

The Research Administration Lifecycle at UC Berkeley

Key Resources and Information for
New & Junior Faculty

The Research Administration Lifecycle at UCB: Agenda

- **Welcome:** Julia Arno, Professional Schools Regional Director
- **Faculty Overview:** Jennifer Ahern, Professor, School of Public Health
- **Pre-award Overview:** Ann Oakenfull, RA Supervisor, ProS Region
- **Sponsored Projects:**
 - Noam Pines, Acting Director, Sponsored Projects Office
 - Jeff Bui, Contract and Grant Officer
- **Industry Alliance Projects:**
 - Kate Lewis, Associate Director, Industry Alliances Office
- **Large Proposals:** David Trinkle, Director, Berkeley Research Development Office
- **Post-award Overview:** Yvette Villicana, RA Supervisor, ProS Region
- **Business Contracts and Brand Protection:**
 - Quan Luc and Shauna Brown, Senior Business Contract Officers
- **Contract and Grant Accounting (CGA):**
 - Katie Larkin Hudson, Contracts and Grants Accounting Manager
- **Chat Moderators:** Esteban Martinez, RA Supervisor, BEST Region
 - Tian Yu, RA Supervisor, ProS Region
 - Henry Chan, RA Manager, SHARE Region

Research Administration Lifecycle



Faculty perspective

Jennifer Ahern, PhD MPH
Professor of Epidemiology
Associate Dean for Research
School of Public Health

Point 1 – plan ahead and ask for help

- Berkeley research administration is supported by a large and complex set of intersecting systems and groups on campus with many moving parts and complicated exchanges
 - You do not need to understand it all (you will never understand it all), but you need to understand how to engage effectively with the system
 - Plan ahead – understand the lead time needed for processes
 - Ask for help!

ERSO

- College of Engineering
- College of Environmental Design
- School of Information
- related ORUs and field stations

Associate Dean, Research
Karl Van Bibber

Executive Director
Cynthia Weekley

ChaMPS

- College of Chemistry
- Division of Mathematical & Physical Sciences
- related ORUs and field stations

Regional Associate Dean - Interim
Phil Stark

Regional Director - Interim
Paula Milano

BEST

- College of Natural Resources
- Division of Biological Sciences
- related ORUs, museums, and field stations

Regional Associate Dean
Rebecca Heald

Regional Director
Adam Berke

SHARE

- Division of Social Sciences
- Division of Arts & Humanities
- Undergraduate Division
- related ORUs

Regional Associate Dean
Max Auffhammer

Regional Director
Teal Sexton

ProS

- Berkeley Law
- Haas School of Business
- School of Optometry
- Goldman School of Public Policy
- School of Education
- School of Journalism
- School of Public Health
- School of Social Welfare
- UC Berkeley Extension

Regional Lead Dean
Michael C. Lu, MD

Regional Director
Julia Arno

BEARS

- Chancellor & EVCP offices
- Administrative units
- University Library
- Intercollegiate Athletics
- Student Affairs
- University Development
- Auxiliaries
- other units

Vice Chancellor
Marc Fisher

Regional Director
Lori Tannyhill



ERSO Executive Director
Cynthia Weekley



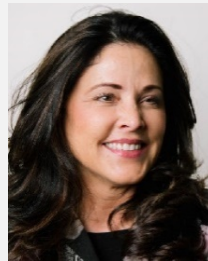
(Interim) ChaMPS Regional
Director, **Paula Milano**



BEST Regional Director
Adam Berke



SHARE Regional Director
Teal Sexton



ProS Regional Director
Julia Arno



BEARS Regional Director
Lori Tannyhill

Regional Services website:

<https://regionalservices.berkeley.edu/home>

Region finder tool:

<https://portal.berkeley.edu/regions>

Point 2 – staff make Berkeley work

- Staff are the heart of our campus
 - Engage respectfully and collaboratively
 - Know the service expectations
 - Each group presenting today will share information about the service level agreement for their group
 - Escalate quickly if something is not going well
 - Find out how your Departments and Schools handle escalation and troubleshooting
 - Ask your chair or a faculty mentor
 - Regional Directors can help guide you if you cannot find this information locally – do not hesitate to contact them

