Welcome!

Marcia Smith
Associate Vice Chancellor for Research
Agenda

• Welcome and Announcements - Marcia Smith
  ▪ Implementation of New F&A Rates

• OCGA – Kathy Kawamura, Cindy Gilbert
  ▪ F&A Split Rates as displayed on Snapshot
  ▪ GCP and CT.gov updates on website and EPASS
  ▪ FDP Updates

• RPC – Ann Pollack
  ▪ Requirement to Submit Proposals and to Receive Awards for Grants and Contracts through the University

• EFM – Yoon Lee
  ▪ FY16-17 EFM statistics
  ▪ PAMS worklist and status
  ▪ ERS Update – Connie Brown

• Questions
F&A Rate Implementation

On-Site Research Rates:
• FY 2017 – July 1, 2016 to June 30, 2017 @ 54% MTDC
• FY 2018 – July 1, 2017 to June 30, 2018 @ 55% MTDC
• FY 2019 – July 1, 2018 until amended @ 56% MTDC
• More information online:
  http://ora.research.ucla.edu/OCGA/Pages/Standard-Instit-Info/facilities-and-administrative.aspx
Topics

• F&A Rate - Snapshot
• ePass Update
  ▪ NIH Good Clinical Practice
  ▪ ClinicalTrials.gov
# F&A Rate

<table>
<thead>
<tr>
<th>Sponsored Activity</th>
<th>FY 2017</th>
<th>FY 2018</th>
<th>FY 2019*</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>July 1, 2016</td>
<td>July 1, 2017</td>
<td>July 1, 2018</td>
</tr>
<tr>
<td>To June 30, 2017</td>
<td>To June 30, 2017</td>
<td>To June 30, 2018</td>
<td>To June 30, 2019</td>
</tr>
<tr>
<td>Organized Research</td>
<td>54%</td>
<td>55%</td>
<td>56%</td>
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<tr>
<td>Other Sponsored Activities</td>
<td>35%</td>
<td>38%</td>
<td>38%</td>
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<tr>
<td>Instruction</td>
<td>37%</td>
<td>40%</td>
<td>40%</td>
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<tr>
<td>Off-Campus (all functions)</td>
<td>26%</td>
<td>26%</td>
<td>26%</td>
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<tr>
<td>Intergovernmental Personnel Agreement (IPA)</td>
<td>8%</td>
<td>8%</td>
<td>8%</td>
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</table>

UCLA F&A Rate Agreement

[http://www.research.ucla.edu/ocga/Documents/F_A_Rate_Agreement_5-3-17.pdf](http://www.research.ucla.edu/ocga/Documents/F_A_Rate_Agreement_5-3-17.pdf)
## Split F&A Rates

### Budget Period 1: 1/01/18 – 12/31/18

<table>
<thead>
<tr>
<th></th>
<th>Total Direct</th>
<th>Total Exclusion</th>
</tr>
</thead>
<tbody>
<tr>
<td>Base</td>
<td>100,000</td>
<td></td>
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<tr>
<td>Exclusions</td>
<td>37,500</td>
<td>75,000</td>
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<tr>
<td>Indirect</td>
<td>55,000</td>
<td>56,000</td>
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<tr>
<td>Total Cost</td>
<td>192,500</td>
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**UCLA F&A Rate** 55%

### UCLA F&A Rate 56%

<table>
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<tr>
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<th>Total Direct</th>
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<tr>
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<td>Exclusions</td>
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<td>Indirect</td>
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<tr>
<td>Total Cost</td>
<td>193,500</td>
<td>193,500</td>
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</table>
Snapshot – Split F&A

How do I view my Award Snapshots?

