

# Quarterly Research Administration Meeting

September 13, 2023

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## Agenda

- Welcome
  - FY 23 Award Dollars - FY 23
  - Honest Broker - Cohort Discovery Tools
  - Federal Update
  - RSIC Process Review
  - COI Update – Clinical Trial Procedure Notification Method
  - ERA Updates
  - C&G Accounting
- Q&A and Closing

## Breakouts

- Name
  - Department / School / Area
- How long have you been at UCI?
- Preference: Coffee, Tea, or Soda?
  - What kind and from where?

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# Honest Broker

(a part of the wider Data Steward role...)

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Fall QRAM, 9/13/2023

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# Agenda

1. Honest Broker, defined
2. Data provisioning for research purposes
  - 2.1 What types of UCI Health data are available\*?
  - 2.2 How to request such data?
    - A. Cohort Discovery (the Cohort Discovery Tool, TriNetX)
    - B. Approvals\*
    - C. Submit a service ticket
  - 2.3 How are data requests triaged?
  - 2.4 How is data disclosed?
3. Perspective

\* Materials adapted from the virtual workshop presentation by Dr. Kai Zheng (Chief Research Information Officer, Health Affairs) on September 24<sup>th</sup>, 2021

# 1. Honest Broker, what and who

“An individual, organization or system acting for, or on behalf of, the covered entity to collect and provide health information to researchers in such a manner whereby it would not be reasonably possible for the investigators or others to identify the corresponding patients-subjects directly or indirectly.” - UPMC Honest Broker Policy, 2007

“...I see the Honest Broker as the intermediary between the covered entity and the researchers...” - Karen Allen (email correspondence)

What the Honest Broker is NOT:

- Honest Broker can not be one of the researchers
- Honest Broker is not Privacy Officers nor IRB Staff
- Honest Broker must abide by the “Common Rule” (45 CFR Part 46) and the HIPAA Privacy Rule (45 CFR Parts 160, 164), but they are not responsible for conveying or interpreting policies

The department of Enterprise Data & Analytics in UCI Health, Information Services serves as the UCI’s institutional “Honest Broker” (HDGC Data Steward & IRB-approved protocol HS# 2012-8757, PI: David Merrill)

- Partner with ICTS/CBMI and Office of Research Information to fulfill data requests.
- In addition to de-identified data sets, the Data Steward also provisions limited data sets and identifiable data sets (containing PHI).



## 2. Data provisioning for research purposes

## 2.1 What types of UCI Health data are available for research reuse?

<b>Structured EHR Data</b> Basic demographics, clinical encounters, vital signs, diagnoses, medications, lab tests, procedures, etc., of ~800k UCI Health patients since ~2010	<b>Social Determinants of Health</b> Basic demographics, census tract-level community vital signs, and other geotag-based socioeconomic data (ArcGIS Enterprise)	<b>Free-Text Clinical Narratives</b> Admission notes, progress notes, discharge summary, etc.	<b>Operational Data</b> Check-in time, check-out time, whether the patient has an account with the MyChart Patient Portal and # of logins, etc.
<b>Biospecimens</b> Experimental Tissue Resource Delia Tifrea dtifrea@uci.edu	<b>Imaging Data</b> 3M+ images since 2000, Center for Artificial Intelligence in Diagnostic Medicine Peter Chang changp6@hs.uci.edu	<b>Biosignal Data</b> Various data archives from bedside physiological devices Health Affairs Office of Research Information ori@uci.edu	<b>UC Health Data Warehouse</b> Fully de-identified structured EHR data across the UC Health Affairs Office of Research Information ori@uci.edu

## 2.2 How to request such data?

### Step A. Perform cohort discovery

- Use the **Cohort Discovery Tool (powered by i2b2) or TriNetX** to perform data query and analysis of anonymous clinical data to characterize patient groups
- Take a hypothetical Inflammatory Bowel Disease (IBD) study as an example\*:

- **Inclusion & Exclusion criteria:**
  - Both Crohn's Disease or Ulcerative Colitis
  - Age 18-80
  - Patients on corticosteroid therapy
  - Patients are Humira naïve
  - Exclude patients with CRP  $\geq$  5 mg/L
  - Must have NOT had endoscopy in last year
- **This is a good example study as it demonstrate the following:**
  - **Diagnosis:** Crohn's Disease/Ulcerative Colitis
  - **Demographic Limit:** Age 18-80
  - **Medication:** Corticosteroid therapy
  - **Medication:** Humira naïve (shows common name mapping – Humira vs. Adalimumab)
  - **Lab Value:** CRP  $\geq$  5mg/L (shows range)
  - One **Temporal Event – Procedure** (endoscopy)

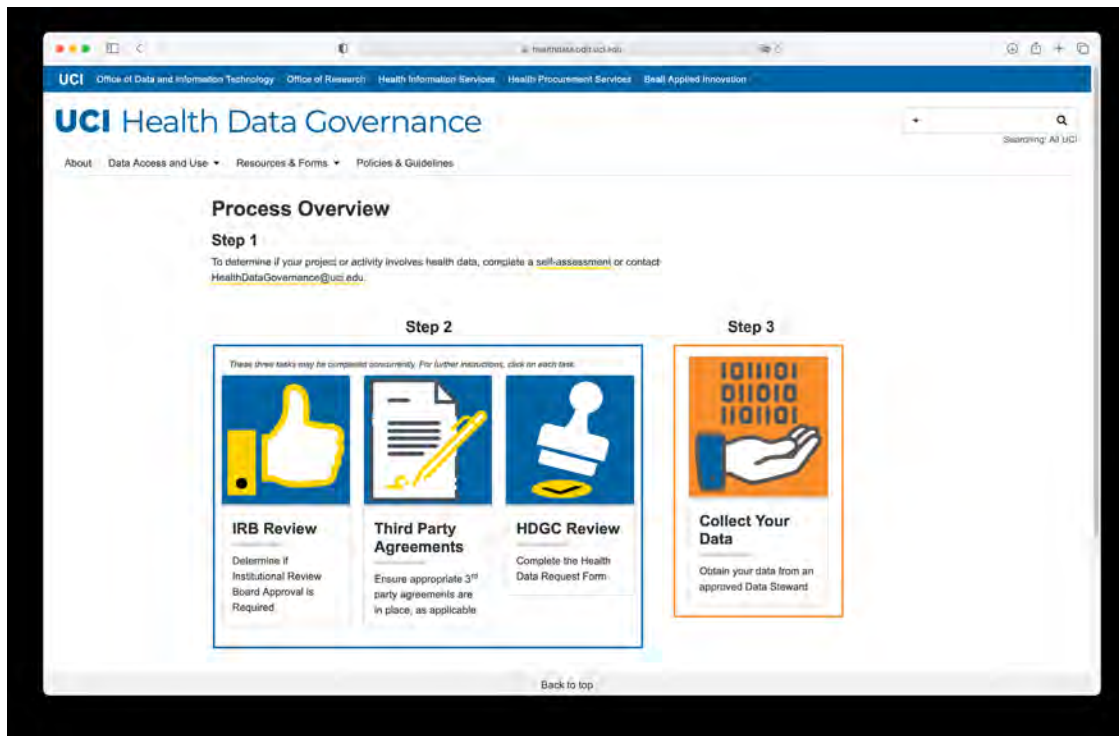
- Consult with the Honest Broker to:
  - Specify the requested data elements
  - Assess feasibility of obtaining data electronically

The screenshot shows the TriNetX Query Builder interface for an 'IBD Cohort Query'. The query is dated Sep 10, 2023 at 9:03 pm by Yi-Chang Huang. The results show 4,690 patients. The query criteria are as follows:

Category	Code	Description	Count
MUST HAVE	ICD-10-CM K50	Crohn's disease (regional enteritis)	8,600
	OR		
	ICD-10-CM K51	Ulcerative colitis	8,110
MUST HAVE	VA 808A	ADRENAL CORTICOSTEROIDS	485,000
CANNOT HAVE	RxNorm 327261	adalimumab	4,950
	LABOR 1199 S	C reactive protein [Mass/volume] in Serum or Plasma	104,260
Lab Value		> 5 mg/L, most recent value	
MUST HAVE	CPT 198722	Endoscopy Procedures on the Rectum	44,190

## 2.2 How to request such data? (con't)

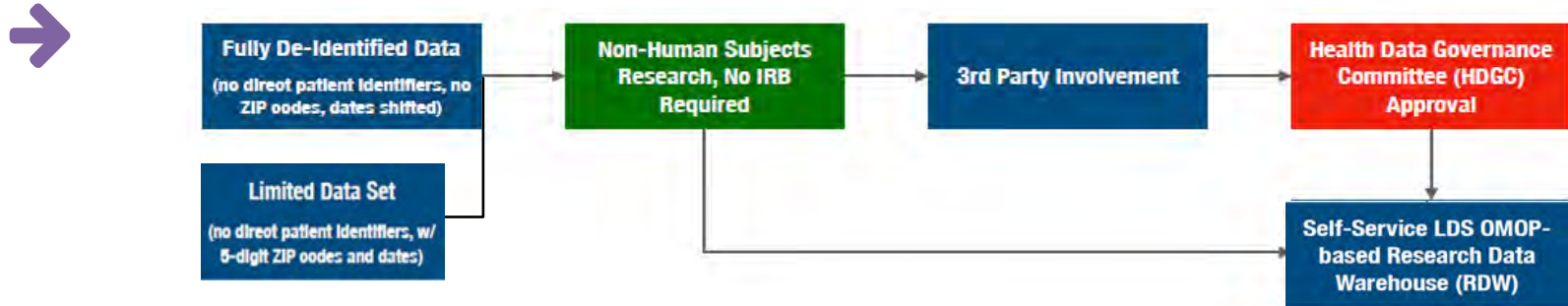
### Step B. Obtain (ALL) Approvals



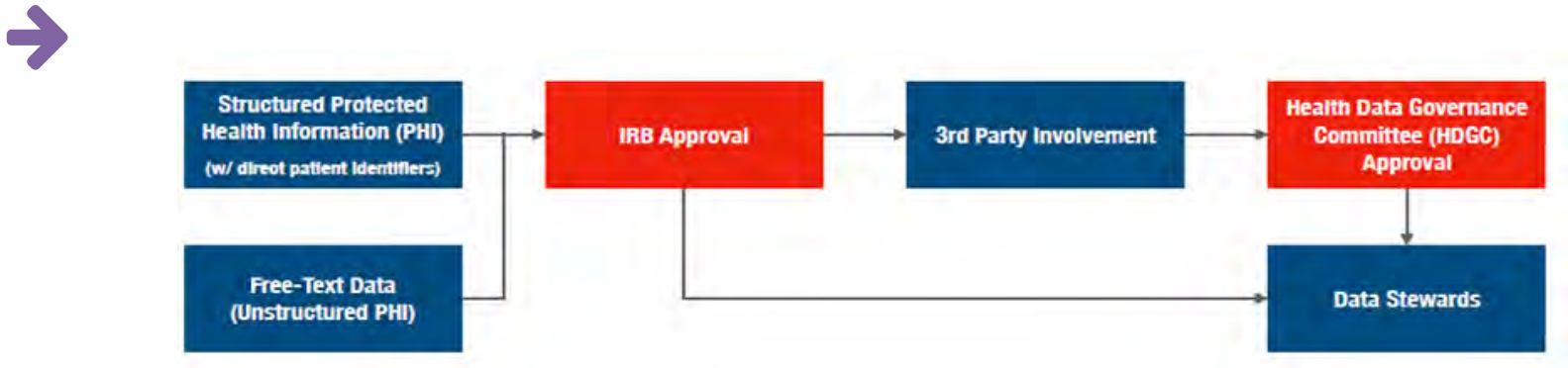
The screenshot displays the UCI Health Data Governance website. The page title is "UCI Health Data Governance" and the URL is "healthdata.uci.edu". The navigation menu includes "About", "Data Access and Use", "Resources & Forms", and "Policies & Guidelines". The main content area is titled "Process Overview" and is divided into three steps:

- Step 1:** To determine if your project or activity involves health data, complete a [self-assessment](#) or contact [HealthDataGovernance@uci.edu](mailto:HealthDataGovernance@uci.edu).
- Step 2:** These three tasks may be completed concurrently. For further instructions, click on each task:
  - IRB Review:** Determine if Institutional Review Board Approval is Required.
  - Third Party Agreements:** Ensure appropriate 3<sup>rd</sup> party agreements are in place, as applicable.
  - HDGC Review:** Complete the Health Data Request Form.
- Step 3:** **Collect Your Data:** Obtain your data from an approved Data Steward.

At the bottom of the page, there is a "Back to top" link.



- **De-identified data set** - Submission of a Non-Human Subject Research (NHSR) determination to the IRB is not required. PIs may simply complete the NHSR determination form then keep it on file, and the Education and Quality Improvement Program (EQUIP) will do a periodic audit to verify accuracy.
- **Limited data set** – A signed UCI Health DUA is required. Like de-identified data set, submission of a NHSR determination to the IRB is not required. EQUIP will do a periodic audit to verify accuracy.



- **Identifiable data set (containing PHI)** – An IRB approval is required.

## 2.2 How to request such data? (con't)

### Step C. Put In a Service Ticket

- EDA the “Honest Broker” (HDGC Data Steward & IRBapproved protocol HS# 20128757)
  - <https://it.health.uci.edu/Enterprise-Data/requestdata.asp>
- Office of Research Information (limited data from the UCI Health Clinical DataWarehouse, aka “LDS OMOP”)
  - [ori@uci.edu](mailto:ori@uci.edu)

## 2.3 How are data requests triaged?

Since the Honest Broker is only permitted to disclose data within the approved scope, a request is reviewed vis-à-vis the protocol to ensure congruence between the request, approvals, and the protocol.

### In Quali Research Protocol:

- a. *Project Procedures > Medical Records* specifies that UCI Health medical records will be obtained from “UCI Health Enterprise Data & Analytics (HDGC Data Steward & IRB approved protocol HS# 2012-8757)”
- b. *Subject Population(s) > Eligibility Criteria* specifies inclusion/exclusion.
- c. *Project Procedures > Data Points* specifies data elements.
  - *Date-range*
  - *Data Abstraction Form*
- d. *Sample Size*

## 2.4 How is data disclosed or released?

- Deliver data sets to the secure location: Protected Virtual Computing Environment (PVCE)
  - The data can only be exported out of PVCE, with permission from the CRIO, as long as one of the following 3 conditions is met:
    1. researchers must submit the data to a third party (e.g., the NIH, the CDC), provided that proper data transfer agreement and HDGC approval are in place
    2. researchers need to export the data into another HIPAA-compliant system (e.g., REDCap, Qualtrics) for valid reasons (e.g., to support participant recruitment, to administer patient surveys)
    3. the protected virtual computing environment is not adequate to accommodate the storage or computing needs (e.g., dataset is too large, analytical tools required are too specialized, requiring GPU processing)
- Track each data disclosure
  - Including request date, information about the researcher, IRB documentation, disclosure authorization type, delivery date, and the delivered datasets.
  - HIPAA disclosure accounting for studies with (partial) HIPAA waivers.



## 3. Perspective, and a Brave New Future

The Honest Broker has served more than 300 research protocols across more than 70 departments (e.g., CoHS, UCI Health, CCR, CC, Bio Sci, Phy Sci, Business) in the University since 2012.

Leverage current technology advancement to empower researchers and expedite discovery.

- Epic Nebula, Epic's next generation cloud analytics platform
  - Self-service tools (e.g., SlicerDicer)
  - Research data enclaves
- UCI Institute for Precision Health's end-to-end data platform Syntropy (powered by Palantir Foundry)
- Data democratization

Thank You!

Questions? Email Andrea Hwang at [ychwang@hs.uci.edu](mailto:ychwang@hs.uci.edu)

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# Federal Update

Maria Diaz Romero  
Manager, Federal Sponsored Projects

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# NIH Update

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# Terminology Change: Funding Opportunity Announcement (FOA) to Notice of Funding Opportunity (NOFO)

- NIH is aligning with 2 CFR 200.204 (Uniform Guidance) and will now refer to our grant opportunities as [Notices of Funding Opportunities \(NOFOs\)](#) and phasing out use of the term *Funding Opportunity Announcements (FOAs)*.
- You will see both NOFO and FOA during the transition period in NIH documents and communication.
- [NOT-OD-23-109](#): Updates to Funding Opportunity Terminology was published on April 21, 2023.

# Post Submission Materials Policy: For Applications Submitted After May 25, 2023 Receipt Date

NIH will accept a one-page update with preliminary data as post-submission material for the application types listed in the table below.

Mechanism	Type 1 (New and Resubmission of New application)	Type 2 (Renewal)	Type 3 (Competitive Revision)
<b>R01</b>	Allowed*	Not allowed	Not allowed
<b>R21</b>	Allowed*	Not allowed	Not allowed
<b>R03</b>	Allowed*	Not allowed	Not allowed
<b>All others</b>	Not allowed	Not allowed	Not allowed

Learn more: [NOT-OD-23-106](#)

\*Only if the NOFO allows preliminary data

# Clinical Trials: Good Cause Extension Request Process and Criteria

- [NOT-OD-23-080](#) was implemented on February 15, 2023, to inform the research community that NIH has issued the [Clinical Trials Results Information Submission: Good Cause Extension Request Process and Criteria](#) document
  - Outlines the process and criteria for requesting a good cause extension of the submission deadline for clinical trial results information under [42 CFR 11.44\(e\)](#) of the Final Rule for Clinical Trials Registration and Results Information, section [402\(j\)\(3\)\(E\)\(vi\)](#) of the Public Health Service Act, and the complimentary NIH Policy on the Dissemination of NIH-Funded Clinical Trial Information ([NOT-OD-16-149](#))
- Extension requests must be submitted electronically via the ClinicalTrials.gov Protocol Registration and Results System (PRS) prior to the date that results information would otherwise be due (i.e., the primary completion date + 12 months)
  - Must include a description of the reason(s) that the responsible party believes constitute good cause to justify an extension and an estimated date on which the results information will be submitted

Learn more: [NOT-OD-23-080](#)



# Redesigned xTrain Module Deployed

- A redesign of the xTrain module in eRA Commons was released on March 30, 2023.
- The [xTrain](#) module was redesigned to streamline workflows and present a more user-friendly interface, following extensive collaboration with both internal and external user groups.
- The module also has the new visual appearance of other eRA modules along with added security and stability.
- **Highlights for xTrain External Users**
  - Enhanced Trainee Roster with a display of awarded slots and counts of the in-progress forms
  - Enhanced screen for business officials with a list of all forms routed to them
  - An updated screen for trainees

Learn more: [NOT-OD-23-094](#)

# NIH Policies for NRSA Stipends, Compensation and Other Income

- On April 21, 2023, NIH released NOT-OD-23-111, Reminder for NRSA Stipend, Compensation and Other Income.
- NIH stipends awarded to NRSA fellows and trainees are considered as subsistence allowance intended to help defray living expenses during the research training experience.
- Stipends cannot be provided as a condition of employment with either the Federal government or the sponsoring institution (Refer to NIH Grants Policy Statement [11.2.9.2](#) and [11.3.8.2](#)).

Learn more: [NOT-OD-23-111](#), [42 CFR Part 66](#)

# NIH Application Instruction Updates: Data Management and Sharing (DMS) Costs

- Updates the NIH application instructions for submitting requests for Data Management and Sharing costs in a single line item.
- **Effective for applications submitted for due dates on or after October 5, 2023**, NIH will no longer require the use of the single DMS cost line item.
- DMS costs must be requested in the appropriate cost category, e.g., personnel, equipment, supplies, and other expenses, following the instructions for the R&R Budget Form or PHS 398 Modular Budget Form, as applicable.

Learn more: [NOT-OD-23-161](#)

# NSF Update

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## PAPPG (NSF 23-1): Safe and Inclusive Working Environments for Off-Campus or Off-Site Research

- For each proposal that proposes to conduct research off-campus or off-site, the AOR must certify that the organization has a plan in place *for that proposal* regarding safe and inclusive working environments.
- Off-campus or off-site research is defined as data/information/samples being collected off-campus or off-site, such as fieldwork and research activities on vessels and aircraft.
- The plan *does not* need to be submitted to NSF as part of the proposal.

## PAPPG (NSF 23-1): Safe and Inclusive Working Environments for Off-Campus or Off-Site Research - FAQs

- How does NSF define off-campus or off-site?
  - It is the proposing organization's responsibility to establish what constitutes an off-campus or off-site location.
- How do collaborative proposals comply with this requirement?
  - If more than one collaborating organization proposes to conduct research off-campus or off-site, one joint plan must be developed, unless otherwise specified in a program solicitation.
- Must the plan be in place prior to proposal submission?
  - Yes, the language contained in the certification was carefully crafted to require that the organization has a plan in place for that proposal that describes how the types of behavior specified in Chapter II.E.9 will be addressed.

