Research Administrators Forum

Sponsored by the Office of Research Administration

Marcia Smith
Associate Vice Chancellor

October 13th, 2011
Agenda

- Welcome and Announcements – Marcia Smith
- OARO Updates – Jennifer Perkins
  - Inspection of Research Areas
- OHRPP Updates – Sharon Friend
  - Deadline for comments on Common Rule
  - webIRB Upgrade
  - Updated Guidelines
- RPC Update – Ann Pollack
  - Patent Agreement Acknowledgement Update
  - PHS Objectivity in Research Final Rule
- OCGA Updates – Patti Manheim
  - Changes to NIH eCommons – Cindy Gilbert
  - Cayuse application maintenance – Cindy Gilbert
- EFM Updates – Maurice Taylor
  - Threshold for PI Re-Approval of Changes to Close-Out Packet
    - Jennifer Aguilar and Chenda Seng
- RAPID Project Updates
  - Effort Reporting Workgroup – Greg Swindell
  - PATS Workgroup – EPASS and Award Snapshot – Marcia Smith
Animal Research Administration Update

Inspection of Research Areas

Jennifer Perkins
Interim Director
Office of Animal Research Oversight (OARO)
OHRPP Update

Sharon Friend, Director
October 2011
Advanced Notice of Proposed Rule Making (ANPRM): Enhancing Protections for Research Subjects and Reducing Burden, Delay and Ambiguity for Investigators comments due:

- **UCLA OHRPP** by October 14th via
  - [https://www.surveymonkey.com/s/63GQJYZ](https://www.surveymonkey.com/s/63GQJYZ)
  - E-mail: sfriend@research.ucla.edu

- **DHHS** by October 26th by 5:00 pm EST via
  - Federal eRulemaking Portal
  - Mail, hand deliver, courier
Downtime for System Upgrade:

- Starting 6:00 pm Friday, October 28th through Monday, October 31st
- Upgrade includes new, faster hardware and the latest release of webIRB software which will deliver
  - Significant performance improvements
  - Improved user interface, and
  - Hundreds of functional enhancements
Updated and New Guidance
Several new and/or revised posted on website:

- Getting Started with an IRB Application
- Child Assent and Permission by Parents or Guardians
- Recruitment and Screening Methods and Materials
- Use of Devices in Clinical Treatment and Research
- Summary Sheet of Post-Approval Reporting Requirements for Investigators
Two More Reminders

Remind your faculty to

- Take CITI refresher training after three years of initial training
- Start using revised consent form templates

http://ohrpp.research.ucla.edu/
Preview of Coming Attractions

- Revisions to the University of California Patent Agreement/Acknowledgment
- Revisions to the Public Health Service Regulations on Objectivity in Research
Revision of the UC Patent Agreement/Acknowledgment

Prompted by a recent U.S. Supreme Court case: Stanford v Roche

Stanford patent agreement said “Shall assign” [future tense] and required the separate action of assigning ownership to the University

Cetus (now Roche) Visitor Confidentiality Agreement said “hereby assigns...inventions...made as a consequence of access” [present tense]

Stanford faculty member had signed both – created problems
Current language indicates that UC employees agree “...to assign inventions and patents...” and acknowledge their obligation “...to promptly report and fully disclose the conception and/or reduction to practice of potentially patentable inventions...’ [future tense]
UC Patent Agreement/Acknowledgment

- Language will be modified to indicate that employees “…do hereby assign” [present tense]
- New employees will sign new agreement
- Current employees will be asked to sign updated agreement
A revised UC Patent Agreement/Acknowledgment will be available to the campuses by November 1, 2011 for use by new employees.
Current employees hired on or before October 31, 2011, will be expected to sign an updated agreement on-line between late November, 2011, and the end of February 2012.
In the interim...