ORA Portal
Post Award Tab
Tools -> Advanced Search & Snapshot Report

Viewable based upon DSA Delegation
Snapshot – Split F&A

Section III: Award Demographics

Section Highlights: PATS Number, Sponsor Award Number, Program Type, Transaction Budget Period, DC, F&A, Total Cost, F&A Rate/Base

<table>
<thead>
<tr>
<th>Transaction Budget Period</th>
<th>Direct Costs</th>
<th>F&amp;A Costs</th>
<th>Total</th>
<th>F&amp;A Rate</th>
<th>F&amp;A Base</th>
<th>Award Status</th>
<th>Action Type</th>
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<tbody>
<tr>
<td>09/01/2017 - 08/31/2018</td>
<td>$145,801</td>
<td>$64,241</td>
<td>$210,042</td>
<td>55.0 %</td>
<td>MTDC</td>
<td>Awarded/Fully Executed</td>
<td>New</td>
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<td>09/01/2017 - 08/31/2018</td>
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<td>$13,082</td>
<td>$36,442</td>
<td>56.0 %</td>
<td>MTDC</td>
<td>Awarded/Fully Executed</td>
<td>New</td>
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<td>09/01/2018 - 08/31/2019</td>
<td>$144,630</td>
<td>$50,193</td>
<td>$194,823</td>
<td>56.0 %</td>
<td>MTDC</td>
<td>Anticipated/Commited</td>
<td>New</td>
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</table>
SnapShot – Split F&A

- 2 lines will appear for the same budget period for each F&A Rate
- 1 TOF processed
- 1 FAU utilized
NIH Good Clinical Practice

NOT-OD-16-148 (NIH-fund clinical trials)

• “This policy establishes the expectation that all NIH-funded investigators and staff who are involved in the conduct, oversight, or management of clinical trials should be trained in Good Clinical Practice (GCP), consistent with principles of the International Conference on Harmonisation (ICH) E6 (R2)”

<table>
<thead>
<tr>
<th>Last Name</th>
<th>First Name</th>
<th>DEPARTMENT</th>
<th>DEPT</th>
<th>Learner Group or Course Taken</th>
<th>Completion Date</th>
<th>Expiration Date</th>
<th>Type of Course</th>
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<tr>
<td>Bruin</td>
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<td>Don</td>
<td>Glen</td>
<td>CANCER PREVENTION &amp; CNTRL RESEARCH</td>
<td>1916</td>
<td>Good Clinical Practice (OPTIONAL)</td>
<td>10/27/2015</td>
<td>10/26/2018</td>
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<tr>
<td>Ley</td>
<td>Gay</td>
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<td>11/17/2016</td>
<td>GCP</td>
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<tr>
<td>Shire</td>
<td>Will</td>
<td>MEDCTR-JULES STEIN EYE INSTITUTE</td>
<td>2892</td>
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<td>6/16/2017</td>
<td>6/15/2020</td>
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</table>

Compliant
Non-Compliant
NIH Good Clinical Practice
NIH Good Clinical Practice

UCLA Process:

- PI is responsible for ensuring that NIH-funded investigators and staff who are involved in the conduct, oversight, or management of clinical trials are up to date with GCP training.
  - New Awards: OCGA will confirm GCP training completion with department/PI
- Existing/ongoing NIH clinical trials – remind PIs to complete their training and ensure relevant staff complete training.
  - Upcoming: OCGA to follow-up for completion of GCP training certification
- If previously completed training from source other than CITI; will be required to provide evidence of completion
- ePass - OCGA will review sponsor & program type based upon NIH definitions
List all of the “NIH-funded investigators and staff who are involved in the conduct, oversight, or management of clinical trials should be trained in Good Clinical Practice (GCP)”
ClinicalTrials.gov

Compliance with FDAAA 801 Requirements (Final Rule)

• “ClinicalTrials.gov is a registry and results database of publicly and privately supported clinical studies of human participants conducted around the world”

• Based upon FDAAA 801 Requirements (Final Rule), it “requires Responsible Parties to register and submit summary results of clinical trials with ClinicalTrials.gov.”

• FDAAA 801 applies to any clinical study that meets the definition of an Applicable Clinical Trial and that was initiated after September 27, 2007, or that was initiated on or before that date and was still ongoing as of December 26, 2007.

• Definition of Applicable Clinical Trial under FDAAA

ClinicalTrials.gov FAQs
ClinicalTrials.gov
(NIH requirement)

Compliance with FDAAA 801 Requirements (Final Rule)

- Per the Deans, Directors, Department Chairs, and Administrative Officers memo issued by Interim Vice Chancellor Karagozian and Vice Chancellor Mazziotta dated June 2, 2017 (appendix) National Institutes of Health Policy on the Dissemination of NIH-Funded Clinical Trial Information (NOT-OD-16-149) went into effect on January 17, 2017.

