



**UCLA**

Office of Research Administration

# Research Administration Forum September 14th, 2017

# 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
- FY2018 – 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>



**Kathy Kawamura**  
**Assistant Director**

**September 14, 2017**

# Topics

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

# F&A Rate

Sponsored Activity	Effective Period		
	FY 2017 July 1, 2016 To June 30, 2017	FY 2018 July 1, 2017 To June 30, 2018	FY 2019 July 1, 2018 To June 30, 2019*
Organized Research	54%	55%	56%
Other Sponsored Activities	35%	38%	38%
Instruction	37%	40%	40%
Off-Campus (all functions)	26%	26%	26%
Intergovernmental Personnel Agreement (IPA)	8%	8%	8%

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

Total Direct 275,000

Total Exclusion 75,000

**1/1/18– 6/30/18  
(6 months)**

**7/1/18 – 12/31/18  
(6 months)**

UCLA F&A Rate **55%**

UCLA F&A Rate **56%**

Total Direct	137,500
exclusions	37,500
Base	100,000

Total Direct	137,500
exclusions	37,500
Base	100,000

Indirect 55,000

Indirect 56,000

Total Cost 192,500

Total Cost 193,500

# Snapshot – Split F&A

How do I view my Award Snapshots?

[ORA Portal](#)

Post Award Tab

Tools -> Advanced Search & Snapshot Report

## TOOLS

- Award Data Reports
  - Current Year Award Stats by Dept, PI
  - Prior Year Data Download by Dept
  - 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

### Section III: Award Demographics

Sponsor Award Number: 1R21DE027199-01  
 Proposal Type: New  
 Program Type: Clinical Research  
 Award Status: Awarded/Fully Executed  
 Payment Basis: Cost Reimbursable

UCLA PATS Number: 20171659  
 Award Type: Grant  
 Special Program Type: Not applicable  
 Location: On Site  
 Special Payment Type: None

Transaction Budget Period	Direct Costs	F&A Costs	Total	F&A Rate	F&A Base	Award Status	Action Type
09/01/2017 - 08/31/2018	\$145,801	\$64,241	\$210,042	55.0 %	MTDC	Awarded/Fully Executed	New
09/01/2017 - 08/31/2018	\$23,360	\$13,082	\$36,442	56.0 %	MTDC	Awarded/Fully Executed	New
09/01/2018 - 08/31/2019	\$144,630	\$50,193	\$194,823	56.0 %	MTDC	Anticipated/Committed	Continuation

# SnapShot – Split F&A

Transaction Budget Period	Direct Costs	F&A Costs	Total	F&A Rate	F&A Base	Award Status	Action Type
09/01/2017 - 08/31/2018	\$145,801	\$64,241	\$210,042	55.0 %	MTDC	Awarded/Fully Executed	New
09/01/2017 - 08/31/2018	\$23,360	\$13,082	\$36,442	56.0 %	MTDC	Awarded/Fully Executed	New
09/01/2018 - 08/31/2019	\$144,630	\$50,193	\$194,823	56.0 %	MTDC	Anticipated/Committed	Continuation

- 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)**”

Last Name	First Name	DEPARTMENT	DEPT	Learner Group or Course Taken	Completion Date	Expiration Date	Type of Course
Bruin	Joseph	CLINICAL RESEARCH CENTER	1790	Good Clinical Practice (OPTIONAL)	4/8/2013	4/7/2016	GCP
Bruin	Josephine	MEDCTR-VOLUNTEERS	2808	Good Clinical Practice (OPTIONAL)	12/11/2009	12/10/2012	GCP
Conte	Lee	MEDICINE-HEMATOLOGY-ONCOLOGY	1559	Good Clinical Practice (OPTIONAL)	6/10/2013	6/9/2016	GCP
Don	Glen	CANCER PREVENTION & CNTRL RESEARCH	1916	Good Clinical Practice (OPTIONAL)	10/27/2015	10/26/2018	GCP
Ley	Gay	MEDICINE-HEMATOLOGY-ONCOLOGY	1559	Good Clinical Practice (OPTIONAL)	11/18/2013	11/17/2016	GCP
Shire	Will	MEDCTR-JULES STEIN EYE INSTITUTE	2892	Good Clinical Practice (OPTIONAL)	6/16/2017	6/15/2020	GCP

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



# 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>.

# Epass Updated (ClinicalTrials.Gov)

## PI Certifications

### 10. Accepts Responsibility

### Approvals: Includes Certifications

*The Investigator(s) certifies to the following: (1) that the information submitted within this application is true, complete and accurate to the best of their knowledge; (2) that any false, fictitious, or fraudulent statements or claims may subject the Investigator(s) to criminal, civil or administrative penalties; (3) agrees to accept responsibility for the scientific conduct of the project and to provide the required progress reports if a grant is awarded as a result of the application; and (4) that you are not currently debarred, suspended or ineligible to receive federal or non-federal funds; (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.*

	Date
	Date

Chair/ORU Director/Dean/Medical Center Director (Required)	Date
	Date
	Date

### Added Certification Language:

*(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.*

# MASTER TRAINING

<http://www.research.ucla.edu/ocga/training-calendar.html>

## SEPTEMBER

### What Constitutes a Complete Proposal Package?

*New  
Location*

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.