Point 3 – learn PI Portfolio

- If you have or anticipate having an active funded research portfolio, take the time to learn the “PI Portfolio” online system
 - Balances and expenses as of the last month closed
 - Use this information together with information tracked by your post-award RA on more recent expenses or transfers
- This is the system that allows you to monitor charges to your grant and other funds

To log into PI Portfolio:

<https://calanswers.berkeley.edu/PIPortfolio>

Point 4 – UC Path is a pain point

- UC Path is a new system for payroll, human resources, and benefits – all UCs are on this one system now, managed at UC Riverside
 - This is a major current issue in hiring/HR
 - Plan as much lead time as possible for personnel action on grants (hiring, modifying effort, etc.)

Questions? Thank you!



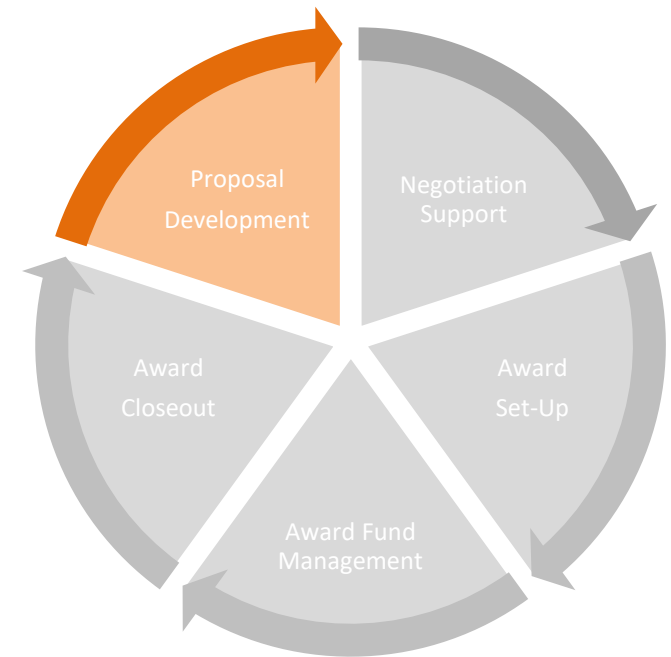
Pre-Award Overview

Ann Oakenfull – annoakenfull@berkeley.edu

Research Administration Supervisor, ProS Region

Pre-Award

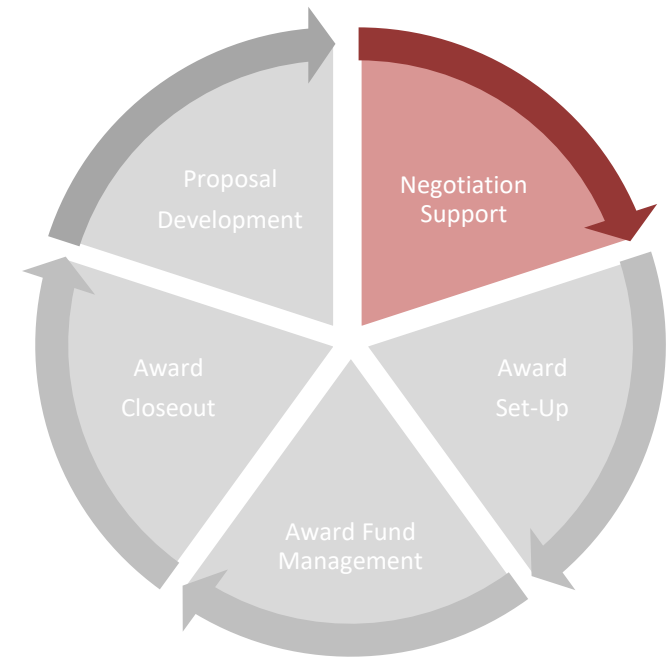
Proposal Development



- Review funding opportunity & create timeline for PI
- Work with PI to develop budget and budget justification
- Complete administrative sections of the application
- Collect COI & other compliance documents for PI
- Collect & integrate documents from collaborators
- Submit to Sponsored Projects Office (SPO) or Industry Alliances Office (IAO) for review

Pre-Award

Negotiation Support



- Work with PI to address any “just-in-time” requests from the sponsor, SPO or IAO, such as revisions or additional documents
- Assist PI in completing any outstanding compliance requirements

If any of the above does not make sense, contact us early! We’re here to help!