- It requires registering and submitting results information to ClinicalTrials.gov for all studies funded wholly or in part by the NIH regardless of study phase, type of intervention, or whether they are subject to FDAAA Section 801. See: https://grants.nih.gov/grants/guide/notice-files/NOT-OD-16-149.html.
(5) all Clinical Trials based upon FDAAA 801, will be registered in ClinicalTrials.gov. When multiple investigators are proposed in an application this assurance must be obtained by all named investigators.
What Constitutes a Complete Proposal Package?

Wednesday, Sept 27, 2017
10889 Wilshire Blvd., Conf Room 820-20
9:30am-11:00 am

This session will address elements of a proposal needed to initiate a review. We will review and discuss minimum requirements for review and submission. This session is appropriate for anyone with responsibility for sending proposal materials to OCGA.
October

Filling out the EPASS: What is it, when is it required and how to complete

November

Contracts 101
Questions
Appendix: NIH Definition of Clinical Trial

A research study in which one or more human subjects are prospectively assigned to one or more interventions (which may include placebo or other control) to evaluate the effects of those interventions on health-related biomedical or behavioral outcomes.

See Common Rule definition of research at 45 CFR 46.102(d)

See Common Rule definition of human subject at 45 CFR 46.102(f)

The term "prospectively assigned" refers to a pre-defined process (e.g., randomization) specified in an approved protocol that stipulates the assignment of research subjects (individually or in clusters) to one or more arms (e.g., intervention, placebo or other control) of the clinical trial.

*Source: https://grants.nih.gov/grants/glossary.htm#ClinicalTrial*
Appendix: NIH Definition of Clinical Trial

An *intervention* is defined as a manipulation of the subject or subject's environment for the purpose of modifying one or more health-related processes and/or endpoints. Examples include, but are not limited, to: drugs/small molecules/compounds, biologics, devices; procedures (e.g., surgical techniques); delivery systems (e.g., telemedicine, face-to-face); strategies to change health-related behavior (e.g., diet, cognitive therapy, exercise, development of new habits); and, treatment, prevention, and diagnostic strategies.

A *health-related biomedical or behavioral outcome* is defined as the pre-specified effect of an intervention on the study subjects. Examples include positive or negative changes to physiological or biological parameters (e.g., improvement of lung capacity, gene expression); psychological or neurodevelopmental parameters (e.g., mood management intervention for smokers; reading comprehension and/or information retention); disease processes; health-related behavior; and, well-being or quality of life.
Appendix: NIH Definition of Clinical Trial

Biomedical clinical trials of an experimental drug, treatment, device, or behavioral intervention may proceed through four phases:

**Phase I.** Tests a new biomedical intervention in a small group of people (e.g. 20-80) for the first time to determine efficacy and evaluate safety (e.g., determine a safe dosage range and identify side effects).

**Phase II.** Study the biomedical or behavioral intervention in a larger group of people (several hundred) to determine efficacy and further evaluate safety.

**Phase III.** Study to determine efficacy of the biomedical or behavioral intervention in large groups of people (from several hundred to several thousand) by comparing the intervention to other standard or experimental interventions as well as to monitor adverse effects, and to collect information that will allow the interventions to be used safely.

**Phase IV.** Studies conducted after the intervention has been marketed. These studies are designed to monitor the effectiveness of the approved intervention in the general population and to collect information about any adverse effects associated with widespread use.
Dear Colleagues:

This guidance is issued to remind the campus clinical research community of the longstanding requirements to register and report results of clinical trials on the Federal database, www.ClinicalTrials.gov. It supplants campus guidance distributed in 2008.

Several changes to relevant federal regulations took effect in January 2017. They are:

The Final Rule for Clinical Trial Registration and Results Information Submission (42 CFR Part 11) went into effect on January 18, 2017. The Final Rule clarifies and expands the requirements of the Food and Drug Administration Amendments Act of 2007, Section 801 (FDAAA 801) registration and reporting requirements. Studies subject to the registration and results submission requirements described in FDAAA 801 are known as Applicable Clinical Trials (ACTS). See: https://www.federalregister.gov/documents/2016/09/21/2016-22149/clinical-trials-registration-and-results-information-submission.

