Agenda

❖ Welcome and Announcements – Marcia Smith

❖ OCGA Initiatives and News – Patti Manheim
  • Proposal Intake – Patti Manheim
  • Pending Awards – Patti Manheim
  • EPASS – Extramural Proposal Approval and Submission Summary – Patti Manheim
  • NIH Research Performance Progress Report (RPPR) Pilot – Cindy Gilbert and Susan Waelder

❖ Research Policy and Compliance Initiatives – Claudia Modlin
  • eCOI Update

❖ RAPID Effort Reporting Workgroup Status Report – Shannon McGarry
  • Current Deadline and Metrics – Shannon McGarry
  • ERS Enhancements – Connie Brown

❖ Questions and Discussion
• Cut-over: June 15~18 (Fri-Mon)
• AVC, OCGA, ORDM, ORIS joint effort
• Data Feed to QDB resumes 6/18 6:00am
Announcements

System Downtime

6/15/12 (Fri) 10:00 PM
6/18/12 (Mon) 8:00 AM
OCGA Updates

Patti Manheim, Director
Cindy Gilbert, eRA Coordinator
Susan Waelder, Sr. Grant Analyst
June 14, 2012
Today‘s Topics

• Proposal Intake – *Patti Manheim*
• Pending Awards – *Patti Manheim*
• EPASS – Extramural Proposal Approval and Submission Summary – *Patti Manheim*
• NIH Research Performance Progress Report (RPPR) Pilot – *Cindy Gilbert and Susan Waelder*
STEAMLINING PROPOSAL PROCESS

- Proposal Intake and Processing
  - Average of 426 proposals submissions/month
  - 76% of proposals received within 2-3 days of the sponsor deadline every month
  - 60% are received incomplete

Proposal Submission to OCGA

<table>
<thead>
<tr>
<th>Days in Advance of Deadline</th>
<th>Number of Proposals</th>
</tr>
</thead>
<tbody>
<tr>
<td>0-1 Day</td>
<td>261</td>
</tr>
<tr>
<td>2-3 Days</td>
<td>65.25</td>
</tr>
<tr>
<td>4-5 Days</td>
<td>43.5</td>
</tr>
<tr>
<td>5+ Days</td>
<td>56.55</td>
</tr>
</tbody>
</table>

Number of Proposals Submitted on a Monthly Basis
STEAMLINING PROPOSAL PROCESS

Proposal Intake Process:
- OCGA pilot Proposal Intake Process with select departments
- Proposal Intake Team staff will receive pilot proposal applications
  - Initial review to confirm at least minimum documents are included.
- Standard Communications at key points in the process
- Proposal Intake Team will capture reliable data
- Systematic reminders will be issued to follow-up on missing documents
# STEAMLINING PROPOSAL PROCESS

<table>
<thead>
<tr>
<th>Minimum Requirements for Review</th>
<th>Requirements for Review, Approval &amp; Submission</th>
</tr>
</thead>
<tbody>
<tr>
<td>Completed EPASS with <strong>PI Signature</strong></td>
<td>Completed EPASS with <strong>all required signatures</strong></td>
</tr>
<tr>
<td>Sponsor Guidelines</td>
<td>Sponsor Guidelines</td>
</tr>
<tr>
<td>All Sponsor forms requiring OCGA signature</td>
<td>Final Proposal (budget, science, agency required signatures, biosketches, etc.)</td>
</tr>
<tr>
<td>Final Budget with Budget Justification</td>
<td>Subaward Documents (if applicable)</td>
</tr>
<tr>
<td>Brief description of the proposal aims or proposal abstract</td>
<td>PI Exception Letter (if applicable)</td>
</tr>
<tr>
<td>Subaward Documents (if applicable)</td>
<td>Signed/Completed COI forms (if applicable)</td>
</tr>
</tbody>
</table>
Benefits:

• Compliance with sponsor guidelines
• Compliance with UCLA/UCOP policies
• Expedite award process
  ▪ Currently ~$10 million in FY12 awards are on hold due to missing 740s and Goldenrods
  ▪ Current average – 23 days to process unilateral award due to missing documents
• Report back to campus on key departmental metrics regarding proposal submission
Effective **Monday, June 18**

Goldenrods will be accepted for a grace period, but we will also need an unsigned EPASS

Beginning **September 1**, the EPASS **will be mandatory**

Excellent tool for proposal development – **start with the EPASS**
EXTRAMURAL PROPOSAL APPROVAL AND SUBMISSION SUMMARY “EPASS”