# MASTER TRAINING

<http://www.research.ucla.edu/ocga/training-calendar.html>

## 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.

**Deans, Directors, Department Chairs, and Administrative Officers**

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](http://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/2016/09/21/2016-22129/clinical-trials-registration-and-results-information-submission>.

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>.

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-issues/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: [jccorc@mednet.ucla.edu](mailto:jccorc@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): [ctsi@mednet.ucla.edu](mailto:ctsi@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://researchgo.ucla.edu/clinicaltrials.gov>.

Sincerely,

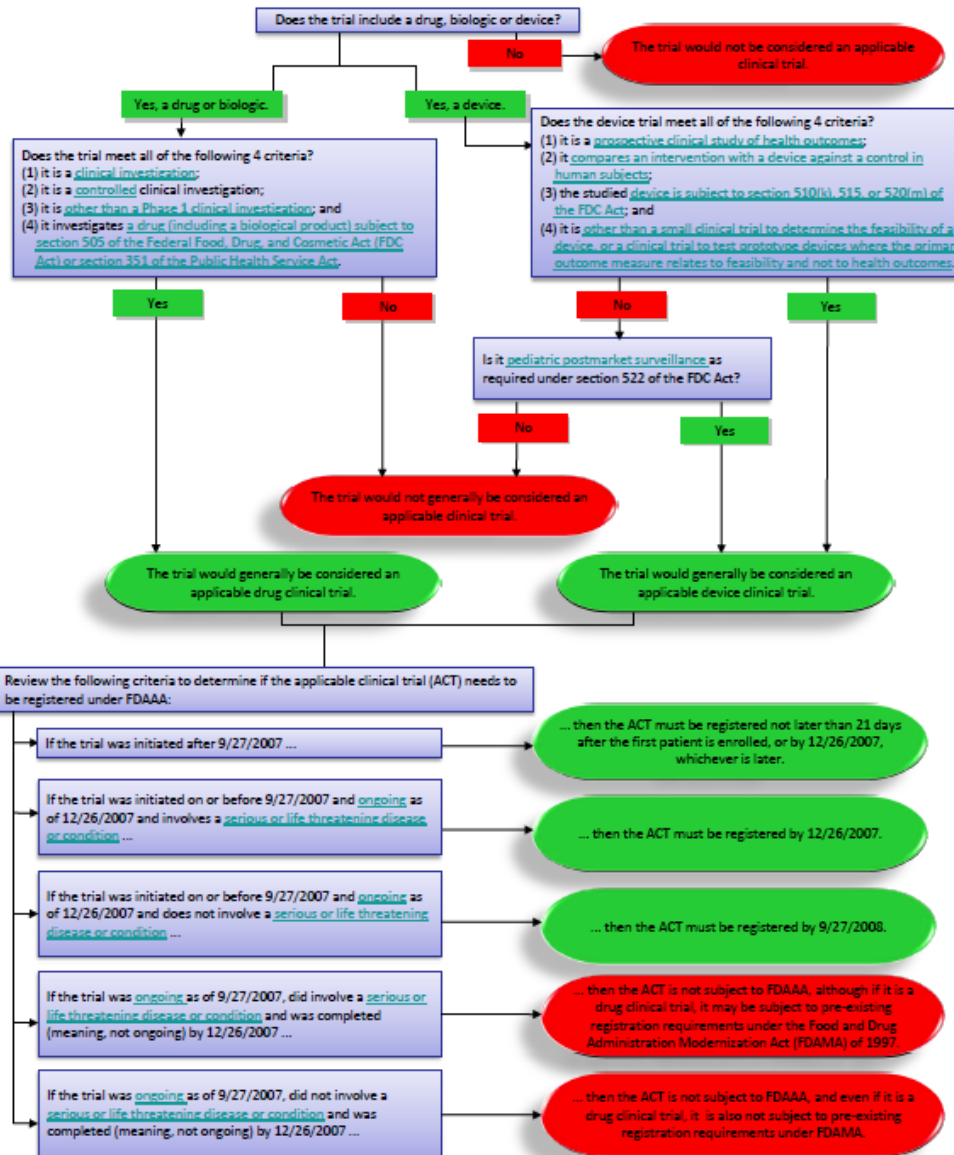
**Ann Karagozian, Ph.D.**  
Interim Vice Chancellor for Research

**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\\_fdaaa/index.htm](http://grants.nih.gov/ClinicalTrials_fdaaa/index.htm)

This flow chart 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.