National Institutes of Health Policy on the Dissemination of NIH-Funded Clinical Trial Information (NOT-OI-16-149) went into effect on January 17, 2017. It requires registering and submitting results information to ClinicalTrials.gov for all studies funded wholly or in part by the NIH regardless of study phase, type of intervention, or whether they are subject to FDAAA Section 801. See: https://grants.nih.gov/grants/guide/notices-files/NOT-OI-16-149.html.

Additionally, the International Committee of Medical Journal Editors (ICMJE) requires prospective registration in ClinicalTrials.gov as a precondition of consideration for publication of research results generated by a Clinical Trial in their journals (http://www.icmje.org/recommendations/browse/publishing-and-editorial-issue/clinical-trial-registration.html).

Under the FDA regulations and NIH policy, the entity or individual responsible for registering a clinical investigation and submitting Clinical Trial information to ClinicalTrials.gov is known as the Responsible Party.

UCLA has established two institutional accounts in the Protocol Registration and Results System (PRS) for ClinicalTrials.gov to support UCLA investigators who serve as the Responsible Party on a clinical trial:

For cancer studies: The Office of Regulatory Compliance, Jonsson Comprehensive Cancer Center: jccore@mednet.ucla.edu. The process of registering trials and results reporting is managed by the JCCC in collaboration and consultation with the investigator, using investigator-supplied information and documentation. Investigators do not need to maintain individual user accounts for cancer studies.

For all non-cancer studies: The Office of Regulatory Affairs, Clinical and Translational Science Institute (CTSI): ctsiora@mednet.ucla.edu. Each Investigator receives a user account under the “UCaliforniaLA” organization name to be able to log in to register and maintain their own studies. CTSI staff can view and edit all records in the organizational account and can provide guidance on registration and results-reporting requirements and the Protocol Registration System (PRS) data entry process. Study support staff and co-investigators may be given access to view and edit a study record, but only the Responsible Party can release the record to ClinicalTrials.gov.

Complying with the regulations is mandatory. Please forward this information to relevant individuals in your units. We urge all investigators to avail themselves of the support provided by the CTSI and JCCC to make reporting and registration easier, and to reduce the risk of monetary penalties that can be imposed by the FDA and/or the NIH for failure to comply.

For additional information see: http://research.go.ucla.edu/clinicaltrials.gov.

Sincerely,

Ann Karagozian, Ph.D. Interim Vice Chancellor for Research

John Mazziotta, M.D., Ph.D. Vice Chancellor of UCLA Health Sciences
Identifying an "Applicable Clinical Trial" under FDAAA

- This flowchart presents basic guidance on determining if a trial is considered an "applicable clinical trial" under FDAAA. It maps out the guidance provided in the "Elaboration of Definitions of Responsible Party and Applicable Clinical Trial," and is also available as an interactive flowchart at http://grants.nih.gov/ClinicalTrials/index.htm.

- This flowchart may not address every situation. The grantee's sponsored research office, general counsel, or other similar official should be involved in determining whether or not the grant supports an applicable clinical trial that needs to be registered under FDAAA.

Does the trial include a drug, biologic, or device?

- Yes, a drug or biologic.
- Yes, a device.
- The trial would not be considered an applicable clinical trial.
- Does the device meet all of the following 4 criteria?
  - It is a post-market surveillance as required under section 512 of the FDCA.
  - It is an investigation of a device not subject to the Food and Drug Administration Modernization Act (FDAMA).

- The trial would not generally be considered an applicable clinical trial.
- The trial would generally be considered an applicable device clinical trial.
- Review the following criteria to determine if the applicable clinical trial (ACT) needs to be registered under FDAAA:
  - If the trial was initiated on or before 9/27/2007 and involves a serious or life-threatening disease or condition...
  - If the trial was initiated after 9/17/2007...
  - If the trial was initiated on or before 9/27/2007 and was completed (meaning, not ongoing) by 12/26/2007...
  - If the trial was ongoing as of 9/27/2007 and is subject to the Food and Drug Administration Modernization Act (FDAMA) of 1997...
ClinicalTrials.gov

Compliance with FDAAA 801 Requirements (Final Rule)

- **Cancer Studies:** The Office of Regulatory Compliance, Jonsson Comprehensive Cancer Center: jcccorc@mednet.ucla.edu. The process of registering trials and results reporting is managed by the JCCC in collaboration and consultation with the investigator, using investigator-supplied information and documentation. Investigators do not need to maintain individual user accounts for cancer studies.

