

January 13, 2022

UCLA Research Policy & Compliance

700U & Electronic Signatures



Claudia Modlin
Associate Director RPC

Form 700u



Campus: _____

ID No: _____

Please type or print in ink.

NAME (LAST)	(FIRST)	(MIDDLE)	TELEPHONE NUMBER
ACADEMIC UNIT OR DEPARTMENT		MAIL CODE	E-MAIL ADDRESS
TITLE OF RESEARCH PROJECT			

1. Information Regarding Funding Entity

(Use a separate Form 700-U for each funding entity.)

Name of Entity: _____

Address of Entity: _____

Principal Business of Entity: _____

Amount of Funding: \$ _____

Estimated Actual

2. Type of Statement (Check at least one box)

Initial (for new funding)

Date of initial funding: ____/____/____

Interim (for renewed funding)

Funding was renewed on: ____/____/____

3. Filer Information

A. Are you a director, officer, partner, trustee, consultant, employee, or do you hold a position of management in the entity listed in Part 1? No Yes

Title: _____

B. Do you, your spouse or registered domestic partner, or your dependent children have an investment of \$2,000 or more in the entity listed in Part 1 above? No Yes - value is:

\$2,000 - \$10,000 \$10,001 - \$100,000

\$100,001 - \$1,000,000 Exceeds \$1,000,000

Date Disposed: ____/____/____, if applicable

C. Have you received income of \$500 or more from the entity listed in Part 1 during the reporting period? No Yes - amount is:

\$500 - \$1,000 \$1,001 - \$10,000

\$10,001 - \$100,000 Exceeds \$100,000

Was this income received through your spouse or registered domestic partner? No Yes

3. Filer Information - Cont.

D. Have you received loans from the entity in Part 1 for which the balance exceeded \$500 during the reporting period? No Yes - highest balance:

\$500 - \$1,000 \$1,001 - \$10,000

\$10,001 - \$100,000 Exceeded \$100,000

If you checked "yes," was the loan:

Secured Unsecured Interest rate: _____%

Was the loan entirely repaid within the last 12 months? No Yes

E. Have you received gifts from the entity listed in Part 1 within the last 12 months valued at \$50 or more? No Yes - describe below.

Description: _____

Value: \$_____ Date Received: ____/____/____

F. Has the entity in Part 1 paid for your travel during the reporting period? No Yes - describe below.

Type of Payment: (check one) Gift Income

Amt: \$_____ date(s): ____/____/____ (if gift)

Description and, if Gift, Travel Destination: _____

4. Verification

I have used all reasonable diligence in preparing this statement. I have reviewed this statement and to the best of my knowledge the information contained herein and in any attached schedules is true and complete. I certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Date Signed _____ (month, day, year)

Signature _____ (File the originally signed statement with your university.)

The Form 700-U is for university use only.
This statement is a public record under Gov. Code Section 81008(a).

Good News!



On November 18, 2021, the State of California Fair Political Practices Commission (FPPC) regulations were modified to permit agencies like the University of California to accept Statement of Economic Interests for Principal Investigators, Form 700-U, with electronic signatures. The changes went into effect on November 22, 2021.



1 Adopt 2 Cal. Code Regs. Section 18104 as follows:

2 **18104. Secure Electronic Signatures.**

3 (a) Except as otherwise provided by law, an agency responsible for maintaining original
4 reports, statements, forms, and other documents required under the Act may receive such filings:

5 (1) In paper format with the filer's handwritten signature; or

6 (2) In electronic format with the filer's secure electronic signature, if permitted by the
7 agency.

8 (b) A "secure electronic signature" means an electronic signature, as defined in
9 subdivision (h) of Section 1633.2 of the California Civil Code, that:

10 (1) Is submitted through an electronic filing system established and operated in
11 accordance with the Act; or

12 (2) Is submitted via the official's agency email address and conforms to the definition and
13 attributes of a "digital signature" as set forth in Section 16.5, specifically it is:

14 (A) Unique to the person using it;

15 (B) Capable of verification;

16 (C) Under the sole control of the person using it;

17 (D) Linked to data in such a manner that if the data are changed, the digital signature is
18 invalidated; and

19 (E) Conforming with Title 2, Division 7, Chapter 10 of the California Code of
20 Regulations, as applicable.

21 Note: Authority cited: Section 83112, Government Code. Reference: Sections 81004,

22 Government Code.

Previously:



The FPPC would not allow electronic signatures unless the University had a system in place that the FPPC had specifically approved

Now:



700u forms signed with secure electronic signatures will be accepted if the signature meets the standards specified within the Fair Political Practices Regulations



UCLA will use DocuSign.

- DocuSign meets the criteria specified by the FPPC
- DocuSign is licensed by UCLA and is free to UCLA faculty and staff
- Contact UCLA ITS for more information

Principal Investigators who complete Form 700-U in conjunction with:



- proposals for research support from a non-governmental entity (i.e. for-profit and not-for profit sponsors)
- contract or grants
- Material Transfer Agreements (MTA)
- in connection with gifts for a specific research project or for a specific researcher

should complete Form 700-U using DocuSign.



In order to meet FPPC requirements, the Form 700-U that is completed via DocuSign must be submitted from a UCLA email address

Will a “wet” signature 700u still be accepted?



- There will be a transition period during which “wet” signature 700Us will be accepted
- We expect that everyone can transition to DocuSign by March 1, 2022
- After that time, “wet” signature forms will not be accepted.

Forms should be submitted to the UCLA office that handles the proposal/award transaction, MTA, and/or gift.



- TO OCGA: PROPOSALS@RESEARCH.UCLA.EDU
- TO TDG FOR INDUSTRY CONTRACTS - to the officer who is assigned to your department: [HTTPS://TDG.UCLA.EDU/UCLA-RESEARCHERS-INNOVATORS/INDUSTRY-SPONSORED-RESEARCH/DEPARTMENT-ASSIGNMENTS](https://tdg.ucla.edu/ucla-researchers-innovators/industry-sponsored-research/department-assignments)
- TO TDG FOR MTAS: UCLAMTA@TDG.UCLA.EDU
- TO CLINICAL TRIALS: CLINICALTRIALS@MEDNET.UCLA.EDU
- TO GIFT ADMINISTRATION: GIFTPOLICY@SUPPORT.UCLA.EDU

Questions?



We are working with UCLA stakeholders to develop and provide more process specific guidance. Our intent is to inform campus of the new rules that were implemented in November. Please bear with us.

Contact Information



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Thank you