# PAPPG (NSF 23-1): Safe and Inclusive Working Environments for Off-Campus or Off-Site Research

UCI's Template Plan can be found at [research.uci.edu](https://research.uci.edu):

Contact SPA   Institutional Information   Responsibility Matrix   Responsible Offices

Sponsored Projects

PI Eligibility / Project Leadership   Proposal Submission ▾   Subawards   Doing Research at the VA

Gift vs. Grant vs. Contract   Post-Proposal

- Obtaining SPA Review and Endorsement
- Common Elements of Proposals
- Proposal Budgets ▾
- Rates & Fees ▾
- Cost Sharing ▾
- NSF Supported Events – Code of Conduct Policy
- NSF Safe and Inclusive Working Environments for Off-Campus or Off-Site Research

NCURA YouTube Tuesday – Conflict: Part 1 of 3, Common Causes of Conflict Sep 5, 2023

Contract & Grant News

FW: ADDITIONAL OFFICE HOURS: KR PD Changes to Support the New Certification for Federal Funding Proposal Reviews Aug 28, 2023

Dear Colleagues, This is a reminder to stop in at our office hours, this Wednesday (08/30) at 11:00AM at the Zoom link below. Barbara ... Read More @ UCI News →

<https://research.uci.edu/wp-content/uploads/nsf-off-site-research-draft-language-for-website.docx>

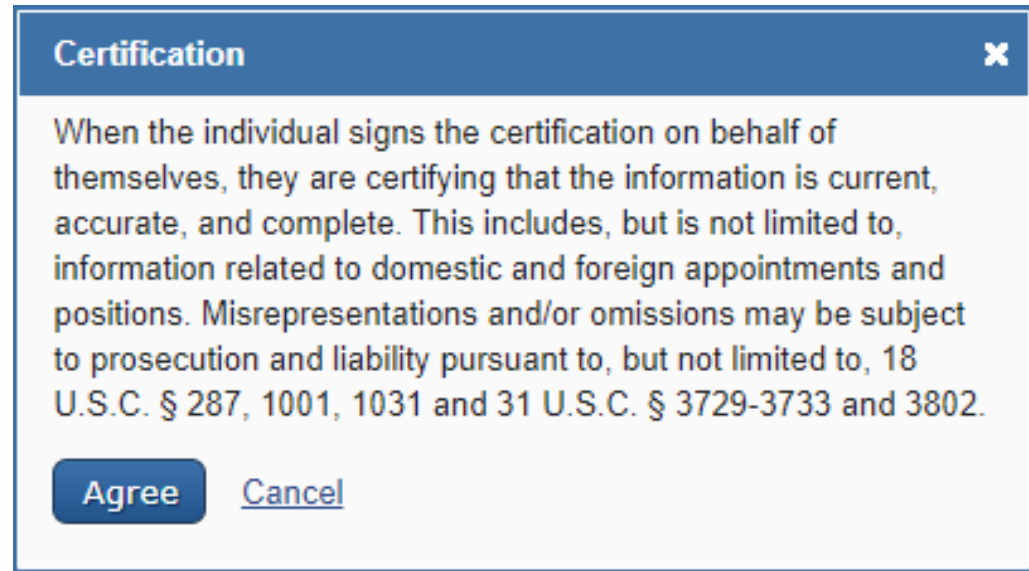
## Revisions to the Biographical Sketch and Current and Pending (Other) Support

- Revision of the Biographical Sketch and Current and Pending (Other) Support
  - The revised formats are targeted for implementation in FY24.
  - Includes requisite certification regarding information being accurate, current and complete
  - ORCID use is encouraged



## Senior Personnel Document Certification

- Senior personnel must certify that the information is accurate, current and complete.
  - In SciENcv the certification is completed upon download of the document.
  - For the fillable formats, the senior personnel must type their name and date on the form. NSF does not allow for certification via DocuSign or other comparable products.



## PAPPG (NSF 23-1): Biographical Sketch and Current and Pending (Other) Support

- Both SciENCv and NSF fillable formats may be used through October 20, 2023.
- Use of SciENCv only *will be mandated* for proposals submitted or due on or after October 23, 2023.

## Fastlane Decommission

- **Friday, September 29, 2023** (5:00 PM local time) is the last day to **submit** proposal file updates and budget revisions in FastLane, **withdraw** FastLane submitted proposals, and **withdraw** supplemental funding requests submitted in FastLane.
- **Friday, September 29, 2023** (11:00 PM Eastern Time) is the last day to **access** FastLane submitted and in-progress letters of intent, proposals, and supplemental funding requests.
- FastLane submitted and in-progress letters of intent, proposals, and supplemental funding requests will **not** be transferred to Research.gov; however, the reviews and summaries for proposals submitted in FastLane will remain available in Research.gov.
- **Friday, September 29, 2023** (11:00 PM Eastern Time) is the last day to access the FastLane Proposals, Awards and Status tab; Research Administration tab; and Honorary Awards tab on the FastLane homepage. These tabs will be removed from the FastLane homepage as of September 30, 2023, and the functionality will be decommissioned in FastLane.

## NSF Project Reporting System Enhancements

- Effective July 24, 2023, the National Science Foundation (NSF) made enhancements to the Project Reporting System in Research.gov to enable datasets and research materials to be entered as distinct product types that are managed and reviewed separately.
- This change improves project report data quality by listing each product type resulting from NSF funded research as a separate entry rather than a combined listing of multiple product types.
- Other changes include improved system messaging and an updated user interface to provide a more seamless look and feel for NSF award recipients.

## Updated NSF RCR Training Requirement

- **New:** For NSF proposals submitted on or after July 31, 2023, all **faculty and other senior personnel** on the proposal must complete RCR Training before the funding is awarded.
- Postdocs, grad students and undergraduates are still required to complete RCR training before conducting NSF-supported research.
- RCR training module can be found at [uclc.uci.edu](https://uclc.uci.edu). Search “RCR” to access the module.
- Notice regarding this new requirement was sent to all UCI personnel on September 6, 2023 via Zotmail.

# Updated NSF RCR Training Requirement- Zotmail

**UCI**

Office of Research  
*News & Announcements*



## **CHIPS and Science Act**

### **New Responsible Conduct of Research (RCR) Training Requirements**

We are writing to alert you to a change in the NSF's requirements for education in the responsible conduct of research (RCR) that was prompted by the [CHIPS and Science ACT of 2022](#). The CHIPS and Science Act requires NSF to take steps to strengthen research security and integrity for the federally funded research community. As a result, NSF has revised its requirements for education in the responsible conduct of research (RCR). NSF currently requires that postdoctoral scholars and students supported on NSF grants receive RCR education.

# Updated NSF RCR Training Requirement- Zotmail

Principal Investigators and all other senior personnel (i.e., faculty and other academic appointees) supported on new NSF grants that result from proposals submitted on or after July 31, 2023, will also be required to complete RCR training.

The UCI RCR course is posted on the UCLC site (<https://uclc.uci.edu/>) and is accessible to the campus community using single sign-on. Upon entering the UCLC site, please search "RCR" to access the course. We encourage you and other senior personnel supported on your NSF grants to take the course as soon as possible if you haven't done so already. Additional information and resources for training in the Responsible Conduct of Research at UC Irvine is available at <https://research.uci.edu/rcr-and-research-misconduct/>.

If you have questions regarding this requirement, please contact:

Jill Kay, Director, Research Policy at [jill.kay@uci.edu](mailto:jill.kay@uci.edu)

Nancy Lewis, Senior Director, Sponsored Projects Administration at [nrlewis@uci.edu](mailto:nrlewis@uci.edu) or

Paul Lekutai, Director, Federal and Non-Federal Sponsored Projects at [plekutai@uci.edu](mailto:plekutai@uci.edu).

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Questions?

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# RESEARCH SECURITY AND INTEGRITY COMPLIANCE (RSIC)

QRAM- September 13, 2023

Nadia Wong  
Research Compliance & Outreach Manager

# FEDERAL FUNDING PROPOSAL REVIEW

To comply with federal sponsor expectations and proposal requirements, implement an institutional review that compares biographical sketch and other/current & pending support information with UC OATS and conflict of interest disclosures.

- Changes at proposal submission
  - All senior/key personnel on federal proposals (including federal flow-throughs) must answer questions about international engagements, activities, and affiliations in KR PD.
  - Questionnaire must be completed by the senior/key person themselves by signing into KR using their UCI netID prior to submitting PD into workflow.
  - For positive responses - Contracts & Grants Officers (CGO) will compare responses to information in the proposal and discrepancies must be resolved before submitting the proposal to the sponsor
  - KR will notify the REC team on all positive responses to begin a risk analysis

## TIPS TO AVOID DELAYS

Encourage your faculty to update their biographical sketches and other/current & pending support **now** and make sure to disclose all international activities, relationships, research, etc.

Send the researchers a [preview of the questionnaire](#) so they can prepare.

List senior/key personnel in KR PD as soon as possible to initiate the notification process.

Confirm KR PD list of senior/key personnel matches the list included in the proposal application to sponsor.

If you see any positive responses, confirm the biosketches and if applicable other/current & pending support are in final form in KR PD and match the responses to the questionnaire.

If you experience or anticipate any problems with the senior/key personnel completing the questionnaire in time for the proposal submission deadline, please contact your CGO immediately.

# IDENTIFICATION AND NOTIFICATION

1. Create a proposal in KR PD and include the sponsor and if applicable, prime sponsor

2. List senior/key personnel and investigators

- List must match the list included in the proposal application to sponsor

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## Senior/Key Personnel (includes PI)    Investigator

Definition: individuals who contribute to the scientific development or execution of a project in a substantive measurable way

Definition: individual responsible for design, conduct, or reporting of the funded project

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### Disclosure requirements

- Submit biographical sketches and other/current & pending support
- Complete new RSIC questionnaire
- Submit disclosure for conflict of interest in research for PHS, DOE, NSF proposals (including flow-throughs)

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### Disclosure requirements

- Not required to submit biographical sketches and other/current & pending support
- Not required to complete new RSIC questionnaire
- Submit disclosure for conflict of interest in research for PHS, DOE, NSF proposals (including flow-throughs)

# IDENTIFICATION AND NOTIFICATION

3. Click “Notify All” button to generate notification email with custom direct links for senior/key personnel. The individual who generates the notification will be copied on the email.

- This button can send notifications multiple times for follow-up requests.

The screenshot shows the 'Key Personnel' management interface. On the left, a navigation menu includes 'Basics', 'Key Personnel', 'Personnel', 'Questionnaire', 'Compliance', 'Attachments', 'Budget', 'Access', 'Supplemental Information', 'Summary/Submit', and 'Notifications History'. The 'Personnel' item is circled in red. The main content area is titled 'Key Personnel' and displays a list of personnel entries. A red arrow points from the 'Notify All' button on the right towards the 'Personnel' menu item.