- **Non-Cancer Studies:** The Office of Regulatory Affairs, Clinical and Translational Science Institute (CTSI): ctsiora@mednet.ucla.edu. Each Investigator receives a user account under the “UCaliforniaLA” organization name to be able to log in to register and maintain their own studies. CTSI staff can view and edit all records in the organizational account and can provide guidance on registration and results-reporting requirements and the Protocol Registration System (PRS) data entry process. Study support staff and co-investigators may be given access to view and edit a study record, but only the Responsible Party can release the record to ClinicalTrials.gov.

- Per NIH ([https://grants.nih.gov/clinicaltrials_fdaaa/certify-compliance.htm](https://grants.nih.gov/clinicaltrials_fdaaa/certify-compliance.htm)), AOR’s signature on a competing application or RPPR assures compliance with FDAAA.
Cindy A. Gilbert
Assistant Director

September 14, 2017
Agency Updates - NIH

• Updated Grants Policy Statement (NIHGPS) will be available October 6, 2017.
  ▪ Applicable to all NIH grants and cooperative agreements with *budget periods beginning on or after October 1, 2017*.

• Significant Policy Change: salary supplementation for “K” award recipients.
  ▪ NIH will allow recipients to devote effort, with compensation, to *Federal* or non-Federal sources as PD/PI, Co-Investigator, or other role.
  ▪ Effort not directly committed to Career award.
  ▪ Specific aims of the other supporting grant(s) differ from the Career award.

See [NOT-OD-17-094](#)
Agency Updates - NIH

• Additional Guidance on “Full-Time Training” for NRSA Awardees
  ▪ Recognition that fellows and trainees may seek part-time employment, incidental to training program, to meet expenses.
  ▪ May spend, on average, additional 25% (10 hours) a week conducting part-time activities
    • Research
    • Teaching
    • Clinical employment
  ▪ Activities should not interfere with, or lengthen, the duration of research training.

See NOT-OD-17-095
Agency Updates - NIH

Clinical Trial Reform Policy – Reminders

• Good Clinical Practice Training Requirement – NOT-OD-16-148
• Funding Opportunity Announcements (FOAs) Specifically for Clinical Trials – NOT-OD-17-043
• New Human Subjects and Clinical Trials Information Form – NOT-OD-17-062
• Single Institutional Review Board (sIRB) Policy for Multi-site Research – NOT-OD-17-076
• Policy on Dissemination of NIH-Funded Clinical Trial Information – NOT-ID-16-149
Agency Updates - NIH

Clinical Trial Reform Policy – Important Resources for Investigators

• Clinical Trial Requirements for Grants and Contracts – [website]
  ▪ NIH Definition of a Clinical Trial
  ▪ Does your Human Subjects Study Meet the Definition?
  ▪ Case Studies
  ▪ Why the Changes?

• [Open Mike] blog dated September 8, 2017 – Mike Lauer, MD; Deputy Director for Extramural Research

• Talk to Program Manager
Agency Updates - NIH

Fall Regional Seminar
October 25 – 27, 2017
Baltimore Maryland

See NOT-OD-17-073
Agency Updates - NSF

• New Proposal & Award Policies and Procedures Guide – NSF 18-1
  ▪ Expected to be released in October
  ▪ Effective January 2018

• Significant Changes
  ▪ Revise Eligibility Standards
    • New subcategory for Institutions of Higher Education (IHEs)
    • Revised eligibility of foreign institutions
  ▪ Collaborators and Other Affiliations pilot will be fully implemented
    • New footnotes added to template to address FAQs
Agency Updates - NSF

• Significant Changes (continued)
  ▪ Updated vertebrate animals coverage
  ▪ Updated human subjects coverage
  ▪ Requests for Prior Approval coverage moved to Appendix
  ▪ Chapter on Allowability of Costs edited to remove sections that restate the Uniform Guidance
Agency Updates - NSF

