

From: "Diamond, Naomi" <NDiamond@ph.ucla.edu>
To: "Enstrom, James (BOL)" <jenstrom@ucla.edu>
Subject: FW: Status of NCTE
Date: Wed, 3 Dec 2003 14:57:47 -0800

Per my voice message, please advise Tina and I. If you would like to speak directly with Tina her number is listed below.

Thanks

-----Original Message-----

From: Henry, Tina [<mailto:thenry@resadmin.ucla.edu>]
Sent: Wednesday, December 03, 2003 2:27 PM
To: Diamond, Naomi M.
Subject: FW: Status of NCTE

Hi Naomi,

I left you a message on 11/20/03 regarding the NCTE. The extension was granted back in October to extend the study until 11/01/03. Does Dr. Enstrom want the study extended longer? If so we will have to notify Philip Morris. Let me know.

Thanks,

Tina Henry
Industry Contract Analyst
Office of Contract & Grants
10920 Wilshire Blvd. Ste. 1200
Los Angeles, CA 90024
(310)794-0129 Fax (310) 794-0631
thenry@resadmin.ucla.edu

-----Original Message-----

From: Henry, Tina
Sent: Tuesday, November 18, 2003 9:44 AM
To: Diamond, Naomi M.
Subject: RE: Status of NCTE

Thank you..I do fell better.
I will have something for you shortly

Tina Henry
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-----Original Message-----

From: Diamond, Naomi [<mailto:NDiamond@ph.ucla.edu>]
Sent: Tuesday, November 18, 2003 9:41 AM
To: 'Henry, Tina'
Subject: RE: Status of NCTE

Thanks. Hope you are feeling better. :)

-----Original Message-----

From: Henry, Tina [<mailto:thenry@resadmin.ucla.edu>]
Sent: Tuesday, November 18, 2003 9:08 AM
To: Diamond, Naomi M.
Subject: RE: Status of NCTE

I was out sick yesterday..I will check and get back with you

Tina Henry
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-----Original Message-----

From: Diamond, Naomi [<mailto:NDiamond@ph.ucla.edu>]
Sent: Monday, November 17, 2003 2:38 PM
To: 'thenry@resadmin.ucla.edu'
Subject: Status of NCTE

Hi Tina,

Dr. Enstrom has asked me to check with you regarding the status of his NCTE request with Philip Morris. Can you please advise us?

The particulars are:

PI: James E. Enstrom (E134)

Grant name:

Coeus: 011337-001

Sponsor: Philip Morris, USA

Effective date: 9/1/02 - 10/31/03

Project titles: Smoking & Mortality Based on National Survey

Thank you.

From: "Diamond, Naomi" <NDiamond@ph.ucla.edu>

To: "Enstrom, James (BOL)" <jenstrom@ucla.edu>

Subject: Your % of Pay on the P. Morris grant

Date: Wed, 29 Oct 2003 14:10:49 -0800

Hi Dr. Enstrom,

For the months of August & September you have been paid @ 50% on the tobacco grant. However, I have been projecting you at 100%. Will you be submitting timesheets at a later date for the balance retroactively? If not, I will remove the projections. What about your future salary charges, at what percentage should I be projecting?

Also, I heard from Roshan regarding the renewal status of your tobacco grant. I understand that she has spoken to you as well, and that there will be no renewal. However, you can request another No Cost Time Extension thru 6/30/04.

Thanks

From: "Diamond, Naomi" <NDiamond@ph.ucla.edu>

To: "Enstrom, James (BOL)" <jenstrom@ucla.edu>

Cc: "Castro, Josie" <JCastro@ph.ucla.edu>

Subject: FW: Is this a NCTE or a continuation? Either way, pls tell me ho

w to proceed.
Date: Wed, 30 Jul 2003 12:42:37 -0700

-----Original Message-----

From: Diamond, Naomi
Sent: Tuesday, July 29, 2003 2:20 PM
To: 'thenry@resadmin.ucla.edu'
Subject: Is this a NCTE or a continuation? Either way, pls tell me how to proceed.

Hi Tina,

Per our phone conversation, I would like to ask your assistance in finding out just what is required to either obtain a NCTE, if necessary or a continuation (if that means more \$). The grant in questions terms are as follows, per our correspondence:

" The term of this External Research Agreement shall be for the peirod commencing upon the Effective Date of this External Research Agreement and continuing for one (1) year until August 31, 2003. This External Research Agreement may* be renewed for additional one (1) year term by RESEARCHER making a continuation request in an applicable second progress report (10 month report) for the preceding year, and SPONSOR and RESEARCHER mutually agreeing to extend the term in writing by an additional year, not to exceed a total of three year from September 1, 2002."