Personnel Entry	Annual Disclosure Status	Actions
██████████ (Principal Investigator) (Certification Incomplete)	Positive	🗑️
██████████ (Key Person: TESTER) (Certification Incomplete)	Incomplete/Expired	⬇️ 🗑️
██████████ (Co-PI) (Certification Incomplete)	Incomplete/Expired	⬆️ 🗑️

# CHECK QUESTIONNAIRE STATUSES

Check completion status and click "View" to see if there are any positive responses.

The screenshot displays the 'Submit' section of a web application. On the left is a navigation sidebar with a red circle around the 'Summary/Submit' option. The main content area shows a progress bar with three stages: 'Saved', 'Routing', and 'Approved'. Below the progress bar are several tabs: 'Proposal Summary', 'Personnel', 'Questionnaire', 'Compliance', 'Attachments', 'Supplemental Info', and 'Budget Summary'. The 'Personnel' tab is selected and circled in red. Underneath, a table lists personnel with columns for 'Key Person', 'Role', and 'Unit'. One entry shows a redacted key person as 'Principal Investigator' with a redacted unit. To the right of this entry, the text 'Proposal Person Certification' is followed by 'complete (view)', where 'view' is circled in red with a red arrow pointing to it. At the bottom of the table, there are buttons for 'Send Adhoc', 'View Route Log', 'More Actions', and 'Close'. A 'Print All' button is also visible in the top right corner of the table area.

Key Person	Role	Unit	Proposal Person Certification
[Redacted]	Principal Investigator	[Redacted]	complete (view)

Note: The Initiator will receive a KR email once all senior/key personnel have completed the questionnaire

# CHECK QUESTIONNAIRE STATUSES

For any positive responses, the biographical sketch and other/current & pending support will be reviewed by CGO to ensure these foreign activities, affiliations, relationships are appropriately disclosed to the federal sponsor

Proposal Person Certification

Print

Are you employed by a foreign entity? ⓘ  
No

Are you a consultant (paid or unpaid) for a foreign entity? ⓘ  
**Yes**

Please include all current consultancies in your biosketch submitted with this proposal, and please provide the following for each consultancy:

- Nature or purpose
- Foreign entity name, and country

ⓘ

Do you hold an academic appointment (including an honorific or merit-based title) or have an academic affiliation with a foreign entity? ⓘ  
**Yes**

Please include all foreign academic appointments or affiliations in your biosketch submitted with this proposal, and please provide the following for each appointment and/or affiliation:

- Appointment title or nature/purpose of affiliation
- Foreign entity name and country

ⓘ



# DISCREPANCIES

For positive responses, CGO must have access to final biosketches and if applicable, other/current & pending support in KR PD to conduct their review.



If CGO discovers any missing documents and/or any discrepancies between the positive responses and the biographical sketch and if available, other/current & pending support, the proposal will be returned to the Initiator/department administrator and the requested revisions will be included in the notes. Discrepancies must be resolved prior to proposal submission to sponsor.

# FEDERAL FUNDING PROPOSAL REVIEW

To comply with federal sponsor expectations and proposal requirements, implement an institutional review that compares biographical sketch and other/current & pending support information with UC OATS and conflict of interest disclosures.

- Changes at just-in-time/award stage
  - When there is a positive response and other/current & pending support are not included in the initial application, CGO will request those documents to review for any discrepancies with the questionnaire responses.
  - CGO will notify the REC team of the collection of any additional documents and/or if the proposal is still pending RSIC review
    - REC team will review any additional documents collected and complete the RSIC review
  - Award will not be released until CGO receives clearance from the REC team

## TIPS TO AVOID DELAYS

For positive disclosures, promptly provide copies of other/current & pending support to CGO when requested.

Confirm the other/current & pending support disclosures match the positive responses ("Yes's") in the questionnaires.

# OTHER RSIC NEWS

- NSF requires SciENCv for biosketches and current & pending support starting October 23, 2023
- NASA's final COI policy (Implementation December 1, 2023)- similar to NSF disclosure process
- Develop and implement a Research Security Program to comply with the final NSPM 33 Research Security Program Standard Requirement
  - Will likely require significant changes in foreign travel procedures
  - Implement Research Security training
  - Expand Export Control training audience
  - Ensure compliance with 12 baseline cybersecurity requirements
- Conflict of Commitment policies and UC OATS being updated (implementation July 2024)



## RESOURCES

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# FEDERAL FUNDING PROPOSAL REVIEW

<https://research.uci.edu/rsic/fedprop-review/>

## Federal Funding Proposal Review

To meet the federal government's expectations of institutions that receive federal research funds, UCI must ensure all Senior/Key Personnel disclose complete and accurate information about their international engagements in compliance with federal agency disclosure requirements. This expectation applies to federal proposals, including subaward proposals where a federal agency is the prime sponsor (collectively referred to as federal proposals). Meeting this expectation and complying with the federal agency disclosure requirements is essential for ensuring that UCI remains eligible to receive federal research funds.

Kuali Research Proposal Development (KR PD) includes six questions regarding international engagements that all Senior/Key Personnel must answer before federal proposals are routed to Sponsored Projects Administration (SPA) for institutional review, approval, and submission. International engagements include, but are not limited to, employment, appointments, consulting activities, participation in foreign talent recruitment programs, and research support/funding from foreign sponsors not received through UCI.

Please note that delays will occur if the questions are not answered. Therefore, principal investigators, their support staff, and department/unit staff should take this into consideration in planning proposal submission timelines.

### Questions

- + Are you employed by a foreign entity?
- + Are you a consultant (paid or unpaid) for a foreign entity?
- + Do you hold an academic appointment (including an honorific or merit-based title) or have an academic affiliation with a foreign entity?
- + Are you currently participating in, have you been accepted into, or do you have an application pending with a foreign government talent recruitment program or a similar program?
- + Does any proposal to a foreign government research funding entity include support or funding for you that will not be received through UCI?
- + Do you have research support or funding from a foreign government research funding entity that was not received through UCI?

### Key Definitions

**Foreign Entity:** A foreign entity is any foreign government (including any agency or subdivision), or any corporation, business association, partnership, trust, society, or any other entity or group that is not incorporated or organized to do business in the United States.

**Consultant:** For the purposes of these questions, "consultant" broadly refers to an individual that provided or provides any service to a foreign entity, whether unpaid or paid, whether or not there is an agreement for the service performed. Disclose these activities unless specifically excluded by the federal sponsor (see Federal Sponsor Disclosure Requirements).

**Foreign Government Talent Recruitment Program:** A foreign government talent recruitment program is an effort organized, managed, or funded by a foreign government or entity to recruit science and technology professionals to promote, advance, and/or increase the prestige and global impact of that country's research enterprise.

**Foreign Government Research Funding Entity:** A foreign government research funding entity is any non-U.S. government (or component thereof) that supports research projects by awarding

# QUESTIONNAIRE

[Printable version to preview questionnaire](#)

Question	Corresponding RSIC Disclosure(s)
<p><b>Are you employed by a foreign entity?</b> If Yes, please include all current foreign employment in your biosketch submitted with this proposal, and please provide the following for each employer:</p> <ul style="list-style-type: none"><li>• Position title,</li><li>• Employment percentage, and</li><li>• Foreign entity name and country.</li></ul>	Biographical sketch
<p><b>Are you a consultant (paid or unpaid) for a foreign entity? "Consultant" broadly refers to an individual that provided or provides a paid or unpaid service to a foreign entity whether or not there is a written agreement for the service performed.</b> If Yes, please include all current consultancies in your biosketch submitted with this proposal, and please provide the following for each consultancy:</p> <ul style="list-style-type: none"><li>• Nature or purpose, and</li><li>• Foreign entity name, and country.</li></ul>	Biographical sketch

# QUESTIONNAIRE

[Printable version to preview questionnaire](#)

Question	Corresponding RSIC Disclosure(s)
<p><b>Do you hold an academic appointment (including an honorific or merit-based title) or have an academic affiliation with a foreign entity?</b></p> <p>If Yes, please include all foreign academic appointments or affiliations in your biosketch submitted with this proposal, and please provide the following for each appointment and/or affiliation:</p> <ul style="list-style-type: none"><li>• Appointment title or nature/purpose of affiliation, and</li><li>• Foreign entity name and country.</li></ul>	Biographical sketch
<p><b>Are you currently participating in, have you been accepted into, or do you have an application pending with a foreign government talent recruitment program or a similar program?</b></p> <p>If Yes, please disclose your foreign government talent recruitment program status in your biosketch and/or current and pending support forms (in accordance with the sponsor's application requirements) submitted with this proposal, and please provide the following:</p> <ul style="list-style-type: none"><li>• Program name</li><li>• Foreign entity name and country, and</li><li>• participation start and end dates.</li></ul>	Biographical sketch Other/Current & Pending Support