# ClinicalTrials.gov

Compliance with [FDAAA 801 Requirements \(Final Rule\)](#)

- **Cancer Studies:** The Office of Regulatory Compliance, Jonsson Comprehensive Cancer Center: [jccorc@mednet.ucla.edu](mailto:jccorc@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](mailto: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

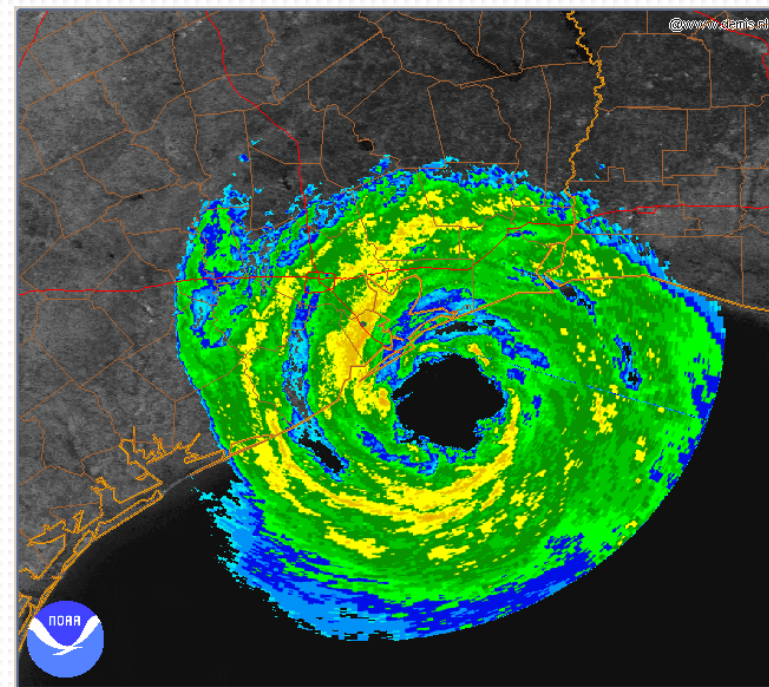
# Agency Updates - NSF

- 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](mailto: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  
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

- [UC Operating Memo 95-01 – “Requirement to Submit Proposals and to Receive Awards for Grants & Contracts through the University”](#)
- [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

Ann Pollack

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Claudia Modlin

Assistant Director – Research Policy & Compliance

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# 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**

