, President and Chief Executive of Charles Drew University for Medicine and Science; Dr. Shlomo Melmed, Cedars-Sinai Medical Center Senior Vice President for Academic Affairs and Dean of the Medical Faculty; and Dr. David Meyer, President and Chief Executive of Los Angeles Biomedical Institute at Harbor-UCLA Medical Center.

ORGANIZATION

The CTSI is organized into nine program areas, which together provide the cross-institutional infrastructure and support for translational research. The nine areas are described below:

1. The Pilot and Collaborative Translational and Clinical Studies Program (Pilot Program)
   The Pilot Program provides seed funding for collaborative research, team-building activities, and development of novel technologies. The program administers the following competitive mechanisms:

   - **Catalyst Grants:** ($1,000 to $5,000) to support team-building activities, including seminars; symposia; meetings related to development of courses, proposals or partnerships; and interdisciplinary projects (other than pilot projects)
   - **Team Science Awards:** ($25,000 to $100,000) to enable multidisciplinary teams to develop preliminary data for extramural funding
   - **Junior Faculty Mentored-Research Awards:** ($30,000) to support mentored, translational research by faculty within their first three years of appointment.

2. The Clinical and Community Research Resources Program (CCRR)
   CCRR supports and supervises human studies and clinical trials conducted at the clinical and translational research centers (CTRCs) located at Cedars-Sinai Medical Center, Charles Drew University of Science and Medicine, Los Angeles Biomedical Institute at Harbor-UCLA Medical Center and UCLA-Westwood. CCRR also trains junior investigators in the conduct of translational clinical research. Program resources and services include: Clinical and Translational Research Centers (CTRCs), bio-nutrition services, clinical research management, and laboratory services, clinical education, and training opportunities.
3. **The Research Education and Training, and Career Development Program (CTSI-ED)**

CTSI-ED houses most of the CTSI education and training activities. The program ensures CTSI trainees acquire the core competencies needed to conduct multidisciplinary research and to integrate community priorities and input into research across the T1 to T4 spectrum.

- **KL2 Translational Scholar Awards** provide junior faculty with salary ($75,000 a year) plus fringe benefits, research support ($25,000 a year), career development and tuition ($4,000 a year), travel ($2,000 a year), statistical support ($1,500 a year), and mentored training in the design and conduct of translational research. The awards are renewable for up to three years.

- **TL1 Translational Science Summer Fellowships for Health Professional Students** provide medical, nursing, and dental students with mentored training in community-based, translational research for eight weeks, a stipend ($3,672), and funds for research ($700).

- **TL1 Translational Science Fellowships for Pre-doctoral Students** provide an annual stipend ($22,032), tuition and fees, health insurance, and training-related travel for up to four years to incoming doctoral students in the Department of Health Policy and Management in the Jonathan and Karin Fielding School of Public Health.

- **Training Program in Translational Science (TPTS)** offers three levels of training: a master’s degree in clinical research, a two-year certificate program in translational science, and seminars that do not lead to a certificate or degree.

- **Grant Writing Workshops** provide junior faculty with advice and expert review of draft proposals to increase their odds of funding success.

4. **The Community Engagement in Research Program (CERP)**

CERP facilitates research collaborations between academics, clinicians, public health officials, patient groups, and community-based organizations to improve health and health care in Los Angeles. Services include assistance with dissemination of research results, advice on study design and implementation, community-investigator connection, grant preparation, and training.

5. **The Center for Translational Technologies (CTT)**

CTT links scientific teams with core technologies. The program provides access to cores through an RFA mechanism, supervises the use of existing cores, and supports the development of new technologies. Services include access to cores through an application process that provides vouchers worth up to $10,000 each, development of new technologies through Novel Translational Technology Awards, personalized counseling to help investigators select and use cores, and core workshops to facilitate multidisciplinary collaborations and increase knowledge about existing core resources.

6. **The Regulatory Knowledge and Support, and Ethics Program (Regulatory)**

Regulatory ensures that CTSI-related research is in full regulatory compliance and meets the highest quality assurance standards. The program offers ethics counseling and research. Services include reliance-review IRB, regulatory compliance, data-safety monitoring, post-approval regulatory oversight, research subject advocacy, quality assurance, regulatory requirements, and research ethics and education.

7. **The Biostatistics Program**

The Biostatistics Program provides integrated services and biostatistical support. Services include contemporary data analysis methodology consultation, implementation, and
epidemiology expertise; the best available clinical data management software; study design, and grant preparation assistance; bioinformatics/computational biology data analysis; and educational programs.

8. **The Biomedical Informatics Program (BIP)**

BIP provides databases, tools, resources and infrastructure for the acquisition, storage and analysis of data. BIP consults and provides assistance with consulting and assistance with complex databases, clinical data access, email-prompted online surveys, terminology systems, online systems to support research, and informatics tools.

9. **The Evaluation Program**

The Evaluation Program helps CTSI leaders set goals, measure outcomes, improve decision-making, and identify opportunities for improvement. Services include database searches for grant and pilot funding, leadership and organizational development, implementation, and analysis and reporting.

**ACTIVITIES**

CTSI made substantial progress on important initiatives to enhance the environment for translational science at UCLA in partnership with Los Angeles County, and across the national network.

- CTSI enhanced its career development efforts by expanding the CTSI KL2 Awards program to include 16 junior faculty scholars and sponsoring grant writing workshops to prepare junior faculty to seek NIH K Awards.
- Twenty protocols were reviewed under CTSI’s IRB Reliance Review mechanism, which enables an IRB at one CTSI institution to rely on the review conducted by an IRB at another CTSI institution. This mechanism facilitates cross-institutional research.
- CTSI started work on the Los Angeles Data Repository, a cross-institutional resource of de-identified, structured clinical data that will enable CTSI institutions to conduct research they cannot do with their own data alone.
- Initiated pilot testing of UC Research Exchange, a clinical query system capable of exchanging patient-level data and aggregates (e.g., counts and descriptive statistics) across the five UC medical campuses—UCLA, Davis, Irvine, San Diego and San Francisco. Each medical campus has a CTSA.
- Engage UC, a global consent and biobanking initiative led by UCSF and UCLA, received $2 million in NIH funding. The collaboration is developing policies about the management of leftover blood and tissue samples collected for research; creating community-guided governance for biobanks across the five University of California medical campuses; and redesigning the process of asking patient permission for research use of leftover biological samples, including research using genetic information.
- CTSI led the submission for the UC Center for Accelerated Innovation, which received a seven-year, $12-million award from NHLBI to speed the translation of UC discoveries to commercial products. CTSAs at the five UC medical schools are participating.
- CTSI and Los Angeles County Department of Health Services are piloting improvements in health care delivery that don’t increase costs.
- Started work on a revamped website to provide a catalog of researcher resources for CTSI and UCLA investigators.

In addition to the ongoing transformative initiatives detailed above, FY13 CTSI accomplishments included:

- Awarded 195 pilot grants for total of $6.45 million ($3.65 M in CTSI funds; $2.8 M institutional funds)
- CTSI support generated $80 million in new extramural funding
- Provided biostatistical consultations to 611 investigators working on 1,267 projects
- Awarded $2.2 million for 230 vouchers to use core resources at CTSI institutions
- Provided clinical support for 306 existing research projects and 119 new protocols for a total of 8,137 outpatient visits and 744 inpatient stays at all four CTSI clinical research centers
- More than 430 publications
- Recruited 13 translational science faculty to UCLA.
- Sponsored the CTSI Seminar Series, featuring weekly lectures from thought leaders and innovators in science and medicine

G. Promotion of Funding Opportunities, Proposal Development & New Collaborations

The staff members within the VCR Administration and the Strategic Research Initiatives group provide the following tactical and strategic services:

- Broadcast service promoting general funding opportunities
- Management of internal selection process for limited submission opportunities
- Targeted matching service for selected funding opportunities
- Research development-related workshops
- Proposal development and new collaboration support

FUNDING OPPORTUNITY BROADCAST SERVICES

In recognition of the fact that one of the ways to enhance and diversify UCLA research is to make sure that faculty members are aware of the broad range of available funding opportunities, Jill Sweitzer, MFA commenced a newsletter service in 2011. The OVCR learns about funding opportunities through our subscriptions to two funding opportunity notification services, which are also open for access by the UCLA community. While few people take advantage of the external subscription services, quite a few members of the UCLA community avail themselves of the discipline-specific subscription newsletter services offered by the office. There are 11 newsletters distributed on a monthly basis. We have more than 3,500 subscribers up from 1,700 last year. Please refer to the graph on the next page for the list of newsletters and the number of current subscribers for each one.
The success of the newsletter service is due to our collaborations with the David Geffen School of Medicine, the Clinical and Translational Science Institute and the Office of Diversity and Faculty Development as well as our incredible student workers:

- Zachary Robinson
- Justus Winn-Howard
- Michael Elliott (LSOs)
- Kim Nguyen (LSOs and targeted e-mails)
- Lauren Palmer
- Paul Cleland
- Andrea Cabrera

In addition to the general funding opportunity newsletters, the Office also publishes a subscription-based Limited Submission Opportunity newsletter, which is designed for deans and their designees, but it is open to subscription by the general campus community.

LIMITED SUBMISSION OPPORTUNITY PROGRAM & PROCESS

A second way in which the Office promotes applications for funding is through the Limited Submission Opportunity (LSO) program. The LSO program is overseen by Mr. Shady Hakim, MA. LSOs are opportunities when the funding organization limits the number of applications that may be submitted by UCLA. Since 2011, the OVCR has continued to refine its approach to LSOs to enhance communication, improve transparency and ensure that it obtains relevant information for the deans making the consensus decisions for each of the competed LSOs.

LSOs represent an important opportunity for UCLA. Since the number of applications submitted by a university to the funding agency is limited, the applicant pool should be smaller and hence our chances greater. The LSO internal review process is designed to identify the most competitive applications for each opportunity. Materials are gathered from internal applicants.
and then reviewed by deans who have applicants under review. The deans then come to a consensus about which applicants are most competitive for the particular opportunity.

The OVCR has made a concerted effort to announce more of the LSOs and it appears that more funding agencies are relying on this mechanism of a campus internal selection process to reduce the number of applications being submitted to any given funding opportunity. During FY13, there were 153 LSOs announced. Please see below for a graph depicting the number of applications announced by month.

![Graph of LSOs Announced by Month]

The LSO process is successful due to the commitment of deans to participate in this important process. In addition, during the past year, significant assistance was provided by student workers: Michael Elliott and Kim Nguyen.

In the coming year we anticipate implementing a new web-based program for managing LSOs and the selection process. We are optimistic that this will improve our communication and efficiency.

**TARGETED MATCHING SERVICE**

A third way in which the Office promotes funding opportunities is through a recently enhanced targeted matching service. During the past year we accelerated the Office efforts in seeking to personally match existing funding opportunities with current faculty. This personalized service is performed on a regular basis by student worker Kim Nguyen, under the supervision of Jill Sweitzer. This service has generated more than 2000 targeted emails to UCLA faculty across disciplines and in all career stages. Selected outcomes from this service include:

- Increased awareness of relevant funding opportunities;
- More personalized service [See Appendix 6-G1 for a sample of comments from recipients of the targeted e-mails];
▪ An increased number of internal applications for limited submission opportunities; and
▪ Millions of dollars in new proposal submissions which otherwise would not have occurred, some of which were successful.

**RESEARCH DEVELOPMENT-RELATED WORKSHOPS**

Yet another way the Office seeks to increase the number of applications and, in this case, improve the competitiveness of an application is through research development-related workshops. During the past fiscal year, Jill Sweitzer led approximately 8 workshops to help faculty and graduate students search for relevant funding opportunities using the campus subscription services. In addition she organized a few webinars to strengthen applications and a half-day workshop entitled, “Building a Foundation for Research.” This last workshop, with more than 230 registrants, and corresponding feedback was the catalyst for the Research Escalator [See Section IV], [For a copy of the program for the workshop, please refer to Appendix 6-G2].

**PROPOSAL DEVELOPMENT AND NEW COLLABORATION SUPPORT**

A final way in which the staff members from the VCR Administration and Strategic Research Initiatives groups provide tactical and strategic support is in the development of proposals and collaborations. Michelle Popowitz, Erna Sardarian, Michael Swords, and Jill Sweitzer all engage in these activities throughout the year.

Michelle and Jill worked nearly exclusively on strategic and tactical projects related to UCLA Grand Challenges [See Section IV]. The one other proposal and collaboration effort of note was the gathering of leadership from the undergraduate STEM programs to put together a competitive proposal for the NSF Widening Implementation and Demonstration of Evidence-based Reforms (WIDER) funding opportunity. The STEM-education effort was successful with participation from Life Sciences Division, Physical Sciences Division, Graduate School of Education & Information Studies, Undergraduate Education Division and Engineering. The team, led by Dean Patricia Turner, was recently informed that the planning grant had been awarded. Michelle and Jill will remain involved as members of the planning committee.

During this fiscal year, Mike Swords, one of the members of the Strategic Research Initiatives group was involved in a variety of projects mostly concentrated in the area of environment and sustainability. Below are some selected projects from his FY13 portfolio [For more detail, please refer to Appendix 6-G3].