This does not sound like an automatic 2nd and 3 year of funding, at least not to me. What are your thoughts? If the doctor wishes to proceed with a NCTE that would mean that he is not to get additional funding. The funds remaining after 8/31/03 (first year's end) is what is to be used to finish the project - right?

On the other hand if he wishes a continuation, wouldn't that suggest he wants more \$?

Please advise. Also, can you tell me what his Goldenrod indicated? Dr. Enstrom feels that initially he asked for 3 years of funding and does not know why his synopsis does not reflect that time frame.

Thank you.

PI: James E. Enstrom (E134)
Grant name:
Coeus: 011337-001

Sponsor: Philip Morris, USA
Effective date: 9/1/02 - 8/31/03
Project titles: Smoking & Mortality Based on National Survey

The PI: James Enstrom (E134);

From: "Diamond, Naomi" <NDiamond@ph.ucla.edu>
To: "Enstrom, James (BOL)" <jenstrom@ucla.edu>
Subject: Renewal of your tobacco grant
Date: Wed, 16 Jul 2003 09:00:50 -0700

Dr. Enstrom,

Roshan called me last night, and I spoke with her this AM regarding your desire to renew the tobacco grant. She has asked that we hold off working on the renewal until she has had a chance to speak with the department heads. She will no doubt be calling you, but if you would like to speak with her, please feel free to call her. Her extension is 69266.

Naomi

From: "Diamond, Naomi" <NDiamond@ph.ucla.edu>
To: "Enstrom, James (BOL)" <jenstrom@ucla.edu>
Subject: RE: Budgetary items
Date: Tue, 15 Jul 2003 09:51:10 -0700

Dr. Enstrom,

Following up on my earlier response to this email, as for the forms on the Campus Purchasing (CP) website, you are NOT required to complete the Independent Consultant Agreement (which is several pages long), CP will handle that one.

Thanks

From: "Diamond, Naomi" <NDiamond@ph.ucla.edu>
To: "Enstrom, James (BOL)" <jenstrom@ucla.edu>
Subject: RE: Budgetary items
Date: Tue, 15 Jul 2003 09:30:02 -0700

Good morning,

The answers to your questions are embedded below.

Also, I realize that you are interested in renewing your grant which expires 8/31/03. However, before we proceed in the renewal process, Josie has asked that I check with Roshan as this will require a special approval.

Thanks

-----Original Message-----

From: James E. Enstrom [<mailto:jenstrom@ucla.edu>]
Sent: Monday, July 14, 2003 3:33 PM
To: Diamond, Naomi
Subject: Budgetary items

Dear Naomi:

I need your assistance regarding several items:

1) Has my recharge ID (LT J4) been continued for my mail, telephone, and copying charges after July 1, 2003?

LTJ4 is still current. It's not scheduled to expire until 8/31/03; when your grant expires.

2) How do I go about having Geoffrey Kabat, Ph.D., designated as a consultant/vendor on my Philip Morris grant (fund 59605)?

First step would be to check Campus Purchasing's website (<http://www.purchasing.ucla.edu/>). Please go to the Forms section, and after reviewing the section on Independent Contractors/Consultants, you will need to complete their forms. Once you've completed the appropriate forms, please submit the completed forms to our office along with our internal Request Order Form (ROF); we will take it from there. Of course, if you need assistance with any of Purchasing's paperwork, I can process it, as long as you can provide me with the necessary info. This is especially true for the last form. In fact, the requisition number is provided by our

office.

3) How do I go about setting up a subcontract on my Philip Morris grant?

First step would be to identify the subcontractor. Please tell me who is the agency or institution? We will then need to have their proposal. The setting up or finalizing will require the involvement of both OCGA & Campus Purchasing. Once I have that info, I can go from there with providing more details.

I am currently preparing progress report/continuation forms for Year 02 of the Philip Morris grant, which I will go over with you.

Thank you for your assistance.