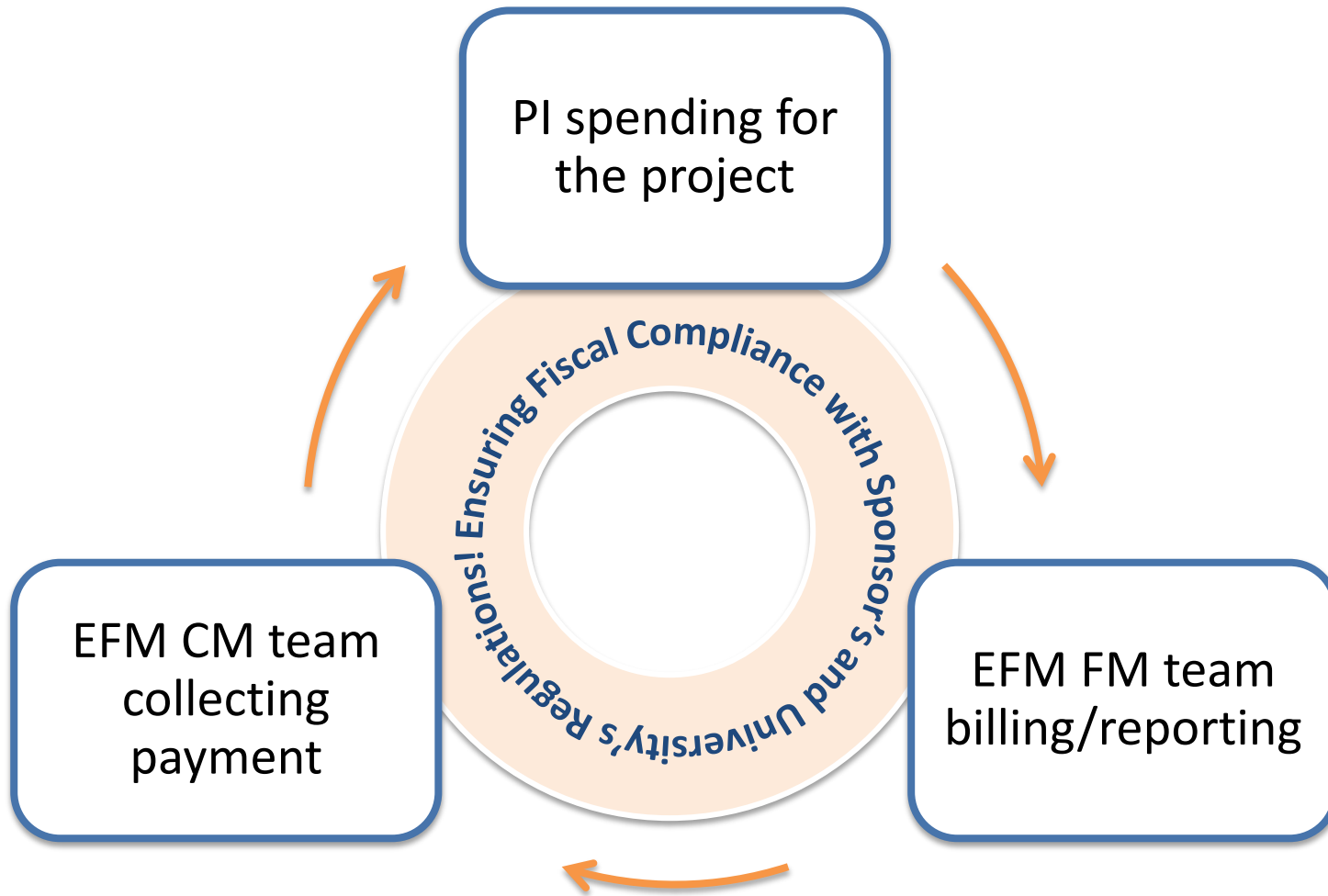
Yoon Lee

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# 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



# EFM Statistics for FY16-17

PI spending for the project

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

	FY16-17		FY15-16		Increase	
	(\$ in millions)	%	(\$ in millions)	%	(\$ in millions)	%
Federal Gov't	\$573.0	61.5%	\$576.0	62.8%	-\$3.0	-0.5%
Other Gov't	\$105.4	11.3%	\$103.2	11.2%	\$2.2	2.1%
Non Gov't	\$252.9	27.2%	\$238.3	26.0%	\$14.6	6.1%
<b>Total</b>	<b>\$931.3</b>	<b>100.0%</b>	<b>\$917.5</b>	<b>100.0%</b>	<b>\$13</b>	<b>1.5%</b>