Pre-Award – Timelines

Business days before deadline

- 10 (minimum!) Submit proposal intake form to Pre-Award
- 4 – 10 Prepare budget, final administrative documents, draft narrative
- 4 Submit all final documents (except narrative) to SPO/IAO
- 2 Revise budget and documents as directed by SPO/IAO
- 1 Submit all final documents to SPO/IAO
- 0 Submission by SPO, IAO or by PI as appropriate

Pre-Award – What not to do!

Go it alone!

Leave it too late!

Sign anything without consulting with the appropriate office!

Sponsored Projects Office

Presenters:

Noam Pines, Acting Director

Jeff Bui, Contract and Grant Officer

SPO's main functions

- Central pre-award office, 17 officers total
- Proposal Review and Submission (4,000 approx. per year)
- Award Negotiation and Set-up (1,500+ new awards per year)
- Subaward Issuance
- Non-Financial Post-Award (Prior Approvals)

Proposal Review and Submission

- [UCB Policy requires all submissions through SPO/IAO](#) – 4 days prior to deadline (this includes subawards)
- Phoebe Proposal – system for proposal preparation and routing
 - Proposal is routed to SPO via Phoebe.
 - Approve your proposal and route to your Dean/Chair for approval
- [Proposals must be approved by Dean/Chair four days prior to deadline](#)
- Institutional Proposal Review Model
 - BRS works with PIs on sponsor proposal requirements
 - SPO reviews for institutional risks (F&A calculations and exceptions, cost sharing commitments, institutional eligibility, etc.) and submits after all risks are addressed and proposal is final.
- Facilities and Administrative Costs (aka, indirect costs or overhead)
 - [Federally negotiated rate agreement](#) - based on the cost of conducting research at UC and is applicable to all projects
 - Exceptions – any reduction of our federally negotiated rate is made by exception.

Award Negotiation and Set-up

- UCB Policy requires all awards to be accepted through SPO/IAO
- University Policy – potential sticking points: Intellectual Property, Indemnification, Publication, Compliance Areas (OPHS, ACUC, COI, Export Control)
- Role of UCOP
 - Reviews for higher level system-wide risks
 - Coordinate negotiations for awards made to multiple campuses
- Standard award turnaround times: <https://spo.berkeley.edu/report/reports.html>
(see next slide)
- Fund set-up and award management occurs with CGA and BRS
- Fund Advance – consult SPO on appropriateness of fund advances (start date tied to execution date? Allowable preaward costs? Walk-away terms?)