Best regards, Jim

From: "Kominski, Gerald" <kominski@ph.ucla.edu>
To: "Enstrom, James (BOL)" <jenstrom@ucla.edu>
Cc: "Rosenstock, Linda" <lindarosenstock@ph.ucla.edu>,
"Bastani, Roshan (BOL)" <bastani@ucla.edu>,
"Kiser, Kathleen" <kkiser@ph.ucla.edu>,
"Gerald Kominski (E-mail)" <kominski@ucla.edu>
Subject: Meeting with Deans of SPH
Date: Tue, 2 Sep 2003 15:28:40 -0700

Jim:

In response to your request to meet with Dean Rosenstock, Associate Dean Bastani, and myself to discuss your defense to the controversy surrounding your recent BMJ article, I must respectfully decline such a meeting on the same grounds that I mentioned in my letter of Aug. 27th. The Dean's office is not in a position to evaluate the scientific merits of academic research. Such evaluations are more appropriately conducted in a departmental setting.

I suggest that you contact Dr. Ralph Frerichs, head of the School's Faculty Executive Committee, to discuss other possible options for presenting your position to the School's faculty.

Jerry Kominski

Gerald F. Kominski, Ph.D.
Associate Dean for Academic Programs
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CHS 16-035
177220

x41238 (Voice)
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<mailto:kominski@ucla.edu>

From: Dr. Roshan Bastani <bastani@ucla.edu>
Sent:
To: Hilary Arnold Godwin <hgodwin@ucla.edu>
Subject: UC Regents adopt policy for reviewing research funding from tobacco industry

Hi Hilary and Curt,
Please see link and article regarding UC Regents' new policy on funding from tobacco industry that will affect any new grants that Jim Enstrom submits. Please instruct your MSO or anyone else responsible for preparing grant submissions not to process Enstrom submissions unless approved by you and by me as not involving tobacco industry funding. The name of the agency listed on such applications is often misleading and usually does not contain the name of the parent company. It may also be time to re-visit Jim's situation in your department and the school. It would also be good to have a listing of all grants that Jim now has, and the associated agencies. Thanks.
Roshan

<http://www.universityofcalifornia.edu/news/2007/sep20b.html>

FOR IMMEDIATE RELEASE

Thursday, September 20, 2007

Jennifer I. Ward (510) 987-9398

<mailto:jennifer.ward@ucop.edu>jennifer.ward@ucop.edu

UC Regents adopt policy for reviewing research funding from tobacco industry

The University of California Regents today (September 20) adopted a new policy that establishes special review and approval procedures for research proposals involving funds from tobacco companies or affiliated agencies.

The regents passed RE-89 by a 14-4 vote.

Specifically, the new policy has a combination of features including:

- * Establishing scientific peer review by committee and approval from UC chancellors for any research proposals seeking funds from tobacco-affiliated companies. The scientific review committee will be drawn from a community of scholars, which will work with campus chancellors in helping to determine whether to approve a proposal. Additionally, regents will be provided with timely notice of the relevant grants and a description of the research to be undertaken.
- * Requiring an annual report to regents on proposals and research involving or seeking funds from tobacco-affiliated companies. The report will summarize the number of proposals submitted to the scientific review committee, the number approved and the number funded, along with a description or abstract of each proposal.
- * Developing a regental statement to UC researchers that among other things, upholds academic freedom, expresses concern about the tobacco industry and asks researchers to exercise professional and ethical care.

Previously, individual researchers could accept funding from any source as long as the funds complied with applicable University (conflict of interest, publication, etc.) policies.

At the end of fiscal year 2006-07, UC researchers held 23 active grants, totaling \$16 million, from sponsors with known ties to the tobacco industry. All of this funding, which supports research and related activities on the Berkeley, Davis, Irvine, Los Angeles, Riverside, Santa Barbara and San Diego campuses, is from Philip Morris USA.

The policy will apply only to awards made in response to new

proposals submitted after the policy becomes effective. Awards active as of the effective date of the policy will be allowed to continue. Funds awarded to proposals submitted prior to the effective date of the new policy will also be allowed.

The University of California is the research arm of the state of California. Research at UC's 10 campuses and three National Laboratories is conducted at more than 800 research centers, institutes, laboratories and programs, in fields spanning the disciplines.

For the Regents' item and background on RE-89:

<<http://www.universityofcalifornia.edu/regents/regmeet/sept07/re89.pdf>>www.universityofcalifornia.edu/regents/regmeet/sept07/re89.pdf

Academic Senate resolution on RE-89:

<<http://www.universityofcalifornia.edu/news/2007/may09a.html>>www.universityofcalifornia.edu/news/2007/may09a.html