NSF Response to Hurricane Harvey

- Ensure flexibility for affected proposers and awardees
- **Dear Colleague Letter** issued – RAPID, EAGER and supplemental funding opps to conduct new research related to Hurricane Harvey
- Specific inquiries: harvey@nsf.gov
Agency Updates - NSF

Electronic Research Initiatives

• Modernizing Account Management
  ▪ Some users currently have a variety of logins to access different NSF functions
  ▪ All active accounts for an individual will be consolidated
  ▪ NSF ID login will be used for all services
  ▪ Users will be able to self-manage and role/affiliation requests*
    *OCGA will be notified to review and approve requests

• Electronic Research Administration Forum (webinar)
  
  Wednesday, September 19
  10:00 AM pacific
  Click [here](#) to Register
Agency Updates - ONR

- Important Upcoming Deadlines
  - FY 2018 Young Investigator Program (YIP) – September 15, 2017 – N00014-17-S-F014
  - FY 2018 Multidisciplinary Research Program of the University Research Initiative (MURI) – November 1, 2017 – N00014-17-S-F006
- Revised R&D General Terms and Conditions (dated September 2017) posted
  - Replaces prior Agency Specific Terms and Conditions
- Electronic Research Administration Forum (webinar)
  Wednesday, September 19
  10:00 AM pacific
  Click here to Register
More to Follow …

• Latest changes to NIH eRA Commons
• Grants.gov Transition to Workspace and Forms E
• sIRB Implementation

View full presentations at the FDP [website](#)
UC Policy:
Requirement to Submit Proposals and to Receive Awards for Grants & Contracts through the University

Ann Pollack, Assistant Vice Chancellor – Research Policy and Compliance
September 14, 2017
Policy Summary

• *All* employees of the University of California are expected to submit proposals for extramural support through campus contracts and grants office.

• Policy applies to *all* employees who receive any part of their salary through the University, or whose activities use any University resources or facilities.
Policy Summary (continued)

- Policy is referenced in Academic Personnel Policies – APM 025 (Conflict of Commitment and Outside Activities of Faculty Members) and APM 671 (Conflict of Commitment and Outside Activities of Health Sciences Compensation Plan Participants). Prior approval required as a “Category I” activity – those likely to create conflict of commitment issues.

- APM 025 and 671 apply to faculty appointed at 50% or more.
Authority to Grant Exceptions

• Authority to grant exceptions at UCLA is delegated to the Vice Chancellor for Research, Roger M. Wakimoto, under Delegation of Authority 258.03.

• Exceptions can be granted in unusual circumstances on a case-by-case basis.

• In most instances approval to serve as PI of a research grant or contract outside the University requires a reduction in UC effort.
Considerations

- Only allowed under unusual circumstances
- Clear distinction between service to the University and service to the external organization submitting the proposal required
- Must ensure that all relevant personnel policies are followed
- No UC liability for activities
- No UC resources used (without appropriate contractual arrangements and compensation)
- All potential conflict of commitment and conflict of interest issues must be resolved
Procedures

• UC Policy indicates that each campus should establish local procedures
• Informal process in place
• Review requirements and process at UCLA not widely known or formally promulgated
• Working with Academic Personnel to coordinate reviews for faculty covered by APM 025 and 671
• Beginning discussions about formal guidance/procedure
Current Review and Approval Process

- Faculty covered by APM 025 and 671 can make requests via prior approval processes. Academic Personnel Office will coordinate review with the Office of the Vice Chancellor for Research.

- All other requests for prior approval should be submitted in writing to Vice Chancellor for Research, Roger Wakimoto but can be directed to Ann Pollack, Assistant Vice Chancellor – Research.
Other Issues

• Most requests made in conjunction with federal SBIR/STTR programs (Universities not eligible to apply).

• Federal SBIR eligibility requirements require that the PI work at least 51% time for the applicant company and cannot remain at UCLA for more than 49% time.

• Because of effort considerations and conflict of commitment/interest concerns, most requests for approval require a reduction in UC effort for the duration of contract or grant.