▪ Joined one of the environment and sustainability Grand Challenge brainstorming teams and participated in brainstorming sessions
▪ Participated in the development of several proposals including:
  ▪ Aviation Biofuels Proposal to the Federal Aviation Administration (FAA)
    PI/Lead: Ann Karagozian (MAE), Institute for Technology Advancement (ITA)
  ▪ California Air Resources Board (ARB) air pollution research center relocation
    PI/Lead: Suzanne Paulson (IoES), Mark Gold (IoES), JR DeShazo (Luskin),
▪ Engaged in corporate and industry partnership development in conjunction with the Office of Intellectual Property and Industry Sponsored Research (OIP-ISR) for projects involving the WaTeR Center (Yoram Cohen), Yang Yang Lab; and the Smart Grid Energy Research Center (Rajit Gadh)
* A number of public speaking engagements to promote UCLA and UCLA environment and sustainability research
* Continued involvement as the UCLA primary point of contact for Clean Tech Los Angeles (CTLA) and the now integrated Los Angeles Cleantech Incubator (LACI)

Erna Sardarian, another member of the Strategic Research Initiatives team, worked on a variety of projects across the campus. She characterizes her role as follows:

* Develops strategies to bring together on-campus and off-campus research units and organizations to identify convergent areas for research collaborations.
  - Center for Integrated Development, Cameroon (CID/C) project and Los Angeles State Historic Park – Building an Interpretive Media Laboratory (IMLab) project
* Brainstorms with faculty and deans on ideas, structure, direction, intellectual connections, and scientific focus of large initiatives, centers, institutes, graduate/undergraduate programs, and certificate/training programs.
  - Sustainable Technology Policy Program (STPP), Medical Humanities and Global Health Initiative
* Consults with individual faculty to better position their research efforts for multidisciplinary, interdisciplinary, and transdisciplinary funding opportunities and collaborations (public and private).
* Works with faculty to develop roadmapping conferences and workshops.
  - Global Health Initiative

*[For more details about the above-referenced projects and for additional selected projects from FY13, please refer to Appendix 6-G4.]*
VII. ENTREPRENEURSHIP, TECHNOLOGY TRANSFER, & INDUSTRY SPONSORED RESEARCH

A. Introduction to Entrepreneurship, Technology Transfer, and Industry Sponsored Research

UCLA enjoyed decades of financial support through federal and state tax revenues as part of its two-fold social contract: first, providing broadly available and affordable higher education to students and second to create new knowledge and discoveries to be delivered to society. The investment that is able to be allocated from federal and state tax revenues is insufficient to fully support leading research universities. Preeminent research universities that wish to remain preeminent need to understand, adapt, and function effectively—indeed thrive—in multiple highly competitive arenas in ever changing global academic and commercial ecosystems.

This is especially critical in our current economic climate with significant reductions in endowment, erosion of federal grant support and reduced state funding for public universities; these have placed significant pressures on faculty, staff and especially our students.

One way in which we challenge ourselves to excel is through innovation. It makes no sense for research universities to make discoveries, invent new technologies and create innovation unless there is an efficient way to deliver these to society through commercialization. This requires a pathway of entrepreneurship. It is important to recognize that entrepreneurship is not synonymous with business nor commercialization nor finance. A 19th century French economist (J.B. Say) defined an entrepreneur as one who “shifts resources out of an area of lower into an area of higher productivity”. Entrepreneurship is a way of thinking that involves change, risk, uncertainty, competition and ambiguity, all with the goal of translating a good idea into reality. UCLA strives to support a culture of innovation and entrepreneurship. There are interrelated activities discussed in the following pages focused on the UCLA Entrepreneurial Ecosystem and the Office of Intellectual Property and Industry Sponsored Research.

B. UCLA Entrepreneurial Ecosystem

OVERVIEW

In March 2011, the OVCR publicized its proposal to create an Ecosystem for Entrepreneurship at UCLA to foster innovation. This initiative was met with great enthusiasm and support around campus and continues to gain momentum.

On the recommendation of Anderson School of Management Dean Judy Olian, the initiative was led by Professor William Ouchi, Sigoloff Chair in Corporate Renewal, Anderson School of Business. The first campus report, An Ecosystem for Entrepreneurship at UCLA: An Invitation for Campus-wide Input, now referred to as “Ecosystem I,” was distributed March 10, 2011. It focuses on three essential components for success: (1) appropriate organizational structure; (2) educational programs that foster and support entrepreneurship; and (3) business advisory boards [See https://vcr.ucla.edu/ovcr-initiatives/Entrepreneurship].

A second report, Ecosystem for Entrepreneurs II: Transition to a New Technology Transfer Process, was published in September 2011, now referred to as “Ecosystem II” [See https://vcr.ucla.edu/ovcr-initiatives/Entrepreneurship]. This report took a closer look at
the structure of OIP-ISR and its entrepreneurial activities. It revealed that while the UCLA technology transfer office was relatively successful, its licensing and royalty revenues still fall short of what might be expected, and that some crucial elements necessary to taking tech transfer to the next level were missing. To meet these needs, the report recommended the formation of a new nonprofit, wholly-owned subsidiary that would oversee all technology transfer activities.

A third (Ecosystem III) and final report is scheduled to be released in FY14. This final report focuses on UCLA faculty members’ perspectives on the most important concerns and areas for improvement to entrepreneurship on campus, including the use of campus space, academic-industry relations, education, culture and conflicts, all of which will help us better understand what would foster entrepreneurship and innovation.

KEY PERSONNEL

The Entrepreneurship Ecosystem necessarily includes people and units from across the campus. From the OVCR, the key personnel who have been involved include Bill Ouchi, Ornah Medovoi and the staff of OIP-ISR.

ACTIVITIES & CHALLENGES

In the last year, the following actions and activities were performed in support of the Entrepreneurial Ecosystem initiative:

Approval to Create OIP-ISR Board of Directors

On May 16, 2013, our campus received unanimous approval from the University of California Board of Regents to reorganize the governance of our Office of Intellectual Property and Industry Sponsored Research. This important effort to enhance UCLA’s technology transfer function was undertaken to ensure that more of UCLA inventions, scholarship and intellectual property was delivered to society. Within one year, Associate Vice Chancellor for Research Brendan Rauw, will report to the board members of a newly created 501(c)(3) nonprofit corporation which will be comprised primarily of individuals possessing extensive experience in bridging the worlds of academia and business. These will be Friends of UCLA: leaders in such fields as pharmaceutical manufacturing, technology, engineering, and venture capital. The Board will also include in its membership UCLA Academic Senate faculty.

The activities of OIP-ISR and its board will also be overseen by a soon-to-be created Chancellor’s Oversight Committee, which will consist of deans, UCLA Academic Senate appointees, and senior campus administrators and at least one student representative.

Business Advisory Boards

One of the strategies for enhancing our impact is to better target and translate our discoveries for the benefit of society. Business Advisory Boards help with this priority. There are several existing Business Advisory Boards. A new Business Advisory Board is being established in the medical school. Professor Bill Ouchi and Professor Mike Palazzolo are assisting with the Board’s organization, along with additional guidance from Dr. Larry Souza, a Friend of UCLA. The Board will focus on identifying and researching platform technologies to help populate the School of Medicine Accelerator. It is expected that several more boards will be formed across campus over the next several years.
OIP-ISR Startups and New Ventures Team

As part of the campus-wide emphasis on entrepreneurship, OIP-ISR has established a business development team to help foster the success of UCLA licensees. Led by Thomas Lipkin, Assistant Director, Entrepreneurship & New Ventures, and Sarah Honig, Entrepreneurship Associate, the Startups and New Ventures team was established specifically to serve the needs of UCLA startup. To promote startup creation, funding and success in the market, the UCLA Startups and New Ventures Team has orchestrated a number of events and initiatives over the last year, including the following:

- **Entrepreneurship-in-Residence Program (EIR):** The EIR program aims to connect UCLA technologies with industry executives, serial entrepreneurs, and the large investor community. EIRs lend their own industry and startup experience to help guide and bolster entrepreneurial efforts across campus.

- **Startups 101 Seminar Series:** The Startups 101 Seminar Series featured four lectures for faculty, staff, and students on how to create a successful startup business. The series aimed to familiarize participants with terminology used by entrepreneurs, lawyers, and investors when forming and financing a new company; equip participants to assess the feasibility of a business concept; and communicate that business concept.

- **SBIR / STTR Workshop:** OIP-ISR recently hosted its first of a series of workshops on how to win funding from Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) programs.

- **First Look Los Angeles:** In collaboration with The Los Angeles Venture Capital Association (LAVA) and six other Southern California institutions, UCLA OIP-ISR co-hosted a successful First Look LA 2013, and looks forward to continuing this tradition in years to come. First Look LA is a technology showcase event during which selected inventions from technology transfer programs present pitches and/or posters to investors and entrepreneurs looking for their next startup opportunity. Seventeen UCLA technologies were featured at First Look LA in 2013, resulting in many fruitful conversations with potential investors and industry partners.

New Entrepreneurial Educational Programs & Competitions

Another factor critical for the ecosystem is providing relevant education experiences for UCLA students. UCLA has seen a significant expansion in the number of entrepreneurial educational programs offered on campus. The following is just an example of some of the new courses being taught by various departments and schools across the University:

- UCLA Anderson School of Management is adding 5 new courses to their Undergraduate Entrepreneurship Program.

- The Department of Economics offers a new class called the Social Enterprise Academy, which provides hands-on experience to students interested in becoming entrepreneurs for a good cause. Teams of students work with different nonprofits to develop business plans for growth, competing for a $10,000 prize to start up their business idea.

- In December 2012, the BSC began offering the Advancing Bioengineering Innovations (ABI) program. ABI is a two-quarter long course designed to teach students about the medical device design process through lectures, guest speakers, and a hands-on project.

As a related endeavor, the OVCR is supporting student and faculty entrepreneurship by providing support in connection with several entrepreneurial competitions such as the First
Look LA competition, Startup UCLA and the newest addition, UCLA Falling Walls Lab, a fast-
pitch innovation competition open to anyone 35 years and younger. Details about the first
UCLA Falling Walls competition will be shared in next year’s report.

Entrepreneurship Council

Evidence that the ecosystem is expanding is the creation of the Entrepreneurship Council that
now meets on a monthly basis. There are a number of campus participants and OIP-ISR is
among them. One of the initiatives of this Council is the relaunch of BRUINcubate.com, a pilot
project from OIP-ISR. It is a web-based portal listing all entrepreneurial groups, resources, and
events on campus, as well as additional resources off campus to help the UCLA entrepreneurial
community get the information they need to start a business or connect with talent. The Council
is an effective resource for enhancing communication and coordination among the various
campus stakeholders.

FUTURE PLANS

Many of the above activities and actions are in preliminary stages and they will continue to
develop over the coming year under the leadership of the AVCRE, Brendan Rauw and The OIP-
ISR Board of Directors.

C. Office of Intellectual Property & Industry Sponsored
Research (OIP-ISR)

OVERVIEW

The Office of Intellectual Property and Industry Sponsored Research (OIP-ISR), two previously
separate campus departments, became a merged unit in FY06 with the goal of providing to both
faculty and industry an integrated unit or "one-stop shop" to support the academic industry
interface. OIP-ISR joined the Office of the Vice Chancellor for Research organization in July
2011. As mentioned in Section VII-B, on May 16, 2013, the campus received unanimous
approval from the University of California Board of Regents to reorganize the governance of
OIP-ISR.

In their roles, the OIP-ISR staff members carry out a number of functions, including:

- Working with inventors to identify potential inventions
- Conducting commercial and legal evaluations of technologies
- Marketing technologies and research partnerships
- Managing patent prosecution
- Providing guidance to faculty and students
- Negotiating legal and commercial terms for a wide range of agreements
- Interfacing with corporate stakeholders to drive industry-sponsored research
- Introducing startup companies and entrepreneurial faculty to the larger investor
  community.
KEY PERSONNEL

OIP-ISR was previously organized into two primary functional groups focused on sponsored research (ISR), patenting and licensing (OIP). During FY13, two functional areas have emerged: business development and new ventures, and operations (including human resources and internal finance). The current organizational structure is shown in the figure below.

![Organizational Chart](chart.png)

ACTIVITIES & CHALLENGES

Fiscal year 2013 was successful for OIP-ISR, with an increase in most metrics. Below are some statistics about the licensing and industry sponsored activities.

<table>
<thead>
<tr>
<th>Activity (FY13 unless stated otherwise)</th>
<th>Volume/ $</th>
</tr>
</thead>
<tbody>
<tr>
<td>OIP Activities</td>
<td></td>
</tr>
<tr>
<td>Invention Disclosures</td>
<td>406</td>
</tr>
<tr>
<td>Provisional Patent Applications Filed</td>
<td>301</td>
</tr>
<tr>
<td>Patents Issued</td>
<td>94</td>
</tr>
<tr>
<td>Startup Companies Created Around UCLA Technology</td>
<td>17</td>
</tr>
<tr>
<td>ISR Activities</td>
<td></td>
</tr>
<tr>
<td>Funded Sponsored Research Agreements</td>
<td>232</td>
</tr>
<tr>
<td>Unfunded Sponsored Research Agreements</td>
<td>107</td>
</tr>
<tr>
<td>Nondisclosure, Visiting Scientist and Teaming Agreements</td>
<td>64</td>
</tr>
<tr>
<td>Material Transfer Agreements</td>
<td>926</td>
</tr>
<tr>
<td>Activity (FY13 unless stated otherwise)</td>
<td>Volume/ $</td>
</tr>
<tr>
<td>----------------------------------------</td>
<td>-----------</td>
</tr>
<tr>
<td><strong>OIP Activities</strong></td>
<td></td>
</tr>
<tr>
<td>Executed Licenses, Options and Letters of Intent</td>
<td>181</td>
</tr>
<tr>
<td>Royalty Income¹</td>
<td>$23,598,339</td>
</tr>
<tr>
<td>Active Inventions (all years)</td>
<td>2083</td>
</tr>
<tr>
<td>Active US &amp; Foreign Patents (all years)</td>
<td>1457</td>
</tr>
<tr>
<td><strong>ISR Activities</strong></td>
<td></td>
</tr>
<tr>
<td>Total Agreements</td>
<td>1216</td>
</tr>
<tr>
<td>ISR Income</td>
<td>$39,105,048</td>
</tr>
</tbody>
</table>

### Industry Sponsored Research Awards

The Industry Sponsored Research and Material Transfer group secured $39,105,048 in “new” research funding awards from for-profit sponsors in Fiscal Year 2013. These contracts provided support for research across the campus [See Appendix 7-C1 for examples of research awards].

### Increasing Outreach to Campus

There are several efforts designed to enhance campus outreach, campus presence and office responsiveness including the following:

- Release of a new, user-friendly website ([http://oip.ucla.edu/](http://oip.ucla.edu/)).
- Development of a brochure with responses to frequently asked questions (FAQ) for faculty entrepreneurs [See Appendix 7-C2].
- Internal requirement that each officer host at least one department-based presentation regarding the office every quarter. There were 23 presentations delivered in FY13.
- Establishment of a single point-of-contact email to facilitate faculty navigation to the appropriate contact within OIP-ISR.

### Industry Partnering Events

To enhance connections with industry, there is now a concerted effort to host more events that will attract industry to the campus and encourage conversations with researchers. The Managing Officer of Business Development organized a successful Medical Device Industry Partnership Conference on March 15th, drawing over 100 attendees. A second event on Clean Tech and Advanced Materials was in the process of being planned in partnership with ITA for September of 2013. In 2014, it is hoped that we will have a quarterly calendar of events to bring industry to campus and promote faculty-industry interactions.