- Some concerns about avoiding problems between now and March 2012
- Developed a case-specific amendment
- Researchers *may* be asked to sign an amendment in connection with specific research agreements
PHS Regulations on Objectivity in Research

- Deals with financial conflicts of interest in research
- Final Rule issued in August 2011
- Revised regulations must be implemented by August 24, 2012
- Will require revisions of UC policy and UCLA procedures
Major Changes

- Mandatory education
- Reduction in threshold for disclosure of financial interests
- More explicit guidance about what is included or excluded from disclosure
Major Changes continued

-Broadened disclosure requirements: financial interests related to an investigator’s institutional responsibilities
-Public accessibility requirement
-Expanded reporting requirements
-Monitoring and retrospective reviews
Status

- Examining current procedures and forms
- Exploring options for revising processes
- Identifying ways of streamlining the disclosure and review processes with the goal of automation
Contacts for Questions

- Ann Pollack, Assistant Vice Chancellor – Research at apollack@research.ucla.edu or x40387
- Claudia Modlin, Research Policy and Compliance Coordinator, at cmodlin@research.ucla.edu or x42642
OCGA Updates

Patti Manheim
Director
Office of Contract and Grant Administration

October 13, 2011
- eRAS Tool
- Revised Multiple-Campus Award (MCA) Process
- Posting of Proposal Deadlines
eRAS Tool

- Web-based resource to complete and submit a RAS request
- Currently in development – feedback from OCGA staff and select campus community
  - Phase I: improved navigation – data validations – print preview – confirmation upon submission
  - Phase II: greater functionality – save, store, report, routing
Revised Multiple-Campus Award (MCA) Process

- Effective November 1
- Streamlined process
- Single point of contact central email address
- Standard award letter
- Complete package online
  - Procedures
  - multi-campus commitment form
  - MCA Checklist
Proposal Deadlines – Fall 2011

- Proposals are due to OCGA **five working days** prior to deadline
- ORA News sent Friday, 10/7
  - Deadlines for Fall Quarter 2011
  - Includes both Sponsor and OCGA deadlines
  - Also posted on the OCGA website: [www.research.ucla.edu](http://www.research.ucla.edu)
Proposal Deadlines – Fall 2011

S2S Grants submissions for NIH R01 Deadline; October 5, 2011

<table>
<thead>
<tr>
<th>Date</th>
<th>Submissions</th>
</tr>
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<tbody>
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<td>Monday, 9/26/11</td>
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<td>Tuesday, 9/27/11</td>
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<td>Tuesday, 10/4/11</td>
<td>15</td>
</tr>
<tr>
<td>Friday, 10/5/11</td>
<td>35</td>
</tr>
</tbody>
</table>

OCGA Internal Deadline

Submissions
NIH eRA Commons
S2S Grants

Cindy Gilbert
eRA Coordinator
Office of Contract and Grant Administration

October 13, 2011
NIH Updates

Transition from Adobe-Forms-B1 to Adobe-Forms-B2

- **NOT-OD-11-096**
  - Resolves intermittent S2S issue with modular budgets
  - New version of SF-424C (construction program budget)
  - New Subaward Budget Attachment form (allows up to 30 entries versus 10)

- Either B1 or B2 can be used for applications with **deadlines** on or before January 7, 2012
- Use of Adobe-Forms-B2 strongly encouraged
- Both are available in S2S Grants system
- Copy/Transform functionality in S2S Grants allows quick, easy change from B1 to B2
NIH eRA Commons Upgrade

- Performed October 8, 2011
- Changes to:
  - Overall look
  - Login and Welcome screens
  - Displayed Affiliated Institution
  - Centralized Delegations
  - xTrain Self-Registration Process
NIH eRA Commons Upgrade

Login Screen - 1

- Login
- Request password change or account unlock

![Login Screen](image-url)
NIH eRA Commons Upgrade

Login Screen - 2

- Federated Logon
- Not currently enabled; for future use
NIH eRA Commons Upgrade

Login Screen - 3

- Help Desk Information

Federal User Login [Here]

eRA Commons Help Desk

Hours: Mon-Fri, 7AM-8PM EDT/EST

Web: [http://itservicedesk.nih.gov/eRA/](http://itservicedesk.nih.gov/eRA/)

Toll-free: 866-504-9552

Phone: 301-402-7469

TTY: 301-451-5939

Contact initiated outside of business hours via Web or voice mail will be returned the next business day.
NIH eRA Commons Upgrade

Login Screen - 4

- Alerts
- Scheduled maintenance calendar

Welcome to the Commons

System Notification Message

Alert: If your default institution has changed due to the eRA Commons deployment it can be reset. Click on the Institution Name which is a hyperlink on either the top right corner or in the column on the left side. You may then choose a new default institution to be set.