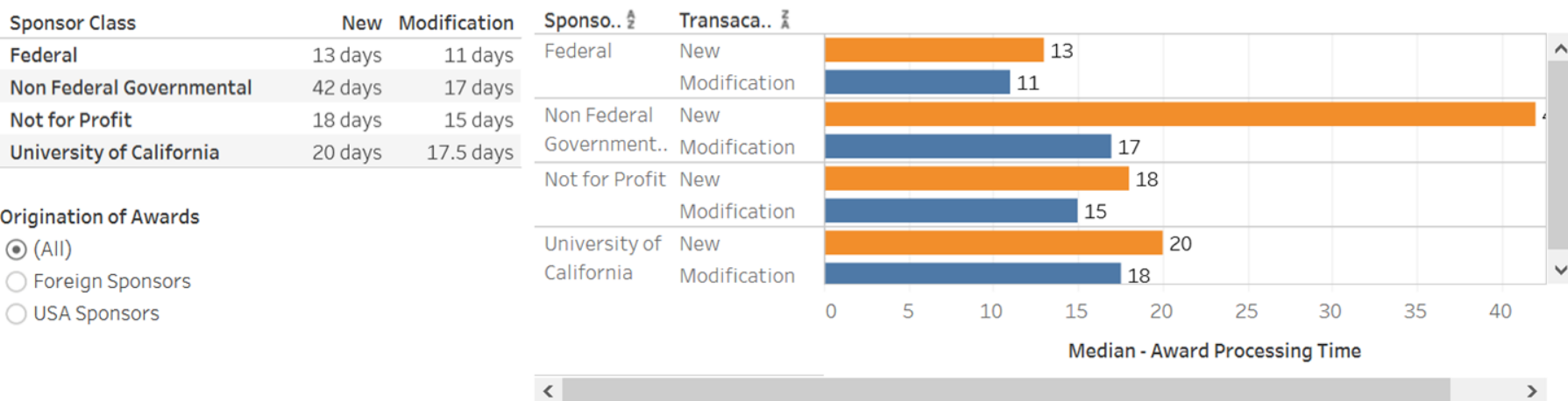
Sponsor Category

The data below reflect median (midpoint) award processing times by types of sponsor. Individual awards may take a shorter or longer time to process based on a number of factors including: the time it takes to obtain any necessary compliance documents from the PI, compliance committee review times (if required), the compatibility of the sponsor's award terms and conditions with University requirements—for example, the right to publish—and/or any other additional risk factors that may need to be managed by obtaining the PI's and/or Chair/Dean/Director's informed consent prior to the establishment of the award.

RELATED INFORMATION

[Sponsored Projects & Award Dashboards](#)

Median Award Processing Time by Sponsor Class - updated October 1, 2019



Origination of Awards

- ☒ (All)
- ☐ Foreign Sponsors
- ☐ USA Sponsors

Filter report on Award Create Date

Last 4 years

Subawards

- Two specialists devoted to outgoing subawards
- Separate process that touches all phases (proposal, award, post-award)
- More information: <https://spo.berkeley.edu/procedures/subawards.html>
- Subaward vs vendor – use [subrecipient vs. supplier determination](#)
- For-profit subawards: gray area with F&A implications

Non-Financial Post-Award

- Phoebe Search – search your awards
 - Award status preaward, and check if a modification has arrived
 - Also a convenient place to find your BRS and SPO contact for the award
- Award Amendments
 - Continuations and incremental funding
 - Approvals from sponsors based on prior approval requests
- Recurring compliance checks
 - Conflict of Interest disclosures
 - Human Subjects and Animal Use approvals
- Prior approval requests – make formal requests via SPO
 - No Cost Extensions
 - Rebudgeting (including adding subawards)
 - Changing your Scope of Work

Pain Points & Additional Resources

- Who does what?: <https://spo.berkeley.edu/guide/whocanhelp.html>
- Research – SPO/IAO; Services – BCBP; Training/Instruction – gray zone
- BCBP Decision Tree: <https://bcbp.berkeley.edu/> (“Decision Support Tool”); PARC meetings for gray areas (representation from BCBP, SPO, IAO management)
- Phoebe: <https://rac.berkeley.edu/phoebe/instructions.html>
- For Researchers: <https://spo.berkeley.edu/pi.html>
<https://spo.berkeley.edu/guide/student.html>
<https://spo.berkeley.edu/guide/new2grantscontracts.html>

Questions?