¹ At the time of publication, UC numbers had not been finalized, so reports coming from the UC Office of the President may have small variance.
Improving Patent Prosecution
Another important factor for enhancing the impact of UCLA research is a robust patent prosecution strategy. All upcoming patent decisions are tracked in a central database to notify licensing officers of upcoming decisions in advance, along with attorney profiles to inform selection of counsel when new cases come in. Preferential deals have been negotiated with law firms to expedite filings in advance of implementation of the America Invents Act (AIA). We are the only campus to expedite as many applications for as cost-efficiently as we have done. Going forward, improved processes and governance will help ensure that investment in patents will be appropriately allocated.

Expansion of the OIP-ISR Intern Program
Yet another activity designed to enhance the effectiveness of the office, is the intern program. OIP accepted its first intern to assist with marketing of patented inventions to industry in 1998. Today OIP-ISR has a small but selective intern program primarily for PhD students. The program provides an introduction to technology transfer and provides OIP with technically qualified assistance in both marketing and patent searching. A further expansion of this intern program is currently underway.

Campus Engagement
As mentioned in Section VII-B, OIP-ISR participates in the Entrepreneurship Council.

Challenges
UCLA faces critical issues in addressing the Valley of Death to bridge the funding gap. Funding is needed to allow researchers to build a prototype or otherwise prove the viability of the innovation. This enables both the University and potential investors to move the innovation to a decision point about business potential. To address the gap, UCLA must find funding resources that can provide critical, necessary development between the research lab and the potential marketplace

FUTURE PLANS
The future plans for OIP-ISR include the following:

- **Enhancing customer service**: The office is exploring IT solutions to track faculty satisfaction and provide visibility and transparency to all stakeholders. OIP-ISR will have a portal in place that effectively serves faculty and stakeholder needs in FY14.
- **Increasing the disclosure of inventions**: Given time and appropriate staffing, OIP-ISR thinks a disclosure rate of 500+ disclosures per year is sustainable. For FY14, the goal is to achieve 480 invention disclosures, paired with increased investment in assessment and evaluation.
- **Enabling startups**: OIP-ISR is working with entrepreneurial organizations across campus to raise the visibility of the services UCLA offers, negotiate preferential rates on legal services for entrepreneurs, and to provide clear and simple agreements for startups. In FY14, they believe 25 startups are achievable.
- **Improving patent filings**: The current patent filing practices can be improved. OIP-ISR is evaluating its use of counsel, tracking, and approval of expenses, and potentially engaging additional expertise in managing its legal portfolio. Increasing the quality of patent filings will drive up legal costs, which will not be realized in reimbursements or increased revenues in FY14.
Embracing ISR Awards in Future Years: FY13 saw a marginal (1.2%) decrease in ISR awards, against a 12% decline in overall research funding to campus. This slower growth parallels a broader trend that has been seen – Stanford, ASU, and University of Washington all expected a 5-10% decline for FY13. Barring major macroeconomic changes, there is no reason why this should continue. It is anticipated that the FY14 awards may exceed FY13 awards ($39M).
A. Overview of the Office of Research Administration

OVERVIEW

The Office of Research Administration (ORA) provides operational infrastructure, regulatory assistance, and administrative services in support of the extraordinary UCLA research program. ORA is the UCLA office of record for research administration transactions. ORA staff members are the central points of contact for Principal Investigators and staff members seeking guidance with regard to research administration matters. ORA staff serve as the authorized institutional officials for UCLA in communications with research sponsors and regulatory agencies.

In FY13 ORA processed funding proposals valued at nearly $3 billion; accepted $893 million in new research funds; reported over $900 million in research expenditures; processed and administered thousands of research compliance protocols; and managed tens of thousands of research administration-related requests and queries.

ORA organizational units work together to support the full life-cycle of a research project. ORA support may begin when an investigator starts to develop a research protocol or a proposal for extramural funding, and continues through proposal submission, protocol approval, award acceptance, fund setup, performance reporting, project completion, close-out, and renewal.

ORA collaborates with research faculty, staff, extramural sponsors, federal regulators, campus leadership and others to develop and deploy increasingly effective processes, procedures and systems to facilitate research administration and regulatory compliance. While FY13 budgetary constraints narrowed the scope of our Research Administration Process Improvement and Deployment (RAPID) project, key RAPID initiatives have been sustained and pushed forward. In FY14 RAPID advancements will continue to deliver systematic, innovative and effective performance improvements in research administrative operations.

ORA TEAM

The Office of Research Administration is led by Associate Vice Chancellor for Research Marcia Smith. As shown in the organizational chart on the next page, ORA is made up of seven operating units. A total of 177 staff members, including seven highly experienced and dedicated operational directors, provide a broad range of services, manage large volumes of transactions and work continuously to improve service to faculty and staff. A detailed description of each of the operating units, including our accomplishments, challenges and goals, is included on the following pages.
RAPID STEERING COMMITTEE AND RAPID FACULTY ADVISORY COMMITTEE

The ongoing success of RAPID and other ORA initiatives has been made possible by the leadership and solid support of Vice Chancellor for Research James Economou, and the RAPID Steering Committee, chaired by EVC and Provost Scott Waugh. RAPID Project Director and AVC Marcia Smith and senior members of the RAPID team continue to meet at least annually with the Steering Committee to review accomplishments, discuss priorities and ensure coordination with other campus initiatives. Members of the Steering Committee are listed below.

<table>
<thead>
<tr>
<th>Name</th>
<th>Title</th>
<th>Department</th>
</tr>
</thead>
<tbody>
<tr>
<td>Scott Waugh, Chair</td>
<td>Executive Vice Chancellor &amp; Provost</td>
<td>Chancellor’s Office</td>
</tr>
<tr>
<td>James Davis</td>
<td>Vice Provost</td>
<td>Information Technology</td>
</tr>
<tr>
<td>James Economou</td>
<td>Vice Chancellor for Research</td>
<td>Vice Chancellor for Research</td>
</tr>
<tr>
<td></td>
<td>Professor of Surgery</td>
<td>Surgery-Oncology, David Geffen School of Medicine</td>
</tr>
<tr>
<td>Andrew Leuchter</td>
<td>Professor</td>
<td>Psychiatry &amp; Behavioral Sciences, David Geffen School of Medicine</td>
</tr>
<tr>
<td>Steven Olsen</td>
<td>CFO &amp; Vice Chancellor</td>
<td>Vice Chancellor, Finance, Budget &amp; Capital Programs</td>
</tr>
<tr>
<td>Edwin Pierce</td>
<td>Director</td>
<td>Audit &amp; Advisory Services</td>
</tr>
<tr>
<td>Kevin Reed</td>
<td>Vice Chancellor for Legal Affairs</td>
<td>Chancellor’s Office-Legal Affairs</td>
</tr>
<tr>
<td>Judy Gasson</td>
<td>Senior Associate Dean Director</td>
<td>David Geffen School of Medicine</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Jonsson Comprehensive Cancer Center</td>
</tr>
<tr>
<td>Marcia L. Smith</td>
<td>Associate Vice Chancellor &amp; RAPID Project Director</td>
<td>Office of Research Administration</td>
</tr>
<tr>
<td>Victoria Sork</td>
<td>Dean, Professor</td>
<td>Division of Life Sciences</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Ecology &amp; Evolutionary Biology</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Institute of the Environment &amp; Sustainability</td>
</tr>
<tr>
<td>Lynne Yorita</td>
<td>Audit Manager</td>
<td>Audit &amp; Advisory Services</td>
</tr>
</tbody>
</table>
The RAPID project has benefitted greatly from the ongoing participation of a Faculty Advisory Committee (FAC), chaired by Andy Leuchter, Professor of Psychiatry & Behavioral Sciences. The FAC gives the RAPID team extraordinary insight to the greatest needs and highest priorities of the research faculty we serve. Their active collaboration in the development of the PI Portal has been critical to the success of that initiative. FAC members continue to inform ongoing enhancements to the PI Portal and other ORA initiatives. RAPID FAC members serve as volunteers. FAC members are listed below.

<table>
<thead>
<tr>
<th>Name</th>
<th>Title</th>
<th>Department</th>
</tr>
</thead>
<tbody>
<tr>
<td>Andrew F. Leuchter, RAPID FAC Chair</td>
<td>Professor</td>
<td>Psychiatry &amp; Behavioral Sciences, David Geffen School of Medicine</td>
</tr>
<tr>
<td>Bruce Dunn</td>
<td>Professor</td>
<td>Material Sciences &amp; Engineering, Henry Samueli School of Engineering &amp; Applied Sciences</td>
</tr>
<tr>
<td>Todd Franke</td>
<td>Associate Professor and Chair</td>
<td>Social Welfare, Luskin School of Public Affairs</td>
</tr>
<tr>
<td>Robin L. Garrell</td>
<td>Vice Provost</td>
<td>Graduate Education</td>
</tr>
<tr>
<td></td>
<td>Dean</td>
<td>Graduate Division</td>
</tr>
<tr>
<td></td>
<td>Professor</td>
<td>Chemistry &amp; Biochemistry</td>
</tr>
<tr>
<td>Carol Mangione</td>
<td>Professor</td>
<td>Health Services Medicine &amp; General Internal Medicine, David Geffen School of Medicine</td>
</tr>
<tr>
<td>Alison A. Moore</td>
<td>Professor in Residence</td>
<td>Geriatrics, David Geffen School of Medicine</td>
</tr>
<tr>
<td>Anne R. Pebley</td>
<td>Professor</td>
<td>Community Health Sciences, School of Public Health</td>
</tr>
<tr>
<td>Marcia L. Smith</td>
<td>Associate Vice Chancellor &amp; RAPID Project Director</td>
<td>Office of Research Administration</td>
</tr>
</tbody>
</table>

ORA ACCOMPLISHMENTS

In FY13 ORA continued to address operational challenges in all ORA units and between ORA operating units and other campus organizations. We continued to achieve incremental improvements in operational efficiency and effectiveness in supporting research administration compliance across campus.

Our priorities have been PATS (proposal and award system), PAMS (fund management system), and PI Portal (faculty view of proposals, awards, and funds), supporting our largest transactional volumes and key constituencies. We have continued to focus on organizational integration within ORA, and ORA outreach and support to other campus organizations and programs affecting research administration needs or requirements.

Notable accomplishments have involved all components of the ORA organization and include:

- Full implementation of Proposal and Award Tracking System (PATS) enabling:
  - Workflow tracking and metrics in OCGA
  - Integrated contracts and grants data across OCGA, CTAO, and ISR;
  - RPC access to data supporting PHS FCOI review requirements;
  - Full electronic record capabilities;
- New Proposal Search and Award Status Search capabilities in PI Portal and ORA for campus users;
- New management data reporting capabilities, such as awards-in-process data and committed future funding.

- Continued development of Post Award Management System (PAMS) and training programs in preparation for Pilot Deployment in January 2014, to provide accurate fund management support across campus; dramatically streamline financial management processes; eliminate shadow systems; and establish standard practices for EFM and campus fund managers.

- New efficiencies in protocol review processes in OHRPP and OARO:
  - 3-year extended approval period in OHRPP for projects that involve no more than minimal risk to participants (as defined by 45 CFR 46.102) and are not subject to federal oversight.
  - IRB reviews for UCLA CTSI partners, reviewing protocols on behalf of collaborating CTSI partners, and relying on partner IRB reviews for protocols.
  - Elimination of non-required ARC annual reviews for projects that do not utilize USDA-regulated species and elimination of pre-review requirement for protocol amendments to improve turn-around times for these submissions.

- Planning for integration of Institutional Biosafety Committee (IBC) support in ORA, including initial process analysis and systems assessment; recruitment of IBC administrator.

- Establishment of an ORA Data Governance Team and organizational structure to manage customized report requests from the campus research community; provide content expertise for query design; and review the consistency and accuracy of reports generated.

- Support for campus-wide NSF OIG audit.

- Support for UCPath Implementation Project and related initiatives to ensure capabilities for essential research-specific business requirements and adequacy of functional design specification.

**ORA CHALLENGES**

ORA continues to face challenges due to growth and changes in federal regulations, policies and procedures, as well as from unique requirements of State, County, City and foundation sponsors. Given the volume of transactions processed by ORA, we work to standardize procedures for common requirements. One-of-a-kind or frequently changing requirements require dedicated resources and limit the effectiveness of operational efficiencies.

Variability in the quantity and quality of departmentally-based research administration resources is an ongoing challenge to ORA. Additional improvements in service to faculty, compliance assurance and operational efficiency would be possible with more consistent departmental support in some areas. Where support is lacking, ORA staff are deployed to bridge the gap, and this strains limited central resources that could be focused on processing transactions centrally.

The increasing frequency of campus and external initiatives to implement new systems and of changes in existing systems and procedures pose a significant challenge to ORA. ORA systems are designed to integrate with major campus systems, as well as federal and UCOP systems, in order to streamline processes, enable data sharing, and eliminate duplicative procedures and data collection. The replacement of major campus systems, such as payroll and financial
systems; implementation of new federal systems, such as the “Assist” system for complex federal proposals; and modification of UCOP research systems require ongoing monitoring and analysis of effects on ORA systems, as well as nimble development and deployment of changes in data feeds or system integration points. This is an ongoing challenge for ORA’s operational units and the ORIS team in particular.

**ORA PRIORITIES**

In FY14, ORA priority initiatives will include the following:

- *Pilot and prepare for full deployment of the Post Award Management System (PAMS).* The PAMS Pilot Deployment, to begin in January 2014, represents the culmination of three years of work on this transformational system that enables more efficient and effective financial management of sponsored awards. PAMS functionality was specified by an interdisciplinary team of campus and central administrators in the early phases of the RAPID project. ORA’s Office for Research Information Systems team designed and developed the system with support of business experts in EFM.

We anticipate that PAMS will enable very significant improvements in the accuracy, efficiency and effectiveness of fund management activities across campus, eliminating duplicative procedures and shadow systems in both EFM and campus departments.

- *Initiate ORA administrative support for additional faculty safety committees.* ORA will integrate administrative support for the Institutional Biosafety Committee (IBC) and the Chemical/Physical Safety Committee (CPSC) with support for the Radiation Safety Committees (RSC) and Animal Care and Use Committee (ARC). This work will improve administrative support to committees, enable centralized collection and integration of data and committee actions, and facilitate centralized access to safety committee approvals for PIs.