• Requests from postdocs typically considered only when the postdoctoral appointment is nearing conclusion. Graduate Division approval to become a part-time postdoc is required.

• Exceptions cannot be made for individuals on H1-B visas because changes in work conditions are not permitted.
References


- UCLA Delegation of Authority 258.03

- APM 025 – “Conflict of Commitment and Outside Activities of Faculty Members”

- APM 671 – “Conflict of Commitment and Outside Activities of Health Sciences Compensation Plan Participants”

- Conflict of Interest Issues Related to Participation in SBIR and STTR Programs – FAQ
Questions

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Assistant Vice Chancellor – Research
apollack@research.ucla.edu | (310)794-0387

Claudia Modlin
Assistant Director – Research Policy & Compliance
cmodlin@research.ucla.edu | (310)794-2642
RESEARCH ADMINISTRATION

Extramural Fund Management

September 14, 2017
Today’s Topics

- FY16-17 EFM statistics
- PAMS worklist and financial deliverable status
- ERS Updates
EFM Statistics for
the Fiscal Year ended June 30, 2017

Yoon Lee
EFM Statistics for FY16-17

- EFM provides financial management support of sponsored project funds for the UCLA research community.

- EFM’s primary goals are to ensure timely submission of accurate invoices and financial reports and recovery of costs incurred for sponsored project while providing leadership and expertise to ensure fiscal compliance with sponsor’s and university’s rules and regulations.
EFM Statistics for FY16-17

- PI spending for the project
- EFM CM team collecting payment
- EFM FM team billing/reporting
EFM Statistics for FY16-17

- Total expenses for sponsored project funds: $931,252,214

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<th>%</th>
<th>FY15-16 ($ in millions)</th>
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<td>61.5%</td>
<td>$576.0</td>
<td>62.8%</td>
<td>-$3.0</td>
<td>-0.5%</td>
</tr>
<tr>
<td>Other Gov’t</td>
<td>$105.4</td>
<td>11.3%</td>
<td>$103.2</td>
<td>11.2%</td>
<td>$2.2</td>
<td>2.1%</td>
</tr>
<tr>
<td>Non Gov’t</td>
<td>$252.9</td>
<td>27.2%</td>
<td>$238.3</td>
<td>26.0%</td>
<td>$14.6</td>
<td>6.1%</td>
</tr>
<tr>
<td>Total</td>
<td>$931.3</td>
<td>100.0%</td>
<td>$917.5</td>
<td>100.0%</td>
<td>$13</td>
<td>1.5%</td>
</tr>
</tbody>
</table>
EFM FM team billing/reporting

Total financial deliverables completed: 14,010

<table>
<thead>
<tr>
<th></th>
<th>FY16-17</th>
<th>FY15-16</th>
<th>Decrease</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>(count)</td>
<td>%</td>
<td>(count)</td>
</tr>
<tr>
<td>Interim</td>
<td>11,691</td>
<td>83.4%</td>
<td>12,008</td>
</tr>
<tr>
<td>Final</td>
<td>2,319</td>
<td>16.6%</td>
<td>2,484</td>
</tr>
<tr>
<td>Total</td>
<td>14,010</td>
<td>100.0%</td>
<td>14,492</td>
</tr>
</tbody>
</table>
EFM Statistics for FY16-17

- Increased on-time submission of financial deliverables.

New fund closeout procedure went effect
## EFM Statistics for FY16-17

- **Total payments collected were $941,124,272**

<table>
<thead>
<tr>
<th></th>
<th>FY16-17</th>
<th>FY15-16</th>
<th>Decrease</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>$ in millions (count)</td>
<td>% of $</td>
<td>$ in millions (count)</td>
</tr>
<tr>
<td><strong>Letter of Credit (LOC)</strong></td>
<td>$497 (794)</td>
<td>52.8%</td>
<td>$517 (866)</td>
</tr>
<tr>
<td><strong>ACH, wires, checks</strong></td>
<td>$444 (9,158)</td>
<td>47.2%</td>
<td>$459 (9,898)</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$941</strong></td>
<td><strong>100.0%</strong></td>
<td><strong>$976</strong></td>
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</table>