Find your officer:

<https://spo.berkeley.edu/staff.aspx>

spoawards@berkeley.edu – award documents, account set-up

SPO managers:

Noam Pines – npines@berkeley.edu

Angela Ford – arford@berkeley.edu



Intellectual Property and Industry Research Alliances

Industry Alliances Office – industry sponsored research, incoming material transfer, data use, and related agreements, non-disclosure agreements, industry affiliate programs

Office of Technology Licensing – invention disclosure, software disclosure, patent prosecution and management, licensing, outgoing material transfer agreements

Agreement Types

- Industry Sponsored Research
 - Subawards
- SBIR/STTRs
- Collaboration Agreements
- Nondisclosure Agreements/Confidential Disclosure Agreements
- Proposal and Award Negotiation
- Material Transfer Agreements (incoming)
- Data Use and Transfer Agreements (incoming)
 - Research IT: <https://researchdata.berkeley.edu/>
 - New Data Portal: <https://researchdataportal.berkeley.edu/landing-page>

Industry Affiliate Programs

Industry Sponsored Institutes

- Industry Affiliate Programs
 - Contract based “Clubs” for industry or other entities
 - Program design
 - Setting affiliate levels
- Industry Sponsored Institutes
 - Typically one company
 - High award amount
 - Subawards to other entities

Innovation and Entrepreneurship

- Start up resources
 - Entrepreneur Guide
 - Letter Agreements
- begin.berkeley.edu – Berkeley Gateway to Innovation
- Shared Special User Facility for Innovation and Entrepreneurship (SSUFIE Program)
- Innovation Services – Share your ideas with us!

Important to keep in mind...

- Indirect costs – when do we offer “discounts?”
- Signing Agreements - who can sign what?
- UC’s patent policy – what are your obligations?
- Proposal submission and award timelines – when is my award ready?
- We are here to help!!

Contact Us

- IPIRA.Berkeley.edu
 - Information
 - Request Forms
 - Invention and Software Disclosures
- Industry Alliances Office
 - iao@berkeley.edu
 - Kate_lewis@Berkeley.edu
- Office of Technology Licensing
 - otl@Berkeley.edu
 - ipira@Berkeley.edu

Berkeley Research Development Office (BRDO)

David Trinkle

Director, Berkeley Research Development Office
Office of the Vice Chancellor for Research

About BRDO

- BRDO was created to:
 - Facilitate effective development of large/complex proposals
 - Decrease faculty burden in applying for funding
 - Help increase research funding to campus
- In practice that translates to:
 - PI services: hands-on proposal consultations and editing
 - Other resources: training, written guides, funding announcements
 - Strategic roles: advise on funding strategy and troubleshooting
- Six staff, with diverse training and experience

Hands-on Proposal Services

- Services vary but can include:
 - Advising and helping organize the team
 - Interpreting solicitation, reviewer comments
 - Assisting in framing, editing, narrative flow, and polish
 - Helping conceptualize non-research aspects of the proposal
 - Coordinating with other offices and partner institutions
- We are an optional consultant/editor to support the PI, and we avoid duplicating services of other offices.
- About 90% of the proposals we support are federal.
- Our services come at no cost to the PI.

Other Roles

- Funding opportunities discussion and dissemination
- Proposal-related training and guides
- Limited submissions (our one non-optional service)
- Intel on federal priorities and opportunities (contract with Lewis-Burke Associates in DC)