- *Continue to develop and deploy enhancements to PI Portal.* PI Portal enhancements are in development to include: individualized tracking of PI technical reporting requirements associated with contract and grant awards (“My Deliverables”); display of invention disclosures (“My Inventions”).

- *Implement enhancements to webIRB.* Enhancements to webIRB will improve ease of use for investigators and simplify the review process for IRB staff and members. Planned minor modifications to the application content will improve the ability to report data from the system for use by both OHRPP, ORA and members of the UCLA research and compliance community.

- *Continue to improve data collection, and deploy standard proposal and award data sets to campus departments.* We will develop improved mechanisms for delivering relevant data sets to campus departments to support their data analysis and ad hoc reporting needs.

- *Continue to monitor and improve performance metrics in all ORA units:* We will continue to enhance services to faculty and ensure compliance with all relevant regulations and requirements.
B. Contract & Grant Administration

OVERVIEW

Under delegated authority from the University of California Office of the President, and the UCLA Chancellor, the Office of Contract and Grant Administration (OCGA) has institutional authority to solicit, accept, and/or execute research agreements for government and non-profit sponsored project activities. OCGA supports and guides UCLA faculty and staff in proposal development and award management, reviews and authorizes the submission of electronic and paper proposals, and negotiates, accepts and executes all contract and grant awards from government and non-profit sponsors. OCGA has primary responsibility for the interpretation of University-wide and campus policy, sponsor guidelines, and applicable federal and state laws and regulations to limit exposure and reduce risk related to externally-funded sponsored project activities.

OCGA’s goal is to support faculty sponsored project activities and assure compliance by providing expertise, assistance, and education to the UCLA campus community. OCGA facilitates research and scholarship for faculty, staff, and trainees by providing quality research support services and guiding faculty through the complex requirements of request, receipt, and management of extramural funding.

KEY PERSONNEL

This team of committed professionals is led by Director Patti Manheim and Assistant Directors Kim Duiker and Heather Winters. This year, Kim Duiker and Heather Winters were hired to realize the new organizational priorities including: training and mentoring staff, increasing OCGA’s outreach and communication strategies, and evaluating current processes and procedures.

The organizational structure is as set forth below.
ACTIVITIES & CHALLENGES

OCGA processes three broad categories of documents: proposals, awards, and outgoing sub-agreements. Transaction volumes for FY12-13 are outlined below:

Execution of these transactions involved over 75,000 communications with faculty, staff, and sponsors; 20,000 internal actions; and 15,000 standard communications.

Additionally, in FY13, OCGA accomplished the following:

OCGA Reorganization
OCGA instituted a significant organizational change in the beginning of FY13. In addition to expanding the leadership team with the addition of two Assistant Directors, the previous team structure consisting of an Officer, Analyst, and Specialist was restructured into two specialized teams:

1. Analysts and Specialists dedicated to processing grant proposals and awards.
2. Officers and Specialists dedicated to processing contract proposals and awards.

These similarly structured teams allow the office staff to maintain their critical departmental relationships while also increasing efficiency, implementing internal cross training, expanding staff coverage, improving communication standards, and streamlining operational processes.

System and Organizational Integration
The full implementation of Proposal and Award Tracking System PATS continues to be a priority for OCGA. Additional benefits include electronic processing and storage, management reports and standardized procedures.

- Campus & External Outreach: Presented at various campus meetings to diverse audiences including Deans, Chairs, faculty, trainees and department administrators. Continued to present courses through CHR Training and Development. Initiated annual full day training conference which was co-presented with EFM. Presented at Regional, National and International professional conferences.

Award Set-Up Team Implementation
The implementation of new award set-up procedures improved processing timelines by expediting unilateral awards, providing faculty consistent and timely notice of award receipt, establishing a centralized point of contact, and capturing critical data elements. FY13 evidenced a reduction in processing times, but did not match the previous year’s 80% rate improvement. The processing timelines were significantly impacted by the (1) increased complexity of the revised regulations governing Financial Conflict of Interest for PHS sponsors and sponsors that have adopted the PHS FCOI regulations, and (2) incomplete proposals missing required documents.


Proposal Intake Team Internal Implementation
OCGA launched an initiative focused on improving tracking and processing for receipt, review, and submission of proposals by OCGA. Objectives included a single point of receipt for proposals, accurate accounting of all proposals processed (receipt, review and submission) by OCGA, improved proposal workload management, and standardized communication of minimum submission requirements and at key points in the process with a goal of identifying missing required documents. [See Appendix 8-B for a list of benefits of the initiative].

NIH Research Performance Progress Report (RPPR)
UCLA participated as a pilot institution for NIH’s new progress reporting requirements and systems by providing vital feedback. UCLA participants were recognized by NIH staff as “outstanding pilot users.” That resulted in process and system changes prior to federal-wide implementation.

OCGA Website Redesign Phase I
Phase I of the OCGA website redesign involved review and evaluation of the current OCGA website content and, based on those discussions, developing the infrastructure and broad content for the redesigned website.

Proposal & Award Tracking System (PATS) Implementation
Following PATS go-live in June 2012, OCGA completed a full year of PATS expanded data

OCGA Challenges
OCGA has implemented significant changes and improvements this past fiscal year, yet proposal submission continues to present a challenge.

In order to ensure proposals meet institutional and sponsor compliance standards and provide faculty with the full benefit of OCGA expertise, proposal packages must be received at least 5 business days prior to the sponsor deadline. Proposal metrics for FY12/13 indicate OCGA is processing an average of 400 proposals per month. Approximately 71% of monthly proposal volume is received fewer than 5 days in advance of the sponsor deadline. This limited window for review is insufficient to thoroughly review proposal materials, which threatens successful electronic submission, leaves the university open to compliance risk, and causes delays once the award is received. Additionally, PIs who submit their proposals in a timely manner may receive a delayed response from OCGA because late proposals must be handled on an urgent basis.
**FUTURE PLANS**

OCGA’s future plans include the following:

- **Phase II of Proposal Development/Proposal Submission (PDPS) working group**: A collaborative group comprised of central (ORA) and campus representatives to review processes, procedures and best practices related to proposal preparation, review and submission; and develop a model for consistent and comprehensive, yet streamlined, approach to proposal submission.

- **OCGA Website redesign**: Phase II - Full, detailed content development.

- Assessment of OCGA Standard Operating Procedures and PATS Functionality for Expediting PHS FCOI Review and Approvals.

- **Elimination of Hard-Copy Files**: Approximately 25,000 hard-copy files will be electronically stored and/or securely destroyed over the next three years.

- Fully Deploy Award/Proposal Intake Teams Processes and Procedures.

- **Create and Institute a Clear Career Track for Employees in OCGA**: Provide a clear and robust career track to enable and encourage talented staff to grow and advance within the organization.

- **Institute Master Training Calendar for Campus on research and other sponsored project activity related topics**: Training is a critical component in ensuring maintenance of the high standards required to ensure research administration compliance.
C. Extramural Fund Management

OVERVIEW

Extramural Fund Management (EFM) provides financial management services in support of more than 6,000 sponsored project funds for the UCLA research community. EFM responsibilities include: financial reporting, invoicing, cash management, accounts receivable management, audit support, and compliance oversight for effort reporting, cost transfers, and unallowable expenses. In addition, EFM provides expertise and assistance to UCLA faculty and staff and serves as a liaison with research sponsors with respect to financial management of sponsored awards.

EFM strives to be an industry leader in the financial management of research to support UCLA's top tier research program. EFM’s mission is to:

- Provide high-quality customer service to faculty, staff and sponsors
- Promote and monitor financial compliance of research activities to reduce risk and protect the University’s interests
- Invest in developing and growing EFM staff to be professional experts in the industry

KEY PERSONNEL

A national recruitment process is underway to select an EFM Director. The EFM team is currently co-directed by Assistant Directors Yoon Lee and Maurice Taylor. The organizational structure is depicted below.
ACTIVITIES & CHALLENGES

In FY13, EFM prepared and submitted 16,764 invoices and financial reports to sponsors, and completed 704 Federal cash draw-downs, managing total research expenditures of $908 million. For details, see the table, right.

<table>
<thead>
<tr>
<th>EFM Transactions</th>
<th>Count</th>
<th>Dollar Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Invoices submitted to sponsors</td>
<td>13,894</td>
<td>$302 million</td>
</tr>
<tr>
<td>Financial reports submitted to sponsors</td>
<td>2,870</td>
<td>n/a</td>
</tr>
<tr>
<td>Federal Draw-downs completed</td>
<td>704</td>
<td>$669 million</td>
</tr>
<tr>
<td>Audits and reviews supported</td>
<td>19</td>
<td>n/a</td>
</tr>
</tbody>
</table>

During FY13, EFM accomplished the following:

- **Continued Development of Post Award Management System (PAMS):** The PAMS team, including ORIS and EFM staff and leadership, completed the development and test of PAMS screens. EFM presented information about the system at the UC Post Award Director’s meetings and the National Council of University Research Administrators conference. In addition, the PAMS team trained more than 30 trainers from various campus departments including EFM in preparation for the PAMS pilot deployment planned for January 2014.

- **UCPath Implementation Project:** EFM actively participated in the UCPath General Ledger Integration project to provide the team with business requirements specifically related to sponsored fund management. EFM attended numerous functional work group sessions and Conference Room Pilot workshops and reviewed functional design specification documents.

- **National Science Foundation (NSF) Award Cash Management Service (ACM$):** NSF implemented ACM$, a new system for grantees for financial reporting and cash draws (effective April 4, 2013) to increase transparency and accountability in the stewardship of Federal funds. EFM participated in the ACM$ pilot, starting from January 1, 2013.

- **Financial Reporting and Invoicing:** During FY13, EFM placed increased focus on improving operating efficiency. EFM reviewed and revised procedures to streamline existing business processes and developed and implemented new business procedures and processes. As a result, 29 operating procedure documents were developed or revised. Improvement in operating efficiency was noted in the average number of invoices and reports completed per accountant in EFM. See the table below.

<table>
<thead>
<tr>
<th>Metric</th>
<th>FY12</th>
<th>FY13</th>
<th>Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total number of invoices and reports completed in EFM</td>
<td>17,855</td>
<td>16,764</td>
<td>(-1,091)</td>
</tr>
<tr>
<td>Total number of accountants in production in EFM</td>
<td>23</td>
<td>19</td>
<td>(-4)</td>
</tr>
<tr>
<td>Monthly average number of invoices and reports completed per accountant</td>
<td>65</td>
<td>74</td>
<td>9</td>
</tr>
</tbody>
</table>

- **Quality Assurance (QA) Program:** EFM implemented a QA program to ensure the highest quality invoices and financial reports are submitted to sponsors. EFM
conducted internal audits on a monthly basis to monitor that we are in compliance with sponsor and University policies and guidelines.

- **National Science Foundation (NSF) OIG (Office of Inspector General) Audit:** UCLA is currently undergoing NSF OIG audit of NSF awards for the period of July 1, 2009 through June 30, 2012. EFM successfully submitted a complete reconciliation of the UCLA general ledger to the Federal Financial Report (FFR) and a reconciliation of the payroll subledger to general ledger for all NSF awards for the three years subject to the audit.

- **Effort Reporting:** Effort reporting compliance is an audit focus area, and EFM put significant efforts into targeted outreach to departments across campus to assist in improving on-time certification. UCLA’s average on-time certification rate and overall certification rate each increased by 9% from FY12 to FY13.

**Challenges:**

There have been significant successes during the year, yet the following challenges remain:

- **Staffing challenges:** EFM experienced loss and turnover of staff during FY13 due to layoffs, promotional opportunities on the UCLA campus, and retirement. In addition, EFM allocated staff resources to other campus initiatives such as the UC Path initiative, the FS replacement project, and the PAMS project development which placed a strain on EFM’s resources available for production.

- **Campus awareness and training in procedures and processes:** Although EFM continues to develop and document internal procedures to improve the efficiency of its internal operation, these changes alone are not sufficient to ensure 100% on-time submission and to eliminate backlogs. Performance improvement in every department managing sponsored funds is essential to achieve these goals.

- **Increasingly complex compliance requirements:** Research sponsor rules and regulations are changing constantly and becoming increasingly complex. It is a challenge to keep abreast of changing regulatory requirements, to anticipate the impact of changing requirements on the University, and to adapt our business procedures and processes to the changes.

**FUTURE PLANS**

EFM has a number of plans for the coming year including the following:

- In collaboration with ORIS, deploy the Post Award Management System (PAMS) to the UCLA research community in a Pilot involving over 100 campus users:
  - PAMS is a central web-based system that will facilitate more effective and efficient financial management of sponsored awards from activation to closing of funds. Over 400 departmental and central research administrators are expected to use PAMS to manage sponsored funds on a daily basis.
  - PAMS will automate manual processes, enable improved compliance management, streamline electronic workflow and approval process, standardize the fund closeout process, and provide financial status in real time. With these features, PAMS will improve communication and collaboration between EFM and campus departments, resulting in more efficient and accurate financial reporting.
The bar graph below highlights anticipated improvements in efficiency in generating invoices and reports. Based on the average 1,500 invoices and reports EFM generates per month, EFM is expected to save approximately 450 hours each month by using PAMS instead of current systems. EFM will utilize these saved hours to place increased focus on financial compliance monitoring to keep pace with increasingly complex sponsor requirements.

- Enhance accounts receivable monitoring to highlight causes of delays in collection in a more structured way to help us evaluate and determine the corresponding next steps. The goal is to reduce accounts receivable turnover time to improve research cash flow.
- Conduct more targeted outreach to each department on campus to increase awareness of financial procedures and processes and to conduct tailored training based on academic department performance metrics.
- Continue to build and strengthen relationships with other central offices including Corporate Financial Services, Capital Programs, Financial Aid Office, and Facility Management Services to improve processes related to research activities that cross departmental boundaries.