Scheduled Commons Maintenance: For maintenance information, see the eRA Scheduled Maintenance Calendar.
NIH eRA Commons Upgrade

Login Screen - 5

- eRA Resources

Support Related Resources

- Electronic Submission: Learn about the most frequent application errors at Avoiding Common Errors.
- Online Resources: Take advantage of our online Help Resources.
- Electronic Application Submission: To learn about completing and submitting an electronic grant application and access helpful resources, visit the Applying Electronically website.
- eRA Home Page: To find Commons FAQs, User Guides, training materials, and step-by-step instructions for performing tasks in Commons, visit the eRA website.
NIH eRA Commons Upgrade

Login Screen - 6

- Commons Resources
  - How to submit Reference Letters
  - Link to eRA Commons Demo Site

Commons Related Resources

- Reference Letters: To submit a reference letter when requested by an applicant, please follow this link: Submit Reference Letter
- Demo Facility: Demo Facility allows you to try most of the capabilities of the NIH eRA Commons in a sample environment.
NIH eRA Commons Upgrade

Login Screen -
- Register Grantee Organization
  - Do not use
- Commons FAQs and Release Note
- Additional Links

Register Grantee Organization

About the Commons
- Frequently Asked Questions
- Latest Release Notes

Additional Links
- RePORT
- Grants.gov
- iEdison
- National Institutes of Health
- Public Access Policy Page
- Loan Repayment Program
NIH eRA Commons Upgrade

Welcome Screen – 2

- Tabbed navigation to modules
NIH eRA Commons Upgrade

Welcome Screen – 2 and 3

- User Information
  - Logout

Welcome: Cindy Gilbert
ID: GILBERT2
Institution: UNIVERSITY OF CALIFORNIA LOS ANGELES
Roles: SO BO FCOI FSR
Logout | Contact Us | Help

Welcome
Cindy Gilbert
ID: GILBERT2
Institution: UNIVERSITY OF CALIFORNIA LOS ANGELES
Roles: SO BO FCOI FSR
NIH eRA Commons Upgrade

Welcome Screen – 4 and 5

- eRA Commons Help Desk contact information
NIH eRA Commons Upgrade

Welcome Screen – 6

- System alert messages

System Information Message

Alert: If your default institution has changed due to the eRA Commons deployment it can be reset. Click on the Institution Name which is a hyperlink on either the top right corner or in the column on the left side. You may then choose a new default institution to be set.
S2S Grants – Proposal Maintenance

- Individual users, relatively small list of proposals
- Signing Officials, much longer
S2S Grants – Proposal Maintenance

- Naming convention and deadline date provide additional filter
- Naming Convention:
  - Reviewer Initials,
  - PI Last Name,
  - Opportunity Number,
  - Other brief info

MMH, Bruin, PA-11-260, Cancer grant R01

- Refer to the S2S Grants Business Processes & Procedures Handbook for review initials
S2S Grants – Proposal Maintenance

 Proposal name is added when creating the proposal

 Create Grants.gov/Research.gov Proposal

 Opportunity: PA-11-260  
 Proposal Name: MMH, Bruin, PA-11-260, Cancer grant R01 (For reference within Cayuse424)

 Can be updated at any time
S2S Grants – Proposal Maintenance

- Deadline date is added to the Proposal Summary form
Proposal name and deadline date appear in list of proposals and can be filtered and/or sorted.