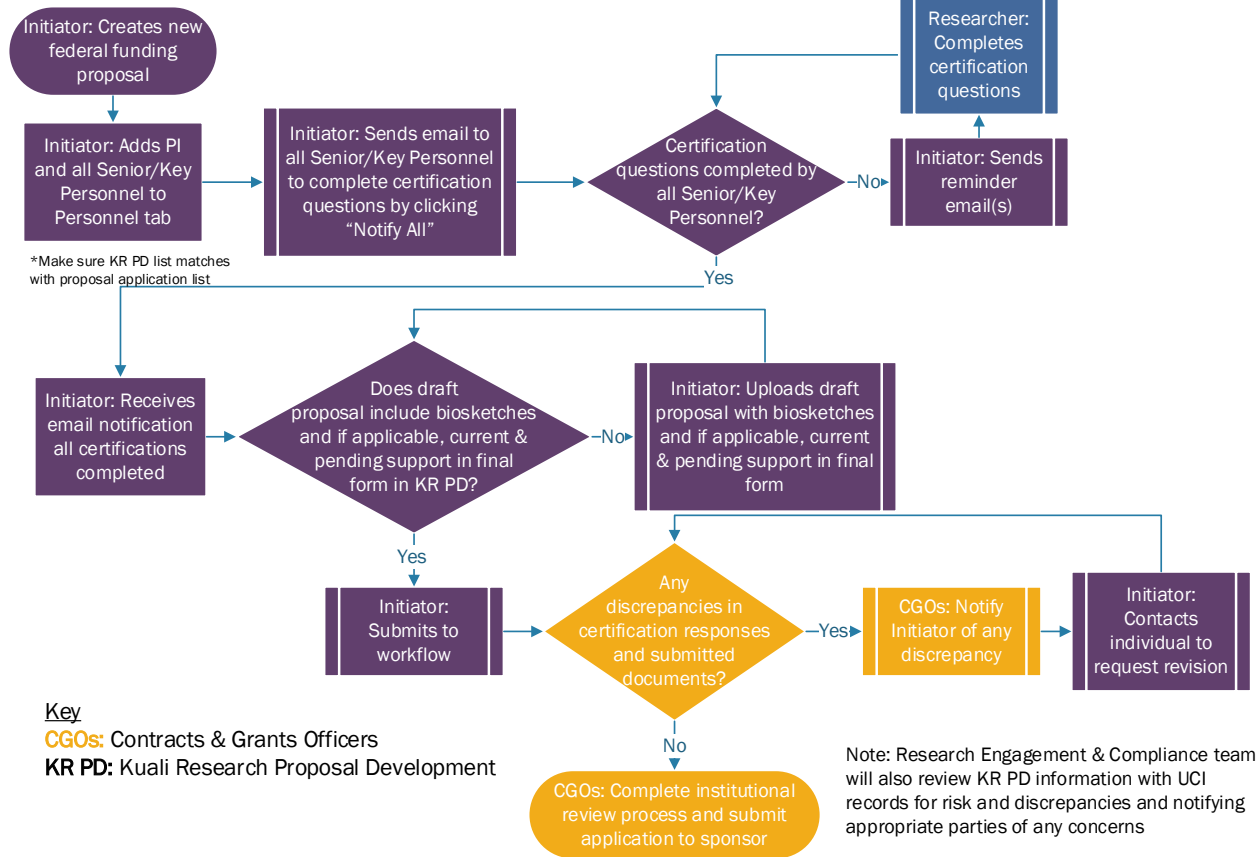


# QUESTIONNAIRE

[Printable version to preview questionnaire](#)

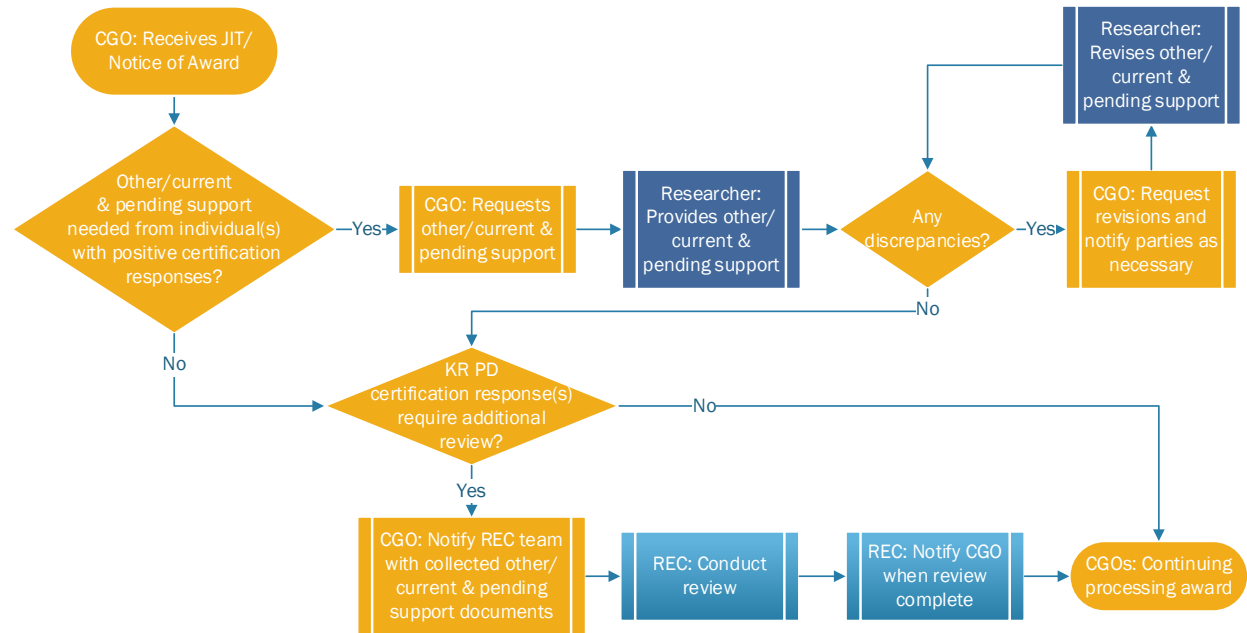
Question	Corresponding RSIC Disclosure(s)
<p><b>Does any proposal to a foreign government research funding entity include support or funding for you that will not be received through UCI?</b></p> <p>If Yes, please disclose any such proposals in your Current and Pending Support/Other Support form for this proposal, and please provide the following for each pending proposal:</p> <ul style="list-style-type: none"><li>• Project title,</li><li>• Foreign governmental sponsor,</li><li>• Your role on the project, and</li><li>• Project dates.</li></ul>	Other/Current & Pending Support
<p><b>Do you have research support or funding from a foreign government research funding entity that was not received through UCI?</b></p> <p>If Yes, please disclose this research funding or support in your Current and Pending Support/Other Support form for this proposal, and please provide the following for each research award:</p> <ul style="list-style-type: none"><li>• Project title,</li><li>• Foreign governmental sponsor,</li><li>• Your role on the project, and</li><li>• Project dates.</li></ul>	Other/Current & Pending Support

# PART 1: STEPS REQUIRED PRIOR TO SUBMISSION TO SPONSOR



# PART 2: STEPS REQUIRED FOR THE RELEASE OF AWARD

Applies to proposals where other/current & pending support was not required with proposal submission



**Key**  
**CGOs:** Contracts & Grants Officers  
**KR PD:** Kualu Research Proposal Development  
**REC:** Research Engagement & Compliance

# CONTACTS

Compliance Area	Description	Contact
Research Security and Integrity	Research Security and International Engagement Committee, undue foreign influence, research security	<a href="mailto:rsic@uci.edu">rsic@uci.edu</a>
Conflict of Interest in Research	Researchers' outside financial interest	<a href="mailto:coioc@research.uci.edu">coioc@research.uci.edu</a>
Federal Grant Applications	Biographical Sketches, Current & Pending/Other Support	<a href="#">Sponsored Projects Administration</a> <a href="#">Department Assignment</a>
Export Control	Relationships and activities with restricted entities, international travel and shipping	<a href="mailto:exportcontrol@uci.edu">exportcontrol@uci.edu</a>
Conflict of Commitment	Faculty member's outside professional activities	<a href="mailto:oats@uci.edu">oats@uci.edu</a>
Intellectual Property	Record of Invention	<a href="#">Beall Applied Innovation</a>
Information Security	Research IT security, data protection	<a href="mailto:security@uci.edu">security@uci.edu</a>
Digital Persistent Identifiers	ORCID	<a href="#">Mitchell Brown</a>

## Agenda

- Welcome
  - FY 23 Award Dollars - FY 23
  - Honest Broker - Cohort Discovery Tools
  - Federal Update
  - RSIC Process Review
  - ***COI Update – Clinical Trial Procedure Notification Method***
  - ERA Updates
  - C&G Accounting
- Q&A and Closing

# COI Update – Clinical Trial Procedure Notification Method

Jennifer Chen

Research Engagement and Compliance Analyst

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## COI Procedure for Clinical Trial Study

- Maintain standard procedure but with the following changes:
  - Once a positive disclosure is verified and the needed documents/information is collected ( reference “*what does COI need to start review*”), the team (CCR, Stem Center, Cancer Center) will send an email to [@OR - ORA - Conflict of Interest Oversight Committee](#) and copy [or-ctcontracts@uci.edu](mailto:or-ctcontracts@uci.edu) with the following information:
    - KRP Number and/or Proposal Number
    - Sponsor name
    - Team member assigned to this study that can help facilitate communication between COI and DI. (Please note that approval emails and/or follow up emails to the disclosing individual will have the noted team member assigned in the cc)
      - CCR: designated team involved in the study (Neuroscience Team, Ophthalmology and Medicine Team, Surgical Specialty Team, Multi-Specialty Team)
      - Stem Center: designated team assigned to the study with additional cc of [alphaclinregulatory@hs.uci.edu](mailto:alphaclinregulatory@hs.uci.edu)

# What does COI need to start review

**(In order of importance)**

1. (IRB) KRP application start
  - a. The KRP application does not need to be submitted to the IRB, but the application must be started to obtain the KRP #, which needs to be provided to the COI Team.
  - b. The following section(s) should be as completed and accurate as possible:
    - i. Study Team
      1. List of all study team members (if known)
      2. Disclosure of study team members
      3. Responsibilities / duties
    - ii. Project Description
      1. Principal Investigator/Lead Researcher
      2. Funding
      3. Research Procedures / Study Design
      4. Medical Devices (if applicable)
2. Master Protocol submitted in Kuali Protocol (in attachment)
3. Completed 700U (DocuSign)

Coming Soon.... (start date to be determined)

For questions or clarifications, please contact Jennifer Chen ([jennic14@exchange.uci.edu](mailto:jennic14@exchange.uci.edu))

[COI Website Link](#)



Questions?