# EFM Statistics for FY16-17

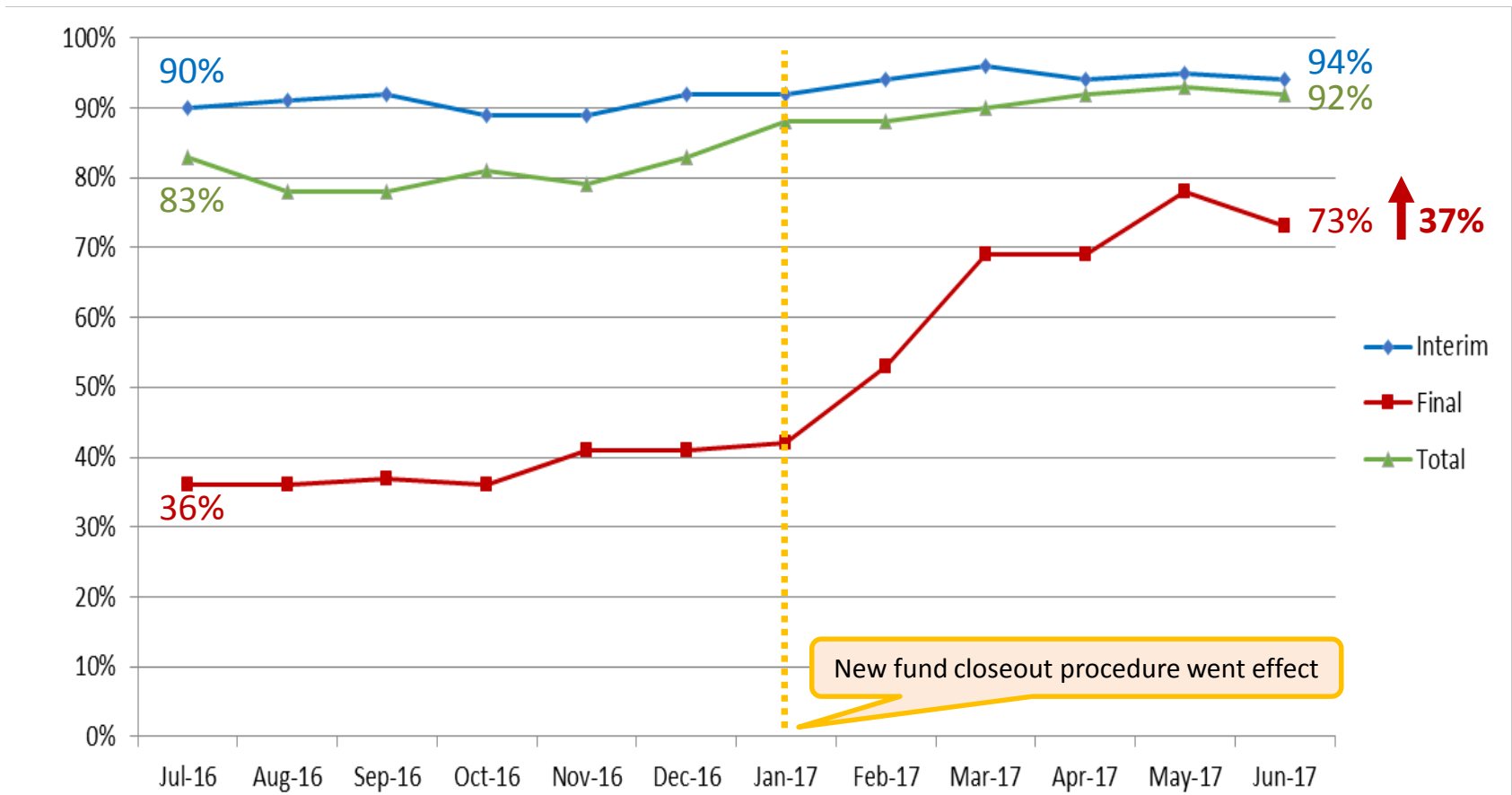
EFM FM team  
billing/reporting

- Total financial deliverables completed: 14,010

	FY16-17		FY15-16		Decrease	
	(count)	%	(count)	%	(count)	%
Interim	11,691	83.4%	12,008	82.9%	-317	-2.7%
Final	2,319	16.6%	2,484	17.1%	-165	-7.1%
<b>Total</b>	<b>14,010</b>	<b>100.0%</b>	<b>14,492</b>	<b>100.0%</b>	<b>-482</b>	<b>-3.4%</b>

# EFM Statistics for FY16-17

- Increased on-time submission of financial deliverables.



# EFM Statistics for FY16-17

EFM CM team  
collecting  
payment

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

	FY16-17		FY15-16		Decrease	
	\$ in millions (count)	% of \$	\$ in millions (count)	% of \$	\$ in millions (count)	% of \$
Letter of Credit (LOC)	\$497 (794)	52.8%	\$517 (866)	53.0%	-\$19 (72)	-3.9%
ACH, wires, checks	\$444 (9,158)	47.2%	\$459 (9,898)	47.0%	-\$15 (740)	-3.3%
<b>Total</b>	<b>\$941</b>	<b>100.0%</b>	<b>\$976</b>	<b>100.0%</b>	<b>-\$34</b>	<b>-3.6%</b>

# EFM Statistics for FY16-17

- Supported 16 new audits/reviews from various sponsors:

Sponsor Type	Federal	State/County/ Local	Non- government	Total
Number of audits	4	6	6	16
Number of findings	No finding	3	5	8

- 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:

Fall 2015   Winter 2016 quarters	Spring 2016   Summer 2016 quarters
89%	87%

# **PAMS Worklist and Financial Deliverable Status**

Yoon Lee

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# Financial Deliverable Status in PAMS

- 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**”

My Funds Fund Details Deliverables Administration

Worklist Fund Search

Worklist

**DASHBOARD**

**Invoices and Reports Due to Sponsor**

**5** Upcoming 60 Days

- 3** Interim
- 0** Final

**2** Past Due

- 2** Interim
- 0** Final

**Closeout Packets**

**7** Upcoming 60 Days

- 5** Due to EFM
- 2** Due to Home

**2** Past Due

- 2** Due to EFM
- 0** Due to Home

**Missing Managing PI**

**0** Account CCs

**My Action Required > Interim Reports and Invoices > Upcoming > Interim**

As of 01/10/2017 11:00:10 AM

Award Snapshot	Fund Number	Sponsor Due Date	Status	Sponsor Award #	Sponsor Name	PI Name	Dept Fund Mgr	EFM Accountant	Category	Type	Project Start Date	Project End Date	Budget Start Date
	11111		Pending Department Action	P30 CA09335	NIH	PI Bruin	P. Adam	P. Sam	Financial Report	Interim	01/01/13	09/15/15	01/01/13
	22222		Pending Department Action	F0148524	Arts Foundation	PI Bruin	P. Adam	P. Sam	Invoice	Interim	04/01/14	03/31/16	04/01/14
	44444		Pending Department Action	F1Z2A3K	Science Foundation	PI Susan	P. Adam	P. Sam	Financial Report	Interim	01/01/14	03/31/16	01/01/14