- Fillable PDF
- Drop-down Menus for Ease and Consistency of Data Entry
- Hyperlinks to Policies, Procedures, Additional Forms, and Responsible Offices/Contacts
- Electronic Delivery Accepted (Original Signature Not Required)

Digitally signed by Joe Bruin
DN: cn=Joe Bruin, o=UCLA, ou=Alum
email=jbruin@ucla.edu, c=US
Date: 2012.05.09 10:04:45 -07'00'
NIH RPPR Pilot
NIH RPPR Pilot
NIH RPPR Pilot

- RPPR Pilot Opens to 7 CWG Institutions
- All FDP institutions given early access to RPPR module
- Use of RPPR is OPTIONAL
- Progress Report Additional Materials (PRAM) functionality available
- NIH mandates use of RPPR for all SNAP and F awards

- APRIL 2012
- JUNE 2012
- AUGUST 2012
- OCTOBER 2012
- JANUARY 2013
- MARCH 2013

RPPR for non SNAP awards TBD
RPPR Pilot

What are the similarities and differences between RPPR and ESNAP?

• The substance of the RPPR is not significantly different from an eSNAP.
• Certain information is pre-populated from NIH systems for the grantee, including PD/PI information, grant number, project title and period, performance sites, and personnel.
• Publications in PD/PI’s MyNCBI account will be displayed for easy association with the progress report.
• SNAP awards using the RPPR format will not be required to submit a detailed budget.
• Information required by NIH policies continue to be requested from grantees
  - e.g. human subjects, animal subjects, use of human embryonic stem cells
RPPR Pilot

- The RPPR has separate screens for each of the following reporting components:
  - Cover Page
  - Accomplishments
  - Products
  - Participants
  - Impact
  - Changes
  - Special [agency specific] Reporting Requirements
  - Budget [applicable only for non-SNAP awards]
RPPR Pilot

- The format of the report is new.
  - Users answer questions using a checkbox, entering text or uploading a PDF, or selecting “Nothing to Report”.
- New information to be provided by grantees through the RPPR includes:
  - Foreign component information
  - Dollars spent in foreign country(ies) [through first-tier subawards]
  - Organizational affiliation of personnel at foreign sites
RPPR Pilot

- Effort on All Personnel report must be rounded to nearest whole person month.
- Other features of the RPPR include:
  - Specific location to report on competitive revisions/administrative supplements associated with the award.
  - Public Access compliance status will be displayed
  - Other Support required only if there has been a change
  - Notice of Award link
  - Streamlined reporting of ClinicalTrials.gov information
RPPR Pilot

• First Round (July 1 start/May 15 due date)
  ▪ 58 RPPRs submitted from seven pilot institutions
  ▪ 15 from UCLA

• Overall user satisfaction at UCLA was positive:
  ▪ Concise
  ▪ Easy to follow instructions right on the report
  ▪ Layout is more intuitive
  ▪ Overall easier than the eSNAP
RPPR Pilot

But … we did have some issues

• MyNCBI accounts not properly linked to Commons accounts
• Radio buttons out of synch (in some sections)
• Text boxes:
  • avoid cutting and pasting
  • special characters are not allowed
• NIH program office personnel seemed to have trouble finding RPPRs
Those pesky e-mails:

- Auto-generated late notices went to PIs on May 16
  - The system doesn’t automatically account for the extended deadline
- Some POs and GMS’ also sent out personal e-mails requesting reports prior to May 31
RPPR Pilot

Next Steps:
• Pilot is now open to all FDP Institutions
• Any and all PD/PIs with eligible awards are encouraged to use RPPR
• Route RPPRs through your Grant Analyst for submissions
• Continue to provide feedback …
RPPR Pilot

... NIH likes feedback

From: Gibb, Scarlett (NIH/OD) [E] [mailto:GibbS@OD.NIH.GOV]
Sent: Tuesday, May 22, 2012 1:16 PM
To: Gilbert, Cindy
Subject: RE: RPPR Bug

Thanks for finding this bug.

You guys have been outstanding pilot users.

Scarlett
RPPR Pilot

Information/Resources:

- March 2012 RAF Presentation
- NIH RPPR: Pilot and FDP Early Access site
- ORA News
  - Send e-mail to: ora-news-subscribe@lists.ucla.edu
  - The subject line and body of the e-mail can be left blank
QUESTIONS?
Agenda

- Who is affected by these regulations?
- What needs to be done?
  - EPASS form
  - Annual certification and disclosure
  - Training Module
- What’s next?
Who is Affected?

