UCLA
Office of Research Administration

Research Administration Forum
July 13, 2017

Welcome!

Marcia Smith
Associate Vice Chancellor for Research

Agenda

- **Welcome and Announcements –** *Marcia Smith*
  - FY17 Year-end Data
- **RSAWA News** – *Jennifer Perkins*
  - AAALAC Site Visit: August 1 – 4, 2017
- **OCGA News –** *Kathy Kawamura*
  - NIH GCP Guidance Follow- Up
  - Grant Updates
- **RPC News** – *Ann Pham*
  - Export Controls – Cuba Update
- **OHRPP News –** *Kip Kantelo*
  - Final Rule
  - NIH Single IRB Policy
- **EFM -** *Yoon Lee*
  - UCPath: Payroll Expense Transfers – *Yoon Lee*
  - PAMS Update – *Jennifer Aguilar*
  - ERS Update – *Connie Brown*

NIH F&A Costs

- http://www.sciencemag.org/news/2017/07/house-bill-gives-nih-3-raise-blocks-cuts-overhead-payments

ORDM UCLA Office of Research Data Management

Highlights of ORA FY 2017 Research Awards

http://portal.research.ucla.edu/

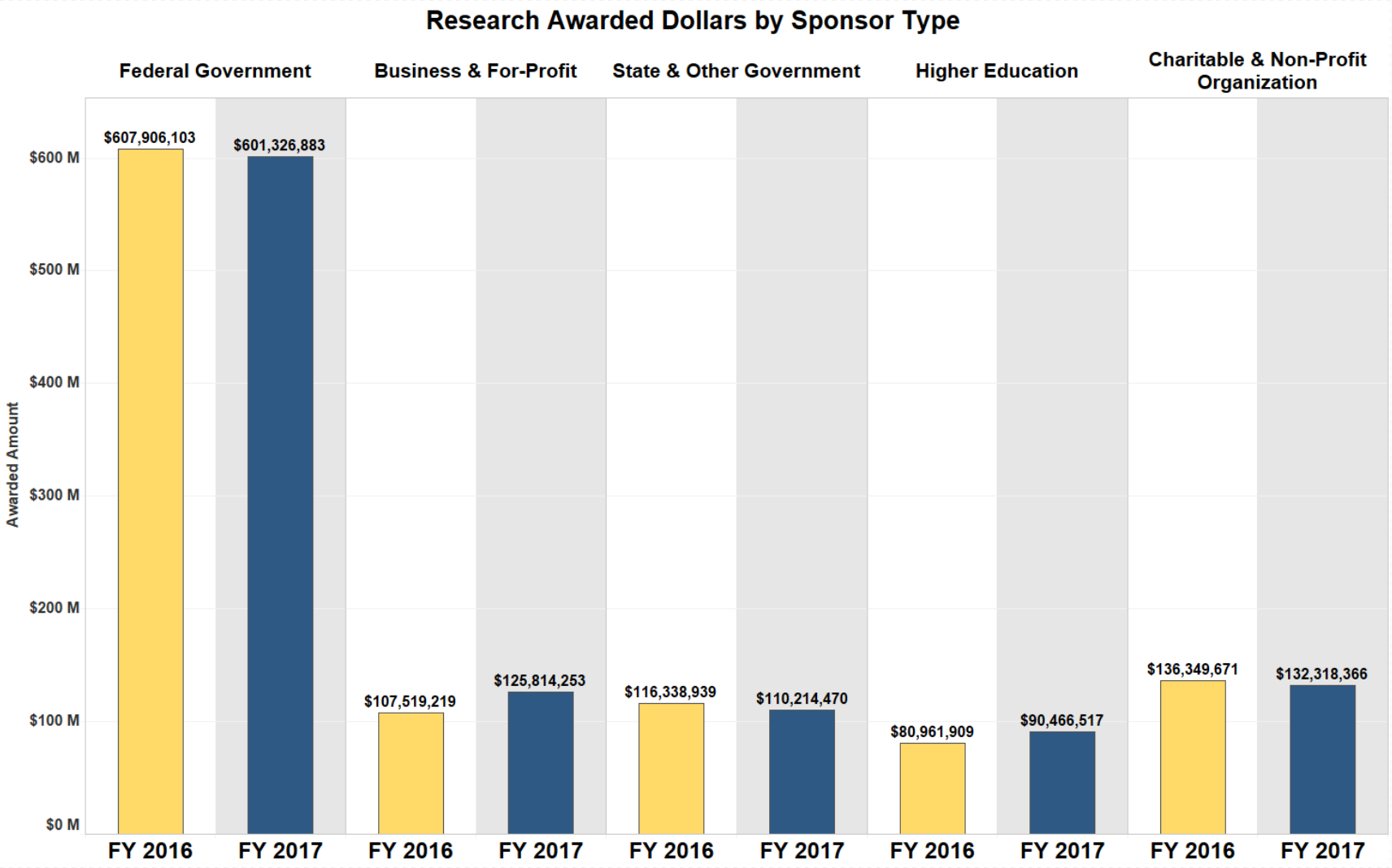
Rory Constancio
Director, Office of Research Data Management