When and How to Use BRDO

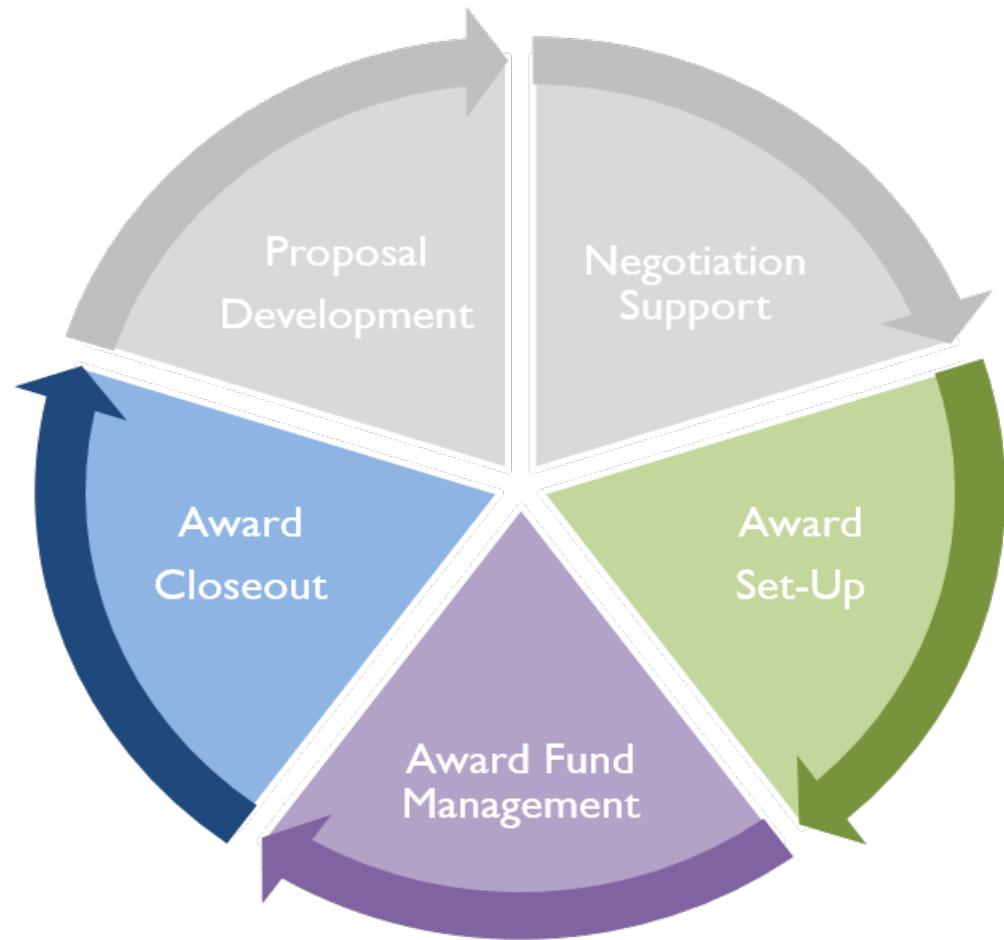
- You can email us at any time regarding funding strategy or funding opportunities.
- For proposal support, contacting us earlier is better, so we can get up to speed and start helping sooner, AND to ensure that we are free from other commitments.
- While large and complex proposals are our priority, we have no formal dollar cutoff--it can't hurt to ask for help.

Contact us at brdo@berkeley.edu or dtrinkle@berkeley.edu

BRDO website: brdo.berkeley.edu

Post-Award

- Award Set-Up
- Fund Management
- Closeout



Award Set-Up

Award notices are processed by **SPO** (Sponsored Projects Office: your assigned SPO Officer), **BRS** (Berkeley Regional Services: your post-award Research Administrator/RA), and **CGA** (Contracts and Grants Accounting: Award Analyst)

- SPO reviews all incoming terms and conditions before signing, signs, then creates an award ID and fund number.
- Your BRS post-award RA (typically) enters the budget into the system.
- CGA reviews and approves budget for spending.
- **Recommended:** Schedule a meeting with your post-award RA to review the award budget and overall spending plan to start projecting expenses.

Fund Reports/PI Portfolio

Financial reporting statements are generally delivered to you through CalAnswers PI Portfolio reporting platform.

- Be mindful of balances on financial reports and be aware of the general ledger monthly “close” date.
- Review expenses via PI Portfolio on a monthly basis.
 - Training videos available at:
<https://calanswers.berkeley.edu/PIPortfolio>
- **Recommended:** Schedule a recurring meeting with your assigned post-award RA to discuss projections and potential project changes and fiscal impact.

Fund Deficits

PIs are ultimately responsible for fund deficits on their research projects.

- Expect to receive an emailed financial report with a link to PI Portfolio regularly.
- Plan to login to PI Portfolio once a month to review your fund balances.
- Discuss all projected deficit and surplus fund balances with your post-award RA and what adjustments you two need to make to reach a \$0 fund balance.

Effort

Be sure that you budget appropriate effort on all sponsored projects.