# Pending Department Action

My Funds Fund Details Deliverables Administration

Deliverable List

**Deliverable List**

Get Fund :

Fund No: 22222 PI: PI Lester  
 Award No: AF0148524 Sponsor: Arts Foundation  
 Department Code: 1001 Department Name: Royce Hall  
 Budget Period: 10/01/15 - 12/31/15 Project Period: 04/01/14 - 03/31/16

Report and Invoice Schedules

Deliverable Schedule	Edit Schedule	Due Date	Category	Type	Frequency	Owner	Status	Update Date	Deliverable	Edit Status	Delete Deliverable
2	Edit	04/30/2016	Invoice	Final	Once	P. Sam	COP Not Started			Edit	
1	Edit	03/31/2016	Invoice	Interim	Once	P. Sam	Pending Department Action			Edit	
1	Edit	10/31/2015	Invoice	Interim	Quarterly	P. Sam	Deliverable Submitted	10/22/2015		Edit	
1	Edit	07/31/2015	Invoice							Edit	

Fund #: 22222

**Current Status**

Due Date:

Update Date:

Status: Pending Department Action

Last Comment: Reached out to Department Fund Manager P. Adam. Requested sponsor specific invoice template be completed and returned to EFM for review and submission.

[Update Status and Comment!](#)

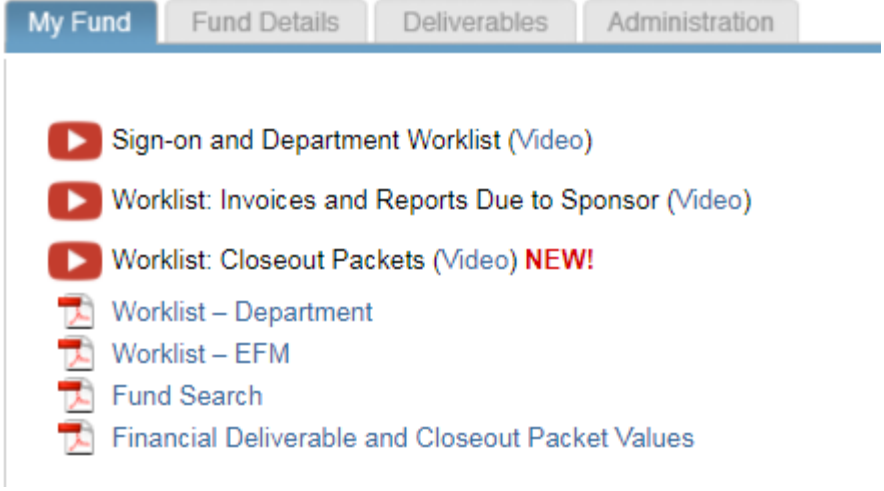







**History of Status Changes**

Date	Username	User Comments	Status Updates
07/31/2014	P. Sam	Reached out to Department Fund Manager P. Adam. Requested sponsor specific invoice template be completed and returned to EFM for review and submission.	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.
- 
- The screenshot shows a web interface with four tabs: "My Fund", "Fund Details", "Deliverables", and "Administration". Below the tabs is a list of resources:
-  Sign-on and Department Worklist (Video)
  -  Worklist: Invoices and Reports Due to Sponsor (Video)
  -  Worklist: Closeout Packets (Video) **NEW!**
  -  Worklist – Department
  -  Worklist – EFM
  -  Fund Search
  -  Financial Deliverable and Closeout Packet Values
- Visit <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