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## Agenda

- Welcome
  - FY 23 Award Dollars - FY 23
  - Honest Broker - Cohort Discovery Tools
  - Federal Update
  - RSIC Process Review
  - COI Update – Clinical Trial Procedure Notification Method
  - ***ERA Updates***
  - C&G Accounting
- Q&A and Closing

# ERA Updates

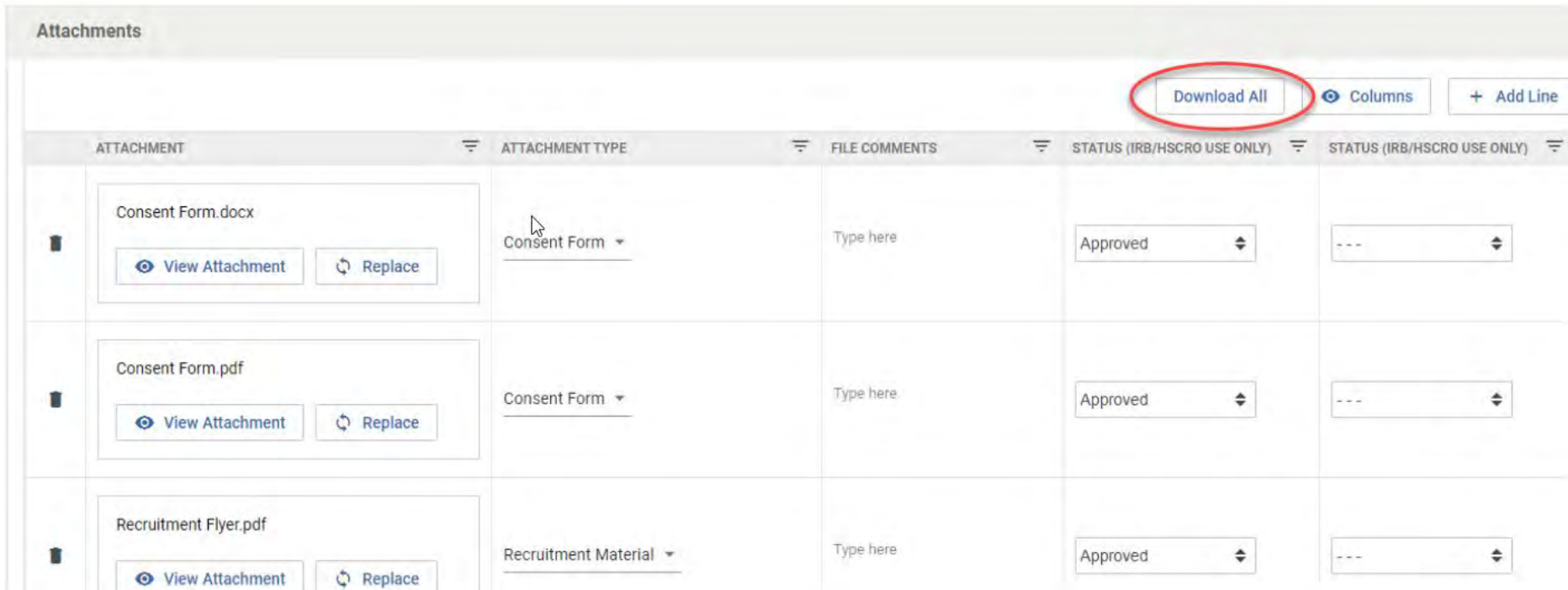
---

## KR Protocols (KRP) Release

- Kualii released 2 major updates for KR Protocols
  - Download All Attachments
  - Protocols Validations
- ERA updated KRP user guide accordingly
  - <https://research.uci.edu/electronic-research-administration/kualii-research/kr-protocols/>
- ERA sent listserv regarding these updates.

## Download All Attachments

- All files in the Attachment List Section can now be downloaded as a single zip file.
- A new “Download All” button has been added next to the “Columns” button in Attachments.



The screenshot displays the 'Attachments' section of a web application. At the top right, there are three buttons: 'Download All' (circled in red), 'Columns', and '+ Add Line'. Below these buttons is a table with the following columns: 'ATTACHMENT', 'ATTACHMENT TYPE', 'FILE COMMENTS', 'STATUS (IRB/HSCRO USE ONLY)', and 'STATUS (IRB/HSCRO USE ONLY)'. The table contains three rows of attachments:

ATTACHMENT	ATTACHMENT TYPE	FILE COMMENTS	STATUS (IRB/HSCRO USE ONLY)	STATUS (IRB/HSCRO USE ONLY)
Consent Form.docx <a href="#">View Attachment</a> <a href="#">Replace</a>	Consent Form	Type here	Approved	---
Consent Form.pdf <a href="#">View Attachment</a> <a href="#">Replace</a>	Consent Form	Type here	Approved	---
Recruitment Flyer.pdf <a href="#">View Attachment</a> <a href="#">Replace</a>	Recruitment Material	Type here	Approved	---

## Download All Attachments







- When the user clicks on the “Download All” button, all files will be zipped
  - New zip file will download automatically.
  - The zipped file will include the protocol number, version number and date/time it was downloaded.

IRB-19009922\_v3\_attachments\_2023-03-24\_11.53\_AM.zip      3/24/2023 11:53 AM      Compressed (zipp...      169 KB

- When unzipping the files, the attachment type will prefix the actual filename:

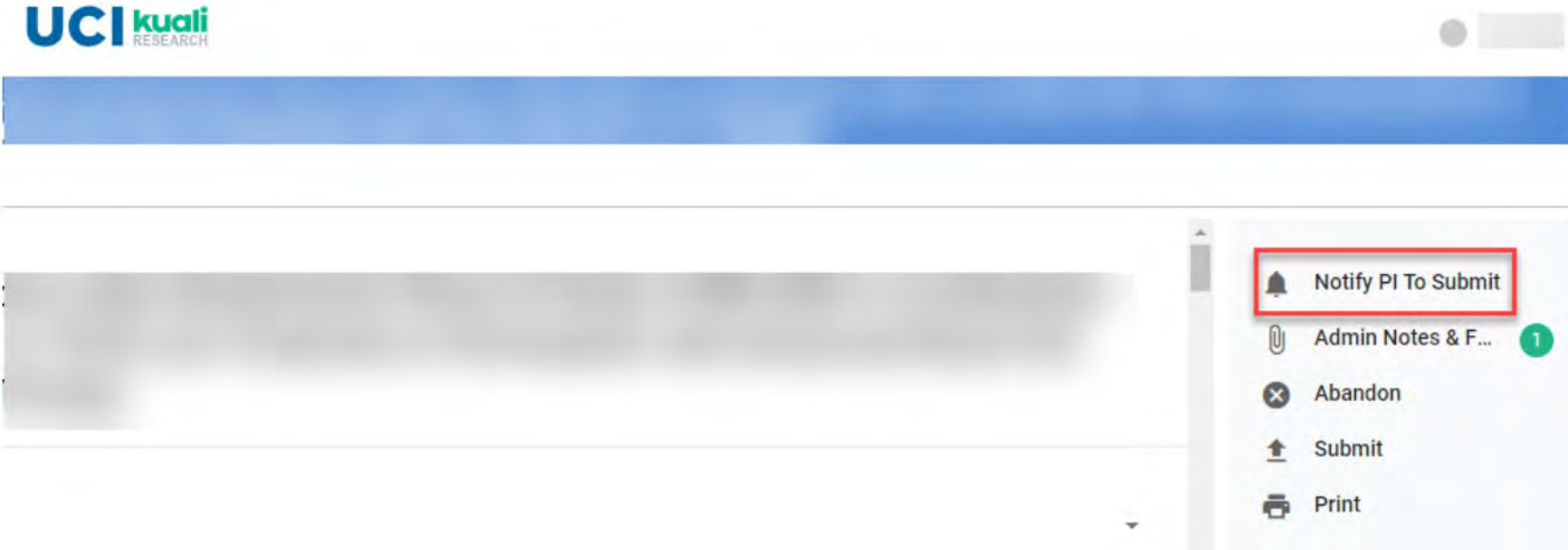
**“Recruitment Material – Recruitment Flyer.pdf”**

IRB-19009922\_v3\_attachments\_2023-03-24\_11.53\_AM.zip

Name	Type	Compressed size	Password ...	Size	Ratio	Date modified
 Consent Form - Consent Form.pdf	Adobe Acrobat Document	34 KB	No	34 KB	0%	3/24/2023 11:53 AM
 Recruitment Material - Recruitment Flyer.pdf	Adobe Acrobat Document	35 KB	No	35 KB	0%	3/24/2023 11:53 AM
 UCI IRB Approval Letter - UCI IRB Approval Letter.pdf	Adobe Acrobat Document	35 KB	No	35 KB	0%	3/24/2023 11:53 AM
 Other - Questionnaire.doc	Microsoft Word 97 - 2003 ...	42 KB	No	42 KB	0%	3/24/2023 11:53 AM
 Consent Form - Consent Form.docx	Microsoft Word Document	12 KB	No	12 KB	0%	3/24/2023 11:53 AM
 HIPAA Research Authorization Form - HIPAA Form.docx	Microsoft Word Document	12 KB	No	12 KB	0%	3/24/2023 11:53 AM

## Protocols Validations

- Click 'Notify PI To Submit' runs form validations first to alert you of any errors you may want to correct.



Notify PI To Submit

Admin Notes & F... 1

Abandon

Submit

Print



## Protocols Validations

- A popup window will identify any validation errors, if any.





## Protocols Validations

- Choose 'Show me' - the popup will close, and you can review the validation errors on the form.
  -  It may take a while to finish running the validation. Please do not click around until it finishes.
  -  Sometimes it does not lead to the errors even after running it through. You may have to scroll through to locate the errors from the beginning of the page.
- If you choose 'Notify PI Anyways', the notification will send to the PI anyway without addressing the errors and PI will need to address them.

Questions?

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Options ▾

## Research News



Options ▾

- » [NCURA YouTube Tuesday – Conflict: Part 2 of 3, Common Mistakes with Conflict](#)
- » [Upcoming QRAM – Agenda and Zoom Info](#)
- » [Upcoming QRAM – Agenda and Zoom Info](#)
- » [NASA Grants and Cooperative Agreements Training Opportunity \(training for our external stakeholders\)](#)
- » [NCURA YouTube Tuesday – Conflict: Part 1 of 3, Common Causes of Conflict](#)




## Research Tools & Support

Options ▾

### Sponsored Projects

- [KR Action List](#)   
Click to see all your KR action requests
- [KR Document Search](#)   
Search any Kuali document type using document ID  
TIP: Filter with "Document Type"

### Research Protections

- [Training and Education](#)   
Info for required CITI courses and tutorials
- [Tutorial Verification Search](#)   
Check training records status
- [Protocol Status Search](#)   
Check approved protocols status **\*UPDATED\***

Options ▾

### Human Protocol

Lead Researcher Name	Protocol Number	Protocol Title	Lead Unit	Other Researcher Name	Researcher Department	Protocol Type	Protocol Status
<input type="text"/> <small>Search by Last Name, First (Anteater, Peter)</small>	<input type="text"/> <small>(Exact match)</small>	<input type="text"/> <small>(Contains keyword)</small>	<input type="text" value="research"/> <small>(Contains keyword)</small>	<input type="text"/> <small>Search by Last Name, First (Anteater, Peter)</small>	<input type="text"/> <small>(Contains keyword)</small>	Human Protocol <input type="button" value="v"/>	<input type="checkbox"/> In Progress <input type="checkbox"/> Submitted for Review <input type="checkbox"/> Resubmitted <input checked="" type="checkbox"/> Approved <input type="checkbox"/> Disapproved <input type="checkbox"/> Abandoned <input type="checkbox"/> Revisions In Progress <input type="checkbox"/> In Progress (Withdrawn) <input type="checkbox"/> Expired <input type="checkbox"/> Exempt <input type="checkbox"/> Closed <input type="checkbox"/> Not Human Subjects Research <input type="checkbox"/> Returned to PI <input type="checkbox"/> External Reliance
<a href="#">Select all</a> <a href="#">Deselect all</a>							
<input type="button" value="Search"/>							