D. Animal Research Oversight and Safety Committee Administration

OVERVIEW

The Office of Animal Research Oversight (OARO) works with the UCLA institutional animal care and use committee (IACUC), known locally as the Chancellor’s Animal Research Committee (ARC), to oversee the use of animals in research, teaching, and testing. To ensure the humane treatment and proper care of animals at UCLA, OARO provides administrative support to the ARC for activities including the following:
- Animal protocol submission and review, including application pre-review, 
  submission processing, communicating and explaining ARC queries, and issuing 
  approvals
- Required animal user trainings
- Interpretation and application of policies and regulations
- Post-approval compliance checks of research activities
- Semi-annual facility inspections
- Semi-annual animal care and use program evaluations
- Inspection and evaluation reports
- Reports of noncompliance and/or mistreatment

OARO serves three audiences: the public, by upholding the highest legal and ethical standards 
of animal care; the University, by ensuring institutional compliance with federal, state, and local 
regulations governing the use of animals; and the research community, by facilitating thorough 
and balanced reviews of protocols designed to better mankind and improve the understanding 
of science.

KEY PERSONNEL

OARO is led by Director Jennifer Perkins. The team consists of 6 FTEs and 1 part-
time student clerk. Staff responsibilities are primarily protocol review (3 FTE) or 
compliance (2 FTE) oriented. The organizational structure is depicted to the 
right.

ACTIVITIES

The OARO supports activities that provide 
service to faculty, institutional compliance, 
and system/organizational integration that 
promotes efficiency. Accomplishments in 
the last year include the following:

- Funded three pilot studies via 
  the Vice Chancellor for Research 
  3Rs Grant Program.
- Modified ARC approval process, eliminating non-required annual reviews from 
  projects that do not utilize USDA-regulated species.
- Eliminated pre-review requirement for protocol amendments in an effort to improve 
  turn-around times for these submissions.
- Assisted with preparation of the Laboratory Disaster Plan, a comprehensive 
  document intended to provide resources to investigators in the event of an 
  emergency.
- Facilitated preparation of an MOU between UCLA and Loma Linda University for 
  oversight of the animal care and use program at the UCLA-managed White Mountain 
  Research Center in Bishop, CA.
Metrics
In FY13, UCLA received over $200 million in extramural funding to support research projects involving animals. OARO staff and ARC members processed 1,034 applications for new and continuing animal activities. In addition, staff performed 1,438 room inspections and 22 post-approval monitoring visits.

FUTURE PLANS
The future plans for OARO include the following:

- Continue to decrease protocol processing turn-around times to improve service to faculty and maintain competitive research edge
- Improve methods for preventing expiration of ongoing studies
- Work with Animal Research Resources Board (ARRB) to reduce administrative burden on faculty
- Move the animal protocol tracking system known as “RATS” from obsolete technology to a new platform
- Complete reorganization of OARO to achieve efficiencies and better serve clients
- Commence regular OARO/ARC, EH&S, and DLAM town hall meetings for research community
- Initiate integration of support for Institutional Biosafety Committee and other safety committees in support into ORA through OARO organizational restructuring

E. Human Research Protection Program & Radiation Safety Committees

OVERVIEW
The Office of the Human Research Protection Program (OHRPP), within the Office of Research Administration, is the administrative arm of the UCLA Human Research Protection Program (HRPP). It oversees the safety and welfare of participants in Human Subjects Research Projects in accordance with all applicable federal regulations, state laws and institutional policy.

The Mission of the OHRPP is to: (1) promote and facilitate the protection of rights and welfare of human research participants; (2) help ensure compliance with federal regulations, state laws and University policies as well as national standards for research involving human research participants; and (3) provide timely high-quality education, review and monitoring for human research projects.

Within OHRPP is the Office of the Radiation Safety Committees (ORSC), which provides administrative support to the Radiation Safety Committee (RSC) and its four subcommittees: the Academic Radiation Safety Committee (ARSC), the Clinical Operations Safety Committee (CORSC), the Medical Radiation Safety Committee (MRSC) and the Radioactive Drug Research Committee (RDRC).

The responsibilities of the OHRPP, including ORSC, are:
- Coordinate and support the activities of the five federally-mandated Institutional Review Boards (IRBs) responsible for reviewing and approving all human research protocols.
- Through ORSC, coordinate and support the activities of the four radiation safety committees.
- Provide and coordinate education and training for the UCLA human research community, including IRB members.
- Review and manage adverse events and protocol violations and incidents; conduct regular and for-cause on-site reviews, including investigations of allegations of noncompliance; and monitor and measure the effectiveness and quality of the HRPP.

**KEY PERSONNEL**

The structure of the OHRPP is featured below.

**ACTIVITIES**
The chart below illustrates extramural awards with research involving human subjects at UCLA in FY13.

The OHRPP oversees over 4,500 active human research protocols. In the last 12 months, OHRPP staff and IRB Committees reviewed:

<table>
<thead>
<tr>
<th>Type of Protocol</th>
<th>Full Board Review</th>
<th>Expedited Review</th>
<th>Exempt Certification</th>
</tr>
</thead>
<tbody>
<tr>
<td>New Protocols</td>
<td>476</td>
<td>1020</td>
<td>285</td>
</tr>
<tr>
<td>Continuation</td>
<td>930</td>
<td>3659</td>
<td>11</td>
</tr>
<tr>
<td>Amendment</td>
<td>542</td>
<td>4319</td>
<td>83</td>
</tr>
</tbody>
</table>

Below are some highlights from the year.

- **Reorganized OHRPP Website**: OHRPP website was redesigned to follow the updated Office of Research Administration (ORA) look. The website’s improved navigation makes information more accessible to the research community.

- **Continued to Improve IRB Review and Approval Times**: As indicated in the bar graph below, the average time for full committee review and approval for FY13 was 44 days, down from a peak in 2004–05 of 72 days. The average time for expedited review continues to be stable at 17 days.

- **Initiated 3-year Extended Approval Period**: In concert with sister UC campuses, the OHRPP implemented a procedure for granting approval for up to 3 years for non-exempt human research projects that involve no more than minimal risk to participants (as defined by 45 CFR 46.102) and are not subject to federal oversight.
Increased Integration of IRB Reviews with CTSI Partners: The OHRPP has completed IRB reviews of 15 protocols on behalf of collaborating CTSI partners, and relied on partner IRB reviews for 9 protocols to date.

Expanded Quality Improvement Activities: Expanded QI reviews to include South General Campus (SGIRB) health services research protocols.

FUTURE PLANS

The goals for OHRPP in the upcoming year include the following:

- **Implement webIRB Enhancements:** Plans to simplify selected application branching patterns will improve ease of use for investigators as well as simplify the review process for IRB staff and members. In addition, planned minor modifications to the application content will improve the ability to report data from the system for use by OHRPP, ORA, and members of the UCLA research and compliance community. User comments and requests logged by faculty and staff since go-live include changes that will improve efficiency and compliance. Enhancement requests have been prioritized for implementation.

- **Continue Developing and Expanding Use of Reliance Agreements:** The OHRPP will continue to develop policies and procedures, and to enhance existing electronic application and documentation systems to support IRB reliance agreements that reduce the number of IRB reviews required for collaborative human subjects research involving UCLA and one or more other institutions.

- **Implement Regular and Routine Training for IRB Members:** Continue to develop and refine training program for IRB members.

- **Expand Internal Quality Improvement Activities:** The OHRPP will conduct more frequent internal audits of IRB activities to confirm that the office is meeting compliance requirements and established performance standards.

- **ORSC-Specific Goals:** Collaborate with Radiation Safety Officer to develop training materials for members and researchers. Develop and maintain a comprehensive database to identify radiation producing machines and users for the UCLA campus and Health Systems.

F. Research Information Systems

OVERVIEW

Under the leadership of CIO/Director Jackson Jeng, the Office for Research Information Systems (ORIS), within ORA, supports multiple business units within UCLA’s Office of the Vice Chancellor for Research (OVCR). ORIS works integrally with ORA, RPC, and OIP-ISR leadership and RAPID workgroups to design, develop, maintain, and operate campus-wide enterprise systems critical to UCLA’s research community.

ORIS strives to be an efficient, effective and professional IT organization, leading in research administration solutions, business processes, and technology. Its mission is to:

- Deliver strategic technological innovations in collaboration with operational users, to achieve the business objectives of the research enterprise.

- Facilitate improved service, compliance, and efficiency in research administration processes.
• Architect and operate the technology infrastructure for ORA.

KEY PERSONNEL

The ORIS team structure is shown on the next page.
This diagram depicts our holistic systems strategy for the collection, integration, and presentation of research-related data to ORA and campus consumers. Data is collected from individual transactional systems and aggregated in central data warehouses. ORIS makes this information available to PIs and campus research administrators via intuitive web interfaces.
such as PI Portal and ORA Research Portal, which are built around familiar research administration processes. These applications and tools are tailored to fit our audience through continual collaboration with ORA leadership and the campus research community to understand their service needs, compliance requirements, and operational priorities and challenges.

**Service Scope and Transaction Volume:**
ORIS provides overall IT infrastructure and desktop support for 200+ staff in ORA, OIP-ISR and RPC. The extent of support includes the following:

- 2,600 Service Desk Requests per year
- 9 Campus-wide Research Enterprise Applications
- 500 Network Connected Devices
- 6,000+ Campus Users on Enterprise Applications
- 140 Servers
- 50 Transactional and Warehousing Databases
- 40 Desktop Applications and Websites
- 99.9% System Uptime; < 0.1% unplanned outages

ORIS also provides services such as project management, business data analysis, technology solution delivery and budget planning for the research enterprise applications shown in the tables that follow.

<table>
<thead>
<tr>
<th>Research Enterprise Systems</th>
<th>Annual Transaction Volume</th>
<th>No. of Users</th>
</tr>
</thead>
<tbody>
<tr>
<td>Proposal and Award Tracking System (PATS)</td>
<td>5,000 Proposals; 6,500 Awards</td>
<td>150</td>
</tr>
<tr>
<td>Faculty Research Portal (PI Portal)</td>
<td>10,000 Funds; 7,700 Profiles</td>
<td>1,000</td>
</tr>
<tr>
<td>Research Administration Portal</td>
<td>30,000 Inquiries</td>
<td>2,500</td>
</tr>
<tr>
<td>Effort Reporting System (ERS)</td>
<td>28,000 Effort Reports</td>
<td>3,000</td>
</tr>
<tr>
<td>Human Research Protocol Management (webIRB)</td>
<td>4,500 Protocols; 12,000 Reviews</td>
<td>4,800</td>
</tr>
<tr>
<td>Animal Research Protocol Management (RATS)</td>
<td>1,000 Protocols; 3,100 Reviews</td>
<td>1,800</td>
</tr>
<tr>
<td>Material Transfer Agreement Management (onlineMTA)</td>
<td>1,000 Agreements</td>
<td>700</td>
</tr>
<tr>
<td>Electronic Financial Conflict of Interest Disclosure (eDGE)</td>
<td>2,200 Disclosures</td>
<td>2,200</td>
</tr>
<tr>
<td>Patent Application Management (Inventor Portal)</td>
<td>300 Invention Disclosures</td>
<td>300</td>
</tr>
</tbody>
</table>
New Systems Currently In Development

<table>
<thead>
<tr>
<th>Project Description</th>
<th>Projected Annual Volume</th>
<th>Projected # Users</th>
</tr>
</thead>
<tbody>
<tr>
<td>Post-Award Management System (PAMS)</td>
<td>3,000 FSRs; 13,000 Invoices</td>
<td>1,500</td>
</tr>
<tr>
<td>Faculty Research Portal – New Features (PI Portal)</td>
<td>6,600 Non-Financial Deliverables</td>
<td>2,500</td>
</tr>
</tbody>
</table>

Accomplishments

<table>
<thead>
<tr>
<th>A</th>
<th>B</th>
<th>C</th>
<th>Project Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>eDGE Implementation – new electronic financial conflict of interest disclosure system</td>
</tr>
<tr>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>PATS Reimplementation – new EPASS, Award Snapshot, management reports, revised UCOP/QDB feed</td>
</tr>
<tr>
<td>✓</td>
<td></td>
<td>✓</td>
<td>PAMS Phase 1 – User Interface, Business Logic, Data Integration, Workflow Implementation</td>
</tr>
<tr>
<td>✓</td>
<td></td>
<td>✓</td>
<td>PI Portal – “My Proposals” tab, “My Other Support” function, “My Home” tab</td>
</tr>
<tr>
<td>✓</td>
<td></td>
<td>✓</td>
<td>ORA Portal – Award Status &amp; Snapshot Report (ASSR), Proposal Search &amp; Status Report (PSSR)</td>
</tr>
<tr>
<td>✓</td>
<td></td>
<td>✓</td>
<td>ORA Data Warehouse Phase 1 – QuickWin tool added 140+ new data elements from PATS</td>
</tr>
<tr>
<td>✓</td>
<td></td>
<td>✓</td>
<td>Radiation Safety Committee Review Integration in webIRB system</td>
</tr>
<tr>
<td>✓</td>
<td></td>
<td>✓</td>
<td>webIRB – version upgrade, compliance enhancement releases</td>
</tr>
<tr>
<td>✓</td>
<td></td>
<td>✓</td>
<td>IRB Reliance Database for tracking protocols approved via UC campus and CTSI member agreements</td>
</tr>
<tr>
<td>✓</td>
<td></td>
<td>✓</td>
<td>New websites for ORSC and OHRPP</td>
</tr>
<tr>
<td>✓</td>
<td></td>
<td>✓</td>
<td>UCLA Research Mobile website (<a href="http://m.research.ucla.edu">http://m.research.ucla.edu</a>)</td>
</tr>
<tr>
<td>✓</td>
<td></td>
<td>✓</td>
<td>IT Operation – enterprise data backup and recovery solution, network security enhancements</td>
</tr>
</tbody>
</table>

Challenges

- **Resource Limitations**: Deploying staff to new development projects limits the resources that are available for optimal maintenance and enhancement of existing systems. In addition to supporting recently implemented system capabilities such as eDGE, RSC management, IRB Reliance database and PAMS, ORIS anticipates new...
development projects such as implementing an IBC management system, replacing the 13-year-old ARC management system, and continuing to expand the ORA data warehouse, PI Portal, and Research Portal.

- **Increased Complexity in Systems Environment:** New campus and UCOP systems initiatives such as UCPath, FSRP, OPUS, REMS, and Clinical Trials Management System (CTMS), increase the complexity of the University’s overall systems environment. Due to data or process interdependencies between research, clinical, and academic functions, existing ORA systems must be updated to integrate with these new campus systems.

- **Staff Training Constraints:** The rapid advancement of technology directly impacts ORIS and our ability to provide technology services to research administration. A new generation of technology is typically developed every 12-18 months, and IT staff must stay abreast of these developments to keep their skills current and remain relevant. On-going technical training is a critical element of our professional growth.