- Work with your RA to ensure that your effort is charged appropriately in a timely manner.
- Campus and federal policies require that you certify said effort once every 6 months on projects that are funded by federal sponsors. You will also need to certify effort for all personnel being charged to your fund(s).
- Be sure to inform your RA about any changes to your personnel effort.

Keep track of progress report deadlines on your calendar

Almost all research grants will require you to prepare some type of progress report, report on publications that resulted from the grant, or expect you to complete deliverables in accordance with some established milestone schedule.

- **Keep track of these deliverables and reporting deadlines on your personal calendar.**
- Your Research Administrator and Contracts and Grants Accounting are both involved in keeping track when your grant funds expire and when financial reports are due, but **neither are directly involved in tracking your technical/research-related deadlines.**

Closeout

- NCE- If you need additional time to complete your project and have the funds to do so, consider requesting a no-cost extension from the Sponsor in advance of the award end date.
- Work with your RA to draft a closeout summarizing all fund expenses and projected final expense.
- **Be mindful about the timely charging of expenses in the final months of your project.**
- RA to finalize and submit to CGA for final review and approval.
- CGA will send final financial report to Sponsor.
- **PI to submit final technical report to Sponsor.**

Additional Useful Information

- Responsiveness and communication is the key to successful fund management.
 - Keep your RA in the communication loop about personnel changes, program changes, etc.
- Escalate any issues to the RA supervisor for advice and/or correction.
- Not sure what to do, what the next steps are, who to contact; start by asking your RA.

Office of Business Contracts & Brand Protection

Presenters:

Shauna Brown, Senior Business Contracts Officer

Quan Luc, Senior Business Contracts Officer

Business Contracts & Brand Protection

The Office of Business Contracts and Brand Protection (BCBP) has the delegated authority to execute revenue-generating service contracts on behalf of The Regents of the University of California for the Berkeley campus.

We are one of several contracting offices on campus, including Sponsored Projects (SPO), Industry Alliance (IAO), Supply Chain Management (SCM/Procurement), UDAR and Capital Strategies.

BCBP is also authorized to promote, protect, and license the use of the Berkeley name, seal, trademarks, icons, images, and logos, worldwide.

BCBP Contract Types

BCBP handles non-research revenue-generating contracts for services, including:

- Services, such as Consulting and Non-Research Testing
- Continuing and Professional Education (provided by the University for Other Parties)
- Event and General Sponsorships
- Licenses, including Publication and Content Distribution
- Facilities Use, such as access to Core Facilities
- Student Placements
- California Model Agreements for Services
- Public Service and Education Outreach

If there are any questions, please consult the Contracting Offices' Decision Support Tool for information about which contracting office will support your request, that you can access from this page:

<https://bcbp.berkeley.edu/>

BCBP Contracting Process

- In order to facilitate the contracting process with BCBP, we will need to work with you to understand the goals of the requested project, clearly define the deliverables and fees, and identify risks. Specifically, we will need the Department to provide a:
 - Detailed scope of work (SOW)
 - Budget and timeline
- All requests for contracts and agreements must be submitted to our contract management system (BCMS) at bcms.berkeley.edu.
 - Assistance can be found here: <https://bcbp.berkeley.edu/business-contracts/getting-started-bcms>
 - 2 week minimum for submission of a services agreement
- Our office has a number of form agreements, including the University standard services agreement, that we can provide to the department to better assist in this contracting process.
- Please do not start performance on any services until there is a fully executed agreement between the parties.

Pain Points in the BCBP Contracting Process

From our experience, there are some pain points unique to the UC Berkeley contracting process for service agreements:

- Financial Obligations - Information regarding departmental obligations related to departmental invoicing and financial accounting for services agreements:
 - For Departmental Responsibilities: <https://bcbp.berkeley.edu/business-contracts/responsibilities-department-record>
 - For Financial Obligations: <https://bcbp.berkeley.edu/departamental-financial-obligations>
- Services, as part of Grant
- Licensing of Intellectual Property
- Timing & Other Party's Agreements