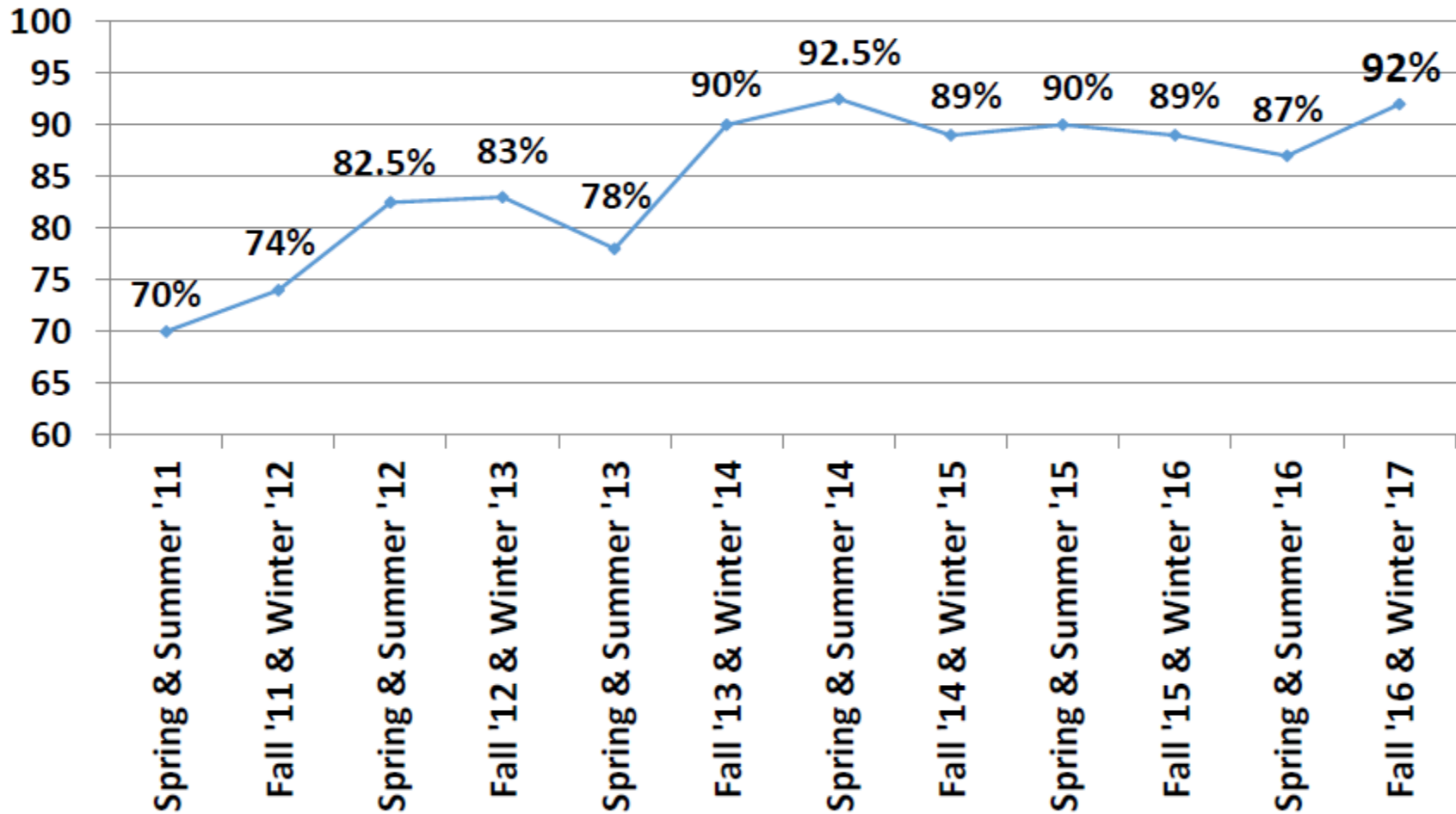
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# Effort Reporting Statistics

## 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



# Effort Reporting Certification Rates

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

Academic Year	Fall			Winter			Spring			Summer		
	Cert Rate	Cert #	Open #	Cert Rate	Cert #	Open #	Cert Rate	Cert #	Open #	Cert Rate	Cert #	Open #
2005-2006	N/A	N/A	N/A	N/A	N/A	N/A	100%	6683	0	100%	6985	0
2006-2007	100%	6112	0	100%	6051	0	100%	6195	0	100%	6576	0
2007-2008	100%	5828	0	100%	5872	0	100%	5996	0	100%	6498	0
2008-2009	100%	5831	0	100%	5878	0	100%	6129	0	100%	7395	0
2009-2010	100%	6434	0	99%	6678	1	99%	6897	1	99%	7758	1
2010-2011	99%	6545	3	99%	6595	1	99%	6747	1	99%	7082	3
2011-2012	99%	6209	3	99%	6282	1	100%	6278	0	100%	6607	0
2012-2013	100%	5775	0	99%	5843	2	100%	5814	0	99%	6116	2
2013-2014	99%	5371	2	99%	5336	1	100%	5504	0	99%	5894	5
2014-2015	99%	5258	5	99%	5332	7	99%	5331	15	99%	5845	14
2015-2016	99%	5208	17	99%	5235	32	98%	5315	68	98%	5590	107
2016-2017	96%	4909	204	95%	4942	228	N/A	N/A	N/A	N/A	N/A	N/A