- The Principal Investigator of a PHS-supported project and
- Everyone else who will share responsibility for the design, conduct or reporting of that project (Investigators)
  - Investigator is defined by the PHS regulations as: “the project director or principal investigator and any other person, regardless of title or position who is responsible for the design, conduct, or reporting of research”
What is PHS?

- PHS agencies include:
  - NIH
  - FDA
  - CDC
  - and others
Policy 926

- **DRAFT** UCLA Policy 926: Public Health Service Regulations on Objectivity in Research
  - PHS Agency List
  - List of PHS Award Mechanisms

http://rpc.research.ucla.edu/RPC/Pages/COI.aspx
### Additional Forms Required

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
<th>COI (Disclosure Requirements)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td><strong>Sponsor/Prime Sponsor is Federal Public Health Service (PHS), American Heart Association or American Cancer Society?</strong> If yes, provide names of other investigators on page 3 (See UCLA Policy 926).</td>
</tr>
<tr>
<td></td>
<td></td>
<td><strong>Sponsor/Prime Sponsor is Federal (other than PHS), CIRM or special research programs managed by the UC Research Grants Program Office (RGPO)?</strong> If yes, attach COI Form 740 &amp; Supplement to Form 740 (if applicable). See UCLA Procedure 925.3.</td>
</tr>
<tr>
<td></td>
<td></td>
<td><strong>Non-Government Sponsor/Prime Sponsor?</strong> If yes, attach Form 700-U, 700-U Addendum and 700-U Supplement, as applicable, unless sponsor is exempt. See UCLA Procedure 925.2</td>
</tr>
</tbody>
</table>

**Public Heath Service (PHS)**
The Principal Investigator must provide RPC with a list of all other Investigators on their research project that must comply with these regulations.

Beginning August 24th, these Investigators will be listed on page 3 of the EPASS.

Prior to August 24th, these Investigators will continue to be listed on Form 740.

For Federal Public Health Service (PHS), American Heart Association or American Cancer Society proposal submissions prior to August 24, 2012, attach COI Form 740 & Supplement to Form 740 (if applicable). Effective August 24, in lieu of filing the 740(s), complete the information below for all project personnel responsible for the design, conduct, or reporting of research. To access the web-based disclosure system, go to coi.research.ucla.edu.

No other project personnel responsible for the design, conduct, or reporting of research.

<table>
<thead>
<tr>
<th>First Name</th>
<th>M.I.</th>
<th>Last Name</th>
<th>Email Address</th>
<th>For ORA Use Only</th>
</tr>
</thead>
</table>
Annual Certification

- Must be certified by each Investigator at least annually

- An Investigator’s first disclosure must be completed prior to submitting any PHS proposals on or after August 24, 2012

- Annual certification form used to indicate whether the Investigator has anything to disclose (not specific to a single organization)

- System notifications will be sent to the Investigator when the annual deadline for recertifying is approaching
Annual Certification

Annual Certification for Sally Seattle: What to Disclose

The investigator must disclose anything of monetary value that meets the PHS thresholds for reporting received by the investigator (including the investigator’s spouse or registered domestic partner, and dependent children for the following categories except travel) that reasonably appears to be related to or is in the same field of expertise as the investigator’s Institutional Responsibilities.

Institutional Responsibilities are defined as: teaching/education, research, outreach, clinical service, and University and public service, on behalf of the University of California performed in the course and scope of the investigator’s UC appointment.

The following question relates to any outside organizations (non-UC) with which you have financial interests. Such organizations include companies, service providers, non-government organizations (NGOs), foundations, for-profit and not-for-profit organizations with which you, your spouse or registered domestic partner, or dependent children had a financial relationship in the previous 12 months. Examples include:

Equity (stock, stock options, or other ownership interests) — Any equity in a publicly-traded organization which, when combined with income or other payment for services, exceeds $5,000 OR any equity interest that you hold in a non-publicly traded organization. Mutual funds do not need to be reported.