In addition to our office, there may be a number of other offices on campus that may need to be consulted before an agreement can be authorized. Please feel free to consult: <https://bcbp.berkeley.edu/additional-considerations>

BCBP Contact Information

Michèle Huff, Director

Shauna Brown, Senior Business Contracts Officer

Caitlin Conway, Associate, Brand Protection and Business Projects

Eryn Hong, Manager, Brand Protection and Business Projects

Quan Luc, Senior Business Contracts Officer

Website: <https://bcbp.berkeley.edu/business-contracts>

Email:

bcmshelp@berkeley.edu (contract and BCMS questions)

bcbp@Berkeley.edu (brand questions)

Contracts and Grants Accounting

CGA is the central office responsible for:

- Setting up new awards
- Submitting financial reports to sponsors
- Submitting invoices to sponsors.
- Financial close out of awards at project completion



When you might hear from CGA:

We will generally work directly with your RA, unless:

- A sponsor or UC's contracted auditing firm have audit questions pertaining to your grant
- A sponsor is failing to pay

Accounts Receivables and Collections

- The balances that you see in PI Portfolio reflect your full budget awarded to date. We won't involve you in receivables unless there is a problem.
- CGA AR team communicates directly with sponsors as soon as invoices are greater than 60 days overdue.
- Sponsor Non-payment due to missing deliverables/non-performance is communicated to your Region RA/RA Supervisor, in order to inform PI.
- Non-payment due to disallowed expenses is communicated to department

When should you contact CGA?

- If you hear directly from a sponsor about a billing issue
- If a sponsor requests an audit
- If you have concerns about your sponsor's ability to pay

Your RA will help you navigate this!

More Information

controller.berkeley.edu

cgahelp@berkeley.edu

khudson@berkeley.edu

Contact Details RA Managers and Supervisors

BEARS Region (<https://bearsregion.berkeley.edu/regional-services/research-administration>)

RA Supervisor (Pre and Post Award) , Moises Ochoa - mochoa@berkeley.edu

BEST Region (<https://bioregion.berkeley.edu/regional-services/research-administration>)

RA Supervisor (Pre Award), Esteban Martinez - esteban@berkeley.edu

RA Supervisor (Pre Award), John Zurik - jzurik@berkeley.edu

RA Supervisor (Post Award), Sue Logan - slogan@berkeley.edu

RA Supervisor (Post Award), Deborah Howard - dhoward@berkeley.edu

ChaMPS Region (<https://champs.berkeley.edu/ra-team-responsibilities>)

RA Manager (Pre and Post Award), Lekesha Pond - lponde@berkeley.edu

RA Supervisor (Pre and Post Award), Anthony Stamos - astamos@berkeley.edu

RA Supervisor (Pre and Post Award), Clarissa Foreman - cforeman@berkeley.edu

ERSO (<https://www.erso.berkeley.edu/web/research-administration>)

RA Director (Pre and Post Award), Leslie Goldstein - lgolds@berkeley.edu

RA Manager (Pre and Post Award), Mary Cuisson - mcuisson@berkeley.edu

RA Manager (Pre and Post Award), Elise Mills - elisem@berkeley.edu

RA Manager (Pre and Post Award), Vonis Moore - vonis@berkeley.edu

RA Supervisor (Pre and Post Award), Sarah Gaugler - sarunyon@berkeley.edu

RA Supervisor (Pre and Post Award), Derek Johnson - derekj@berkeley.edu

ProS Region (<https://pros.berkeley.edu/regional-services/research-administration>)

RA Supervisor (Post Award), Yvette Villicana - yvillicana@berkeley.edu

RA Supervisor (Post Award), Tian Yu - tian.yu@berkeley.edu

RA Supervisor (Pre and Post Award), Ann Oakenfull - annoakenfull@berkeley.edu

SHARE Region (<https://shareregion.berkeley.edu/regional-services/research-administration>)

RA Manager (Pre and Post Award), Henry Chang - henry_chan@berkeley.edu

RA Supervisor (Pre and Post Award), Moises Ochoa - mochoa@berkeley.edu