Search Results: 21 proposals since Oct 6, 2011
Always use proper reviewer initials
Always enter a deadline date
If you start a proposal and the PI decides not to submit:
- Update the deadline date to the next cycle, OR
- Delete the proposal
S2S Grants – Proposal Maintenance

- S2S Grants help: s2sgrants@research.ucla.edu
Research Administrators Forum

PI Re-Approval of Changes to Closeout Packets

Jennifer Aguilar, EFM
Chenda Seng, EFM

October 13th, 2011
PI Re-Approval Threshold for Revised Closeout Packets

- Why are PI re-approvals of closeout packets (COP’s) necessary?
  - Final expenditures originally submitted by departments have changed

- Threshold defines procedures when revisions are necessary after EFM receives COP’s from departments
<table>
<thead>
<tr>
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<th>Revised</th>
<th>Payment Basis</th>
<th>PI’s approval</th>
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<td>Balance</td>
<td>Increased by over $500</td>
<td>Cost reimbursement</td>
<td>Required</td>
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<tr>
<td></td>
<td></td>
<td>Firm fixed price (rate)</td>
<td>Not required</td>
</tr>
<tr>
<td>Decreased by over $500</td>
<td>Cost reimbursement</td>
<td>Required</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Firm fixed price (rate)</td>
<td>Required</td>
</tr>
<tr>
<td>Deficit</td>
<td>Increased by over $500</td>
<td>All</td>
<td>Required</td>
</tr>
<tr>
<td></td>
<td></td>
<td>All</td>
<td>Required</td>
</tr>
<tr>
<td>Decreased by over $500</td>
<td>All</td>
<td>Not required</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Turned to balance greater than $500</td>
<td>Cost reimbursement</td>
<td>Required</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Firm fixed price (rate)</td>
<td>Not required</td>
</tr>
</tbody>
</table>
PI Approval Threshold for Revised Closeout Packets

- Scenarios where PI approval is required:
  - Dept does not need to submit entire COP with PI approval to EFM
  - Sufficient to obtain email from PI with affirmative statement indicating PI reviewed revised COP certifying information is accurate
  - If obtaining email from PI is not possible:
    - Fund manager emails EFM with affirmative statement that PI reviewed and certified revised COP
    - PI is to be copied in the email from fund manager to EFM
PI Approval Threshold for Revised Closeout Packets

- Scenarios where PI approval is not required:
  - EFM notifies changes to PI and copies department fund manager
  - PI approval to process revision is not required

- Questions
  - www.efm.ucla.edu
    - EFM Department Team Assignments
Effort Reporting System

- Greg Swindell
  Assistant Director, Compliance and Cash Flow
  Extramural Fund Management
## Effort Reporting Metrics

As of 10/12/11

- **Completion Rates at UCLA**
  - 96.4% overall certification rate on Campus

- **Open Reports**
  - 4,773 open reports out of 131,175

100% of Effort Reports Must be Complete by **November 1**

Spring 2011 and Summer 2011 quarters

- Release projected for mid November

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<th>Fall Cert Rate</th>
<th>Fall Cert #</th>
<th>Fall Open #</th>
<th>Winter Cert Rate</th>
<th>Winter Cert #</th>
<th>Winter Open #</th>
<th>Spring Cert Rate</th>
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<td>7067</td>
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<td>2006-2007</td>
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ERS Report Update

LONE, GHULAM MOHIDDIN | SPRING 08: REG 11/12 ACADEMICS
Emp. ID: 803639371 | Home Dept: NEUROLOGY

**Version:** 1.4 (05/14/2010 10:26) | **Status:** Partially Certified (Overdue)
**Service Period:** March 26, 2008 to June 13, 2008
**Pay Periods:** April 1, 2008 to June 30, 2008

This report will remain open until all lines of the report have been certified.

