Welcome

Marcia Smith
Associate Vice Chancellor for Research
Agenda

• Welcome and Announcements – Marcia Smith

• EFM ERS update – Maurice Taylor
  - Quarters Released: Late April for the Fall 2012 and Winter 2013 Quarters
  - System Updates: Release 10.9
  - Certification Rates
  - ERS Training Course: Monday, April 29, 2013 from 9:00am-3:00pm

• OCGA Update – Patti Manheim
  - Compliance with NIH Public Access Policy – Patti Manheim and Lisa Federer, MLIS, MA, AHIP, Research Informationist, UCLA Louise M. Darling Biomedical Library
  - Introduction of new Assistant Director Heather Winters – Patti Manheim
  - Goals and Objectives – Heather Winters
  - EPASS and Progress Reports – Kim Duiker

• PI Portal – Gloria Su
  - Demonstration of “My Proposals”

• Questions and Discussion
ERS Updates

Maurice Taylor
Assistant Director

April 11, 2013
**Effort Reporting Statistics**

- As of 4/10/13
  - UCLA’s overall completion rates (Spring’06 - Summer’12)
    - 99% certification
    - 1,655 open reports
  - Completion rates for Spring and Summer 2012
    - On-time 87% as of 2/7/13 deadline
    - Currently 92.5%

<table>
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<th>Fall</th>
<th>Winter</th>
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<th>Summer</th>
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<td>97%</td>
<td>6083</td>
<td>131</td>
<td>97%</td>
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Did you know? In ERS…

- Payroll transfers processed after the effort report was previously certified will “open-reissue” effort reports. Column B **must** be adjusted to match column A before the report is recertified.

- Late Pay updates occur 3 times a month (both bi-weekly and monthly pay periods).

- Cost sharing **must** be reported if an employee worked on a federal project, even if he/she was not paid on the project.
Did you know? In ERS…

- PI must be linked as the Managing Investigator in the Fund Table in OASIS to access all effort reports charged to his/her federal projects.
ERS Announcements

- Fall 2012 and Winter 2013 reports will be available late-April

- Version 10.9 Upgrades
  - Upgrade server from 32-bit to 64-bit

- ERS Training Course
  - Date: Monday, April 29th
  - Time: 9:00 a.m. - 3:00 p.m.

- A-133 Audit
ERS Support

• Outreach Support
• Help Desk: ershelp@research.ucla.edu
  - Connie Brown
  - Leticia Calderon
“SEE YOU AT 100%!!!”
Today’s Topics

NIH Research Performance Project Report (RPPR) Update – Patti Manheim

NIH Public Access Policy Reporting Requirements – Patti Manheim and Lisa Federer, Research Informationist, UCLA Biomedical Library

Routing Progress Reports to OCGA – Kim Duiker, Assistant Director, OCGA

Introductions, Goals and Objectives – Heather Winters, Assistant Director OCGA
NIH RPPR Update

- Progress reports are required annually to document grantee accomplishments and compliance with terms of award. They describe scientific progress, identify significant changes, report on personnel, and describe plans for the subsequent budget period or year.
- The Office of Management and Budget (OMB) has mandated that federal agencies implement a federal-wide research performance progress report (RPPR) for submission of required annual or other interim performance reporting on grants and cooperative agreement awards to standardize recipient reporting on federally-funded research projects.
NIH RPPR Update

- UCLA was one of seven institutions involved in Pilot beginning in April 2012.
- OMB mandate for federal-wide Research Performance Progress Report (RPPR) to standardize reporting on federally-funded grants and cooperative agreements.
- Replaces the current eSNAP.
  - Will eventually replace paper submissions for training and complex mechanisms.
  - Timeframe TBD due to development of 424 Budget component in RPPR module.
- Electronic submission using NIH eRA Commons.
  - Currently resides in the Commons under the eSNAP tab.
  - eSNAP tab will be renamed shortly to RPPR.
NIH RPPR Update

• Submission of RPPR required for all SNAP and Fellowship progress reports for non-competing awards with start dates on or after July 1, 2013.
  - Report due dates:
    • May 15, 2013 for SNAP eligible,
    • May 1, 2013 for Fellowships.

• CAUTION:
  - Until sometime in July 2013 both the RPPR and eSNAP options are available in the Commons regardless of project start date.
  - The system will not prevent users from starting an eSNAP format report based on start date.
  - No clear guidance from NIH about consequences of submitting eSNAP format for progress reports for non-competing awards with start dates on or after July 1, 2013.
  - If a report is started as eSNAP and needs to be changed to RPPR, contact the Commons Help Desk.
NIH RPPR Update

Resources:
• NIH RPPR Site: http://grants.nih.gov/grants/rppr/
• March 8, 2012 RAF Presentation: http://www.research.ucla.edu/ora/training/documents/Mar-12/OCGA.pdf
• Your OCGA Grants and Cooperative Agreements Team http://www.research.ucla.edu/ocga/GrantsAssignments.htm
• Cindy Gilbert, OCGA eRA Coordinator: cgilbert@research.ucla.edu 310-267-4814
NIH Public Access Policy Reporting Requirements

Background

The NIH Public Access Policy:

- Ensures that the public has access to the published results of NIH funded research.
- Requires scientists to submit final peer-reviewed journal manuscripts that arise from NIH funds to the digital archive PubMed Central upon acceptance for publication.
- Requires that publications are accessible to the public on PubMed Central no later than 12 months after publication.
NIH Public Access Policy Reporting Requirements

Applicability

Any manuscript that:

• Is peer-reviewed and arises from:
  ▪ Any direct funding from an NIH grant or cooperative agreement active in Fiscal Year 2008 or beyond, or;
  ▪ Any direct funding from an NIH contract signed on or after April 7, 2008, or;
  ▪ Any direct funding from the NIH Intramural Program, or;
  ▪ An NIH employee

• And, is accepted for publication in a journal on or after April 7, 2008.