### FUTURE PLANS

<table>
<thead>
<tr>
<th>A</th>
<th>B</th>
<th>C</th>
<th>Project Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>Implement Institutional Biosafety (IBC) protocol management system</td>
</tr>
<tr>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>Consolidate safety committee management tools (RSC, IBC, ChemPhys Safety, etc.)</td>
</tr>
<tr>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>Replace 13-year-old ARC management system (RATS)</td>
</tr>
<tr>
<td>✓</td>
<td>✓</td>
<td></td>
<td>PATS Phase 2 – Campus-facing electronic proposal intake, system integrations (UCPath, S2SGrants)</td>
</tr>
<tr>
<td>✓</td>
<td>✓</td>
<td></td>
<td>PAMS Phase 1 – System Testing, User Training, Pilot Roll-out, Campus-wide Deployment</td>
</tr>
<tr>
<td>✓</td>
<td>✓</td>
<td></td>
<td>ORA Data Warehouse Phase 2 – Optimize data structure, metrics &amp; reports automation for C&amp;G data</td>
</tr>
<tr>
<td>✓</td>
<td>✓</td>
<td></td>
<td>Implement ORA, OCGA, OARO, OIBC websites</td>
</tr>
<tr>
<td>✓</td>
<td>✓</td>
<td></td>
<td>Expand enterprise application for mobile-device compatibility</td>
</tr>
<tr>
<td>✓</td>
<td></td>
<td></td>
<td>Modernize ORA infrastructure, platform, and software into appropriate cloud-based solution</td>
</tr>
</tbody>
</table>
G. Research Data Management

OVERVIEW

The Office of Research Data Management (ORDM) maintains the official institutional record of research proposal and award information, representing nearly $900 million in annual research awards in FY13. ORDM provides services to and works closely with the Office of Contract and Grant Administration (OCGA), Extramural Fund Management (EFM), Clinical Trials Administration Office (CTAO), and the Industry Sponsored Research (ISR) Office to collect and document key data to meet compliance requests and growing needs for specialized reports to support ORA and campus planning. Shared stewardship of data calls for ORDM to collect and manage essential financial, compliance and administrative information throughout the life cycle of a contract or grant, and to ensure data integrity. ORDM is also responsible for setting up research fund accounts in the campus financial system in order to make contract and grant funding available to Principal Investigators. In addition, ORDM is primarily responsible for generating data and coordinating responses with content experts to satisfy ad hoc requests for reports of research administration data.

KEY PERSONNEL

ORDM is led by Director Rory Constancio. The structure of the team is shown in the organizational chart below.

Office of Research Data Management

ACTIVITIES & CHALLENGES

Below is a summary of the volume of account set-up and maintenance transactions for awards in 2012-13.

<table>
<thead>
<tr>
<th>Transaction Type</th>
<th>Total # of Transactions</th>
<th>Dollar Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>New/Renewal Awards</td>
<td>1,752</td>
<td>$324 million</td>
</tr>
<tr>
<td>Award Modifications/Amendments</td>
<td>2,486</td>
<td>$569 million</td>
</tr>
</tbody>
</table>
### Transaction Type
<table>
<thead>
<tr>
<th>Transaction Type</th>
<th>Total # of Transactions</th>
<th>Dollar Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>No Cost Extension</td>
<td>956</td>
<td>N/A</td>
</tr>
<tr>
<td>Total</td>
<td>5,194</td>
<td>$893 million</td>
</tr>
</tbody>
</table>

Below is a list of ORDM accomplishments:

- **Award Documentation and Set-up**: ORDM achieved a high-priority operational goal to consistently complete full data entry and fund number assignment for awards within two (2) business days of receipt from OCGA, ISR, or CTAO. This streamlined process has improved set-up times to make research funds more promptly available to faculty.

- **Proposal Data Collection**: ORDM achieved another operational goal to consistently complete full data entry of proposals within 3-5 business days of receipt from OCGA or ISR. This effort makes proposal information more immediately accessible to faculty through the PI Portal.

- **Email Notification to PI/Researchers**: For each of the 5,100 award transactions that were completed for fiscal year 2012-13, ORDM distributed a congratulatory email to the PI and the respective department administrator. The notice includes brief information about their award, links to resources such as the Research Portal and PI Portal, and OCGA contact information.

- **ORA Annual Report of Sponsored Awards**: Published a significantly enhanced annual report of sponsored awards containing a variety of breakdowns and comparisons for awarded dollars by sponsor, transaction type, campus organizations, and research expenditures.

- **Report on Anticipated/Committed Award Funds**: Reported for the first time based on award data as of January 2013, $657.2 million in future commitments of direct costs and $196.0 million in anticipated F&A recoveries through FY20. The expanded data capture in PATS made it possible to develop a forecast that was never available before.

- **Data Governance Team & Reporting Structure**: Established a Data Governance Team and organizational structure to manage customized report requests from the campus research community (n = 40 for FY13). The Data Governance Team consists of ORA leadership content experts to provide guidance on query design and review the consistency and accuracy of reports generated. A Proposal and Award Report Request form was created to standardize incoming requests to then be prioritized and scheduled for delivery.

- **PATS Implementation**: Participated in the successful implementation of PATS in June 2012. This effort included establishment of new business processes to support expanded data capture.

The following table is one example that reflects the volume of proposals and awards by Program Type that were entered by ORDM in FY13.
<table>
<thead>
<tr>
<th>Program Types</th>
<th>Distinct Award Count</th>
<th>Award Transactions</th>
<th>Awarded Dollars</th>
<th>Proposal Transactions</th>
<th>Requested Dollars</th>
</tr>
</thead>
<tbody>
<tr>
<td>Research</td>
<td>2,902</td>
<td>3,707</td>
<td>$649,961,585</td>
<td>3,993</td>
<td>$2,601,830,008</td>
</tr>
<tr>
<td>Training</td>
<td>438</td>
<td>507</td>
<td>$ 59,240,221</td>
<td>491</td>
<td>$ 123,068,204</td>
</tr>
<tr>
<td>Public Service</td>
<td>321</td>
<td>393</td>
<td>$129,928,237</td>
<td>365</td>
<td>$ 115,526,101</td>
</tr>
<tr>
<td>Clinical Trials</td>
<td>418</td>
<td>485</td>
<td>$ 49,850,396</td>
<td>272</td>
<td>$ 41,080,485</td>
</tr>
<tr>
<td>Other Program Types</td>
<td>88</td>
<td>102</td>
<td>$ 4,622,877</td>
<td>239</td>
<td>$ 13,088,931</td>
</tr>
<tr>
<td>Total</td>
<td>4,167</td>
<td>5,194</td>
<td>$893,603,316</td>
<td>5,360</td>
<td>$2,894,593,729</td>
</tr>
</tbody>
</table>

**Challenges**

The following factors present challenges to ORDM.

- *Streamline Business Process & Procedure:* Continue to maintain and improve data collection processes and data consistency.
- *Integration of PATS Data with Emerging Campus Data Repositories:* As indicated in the Data Relationships image below, PATS data is used extensively by other ORA and campus systems. We will continue to face complexities in defining and mapping research administration data to other ORA systems and campus systems.

![Contracts & Grants – Data Relationships Diagram](image_url)
FUTURE PLANS

The future plans for ORDM are as follows:

- **Participate in ORA Initiative to Develop an On-line EPASS Submission Tool:** Work with OCGA and ORIS to develop an on-line EPASS to provide data validation for complete submissions and reduce data entry time for all.

- **Checklist of Critical Data Elements:** Develop a desk reference tool to support consistency and accuracy of critical data capture. The desk reference tool will be a simple single-page document to reduce discrepancies in understanding of key data elements. The goal is to identify data elements that are critical to reporting and to completing award set-up.

- **Improved Data Deployment to Campus:** Work with ORIS to develop improved mechanisms for delivering relevant data sets to campus departments to support their data analysis and ad hoc reporting needs.

H. Business & Finance Office

OVERVIEW

The Office of Business and Financial Services (OBFS) provides the business services infrastructure for the seven units within the Office of Research Administration and three other units falling under the Office of the Vice Chancellor for Research. The OBFS supports an annual budget of approximately $28 million for an organization that includes over 230 staff members and 28,000 square feet of office space on two floors. The primary responsibilities of OBFS include human resources/payroll; financial reporting, monitoring, and analysis; purchasing and reimbursements; and building operations.

OBFS’s primary goal is to manage efficiently all resources (people, money, and property) with the highest levels of professionalism, ethics, and solution-oriented customer service in support of the OVCR staff.

KEY PERSONNEL

The OBFS team is led by Director Rory Constancio. The team is organized as set forth in the organizational chart below.
ACTIVITIES & CHALLENGES

Below is a summary of some of the transactions performed by the OBFS during FY13:

<table>
<thead>
<tr>
<th>Transaction Type</th>
<th>Total Transactions</th>
<th>Dollar Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Purchases</td>
<td>686</td>
<td>$3,280,000</td>
</tr>
<tr>
<td>Reimbursements</td>
<td>196</td>
<td>$97,000</td>
</tr>
<tr>
<td>Maintenance/Renovations/Repairs</td>
<td>752</td>
<td>$72,000</td>
</tr>
<tr>
<td>Front Desk Intake</td>
<td>1,564</td>
<td>N/A</td>
</tr>
</tbody>
</table>

**Accomplishments**

- **Web-based Time Reporting System (TRS):** Successful transition from paper-based time reporting to TRS that routes approvals with electronic signatures. Implementation of TRS identified limitations and system bugs that were managed locally by the expertise of the OBFS payroll staff to ensure all employees were paid accurately and on-time over the past year.

- **Campus Vacation Accrual Maximum:** Implemented enforcement of campus policy effective July 1st. Over the past year OBFS proactively provided monthly reports to unit directors of current vacation balances for their respective employees. Communication strategies proved to be effective so that only two of the 230 plus staff have exceeded the maximum with exceptions approved.

- **Established a Project-based costing model:** Established a project coding matrix that easily identifies expenses associated with major initiatives/projects by using the Financial System as the data source. The separate accounting of project-based development costs (investments in campus research administration infrastructure), maintenance costs of successful development initiatives, and core operational costs meets the budget requirements of the VCR and ORA organizations.

**Challenges**

- **OBFS Restructuring:** Budgeting within an organization that implements broad transformative initiatives will continue to require close attention. The State budget...
reductions resulted in the loss of several FTE in ORA including a permanent full-time position in OBFS. OBFS has permanently restructured workload, implemented efficiencies, and prioritized essential operations in an effort to maintain, and in some cases improve, quality and responsiveness of service.

**FUTURE PLANS**

- *Operations Services Trouble-call System*: Manual tracking of a high volume of service requests for a wide range of building maintenance/repairs is cumbersome and inefficient. Maintenance and service requests tripled compared to last year, which is symptomatic of occupying space originally not built for office space. We plan to utilize iSupport software as an incident management tool for managing, monitoring, and seeing through to completion service requests made to the Operations area. The software was leveraged with ORIS’s existing platform to minimize cost. Reporting features will help identify recurring patterns and trends, and metrics will assist with improving the overall quality of service.

- *OBFS Website*: The majority of the content for the OBFS Intranet has been transitioned to a website environment with deployment planned after internal management review is complete. The goal of the website is to communicate standard internal processes and procedures and make them readily accessible to OVCR staff on a self-service basis.

- *Create Metrics for the Human Resources/Payroll area*: Current OBFS metrics are focused on financial transactions, and it will be important to examine workload and performance of HR/Payroll via transactional data, including turnaround times. The iSupport software may prove useful in achieving some meaningful metrics in this area, which will be evaluated in the coming year.
IX. CONCLUDING REMARKS