### Federal and Federal Flow-Through Sponsored Projects

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Line certified by VOLKER HARTENSTEIN on October 30, 2008

### Total Federal and Federal Flow-Through Sponsored Projects requiring certification

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### Other Sponsored Projects

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### Non-Sponsored Activities

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### Total Other Effort not requiring certification

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### Grand Total

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**ADD ADDITIONAL SPONSORED PROJECT**

**UPDATE CALCULATION**
UCLA OFFICE OF RESEARCH ADMINISTRATION  
EXTRAMURAL PROPOSAL APPROVAL AND SUBMISSION SUMMARY  
“EPASS”

1. Principal Investigator(s)

<table>
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<tr>
<th>First Name</th>
<th>M.I.</th>
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<th>Employee ID</th>
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<td>Other PI:</td>
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<tr>
<td>Fellow (if Individual Fellowship):</td>
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Additional Other Investigators listed below (in Remarks section)

2. Department or Organized Research Unit (ORU)

<table>
<thead>
<tr>
<th>Administering Department Name:</th>
<th>FS Code (Dept. Code):</th>
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<table>
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<tr>
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<th>Recharge ID:</th>
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</table>

<table>
<thead>
<tr>
<th>Dept. Contact Name:</th>
<th>Extension:</th>
<th>Email Address:</th>
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</table>

Affiliated with Center/ORU:

3. Proposal Identification

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<thead>
<tr>
<th>Current Sponsor Award / ID#:</th>
<th>Project Begin Date:</th>
<th>Project End Date:</th>
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<tr>
<th>Proposal Title:</th>
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4. Award/Proposal/Program Type

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<tr>
<th>Award Type:</th>
<th>Proposal Type:</th>
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<tr>
<th>Program Type:</th>
<th>Special Program Type:</th>
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If UCLA award is a subcontract or subgrant, indicate both Sponsor & Prime Sponsor in Item 5, below.
5. Sponsor Information
   FOA/RFA/RFP# (if applicable): ______________________________________
   Prime FOA# (if different): ___________________________________________
   Sponsor Due Date/Time (Pacific): _____________________________________
   Deadline Type: _______________________________________________________
   Sponsor Name: _______________________________________________________
   Contact (if known): _________________________________________________
   Address: ____________________________________________________________
   Email Address: _______________________________________________________
   Phone #: ____________________________________________________________
   Prime Sponsor Name (if applicable): __________________________________

6. Proposal Checklist

   □ Yes  □ No  PI Exception Required? (Check Requirements and Look up Eligibility). If yes, attach approval form (Sample Approval Form)

   □ On Campus Space? Indicate location: _________________________________

   □ Off Campus Space? Indicate location: _________________________________

   □ Cost Sharing/Matching Funds? If yes, Amount ($): _____________________ Source/FAU#: _____________________ Unfunded Effort  □

   □ Outgoing Agreements? If yes, attach Sub-recipient Commitment Form. PI signature below indicates review and approval of cost reasonableness. (See Subaward Initiation and Management)

   □ Do you anticipate program income? If yes, specify: ___________________

   □ Information Technology Summary (ITS) required? (Proposal involves use of IT resources beyond basic academic infrastructure, is generating datasets or digital assets, or totals over $10,000 in IT-related hardware, software).
   ITS#: ____________________________
   (Check additional requirements and submit a proposal-specific ITS)
7. Additional Forms Required

<table>
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<tr>
<th>Yes</th>
<th>No</th>
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**COI (Disclosure Requirements)**
- Sponsor is Federal, CIRM or Designated University Managed Programs? If yes, attach COI Form 740 & Supplement to Form 740 (if applicable). See UCLA Standard Procedure 925.3.
- Non-Government Sponsor? If yes, attach Form 700-U and 700-U Addendum, as applicable, unless sponsor is exempt. See UCLA Standard Procedure 925.2

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
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<tbody>
<tr>
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**Industry Sponsored Research**
- Industry Non-Clinical Proposal? If yes, attach Industry Sponsored Research Checklist
- Industry Sponsored Clinical Trial? (Office of Clinical Trials Checklist)