(19 result(s) found)

Lead Researcher Name	Protocol Number	Protocol Title	Lead Unit	Researcher Department	Researcher Role	Other Researcher Name	Initial Approval Date	Last Approval Date	Expiration Date	Current Status	
Alberola, Beverley	19009999	IRB TEST PROTOCOL - PLEASE IGNORE	IR-7121 - OFFICE OF RESEARCH ADMINISTRATION	ORA	Co-Investigator	Estel, Lorena	10/27/2010	10/27/2010		Approved	
						Saban, Ana	10/27/2010	10/27/2010			
						Epstein, Irene	10/27/2010	10/27/2010			
						Cavazos, Jeffrey	10/27/2010	10/27/2010			
						Chu, Jay	10/27/2010	10/27/2010			
						Lee, Kristen	10/27/2010	10/27/2010			
						Benjamin, Marie	10/27/2010	10/27/2010			
						Wells, Michael	10/27/2010	10/27/2010			
						Linggi, John	10/27/2010	10/27/2010			
						Ellis, William	10/27/2010	10/27/2010			
						Eng, Melissa	10/27/2010	10/27/2010			
						Moh, Angela	10/27/2010	10/27/2010			
						FRANCIS, JAMES	10/27/2010	10/27/2010			
						Lead Researcher	Alberola, Beverley	10/27/2010	10/27/2010		
						Researcher	Alberola, Beverley	10/27/2010	10/27/2010		
						Other Researcher	Alberola, Beverley	10/27/2010	10/27/2010		
						Other Researcher	Alberola, Beverley	10/27/2010	10/27/2010		
						Other Researcher	Alberola, Beverley	10/27/2010	10/27/2010		

# OR Decision Support

## Multi-Year Funded Awards

Decision Support ▾

Options ▾

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5:44 AM

OR Decision Support

[Office of Research Homepage](#)

**DWQuery**

[Contracts/Grants Ad Hoc Query](#)

For questions related to Sponsored Projects data, please contact era@research.uci.edu.

[Instructions on using Contracts/Grants Ad Hoc Query](#)

**Award Activity**

[Awards by Campus Area](#)

[Awards by Source by Campus Area](#)

[Personnel Awards Credit by Role](#)

**Multi-Year Funded Awards**

**Proposal Activity**

[Proposals by Campus Area](#)

**Negotiations Activity**

[Material Transfer Agreement Count](#)

[Non-Funded Agreements](#)

**OR Special Reports**

[Awards with Missing IRB Fees](#)

[COVID-19 Related Research](#)

## Multi-Year Funded Awards

IP Number	Sponsor Award ID	Sponsor Name	Prime Sponsor Name	PI Name	Project Title	Project Start Date Month Picker
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	Pick Month <input type="button" value="v"/>
<small>(Exact match)</small>	<small>(Exact match)</small>	<small>(Contains keyword)</small>	<small>(Contains keyword)</small>	<small>Search by First Name Last Name (Peter Anteaater)</small>	<small>(Contains keyword)</small>	
<input type="button" value="Search"/>						

(35 result(s) found)

IP Number	Sponsor Award ID	Sponsor	Prime Sponsor	PI Name	Project Title	Project Start Date	Project End Date	Finalize Date
<a href="#">05571465</a>	1013080_SWOG_UCIRVINE	001707 - OREGON HEALTH & SCIENCE UNIVERSITY	003425 - NATIONAL CANCER INSTITUTE	FA CHYI LEE	SWOG Network Group Operations Center of the NCTN	03/01/2019	02/28/2025	07/06/2023
<a href="#">04566136</a>	EY029490	003490 - NATIONAL EYE INSTITUTE		GYORGY LUR	Reorganization of the Central Visual System by Inhibitory Neuron Transplantation	05/01/2019	04/30/2024	06/07/2023
<a href="#">05553851</a>	CA250382	003425 - NATIONAL CANCER INSTITUTE		TIMOTHY DOWNING	Spatial epigenomics: A new framework for overcoming mechanical heterogeneity in solid tumors	09/19/2019	05/31/2024	09/25/2020
<a href="#">05637118</a>	GM137427	003485 - NATIONAL INSTITUTE OF GENERAL MEDICAL SCIENCE		HAN LI	Engineering an unnatural redox cofactor (uRedox) system for efficient biosynthesis of medicines	09/30/2019	05/31/2024	04/13/2022
<a href="#">05601740</a>	MW2018-06-21	00V8NK - MEDIWOUND LTD	00VHPS - BIOMEDICAL ADVANCED RESEARCH AND DEVELOPMENT AUTHORITY	VICTOR JOE	Use of NexoBrid for Treatment of Acute deep partial and full thickness Burn Injuries	08/08/2020	04/27/2024	06/28/2023
<a href="#">05588844</a>	AG065675	003440 - NATIONAL INSTITUTE ON AGING		XIANGMIN XU	Neural circuit mechanisms underlying AD-related memory impairments	09/11/2020	08/31/2024	09/21/2020
<a href="#">05588655</a>	AG065329	003440 - NATIONAL INSTITUTE ON AGING		DANIELE PIOMELLI	The lipid amidase NAAA as a therapeutic target for Alzheimer's disease	09/15/2020	08/31/2024	10/21/2020
<a href="#">05596474</a>	AG071683	003440 - NATIONAL INSTITUTE ON AGING		VIVEK SWARUP	Oligodendrocyte heterogeneity in Alzheimer's disease	04/01/2021	03/31/2024	04/23/2021
<a href="#">05626079</a>	H8FCS40688	003101 - PHS HEALTH RESOURCES AND SERVICES ADMINISTRATION		JOSE MAYORGA	HRSA American Rescue Plan Act Funding for Health Centers	04/01/2021	03/31/2024	03/17/2023
<a href="#">05599323</a>	NS121764	003498 - NEUROLOGICAL DISORDERS & STROKE, NATIONAL INSTITUTE OF		BRUCE MCNAUGHTON	The laminar organization of 'index' versus 'attribute' coding in neocortex	04/15/2021	03/31/2024	02/07/2023
<a href="#">05602713</a>	AG068992	003440 - NATIONAL INSTITUTE ON AGING		WAYNE POON	Cell autonomous and non-cell autonomous phenotypes due to genetic risk for late onset Alzheimers disease	05/01/2021	04/30/2024	11/08/2021
<a href="#">05600161</a>	AG072587	003440 - NATIONAL INSTITUTE ON AGING		JAMES NOWICK	Structural and Biological Characterization of Diverse Oligomers Derived from Abeta	05/01/2021	04/30/2024	04/29/2021
<a href="#">05599188</a>	S-001445	006765 - UC RIVERSIDE	003440 - NATIONAL INSTITUTE ON AGING	MEGAN PETERS	How LC Integrity in Older Adults Mediates Perceptual and Memory Processes	05/15/2021	04/30/2024	02/09/2022
<a href="#">05603858</a>	TB-5603858	00VJ7B - TRANSLUCENCE BIOSYSTEMS LLC	003170 - NATIONAL INSTITUTE OF MENTAL HEALTH (NIMH)	MELISSA LODOEN	Rapid Evaluation of Neuronal Activity in the Intact Whole-Brain at Single Cell Resolution	07/01/2021	12/31/2023	07/19/2023
<a href="#">05605190</a>	K003082-00-S04	00F82C - KITWARE, INC.	003170 - NATIONAL INSTITUTE OF MENTAL HEALTH (NIMH)	SUNIL GANDHI	A Computational Framework for Distributed Registration of Massive Neuroscience Images	07/15/2021	06/30/2024	12/22/2022
<a href="#">05605611</a>	DA055668	003172 - DRUG ABUSE, NATIONAL INSTITUTE ON		ERIC MJOLSNESS	Multiscale theory of synapse function with model reduction by machine learning	08/01/2021	07/31/2024	11/12/2021



## Research Administration Decision Support

Reports and data analysis tools for the UCI research enterprise.






Please note: These tools require UCI VPN for off-campus access.


### DWQuery

- [Contracts/Grants Ad Hoc Query](#) 
  - [Instructions on using Contracts/Grants Ad Hoc Query](#) 
- For questions related to Sponsored Projects data, please contact [era@research.uci.edu](mailto:era@research.uci.edu).

### Award Activity

- [Awards by Campus Area](#) 
- [Awards by Source by Campus Area](#) 
- [Personnel Awards Credit by Role](#) 
- [Daily Award Transactions](#)

### Proposal Activity

- [Proposals by Campus Area](#) 

# Daily Award Transactions

This will house the Daily Award Transactions Dashboard. This is updated at the end of each day, so this information reflects previous days' transactions.

To view the details of an award transaction, hover over the award amount on the right.