It is a privilege to serve the faculty, student, staff, and external stakeholders of the UCLA community. As is evident from the previous pages, there is significant activity in our organization, all designed to enhance UCLA research, scholarship, and contribution to society.
<table>
<thead>
<tr>
<th>Acronym or Term</th>
<th>Full Name and/or Definition</th>
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</thead>
<tbody>
<tr>
<td>FTE</td>
<td>Full-time employees</td>
</tr>
<tr>
<td>3 R’s Grant Program</td>
<td>UCLA grant program to examine Replacement, Refinement and/or Reduction in use of animals in research activities.</td>
</tr>
<tr>
<td>AAHRPP</td>
<td>Association of Accreditation of Human Research Protection Programs. UCLA had a successful AAHRPP site visit in February 2012.</td>
</tr>
<tr>
<td>ARB</td>
<td>California Air Resources Board</td>
</tr>
<tr>
<td>ARC</td>
<td>Animal Research Committee. This is the UCLA independent animal research committee charged with the responsibility of overseeing the entire animal care and use program. It is a Chancellorial committee.</td>
</tr>
<tr>
<td>ARRB</td>
<td>Animal Research Resources Board. This is a newly formed faculty committee that is responsible for evaluating the status of animal resources available at UCLA. This board replaces the former vivarium research resources advisory committee.</td>
</tr>
<tr>
<td>ARSC</td>
<td>Academic Radiation Safety Committee. One of the four radiation safety subcommittees. The ARSC is responsible for ensuring the safe conduct of radiological procedures in non-human indications.</td>
</tr>
<tr>
<td>AVC</td>
<td>Associate Vice Chancellor</td>
</tr>
<tr>
<td>AVCRE</td>
<td>Associate Vice Chancellor for Research &amp; Executive Director of Entrepreneurship. This a new position for which there was a recruitment in 2011. The new AVCRE is Brendan Rauw.</td>
</tr>
<tr>
<td>BIA</td>
<td>Bureau of Indian Affairs</td>
</tr>
<tr>
<td>BIP</td>
<td>Biomedical Informatics Program. One of nine programs in the UCLA Clinical and Translational Science Institute. This program leverages expertise and resources in data management to provide databases, tools, resources and infrastructure for the acquisition, storage and analysis of data. It provides the online infrastructure and support for the Office of Investigator Services.</td>
</tr>
<tr>
<td>BMBL</td>
<td>Biosafety in Microbiological and Biomedical Laboratories.</td>
</tr>
<tr>
<td>BSC</td>
<td>The Business of Science Center.</td>
</tr>
<tr>
<td>Acronym or Term</td>
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</tr>
<tr>
<td>BSCRC</td>
<td>UCLA Broad Stem Cell Research Center. This center is referenced due to its role as the administrative home for the Human Pluripotent Stem Cell Research Oversight committee.</td>
</tr>
<tr>
<td>BSL-2, BSL-3, BSL-4</td>
<td>Biosafety Level 2, Biosafety Level 3, or Biosafety Level 4. This is an official designation used for laboratories to indicate the level of the biocontainment precautions required to isolate dangerous biological agents in an enclosed facility. UCLA has 2 accredited BSL-3 facilities and an additional BSL-3 facility pending accreditation.</td>
</tr>
<tr>
<td>Cal OSHA</td>
<td>California Division of Occupational Safety and Health (also known as Cal/OSHA) responsible for protecting workers and the public from safety hazards. This agency is referenced in the high containment facility section [Section V-F] of this report in the context of required trainings.</td>
</tr>
<tr>
<td>CCRR</td>
<td>Clinical and Community Research Resources Program. One of nine programs in the UCLA Clinical and Translational Science Institute. This program supports and supervises human studies and clinical trials.</td>
</tr>
<tr>
<td>CDC</td>
<td>Centers for Disease Control &amp; Prevention. CDC establishes one set of guidelines that the Institutional Biosafety Committee follows in determining the type of review that is required for research involving specific materials or techniques.</td>
</tr>
<tr>
<td>CERP</td>
<td>Community Engagement in Research Program. One of the nine program areas of the UCLA Clinical Science Translational Institute. This program serves as the primary link to the diverse Los Angeles community helping the scientists identify research relevant to community needs.</td>
</tr>
<tr>
<td>CID/C</td>
<td>Center for Integrated Development, Cameroon, a vision created by Professor Thomas B. Smith and collaborators.</td>
</tr>
<tr>
<td>CIRC</td>
<td>Conflict of Interest Review Committee. UCLA committee that is responsible for reviewing the personal financial interests reported by Investigators to determine whether those financial interests, and occasionally certain institutional interests, constitute conflicts of interest that might compromise, or potentially compromise, the objectivity of the work to be conducted. The Committee functions as an administrative board advisory to the Vice Chancellor for Research. Committee members are appointed by the Chancellor.</td>
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<tr>
<td>CIRM</td>
<td>California Institute for Regenerative Medicine. State agency established in 2005 responsible for the oversight of the derivation of and research with human embryonic stem cells.</td>
</tr>
<tr>
<td>CLS</td>
<td>University of California Center for Laboratory Safety</td>
</tr>
<tr>
<td>COR</td>
<td>Council on Research. An Academic Senate Committee. The VCR and VCR Cabinet have worked closely with COR on several initiatives this year including the Transdisciplinary Seed Grants.</td>
</tr>
<tr>
<td>CORSC</td>
<td>Clinical Operations Radiation Safety Committee. One of the four radiation safety subcommittees. The CORSC is the newly formed subcommittee responsible for ensuring the safe conduct of radiological procedures in clinical care.</td>
</tr>
<tr>
<td>CPSC</td>
<td>Chemical and Physical Safety Committee. This committee was previously referred to as the Laboratory Safety Committee. It focuses on chemical and physical safety hazards in research laboratories.</td>
</tr>
<tr>
<td>CTAO</td>
<td>Clinical Trials Admission Office</td>
</tr>
<tr>
<td>CTRC</td>
<td>Clinical and Translational Research Centers</td>
</tr>
<tr>
<td>CTLA</td>
<td>CleanTech Los Angeles. CleanTech LA brings together business, government, and academia to grow the cleantech sector in Los Angeles, promoting sustainability and economic growth.</td>
</tr>
<tr>
<td>CTSA</td>
<td>Clinical and Translational Science Award. An award from the National Institutes of Health created to enhance the “bench-to-bedside” sentiment of translational research and encourage researchers to conduct their work in a manner that leads to practical results. UCLA was awarded a CTSA in 2011. There are 59 other participating universities and medical centers.</td>
</tr>
<tr>
<td>CTSI</td>
<td>Clinical and Translational Science Institute also known as UCLA CTSI. Partnership of Cedars-Sinai Medical Center, Charles Drew University of Medicine and Science, Los Angeles Biomedical Research Institute at Harbor-UCLA Medical Center, and the University of California, Los Angeles to work together to uncover solutions for the health problems that are most prevalent to the diverse population of Los Angeles County. UCLA is honored with funding along with 59 other participating universities and medical centers, with a Clinical and Translational Science Award (CTSA) from the National Institutes of Health (NIH). The NIH created the CTSA to enhance the “bench-to-bedside” sentiment of translational research and encourage researchers to conduct their work in a manner that leads to practical results.</td>
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<tr>
<td>CTSI-ED</td>
<td>Research Education, Training and Career Development. One of nine programs in the UCLA Clinical and Translational Science Institute. This program houses most of the education and training activities. It builds on collaborations with other CTSI programs to identify training and education needs and opportunities. It ensures CTSI trainees acquire the core competencies needed to conduct multidisciplinary research, and to integrate community priorities and input into research.</td>
</tr>
<tr>
<td>CTT</td>
<td>Center for Translational Technologies. One of nine program areas of the UCLA Clinical and Translational Science Institute. This program links scientific teams with online core technologies.</td>
</tr>
<tr>
<td>DGSOM</td>
<td>David Geffen School of Medicine at UCLA.</td>
</tr>
<tr>
<td>DHHS</td>
<td>United States Department of Health and Human Services. The United States government’s principal agency for protecting the health of all Americans and providing essential human services. DHHS is one of several agencies that provides specific guidelines for conducting research involving humans.</td>
</tr>
<tr>
<td>DLAM</td>
<td>Division of Laboratory Animal Medicine: This is the campus unit that is responsible for the care of research animals.</td>
</tr>
<tr>
<td>DSAT</td>
<td>Division of Select Agents and Toxins. Division under the Centers for Disease Control and Prevention (CDC). The DSAT administers the CDC’s Select Agent Program that regulates the possession, use, and transfer of certain biological agents and toxins that pose a severe threat to public health and safety, and the importation of etiological agents and vectors of human disease.</td>
</tr>
<tr>
<td>eDGE</td>
<td>Electronic Disclosure Gateway. The new web-based disclosure system for conflicts of interest that was launched in summer 2012.</td>
</tr>
<tr>
<td>EFM</td>
<td>Extramural Fund Management. EFM is one of 7 departments falling under the Office of Research Administration. It is responsible for providing financial management services to support the sponsored research program (&gt; $1B per year).</td>
</tr>
<tr>
<td>EH&amp;S (EHS)</td>
<td>UCLA Office of Environment, Health &amp; Safety. This office is within the reporting structure of the Vice Chancellor for Administration. Among various responsibilities, this office oversees a comprehensive training and inspection program aimed at ensuring lab safety.</td>
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<tr>
<td>EIR</td>
<td>Entrepreneurship-in-Residence Program. A new program originated by the Office of Intellectual Property &amp; Industry Sponsored Research that brings experienced entrepreneurs to campus to serve as mentors for faculty.</td>
</tr>
<tr>
<td>EPASS</td>
<td>Extramural Proposal Approval and Submission Summary. This UCLA form is used for the review and approval of applications or proposals to be submitted to extramural funding agencies by the Office of Contract and Grant Administration (OCGA), Office of Intellectual Property – Industry Sponsored Research (OIP-ISR), and/or the DGSOM Clinical Trial Contract Unit (CTCU).</td>
</tr>
<tr>
<td>ERS</td>
<td>Effort Reporting System. UCLA’s system for certifying to the granting agencies that the effort required as a condition of the award has actually been completed. Federal regulations require that any individual committing effort on a federal or federal flow-through contract or grant certify that the salary charged or cost shared by the institution is reasonable in relation to the effort expended on that project.</td>
</tr>
<tr>
<td>ESCRO</td>
<td>UCLA Embryonic Stem Cell Research Oversight (ESCRO) committee. This committee was formed in 2006 in response to a call from the National Academies of Science and the California Institute for Regenerative Medicine (CIRM) for oversight of the derivation of and research with human embryonic stem cells (hESC). The name of the committee was recently changed to hPSCRO to reflect the changing scope as a result of the research advancement that enables reprogramming of human somatic cells and the derivation of induced pluripotent stem cells.</td>
</tr>
<tr>
<td>EVC</td>
<td>Executive Vice Chancellor and Provost. This position is held by Scott Waugh.</td>
</tr>
<tr>
<td>FAC</td>
<td>Faculty Advisory Committee for the RAPID project. This committee was formed to provide the RAPID team with insight to the greatest needs and highest priorities of the research faculty.</td>
</tr>
<tr>
<td>FDA</td>
<td>Food &amp; Drug Administration. The FDA is one of several agencies that provides specific guidelines for conducting research involving humans.</td>
</tr>
<tr>
<td>FSPH</td>
<td>UCLA Jonathan and Karin Fielding School of Public Health.</td>
</tr>
<tr>
<td>FTE</td>
<td>Full Time Equivalent. A unit that indicates the workload of an employed person as a percentage.</td>
</tr>
<tr>
<td>GSEIS (and GSE&amp;IS)</td>
<td>Graduate School of Education and Information Studies</td>
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<tr>
<td>HASIS</td>
<td>Humanities, Arts, Architecture, Social and Information Sciences Collaborative a group within the Institute of Digital Research and Education (IDRE).</td>
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<tr>
<td>hESC</td>
<td>Human Embryonic Stem Cells.</td>
</tr>
<tr>
<td>hPSC</td>
<td>Human Pluripotent Stem Cells.</td>
</tr>
<tr>
<td>hPSCRO Committee</td>
<td>Human Pluripotent Stem Cell Research Oversight Committee. The UCLA Human Pluripotent Stem Cell Research Oversight committee ensures that UCLA human pluripotent stem cell (hPSC) research meets the highest scientific and ethical standards as well as compliance with California law. This committee replaced ESCRO.</td>
</tr>
<tr>
<td>HRPB</td>
<td>Human Research Policy Board. This board is advisory to and its members are appointed by the Executive Vice Chancellor. The board is responsible for overall policy review related to protecting human subjects involved in research.</td>
</tr>
<tr>
<td>HRPP</td>
<td>Human Research Protection Program. UCLA’s Human Research Protection Program which is administered by the Office of Human Research Protection Program.</td>
</tr>
<tr>
<td>HSSEAS</td>
<td>Henry Samueli School of Engineering &amp; Applied Sciences.</td>
</tr>
<tr>
<td>IACUC</td>
<td>Institutional Animal Care and Use Committee. This is the official term for one committee with which the Office of Animal Research Oversight works to ensure compliance.</td>
</tr>
<tr>
<td>IBC</td>
<td>Institutional Biosafety Committee. This UCLA committee fulfills the commitment to ensure that biological research on the UCLA campus, and by UCLA faculty, is performed according to approved standards of safety and ethics. The committee is appointed by the Vice Chancellor for Research.</td>
</tr>
<tr>
<td>IDRE</td>
<td>UCLA Institute of Digital Research and Education. IDRE is cooperative of faculty and technologists working to advance the existing body of computing knowledge and expertise at UCLA.</td>
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<tr>
<td>IoES</td>
<td>UCLA Institute of the Environment and Sustainability.</td>
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<tr>
<td>IRB</td>
<td>Institutional Review Board. The IRB is the group formally designated by UCLA to review, approve, require modifications to, or disapprove human subjects research conducted under the aegis of UCLA. Additional responsibilities include review of unanticipated problems, investigations of allegations of noncompliance and prompt reporting to the Institutional Officials and governmental agencies if required. UCLA has five separate IRBs. The IRBs are supported by the Office of Human Research Protection Program within the Office of Research Administration</td>
</tr>
<tr>
<td>ISR</td>
<td>Industry Sponsored Research. Research funded by industry pursuant to a written agreement. These agreements are negotiated by the Office of Intellectual Property &amp; Industry Sponsored Research.</td>
</tr>
<tr>
<td>ITA</td>
<td>Institute of Technology Advancement. An on campus technology commercialization resource located in HSSEAS.</td>
</tr>
<tr>
<td>JCCC</td>
<td>UCLA Jonsson Comprehensive Cancer Center</td>
</tr>
<tr>
<td>LACI</td>
<td>Los Angeles Cleantech Incubator. LACI is a non-profit organization funded by the CRA/LA and the LADWP for the City of Los Angeles. In partnership with UCLA, USC, Caltech and Jet Propulsion Laboratory, LACI aspires to accelerate the commercialization of their clean technologies in addition to accelerating new products developed by independent entrepreneurs. LACI is a result of the Clean Tech Los Angeles (CTLA) alliance among the Mayor’s office, the City’s universities, the Los Angeles County Economic Development Corporation, the Los Angeles Business Council, the Los Angeles Area Chamber of Commerce, LADWP and the CRA/LA. Mike Swords from the Strategic Research Initiatives group works closely with LACI.</td>
</tr>
<tr>
<td>LSO</td>
<td>Limited Submission Opportunity. A funding opportunity where the sponsor limits the number of applications that may be submitted by UCLA. Most LSOs are coordinated by the Office of the Vice Chancellor for Research.</td>
</tr>
<tr>
<td>MAE</td>
<td>Mechanical and Aerospace Engineering</td>
</tr>
<tr>
<td>MIMG</td>
<td>Department of Microbiology, Immunology, and Molecular Genetics</td>
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<tr>
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</table>
| MIRB1, MIRB2, MIRB3, | Three of the five UCLA Institutional Review Boards.  
| | Medical IRB1 (MIRB1) reviews general and internal medicine, infectious diseases, and dental and ophthalmologic research.  
| | Medical IRB2 (MIRB2) reviews oncology and hematology research.  
<p>| | Medical IRB3 (MIRB3) reviews neuroscience, neurology, psychiatric, drug abuse, and related behavioral science. |
| MOU | Memorandum of Understanding. |
| MRL | MacDonald Research Laboratory |
| MRSC | Medical Radiation Safety Committee. One of the four radiation safety subcommittees. The MRSC is responsible for evaluating proposals that involve radiological procedures in medical research. |
| MT | Mycobacterium Tuberculosis. Pathogen currently under study at the two approved high containment facilities. |
| MTA | Material Transfer Agreement. Type of agreement used to govern incoming and outgoing research materials. These agreements are negotiated by the Office of Intellectual Property &amp; Industry Sponsored Research. |