# Departments with 100% Certification

As of July 31, 2017

DEPT CODE	DEPARTMENT	DEPT CODE	DEPARTMENT	DEPT CODE	DEPARTMENT
0523	ACADEMIC ADVANCEMENT PROGRAM	4806	EAO PROGRAMS/URBAN COLLAB	1713	NEUROSURGERY
0300	ANDERSON GRAD SCH OF MANAGEMEN	0995	EARTH, PLANETARY, AND SPACE SC	0665	NR EASTERN LANGS & CULTURES
1240	ASIA INSTITUTE ADMINISTRATION	0513	EDUCATIONAL INITIATIVES	4950	OFC OF INSTRUCTIONAL DEVELOPME
0680	ASIAN LANGUAGES & CULTURES	1935	EPIDEMIOLOGY	2890	OFFICE OF EMERGENCY PREPAREDNE
1460	BIOMATHEMATICS	1550	FAMILY MEDICINE	4954	OID CENTER FOR EDUCATIONAL ASS
5415	BIOMEDICAL LIBRARY	0464	FILM, TELEVISION & DIGITAL MED	1865	OLIVE VIEW MED CTR (SCH OF MED
1760	BRAIN RESEARCH INSTITUTE	3820	FOWLER MUSEUM AT UCLA	1705	ORTHOPEDIC SURGERY
2115	BROAD STEM CELL RESEARCH CTR	0757	INST FOR PURE & APPLIED MATHEM	1625	PATHOLOGY DEPARTMENT ADMINISTR
4807	BRUIN CORPS	2105	INSTITUTE FOR RES ON LABOR AND	1641	PEDIATRICS-ALLERGY/IMMUNOLOGY
0518	CALIF NANOSYSTEMS INSTITUTE	3022	INSTITUTE FOR SOCIETY AND GENE	1644	PEDIATRICS-CRITICAL CARE
1215	CALIFORNIA CNTR FOR POPULATION	0505	INSTITUTE OF PLASMA SCI & TECH	1639	PEDIATRICS-PAIN PROGRAM
1916	CANCER PREVENTION & CNTRL RESE	2112	JONSSON CANCER CENTER	0695	PHILOSOPHY
1230	CENTER FOR WORLD LANGUAGES	0190	MATERIALS SCIENCE & ENGR	1000	PHYSICS & ASTRONOMY
0142	CENTER OF FUNCTION ACCEL NANOM	1010	MATHEMATICS	1035	PROGRAM IN COMPUTING
0130	CHEMICAL ENGINEERING	1568	MEDICINE-CARE CENTER	1655	PSYCHIATRY/BIOBEHAVIORAL SCI
2075	CHICANO STUDIES RESEARCH CENTE	1570	MEDICINE-CENTER FOR HUMAN NUTR	1182	PUBLIC POLICY
1918	CNTR FOR HEALTH POLICY RESEARC	1554	MEDICINE-DERMATOLOGY	1181	SCH OF PUBLIC AFRS SCH WIDE/PR
1250	CNTR FOR LATIN AMERICAN STUDIE	1557	MEDICINE-GENERAL MEDICINE & HL	0725	SLAVIC, EAST EUROPEAN & EURASI
1920	COMMUNITY HEALTH SCIENCES	1558	MEDICINE-GERIATRICS	2933	SMH: RAPE TREATMENT CENTER
0521	CTR FOR ENVTL IMPACTS OF NANOT	1559	MEDICINE-HEMATOLOGY-ONCOLOGY	0740	SPANISH AND PORTUGUESE
1269	CTR FOR SOUTHEAST ASIAN STUDIE	1574	MEDICINE-NANO MEDICINE	1703	SURGERY - THORACIC SURGERY
0115	DEAN, SEAS	1563	MEDICINE-RHEUMATOLOGY	1711	SURGERY-GENERAL
1400	DEANS OFFICE-SCHOOL OF MEDICIN	2301	MICROBIOLOGY, IMMUNO & MOLECUL	1717	SURGERY-PLASTIC
1370	DENTAL RESEARCH INSTITUTE	1490	MOLECULAR & MEDICAL PHARMACOLO	0157	THE WESTERN INSTI FOR NANOELEC
1350	DENTISTRY	0140	NANOSCALE MULTIFERROIC SYSTEMS	0519	UNDERGRADUATE RESEARCH CENTERS
0910	DUCHENNE MUSCULAR DYSTROPHY RE	1430	NEUROBIOLOGY	5625	UNEX-EDUCATION
				<b>TOTAL</b>	<b>78</b>

# ERS Reminders

- Spring and Summer 2017 Effort Reports
  - Release mid-October
  - Deadline February 2018
  
- ERS Notifications
  - To subscribe: Send an e-mail to: [ers+subscribe@lists.ucla.edu](mailto:ers+subscribe@lists.ucla.edu) or [ora-news+subscribe@lists.ucla.edu](mailto:ora-news+subscribe@lists.ucla.edu). The subject line and body of the e-mail can be blank
  
- ERS Help Desk:
  - Connie Brown at [ershelp@research.ucla.edu](mailto:ershelp@research.ucla.edu)

“SEE YOU ALL AT ...!”

100%

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