• It does not apply to:
  ▪ poster presentations,
  ▪ abstracts, or
  ▪ non-peer-reviewed publications.
NIH Public Access Policy Reporting Requirements

Compliance

- Any application, proposal or reports must include PMC identification number (PMCID) or NIH manuscript number (NIHMSID) in:
  - Biosketches,
  - References Cited,
  - Progress Report Publication List.

For non-competing continuation grant awards with start date of July 1, 2013 or later:

- NIH will delay processing of awards for non-compliance.
  - Previously compliance review was somewhat informal.
  - Now a compliance group appears to be handling the review in a more formal fashion; i.e., e-mail communication from a central e-mail box at NIH.
NIH Public Access Policy Reporting Requirements

• OCGA review of applications and reports only looks for **complete absence** of PMCID numbers.

• Authors are responsible for posting applicable publications in PubMed Central.

• PI’s are responsible for using MyNCBI to enter papers into progress reports.
  - Associated electronically using RPPR.
  - Included in 2590 (paper applications) using My NCBI generated PDF report.

• Reminder: PubMed Central (full text version of manuscripts) is different that PubMed (abstracts only).
NIH Public Access Policy Reporting Requirements

Resources:


• UCLA Library NIH Public Access Policy Site: http://guides.library.ucla.edu/nih

• UCLA Librarian, Lisa Federer: lmfederer@library.ucla.edu
Complying with the NIH Public Access Policy

Common misconceptions

• Most journals do not automatically submit articles to PubMed Central
• There are often steps the PI must complete in the NIHMS to finish the process
• PIs are responsible for all articles that cite their grant, even if they are not a co-author
• Articles with an embargo period still must be submitted to PMC immediately
How to Determine Compliance

Using MyNCBI My Bibliography

• Must link MyNCBI account with eRA account
• Red, yellow, or green dots indicate compliance status
• Can generate a PDF compliance report
• Limitation: does not include non-compliant articles for which the PI is not listed as an author
• For more help, see http://www.ncbi.nlm.nih.gov/books/NBK53595/
How to Determine Compliance

Search by Grant Number in PubMed

• Enter the full grant number (e.g., R01 AA234567) followed by [gr] into the PubMed search box

• Articles in PMC will be labeled in results list

  [PubMed] R01 AA234567 [gr]

  RSS  Save search  Advanced

• Includes articles by any author, not just PI
• Limited to already published articles

[Socioeconomic status in association with metabolic syndrome and coronary heart disease risk.]
Kim JY, Kim SH, Cho YJ.
Related citations
If You are Not in Compliance

- Check NIHMS to see if any submissions are pending
- Ask corresponding authors to address non-compliant articles
- Do not assume you can upload; you may be violating copyright agreement
- SHERPA/RoMEO: information about publishers’/journals’ copyright policies [http://www.sherpa.ac.uk/romeo/](http://www.sherpa.ac.uk/romeo/)
- If in doubt, contact publisher
Routing PHS Progress Reports to OCGA

• Necessary to comply with PHS FCOI regulations of August 24, 2012.
• Create consistency within OCGA and the campus research community.
• Avoid unnecessary delays in award receipt and set-up.
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<th>Electronic Progress Report Submission (RPPR/eSNAP)</th>
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<td>• Complete copy of process report</td>
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<td>• Signed by <em>all</em> PD/PIs</td>
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| **When is it needed?**                    |                                                   |
| • Five business days before it needs to be mailed | • Five days prior to submission                  |
Routing PHS Progress Reports to OCGA

Resources:

- **RPC Federal Financial Disclosure Matrix**

- **List of PHS Agencies**

- **Guide Notice NOT-OD-06-058, regarding collection of PI signatures**

- **EPASS form and instructions**
  [http://www.research.ucla.edu/ocga/forms.htm](http://www.research.ucla.edu/ocga/forms.htm)
New OCGA Assistant Director - Introduction

HEATHER WINTERS, Assistant Director

• Responsible for the day-to-day oversight, administration and direct supervision of the OCGA Contract Team - Senior Contract & Grant Officers, Contract & Grant Officers and Contract Specialists.

• With Heather’s tenure at Oregon Health & Science University and OCGA, she brings extensive experience and enthusiasm to this new leadership role.
New OCGA Assistant Director - Goals and Objectives

Participate in current OCGA initiatives and process enhancements

• All roles in the reorganization have now been put in place
• Full utilization of the ‘new’ PATS system
• Streamlining proposal process and continue expediting award process
New OCGA Assistant Director -
Goals and Objectives

Staff development

• Develop internal training programs and external training workshops
• Develop a repository of resources and tools to assist with complex contract negotiations
• Recruit and train new officers as needed
• Weekly meetings and mentoring of junior and new staff
• Standardize roles and responsibilities for all OCGA teams
New OCGA Assistant Director -
Goals and Objectives

Continue to improve customer service and development of campus/sponsor relationships

• Standardize procedures and processes
• Improved communications by promoting regular meetings between officers and departments
• Website redesign – resources and tools
New OCGA Assistant Director – Contact Information

Heather Winters, Assistant Director
Office of Contract & Grant Administration (OCGA)
MC 951406
11000 Kinross Ave., Suite 211
Los Angeles, CA 90095-1406
Ph: 310.794.0196
Email: heather.winters@research.ucla.edu
http://www.research.ucla.edu/ocga/