8. Funds Requested – 1st Budget Period

- **Direct Costs ($):**
- **F&A Costs ($):**
- **Total Costs ($):**

- **F&A Rate (%):**
- **F&A Base Type:**
- **If Other, specify:**

**All Project Periods (complete only when multiple budget periods are involved)**

- **Direct Costs ($):**
- **F&A Costs ($):**
- **Total Costs ($):**

10. Accepts Responsibility *(Signatures Required)*

<table>
<thead>
<tr>
<th>Principal Investigator</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Co-Principal Investigator</td>
<td>Date</td>
</tr>
<tr>
<td>Co-Principal Investigator/Other</td>
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**Approvals: Includes Certifications *(Signatures Required)*

<table>
<thead>
<tr>
<th>Chair/CRU Director</th>
<th>Date</th>
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<tbody>
<tr>
<td>Dean (if applicable)</td>
<td>Date</td>
</tr>
<tr>
<td>Medical Center Directors (if applicable)</td>
<td>Date</td>
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</table>
University of California, Los Angeles
Award Snapshot

Section I: Award Summary

Principal Investigator: Cannon, Tyrone
Fund Number: 31871
Current Action: Continuation
Sponsor: NIH/National Institute of Mental Health
Prime Sponsor: None
Sponsor Award Number: 2RC MH088546-02
Administering Unit: Neuropsychiatric Institute (2000)
Project Title: Prevention Trial of Family Focused Treatment in Youth at Risk for Psychosis

Current Budget Period Start: 9/1/2010
Current Budget Period End: 8/31/2011
Funds Awarded this Action: 145,000
Project Period Start: 9/1/2009
Project Period End: 8/31/2012
Total Funds Awarded to Date: 290,000

For a History of Actions on this award, refer to the Terms and Conditions Attached

Section II: Immediate Action Needed

1. E-Verify Applies. No employees may be paid from this award until verification of employment eligibility!
   Principal Investigators are required to ensure that all employees working under this contract have their employment eligibility electronically verified. Any costs prior to the date of E-Verification will be unallowable. Each department is responsible to E-Verify new employees within 3 business days of their hire date and for current employees who will be charged to the fund source within 30 business days of the effective date they are charged to the fund. Please take steps now to coordinate these time sensitive actions with your human resource personnel. Please review UCLAs E-Verify procedures via (link to website) or you may contact E. Harrison, Payroll (email address/phone number).

2. Federal Information Security Management Act (FISMA) requirements apply to this contract. Please carefully review these terms to ensure compliance

3. See attached Terms and Conditions for additional Award Restrictions.
## Section III: Award Demographics

<table>
<thead>
<tr>
<th>Sponsor Award Number:</th>
<th>2RC MH088546-02</th>
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<td>Budget Period</td>
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<tr>
<td>Indirect Costs</td>
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<tr>
<td>Total</td>
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<td>F&amp;A Rate</td>
<td>54%</td>
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<tr>
<td>F&amp;A Base</td>
<td>MTDC</td>
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## Section IV: Subawards

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<th>Emory University</th>
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<td>Yale University</td>
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<tr>
<td>University of North Carolina</td>
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</table>

## Section V: Cost Sharing and Approvals

### Cost Sharing Type

- **Mandatory**
  - Cost Share Fund: 23456
  - Amount: 10,000
  - Unfunded Effort: No

### Special Review Type

- **Human Subjects**
  - Approval Status: Approved
  - Protocol No.: 10-000192
  - Begin Date: 9/1/2009
  - End Date: 11/30/2009
### Section VI: Deliverables

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### Section VII: Contacts

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<thead>
<tr>
<th>Contacts</th>
<th>Name/Email</th>
<th>Extension</th>
</tr>
</thead>
<tbody>
<tr>
<td>EFM</td>
<td>Jennifer Aguilar (<a href="mailto:jaguilar@ucla.research.edu">jaguilar@ucla.research.edu</a>)</td>
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</tr>
<tr>
<td>OCGA</td>
<td>Connie Whitley (<a href="mailto:cwhitley@ucla.research.edu">cwhitley@ucla.research.edu</a>)</td>
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