EFM CM team collecting payment
EFM Statistics for FY16-17

- Supported 16 new audits/reviews from various sponsors:

<table>
<thead>
<tr>
<th>Sponsor Type</th>
<th>Federal</th>
<th>State/County/Local</th>
<th>Non-government</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of audits</td>
<td>4</td>
<td>6</td>
<td>6</td>
<td>16</td>
</tr>
<tr>
<td>Number of findings</td>
<td>No finding</td>
<td>3</td>
<td>5</td>
<td>8</td>
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</tbody>
</table>

- Findings included:
  - Lack of adequate supporting documentation to support allowability and applicability of costs, incorrect classification of expenses (supplies vs. equipment), salaries charged to the project significantly more than effort indicated in the agreement without prior approval, lack of safeguard and monitoring of check disbursement, etc.

- Managed 21,000 effort reports released for 239 departments:

<table>
<thead>
<tr>
<th>Fall 2015</th>
<th>Winter 2016 quarters</th>
<th>Spring 2016</th>
<th>Summer 2016 quarters</th>
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</thead>
<tbody>
<tr>
<td>89%</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>87%</td>
<td></td>
</tr>
</tbody>
</table>
PAMS Worklist and Financial Deliverable Status

Yoon Lee
In order to achieve 100% on-time submission of financial deliverables, it is essential for the PI, departmental fund managers and EFM accountants work collaboratively.

PAMS worklist provides a tailored worklist of financial deliverables a fund manager is responsible for, including the status of each financial deliverable.

Financial deliverables with the status of “Pending Department Action” indicate department assistance is needed to complete invoice and/or financial report and closed the fund. Scenarios include:

- Sponsor specific template requiring detailed information
- Confirmation on completion of milestone for invoice milestone
- Pending documents required by UCLA Policy 913
Pending Department Action

- Financial deliverable with “Pending Department Action” will appear in worklist under “Invoices and Reports Due to Sponsor”
Pending Department Action

- Comments indicate documents needed from the department.

- Upon EFM’s receipt of complete and accurate documents, financial deliverable status will be updated and will be removed from the department worklist.
Resources

- Following quick guides and tutorial videos are available for worklist and fund search.

- Quick guides and tutorial videos are available for other areas as well including deliverables, fund details, and Administration tabs.

- Visit [http://ora.research.ucla.edu/EFM/Pages/PAMS/TrainingMaterials.aspx](http://ora.research.ucla.edu/EFM/Pages/PAMS/TrainingMaterials.aspx)

- PAMS Help Team
  - (310) 794-0008, [pamshelp@research.ucla.edu](mailto:pamshelp@research.ucla.edu)
Effort Reporting

Connie Brown
Effort Reporting Statistics

On-Time Certification Rate for the 7/31/17 Deadline

- Fall 2016 & Winter 2017
  - On-Time Rate: 92%
  - Released: 10,186 & Certified: 9,403
  - Number of uncertified reports: 783
  - Today’s update
    - Current rate: 96% certified
    - Open reports: 432

- All Quarters Certification Rate since Spring ‘06
  - Rate: 99%
  - Total open reports: 724
On-Time Certification Rates

- Spring & Summer '11: 70%
- Fall '11 & Winter '12: 74%
- Spring & Summer '12: 82.5%
- Fall '12 & Winter '13: 83%
- Spring & Summer '13: 78%
- Fall '13 & Winter '14: 90%
- Spring & Summer '14: 92.5%
- Fall '14 & Winter '15: 89%
- Spring & Summer '15: 90%
- Fall '15 & Winter '16: 89%
- Spring & Summer '16: 87%
- Fall '16 & Winter '17: 92%
Effort Reporting Certification Rates

- By academic year for all quarters as of 9/8/17

<table>
<thead>
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<th>Academic Year</th>
<th>Fall</th>
<th>Winter</th>
<th>Spring</th>
<th>Summer</th>
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<td>N/A</td>
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</tbody>
</table>

**TOTAL 78**
ERS Reminders

- Spring and Summer 2017 Effort Reports
  - Release mid-October
  - Deadline February 2018

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  - Connie Brown at ershelp@research.ucla.edu
“SEE YOU ALL AT …!"
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http://ora.research.ucla.edu/EFM/

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