Income or other payment for services — You are required to disclose any income or other payment for services in a publicly-traded organization which, when combined with equity, exceeds $5,000 OR any income or other payment for services in a non-publicly traded organization which exceeds $5,000. Examples include:
  • providing expert testimony or consulting services
  • serving on a board of directors, scientific advisory board, committee, panel or commission sponsored by a for-profit or non-profit organization, including professional or scholarly societies
  • acting in an editorial capacity for a professional journal
  • reviewing journal manuscripts, book manuscripts, or grant or contract proposals for a non-profit or for-profit organization
  • salary received outside of the University of California

Income from IP rights and interests — Income you received from an organization, other than the UC, for intellectual property rights and interests during the 12 months prior to disclosure which exceeds $5,000. This could include such things as royalties for books or license fees for software or technology you may have invented before you came to UCLA.

Travel paid directly by or reimbursed by an organization — The investigator must disclose travel payments if the organization is a foreign university or government, a for-profit or a non-profit organization that is not specifically excluded from the reporting requirements. The disclosure requirement does not apply to travel paid directly by or reimbursed by any of the following US Institutions:
  • a federal, state, or local agency
  • an institution of higher education
  • an academic teaching hospital
  • a medical center
  • a research institute that is affiliated with an institution of higher education

* Do you, your spouse or registered domestic partner, or dependent children have any financial interests as defined above?

© Yes © No © Clear
Disclosure

- Disclosures should be completed for each organization in which the Investigator has a significant financial interest.

- Disclosures should be updated within 30 days of acquiring/discovering a new significant financial interest.

- Smart form will ask detailed questions regarding the financial interest, and will determine if the reported interests meet the threshold for review.
Disclosure for Sally Seattle: General Information

General Information concerning the relationship between the external organization and the discloser.

1. *External Organization:  Pfizer Inc  Select... Clear

or

If you cannot find the organization in the above list, enter the name as text here:

2. *What type of financial interests do you have in the external organization?:
   - Equity (stock, stock options, or other ownership interests)
   - Income or other payment for services
   - Income from IP rights and interests
   - Travel paid directly by or reimbursed by the organization

3. *Are these financial interests related to:
   - Teaching/Education
   - Research
   - Clinical, University or Public Service on behalf of UC
   - Administration
   - Committee
   - Other
Disclosure for Sally Seattle in Test Company: Disclosure Summary

<table>
<thead>
<tr>
<th>Compensation Type</th>
<th>Dollar Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Equity (stock, stock options, or other ownership interests)</td>
<td></td>
</tr>
<tr>
<td>Income or other payment for services</td>
<td></td>
</tr>
<tr>
<td>Income from IP rights and interests</td>
<td>$6,000.00</td>
</tr>
<tr>
<td>Travel paid directly by or reimbursed by the organization</td>
<td></td>
</tr>
<tr>
<td>Total Value</td>
<td>$6,000.00</td>
</tr>
</tbody>
</table>
Training Module

- All Investigators must complete the training module prior to engaging in PHS funded research

- The training module will be embedded into the system so it can be completed with the initial disclosure and will automatically require the Investigator to complete the training module, prior to submitting the annual disclosure form
  - The first time the Investigator logs in
  - Every four years
What’s Next?

- Notifications to PIs and other investigators
- Demo of system
- System Go Live: August 10th
Questions?

Ann Pollack
Assistant Vice Chancellor – Research
310-794-0387 or apollack@research.ucla.edu

Claudia Modlin
Coordinator, Research Policy and Compliance
310-794-2642 or cmodlin@research.ucla.edu
ERS METRICS & ENHANCEMENTS
Effort Reporting Backlog

- As of 6/13/12
  - Completion Rates at UCLA from Spring’06 - Summer’11
    - 97% certification rate on Campus
  - Open Reports from Spring’06 - Summer’11
    - 4,553 open reports out of 138,179

**REMINDER**

Fall 2011 and Winter 2012 are available!

Certification is due July 30, 2012
ERS ENHANCEMENT

- A new optional check box was added to search reports based on “Account Department”. By checking this box, the search for a given account department is restricted to only federal funds.
ERS ENHANCEMENT

- An effort report will not be generated for a PI or staff if there was no payroll for the quarter.
ERS ENHANCEMENT

- The certifier can add a comment and certify his/her report without clicking save first.
ERS ENHANCEMENT

- A new option was added to the People search. You can search for several employees at once by utilizing the “Multiple Employee IDs Equal” filter.
ERS ENHANCEMENT

- A new option was added to the Departments search. You can search for several department codes at once by utilizing the “Multiple Department/Org Numbers Equal” filter.
ERS ENHANCEMENT

- A new icon was added to Managed Searches. You can modify a search by copying an existing saved search and edit as desired.
Q&A