| NAGPRA | Native American Graves Protection and Repatriation Act. A federal law requiring inventories of human remains and funerary objects, and summaries of potentially eligible cultural material for the purpose of repatriation. UCLA has a NAGPRA unit which ensures compliance with the law. |
| NGIRB | North Campus General Institutional Review Board. One of the five UCLA Institutional Review Boards. The NGIRB reviews research from the College of Letters &amp; Science and the Professional Schools. |
| NHLBI | National Heart, Lung, and Blood Institute. The NHLBI is within the National Institutes of Health (NIH) |
| NIH | National Institutes of Health. |
| NSF | National Science Foundation |</p>
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<tr>
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</thead>
<tbody>
<tr>
<td>OARO</td>
<td>Office of Animal Research Oversight. One of 7 departments within ORA. This office provides support to the three committees involved with animal research so they may carry out their federally-mandated functions.</td>
</tr>
<tr>
<td>OBFS</td>
<td>Office of Business &amp; Financial Services. One of 7 departments within ORA. This office provides business services to ORA and other units falling under the Office of the Vice Chancellor for Research.</td>
</tr>
<tr>
<td>OCGA</td>
<td>Office of Contract &amp; Grant Administration. One of 7 departments falling under the Office of Research Administration. It is responsible for supporting proposal development, submitting proposals, negotiating contracts, accepting and processing award documents and interpreting sponsor guidelines.</td>
</tr>
<tr>
<td>OHRP</td>
<td>Office for Human Research Protection. Federal office within the United States Department of Health and Human Services. This office is one of several agencies that provides specific guidelines for conducting research involving humans.</td>
</tr>
<tr>
<td>OHRPP</td>
<td>Office of the Human Research Protection Program. One of 7 departments within ORA—this UCLA office, is the administrative arm of the UCLA Human Research Protection Program. It oversees the safety and welfare of participants in human subject research projects in accordance with all applicable federal regulations, state laws and institutional policy.</td>
</tr>
<tr>
<td>OIBC</td>
<td>UCLA Office of Institutional Biosafety Committee.</td>
</tr>
<tr>
<td>OIG</td>
<td>Office of Inspector General</td>
</tr>
<tr>
<td>OIP-ISR</td>
<td>Office of Intellectual Property &amp; Industry Sponsored Research. This UCLA office joined the Office of the Vice Chancellor for Research in July 2011. It is responsible for management of invention disclosures from all parts of campus; protection of intellectual property through patenting and copyrighting; licensing and optioning UCLA intellectual property to existing or startup companies; contracting with industry for sponsored research; contracting for incoming and outgoing research materials under material transfer agreements; and contracting for research activities (such as fellowships and fellowship programs, seminars and other programming, etc.) and unfunded contracts (such as non-disclosure or confidentiality agreements).</td>
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<tr>
<td>OIT</td>
<td>Office of Information Technology. The Office of the Vice Chancellor for Research and OIT have worked together to initiate a strategic planning process for research informatics in recognition of the need to specifically identify current and future research directions and to anticipate the types of data that people will be using, how it is collected, processed, accessed, analyzed, leveraged and shared.</td>
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<tr>
<td>OPUS</td>
<td>OPUS is the term used to describe the faculty information system that is currently under development for the campus.</td>
</tr>
<tr>
<td>ORA</td>
<td>Office of Research Administration. This is the office of record for UCLA research administration, which in FY11 supported more than $1 billion in contract and grant awards, $930 million in sponsored project expenditures, 5,500 active human and animal protocols, and tens of thousands of transactions related to proposal submission, award administration, financial management, compliance monitoring, external audit and reporting. ORA staff members are the central points of contact for Principal Investigators and staff members seeking assistance with research administration matters, and ORA staff serve as authorized institutional officials for UCLA in communications with research sponsors and regulatory agencies.</td>
</tr>
<tr>
<td>ORDM</td>
<td>Office of Research Data Management. One of 7 departments within Office of Research Administration. This office maintains the official institutional record of proposal and award information.</td>
</tr>
<tr>
<td>ORIS</td>
<td>Office of Research Information Systems. One of 7 departments within the Office of Research Administration. The Office of Research Information Systems provides information technology support and business analysis services to the departments within the UCLA Office of Research Administration, Office of Intellectual Property-Industry Sponsor Research, and Research Policy and Compliance. It works with these functional units to design, develop and deploy systems to support research administration requirements and research system users campus-wide.</td>
</tr>
<tr>
<td>ORSC</td>
<td>Office of the Radiation Safety Committees. This office was recently created to provide administrative support to the Radiation Safety Committee and its four subcommittees. The ORSC is a unit within the Office of the Human Research Protection Program (OHRPP), which is one of the 7 departments within the Office of Research Administration (ORA).</td>
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<tr>
<td>OVCR</td>
<td>Office of the Vice Chancellor for Research. Term used to refer to the organization falling under the responsibility of the Vice Chancellor for Research. This office encompasses the following functions described in greater detail in this Annual Report: (1) Research, Safety, Policy &amp; Compliance; (2) Research Development &amp; Support; (3) Entrepreneurship, Technology Transfer &amp; Industry Sponsored Research; and (4) Office of Research Administration.</td>
</tr>
<tr>
<td>PAMS</td>
<td>Post Award Management System. This is a web-based post-award management tool, used in the Office of Research Administration, that will replace the RAPID Close-Out Tool.</td>
</tr>
<tr>
<td>PATS</td>
<td>Proposal &amp; Award Tracking System. This is a new web-based system being implemented in OCGA to track proposals and awards.</td>
</tr>
<tr>
<td>PHS</td>
<td>U.S. Public Health Service. A primary division within the U.S. Department of Health &amp; Human Services. This division is responsible for promulgating and ensuring compliance with policies and laws that are designed to protect, promote, and advance the health and safety of the Nation.</td>
</tr>
<tr>
<td>PHS FCOI</td>
<td>U.S. Public Health Service Financial Conflict of Interest.</td>
</tr>
<tr>
<td>PI</td>
<td>Principal Investigator. This term is to refer to the lead scientist for a particular funded project, study or trial. In the case of federal funding, it is the person who takes direct responsibility for completion of a funded project, directing the research and reporting directly to the funding agency.</td>
</tr>
<tr>
<td>PI Portal</td>
<td>UCLA web-based tool that provides real-time research financial information to Principal Investigators.</td>
</tr>
<tr>
<td>Pilot/Collaborative Program</td>
<td>Pilot and Collaborative Translational and Clinical Studies Program. One of nine programs in the UCLA Clinical and Translational Science Institute. This program is designed to drive research within UCLA CTSI. It assembles new transdisciplinary teams of senior and junior investigators; provides seed funding; fosters collaborations among basic, clinical and community researchers; provides funding for development of novel methodologies; assists the transition of research from preclinical to Phase I clinical trials; and recruits new translational faculty.</td>
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<tr>
<td>QDB</td>
<td>UCLA Query Data Base. This database provides administrative data and processed information in readily usable formats, enabling departments to create independent executive information systems and do ad-hoc reporting. A challenge currently faced by the Office of Research Data Management is defining and mapping research administration data to other research administration tools and to campus systems and data warehouses including QDB.</td>
</tr>
<tr>
<td>RAPID</td>
<td>Research Administration Process Improvement &amp; Deployment. This is a long-term project led by the Office of Research Administration that has delivered comprehensive, systematic, innovative and effective performance improvements in research administration. Marcia Smith, Associate Vice Chancellor, is the Project Director.</td>
</tr>
<tr>
<td>RATS</td>
<td>Research Application Tracking System. This system was developed to facilitate and enhance the animal research protocol approval process for the research community at UCLA. RATS empowers investigators with the ability to create, submit, and manage their protocols via a web browser.</td>
</tr>
<tr>
<td>RCR</td>
<td>Responsible Conduct of Research. RCR training provides necessary tools for building a solid foundation for research integrity. It is designed to increase morale within research groups, reduce stress, and increase the likelihood of successful research activities. The OVCR is in the process of implementing a campus-wide program in the responsible conduct of research.</td>
</tr>
<tr>
<td>RDRC</td>
<td>Radioactive Drug Research Committee. One of the four radiation safety subcommittees. The RDRC is responsible for evaluating basic research proposals involving the use of radioactive drugs in humans without an Investigational New Drug Application.</td>
</tr>
<tr>
<td>REMS</td>
<td>Research Enterprise Management System.</td>
</tr>
<tr>
<td>RFA</td>
<td>Request for Applications. One of several terms used to describe solicitation of proposals or applications.</td>
</tr>
<tr>
<td>RISP</td>
<td>Research Informatics Strategic Planning. Strategic planning process initiated by OVCR and the Office of Information Technology, in recognition of the need to specifically identify current and future research directions and to anticipate the types of data that people will be using, how it is collected, processed, accessed, analyzed, leveraged and shared. This project is being led by Arash Naeim and Jim Davis.</td>
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<tr>
<td>Acronym or Term</td>
<td>Full Name and/or Definition</td>
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<tr>
<td>RPC</td>
<td>Research Policy &amp; Compliance. One of the departments administratively falling under the Administrative &amp; Research Development division of the Office of the Vice Chancellor for Research. The staff members provide leadership in shaping, interpreting, and implementing UC and UCLA research-related policies, procedures and guidance. They work with, and support the Vice Chancellor for Research in his role as the campus Research Integrity Officer in responding to, investigating and reporting allegations of research misconduct and maintaining federal assurance in this area by compiling and submitting an annual report to the federal Office of Research Integrity. They also work collaboratively with other UC and campus officials and units to resolve complex and sensitive issues related to research integrity and compliance, including participation in the campus Investigations Workgroup.</td>
</tr>
<tr>
<td>RPPR</td>
<td>Research Performance Progress Report. This is a new progress report format that is proposed for use of across all federal agencies to reduce the reporting burden for researchers. UCLA is a pilot site for this new system.</td>
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<tr>
<td>RRUMC</td>
<td>Ronald Reagan UCLA Medical Center.</td>
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<tr>
<td>RSC</td>
<td>Radiation Safety Committee. This committee and its subcommittees were reorganized in summer 2011 to enhance the governance structure for research, clinical and academic activities involving radiation exposure.</td>
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<tr>
<td>RSO</td>
<td>Radiation Safety Officer. A position within the Radiation Safety Division of UCLA Department of Environment Health &amp; Safety.</td>
</tr>
<tr>
<td>S2S Grants</td>
<td>Also known as Cayuse. A web-based alternative for preparing, validating, and submitting proposals via Grants.gov that does not require use of PureEdge or Adobe Forms.</td>
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<tr>
<td>SBIR</td>
<td>Small Business Innovation Research</td>
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<tr>
<td>SGIRB</td>
<td>South General Campus Institutional Review Board. One of the five UCLA Institutional Review Boards. SGIRB reviews social-behavioral research from South campus researchers who conduct health services research in areas such as public health, quality of care, quality of life, health prevention and health education research.</td>
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<tr>
<td>SNAP</td>
<td>NIH Streamlined Non-Competing Award Process. UCLA will participate in Phase II of a pilot which addresses transition of complex (non-SNAP) awards to Research Performance Progress Reports.</td>
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<tr>
<td>SOAA</td>
<td>UCLA School of the Arts and Architecture.</td>
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<tr>
<td>SP5</td>
<td>SP5 is a type of confocal and multiphoton microscope system. UCLA purchased and installed an SP5 confocal microscope in one of the high containment facilities (BSL-3) in 2011 pursuant to a grant. There are only a few high containment facilities in the United States with this capability.</td>
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<tr>
<td>SR</td>
<td>Shared Resource. Goods, services and equipment that support research-related activities. UCLA has approximately 135 shared resources [See Section VI-D].</td>
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<tr>
<td>SRC</td>
<td>Shared Resources Consortium. New consortium formed in recognition of the need for a more contemporary model for shared research resources. Shared resources may be classified as either “members” or “affiliates” with varying benefits.</td>
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<tr>
<td>STEM</td>
<td>Science, Technology, Engineering, and Mathematics. The Office of the Vice Chancellor for Research plans to assemble members of the UCLA community interested in STEM education research and/or programs.</td>
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<tr>
<td>STTR</td>
<td>Small Business Technology Transfer. Government-funded program to facilitate innovation research and development. This program requires a small business to formally collaborate with a research institution.</td>
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<tr>
<td>TFT</td>
<td>UCLA School of Theater, Film and Television</td>
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<tr>
<td>TLCEE</td>
<td>Tribal Learning Committee &amp; Educational Exchange Program. This is a program in the UCLA School of Law that together with the Fowler Museum supports, consults, and assists in NAGPRA training for tribes, colleges, small museums and federal entities as requested.</td>
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<tr>
<td>TRS</td>
<td>Time Reporting System. Refers to new web-based time reporting system which the campus strives to implement on April 1, 2012.</td>
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<tr>
<td>TSG</td>
<td>Transdisciplinary Seed Grants. A new seed grant funding opportunity initiated by the Vice Chancellor for Research Cabinet in conjunction with the Academic Senate Council on Research. There are two funding cycles per year. Projects must have at least two co-investigators from different disciplines and address novel research questions. To date, 26 projects have been selected for funding.</td>
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<tr>
<td>UCPath</td>
<td>The name for the system-wide effort to move all UCs to a single, system for processing payroll and capturing human resources information.</td>
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<tr>
<td>UCOP</td>
<td>University of California Office of the President.</td>
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<tr>
<td>USDA</td>
<td>United States Department of Agriculture. Agency which is responsible for protecting and promoting food, agriculture, natural resources and related issues. Within USDA is the Animal and Plant Health Inspection Service which has a broad mission that includes protecting and promoting U.S. agricultural health, regulating genetically engineered organisms, administering the Animal Welfare Act and carrying out wildlife damage management activities. UCLA receives unscheduled site visits from this service.</td>
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<tr>
<td>VCR</td>
<td>Vice Chancellor for Research. The current Vice Chancellor for Research is James Economou.</td>
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<tr>
<td>webIRB</td>
<td>webIRB is the tool used for submission, review and approval of research protocols involving human subjects. As of October of 2011 all studies, including renewals of previously approved studies, were completed in webIRB. There are no longer any active studies in paper form. IRB review takes place using webIRB.</td>
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<tr>
<td>WIDER</td>
<td>Widening Implementation &amp; Demonstration of Evidence-Based Reforms funding opportunity from the NSF. UCLA successfully pursued a planning grant under this funding mechanism.</td>
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