Download CSV

Only Show OR  
 (All)  
 False  
 True

Search PI Name

Search School

Search Department

Day of..	SponsorAwardID	Dev Propos..	Proposal N..	PI Full Name	School	Department	Sponsor	Project Title	Award Type	Transaction Type	
September 11, 2023	217162	217162	05591782	SAMUELSEN, GARY	ENGINEERI..	(APEP) ADVANCED..	FORM ENERGY, INC.	Test and Evaluation of a 1..	Agency Modifica..	Subcontract - Cos..	\$0.00
	1014192	226325	05677438	THAYER, JULIAN	SOCIAL ECO..	SOC ECOLOG/DEPART..	AMERICAN HEART ASSOC..	Enlarged Perivascular Spa..	Agency Modifica..	Grant	\$0.00
	20222745-01-01	223106	05644339	MARSDEN, MATTHEW	SCHOOL OF ..	MICROBIOLOGY & ..	UNIVERSITY OF CALIFORN..	Induction of autophagy to..	Continuation	Multiple Campus ..	\$314,000.00
	0000001247-2	217425	05588033	SULTZER, DAVID	OFFICE OF ..	INST.FOR MEMRY I..	UNIVERSITY OF WISCONS..	The Neighborhoods Study..	Continuation	Subcontract	\$150,000.00
	AR083279	226116	05675385	MARANGONI, FRANCO	SCHOOL OF ..	PHYSIOLOGY AND ..	ARTHRTIS, MUSCULOSKE..	Disentangling the Epider..	New	Grant	\$0.00
	AR083279-01	226116	05675385	MARANGONI, FRANCO	SCHOOL OF ..	PHYSIOLOGY AND ..	ARTHRTIS, MUSCULOSKE..	Disentangling the Epider..	New	Grant	\$43,471.00
	AT845-01-3	218171	05595938	MOZAFFAR, TAHSEEN	VC HEALTH..	STEM CELL RESEA..	ASTELLAS GENE THERAPI..	FORTIS: A Phase 1/2, Ope..	Agency Modifica..	Contract - Fixed P..	\$39,119.00
	DE030947	221723	05630936	WILLIAMS, DEWAYNE	SOCIAL ECO..	SOC ECOLOG/DEPART..	DENTAL AND CRANIOFACI..	Biological and Psychosoci..	No Cost Time Ex..	Grant	\$0.00
	DE-SC0008696-0011	220471	05617204	WHITE, STEVEN	PHYSICAL S..	PS/PHYSICS AND A..	DEPARTMENT OF ENERGY..	Electronic structure using..	Continuation	Grant	\$183,334.00
	DE-SC0022177-0002	217698	05591477	MOORE, JEFFERSON	PHYSICAL S..	PS/EARTH SYSTEM..	DEPARTMENT OF ENERGY..	Development of the E3SM..	Continuation	Grant	\$309,725.00
	DRL-2317832	226623	05679761	WARSCHAUER, MARK	EDUCATION..	EDUCATION	NATIONAL SCIENCE FOUN..	Deepening Computational..	New	Grant	\$394,030.00
	DUE-2315294	226383	05678156	TATE, TAMARA	EDUCATION..	EDUCATION	NATIONAL SCIENCE FOUN..	Incorporating Generative ..	New	Grant	\$400,000.00
	EY034032-02	222011	05634196	GANDHI, SUNIL	BIOLOGICA..	BIO SCI-DEPT OF N..	NATIONAL EYE INSTITUTE	The role of Calbindin in de..	Continuation	Grant	\$43,165.00
	HD109696-02	222566	05640695	CHO, KEN	BIOLOGICA..	BIO SCI-DEV & CEL..	CHILD HEALTH & HUMAN ..	Spatiotemporal mapping ..	Continuation	Grant	\$188,549.00
	MLS-101-202	227333	05697587	TANTISATTAMO, EKA..	SCHOOL OF ..	CCR CT Medicine	MINERALYS THERAPEUTI..	CCR-23-16: A Randomized..	New	Contract - Fixed P..	\$175,314.00
September 8, 2023	01-AUR-DEXA-23	227278	05697555	HASHMI, SOHAIB	SCHOOL OF ..	CCR CT Orthopedic..	AURORA SPINE, INC.	CCR-23-38: A Prospective,..	Other	Contract - Fixed P..	\$0.00
	34-5420-2008-133	228716	05697601	CARLO, GUSTAVO	EDUCATION..	EDUCATION	UNIVERSITY OF NEBRASK..	Health and Safety Risks A..	New	Subcontract - Cos..	\$8,604.00
	2996	227664	05689064	PEPLER, KYLIE	EDUCATION..	EDUCATION	DIGITAL PROMISE GLOBAL	Digital Promise Math Tool..	New	Contract - Cost Re..	\$100,000.00
	15248-1-03	215136	05571447	LOTFIPOUR, SHAHRD..	SCHOOL OF ..	EMERGENCY MEDI..	HENNEPIN HEALTHCARE ..	Comparative neurobehavi..	Continuation	Subcontract - Cos..	\$78,177.00
	77863	218421	05599091	TALESH, SHAUHIN	LAW (SCHO..	SCHOOL OF LAW	THE ROBERT WOOD JOHN..	Health Policy Research Sc..	Other	Grant	\$0.00
	202318	228147	05694646	PEPLER, KYLIE	INFORMATI..	ICS/INFORMATICS	STEM NEXT OPPORTUNIT..	Making Connections Acro..	Supplement	Subcontract	\$600,000.00
	226857	226857	05681568	ZENYUK, IRYNA	ENGINEERI..	(APEP) ADVANCED..	LOOKIN, INC.	High-Throughput Teraher..	New	Subcontract - Cos..	\$34,000.00
	66623-01	226203	05675548	ESCHERTZ, MAGNUS	ENGINEERI..	ELECTRICAL ENGIN..	UNIVERSITY OF DENVER	DRIFT: A Novel, High-Reso..	Continuation	Subcontract - Cos..	\$65,120.00



# Feedback needed

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## Current Awards and Pending Proposals

Awards Ending After: (Sep 12, 2023)

Proposals Status: (Pending only)

Obligated Total Cost	PI	Co-PI	Key Person	Other	Total
<a href="#">THOMPSON, LESLIE</a>	6,605,546		200,560	785,000	7,591,106
<a href="#">THOMPSON, NICOLE</a>	45,000				45,000
<a href="#">THOMPSON, WILLIAM</a>		2,391,852			2,391,852
<a href="#">THOMPSON-PEER, KATHERINE</a>				600,000	600,000
<b>Total</b>	<b>6,650,546</b>	<b>2,391,852</b>	<b>200,560</b>	<b>1,385,000</b>	<b>10,627,958</b>

Total Cost	PI	Key Person	Other	Total
<a href="#">THOMPSON, LESLIE</a>	4,812,014	3,000,000	4,963,064	12,775,078
<a href="#">THOMPSON, NICOLE</a>	1,370,631	2,297,717	0	3,668,348
<a href="#">THOMPSON-PEER, KATHERINE</a>	3,782,131	0	0	3,782,131
<b>Total</b>	<b>9,964,776</b>	<b>5,297,717</b>	<b>4,963,064</b>	<b>20,225,557</b>

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Full Name	Personnel Role Code	Project End Date	Principal Investigator Name	Obligated Total Cost
THOMPSON, LESLIE	Key Person	10/31/2023	CHARLENE SMITH GEATER	150,000
THOMPSON, LESLIE	Key Person	12/31/2023	BRIAN CUMMINGS	36,040
THOMPSON, LESLIE	PI	04/30/2024	LESLIE THOMPSON	42,223
THOMPSON, LESLIE	PI	06/30/2024	LESLIE THOMPSON	431,373
THOMPSON, LESLIE	Key Person	06/30/2024	BRIAN CUMMINGS	14,520
THOMPSON, LESLIE	PI	03/31/2025	LESLIE THOMPSON	695,250
THOMPSON, LESLIE	PI	08/30/2025	LESLIE THOMPSON	150,000
THOMPSON, LESLIE	PI	08/31/2025	CHRISTOPHER HUGHES	653,132
THOMPSON, LESLIE	Other	08/31/2026	LISA FLANAGAN	785,000
THOMPSON, LESLIE	PI	04/30/2028	LESLIE THOMPSON	4,633,568
THOMPSON, NICOLE	PI	06/30/2025	NICOLE THOMPSON	45,000
THOMPSON, WILLIAM	Co-PI	05/31/2025	HAL STERN	2,391,852
THOMPSON-PEER, KATHERINE	Other	09/15/2023	RAHUL WARRIOR	600,000

Full Name	Personnel Role Code	Full Date	Principal Investigator Name	Proposal Status Desc	Proposal Funded Flag	Total Cost
THOMPSON, LESLIE	PI	07/08/2022	LESLIE THOMPSON	Pending	N	1,635,757
THOMPSON, LESLIE	Key Person	09/30/2022	ALPESH AMIN	Pending	N	1,000,000
THOMPSON, LESLIE	PI	10/03/2022	CHRISTOPHER HUGHES	Pending	N	392,500
THOMPSON, LESLIE	Other	10/12/2022	FREDERICK ARNOLD	Pending	N	1,002,204
THOMPSON, LESLIE	PI	12/08/2022	LESLIE THOMPSON	Pending	N	156,776
THOMPSON, LESLIE	Key Person	02/13/2023	AILEEN ANDERSON	Pending	N	2,000,000
THOMPSON, LESLIE	PI	03/17/2023	LESLIE THOMPSON	Pending	N	240,000
THOMPSON, LESLIE	Other	06/01/2023	PAUL GERSHON	Pending	N	738,091
THOMPSON, LESLIE	Other	06/02/2023	SUZANNE SANDMEYER	Pending	N	750,000
THOMPSON, LESLIE	PI	06/08/2023	LESLIE THOMPSON	Pending	N	228,252
THOMPSON, LESLIE	PI	06/15/2023	LESLIE THOMPSON	Pending	N	1,177,500
THOMPSON, LESLIE	Other	07/05/2023	KATHERINE THOMPSON-PEER	Pending	N	2,472,769
THOMPSON, LESLIE	PI	07/10/2023	LESLIE THOMPSON	Pending	N	348,547
THOMPSON, LESLIE	PI	07/25/2023	LESLIE THOMPSON	Pending	N	525,041
THOMPSON, LESLIE	PI	08/08/2023	LESLIE THOMPSON	Pending	N	107,641
THOMPSON, NICOLE	PI	07/05/2023	NICOLE THOMPSON	Pending	N	1,370,631
THOMPSON, NICOLE	Key Person	08/29/2023	HOSUN KANG	Pending	N	2,297,717
THOMPSON-PEER, KATHERINE	PI	07/05/2023	KATHERINE THOMPSON-PEER	Pending	N	2,472,769
THOMPSON-PEER, KATHERINE	PI	07/26/2023	KATHERINE THOMPSON-PEER	Pending	N	1,309,362

## Agenda

- Welcome
  - FY 23 Award Dollars - FY 23
  - Honest Broker - Cohort Discovery Tools
  - Federal Update
  - RSIC Process Review
  - COI Update – Clinical Trial Procedure Notification Method
  - ERA Updates
  - ***C&G Accounting***
- Q&A and Closing

# Contracts & Grants Accounting

General Updates

Beata Najman  
Director, Extramural Funds Accounting

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## C&G Accounting Has Moved to a New Address

University of California, Irvine  
228 Aldrich Hall  
Irvine, CA 92697-1050

## C&G Training

**COURSE #1** (CGS 1) Introduction to Fund Management  
*Thursday, October 26, 10:30 a.m. – 12 p.m.*

**COURSE #2** (CGS 2) Direct vs. F&A  
*Tuesday, October 31, 10:30 a.m. – 12 p.m.*

**COURSE #6** (CGS 6) Ledger Reading and Award Closeout  
*Thursday, November 2, 10:15 a.m. – 12 p.m.*

### **Available in UCLC as an e-Course**

**COURSE #3** (CGS 3) General Error Correction (GEC)/Cost Transfers

**COURSE #4** (CGS 4) Payroll Certification

**COURSE #5** (CGS 5) Cost Sharing

Questions?

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# Questions?

Barbara Inderwiesche

[barbara.i@uci.edu](mailto:barbara.i@uci.edu)

OR

[era@research.uci.edu](mailto:era@research.uci.edu)

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Join us next time (next year)!

January 2024 (TBD)

*Do you have a topic you want to hear about?*

*Do you have a topic that you want to share?*

email [era@research.uci.edu](mailto:era@research.uci.edu)

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