$1 Billion Awarded Dollars
FY17, FY16 & FY15

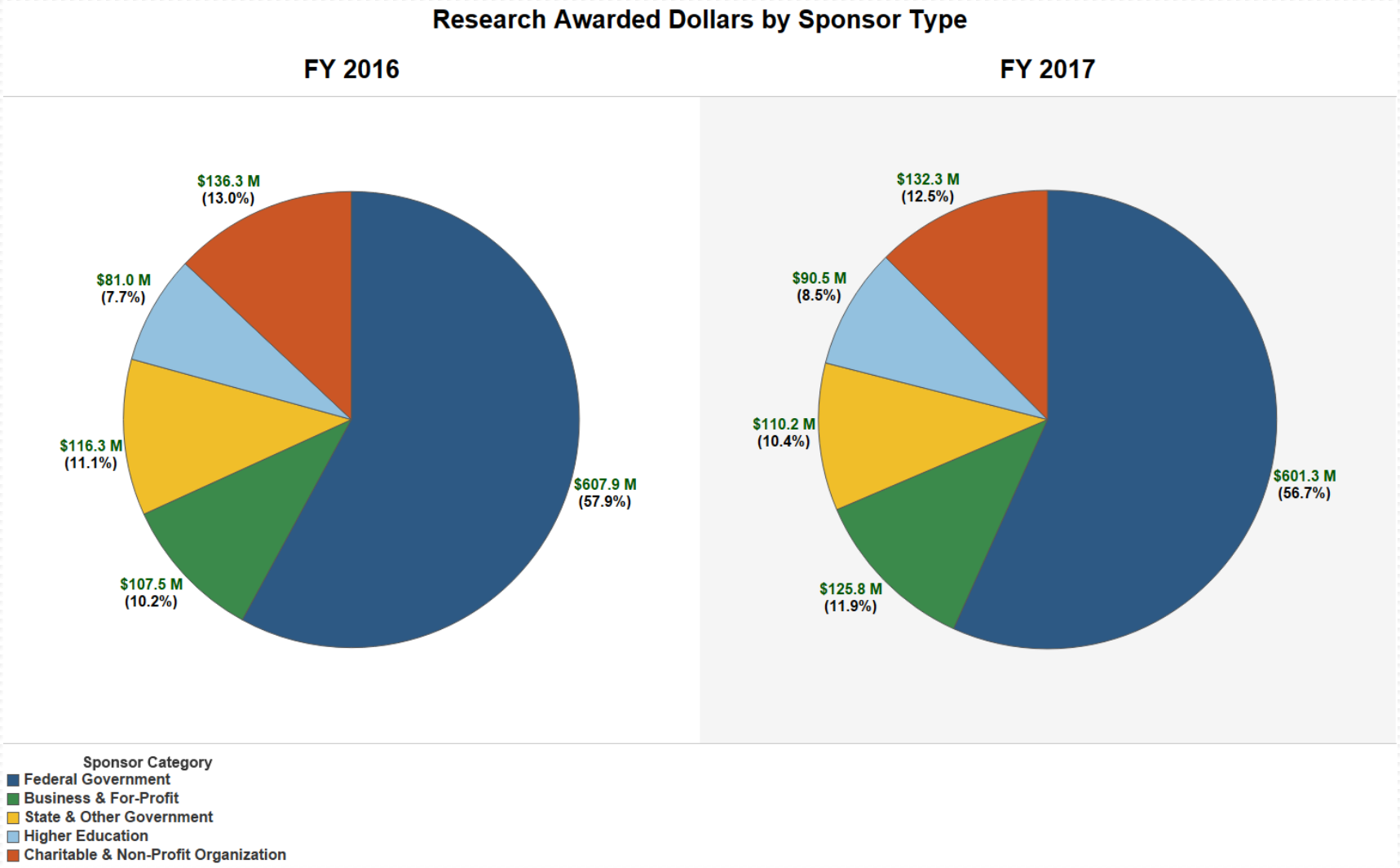
Awarded Dollars & Counts

Fiscal Year	Awarded Dollars	Award (Transaction) Counts
FY 2017	$1,060,140,489	5,779
FY 2016	$1,049,075,841	5,554
FY 2015	$1,033,159,101	5,648

FY 2016 & FY 2017
Awarded Dollars



FY 2016 & FY 2017
Awarded Dollars



RSAWA UPDATES: 2017 AAALAC SITE VISIT

Jennifer Perkins, MA, CPIA
Director – Research Safety & Animal Welfare
Institutional Contact for Dual Use Research

Background

- Association for Assessment and Accreditation of Laboratory Animal Care, International
- Private, non-profit
- Peer-Review
- More than 980 accredited institutions in 44 countries
- UCOP requires all UC campuses to be accredited

Site Visit

- August 1-4, 2017
- Meet with IO and administration
- Meet with ARC
- Tour facilities
- Talk to lab staff
- Ask MANY questions
- In-Briefing (Day 1)
- Exit Briefing (Day 4)

Findings

- Mandatory – must correct in order to maintain accreditation
- Suggestions for Improvement – recommended upgrades to improve an already acceptable program

How to Prepare?

- Read, review, understand your protocol
- Follow veterinary orders
- Document all treatments
- Review relevant ARC Policies
- Contact ARC admin team for walk-through, protocol review

Questions?

Kathy Kawamura
Assistant Director

July 13, 2017

Topics

- NIH Good Clinical Practice
- ClinicalTrials.gov
- F&A Rate Application
- TIF Rate
- NIH Notice Updates

NIH Good Clinical Practice

As presented at previous RAF (January 12, 2017), NIH issued NOT-OD-16-148 which outlines the NIH policy on Good Clinical Practice training for NIH awardees involved in 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)**"
- Training may be achieved through a class or course, academic training program, or certification by other sources.
- GCP training should be refreshed at least every three years in order remain current with regulations, standards and guidelines.

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

NIH Good Clinical Practice

NIH Good Clinical Practice

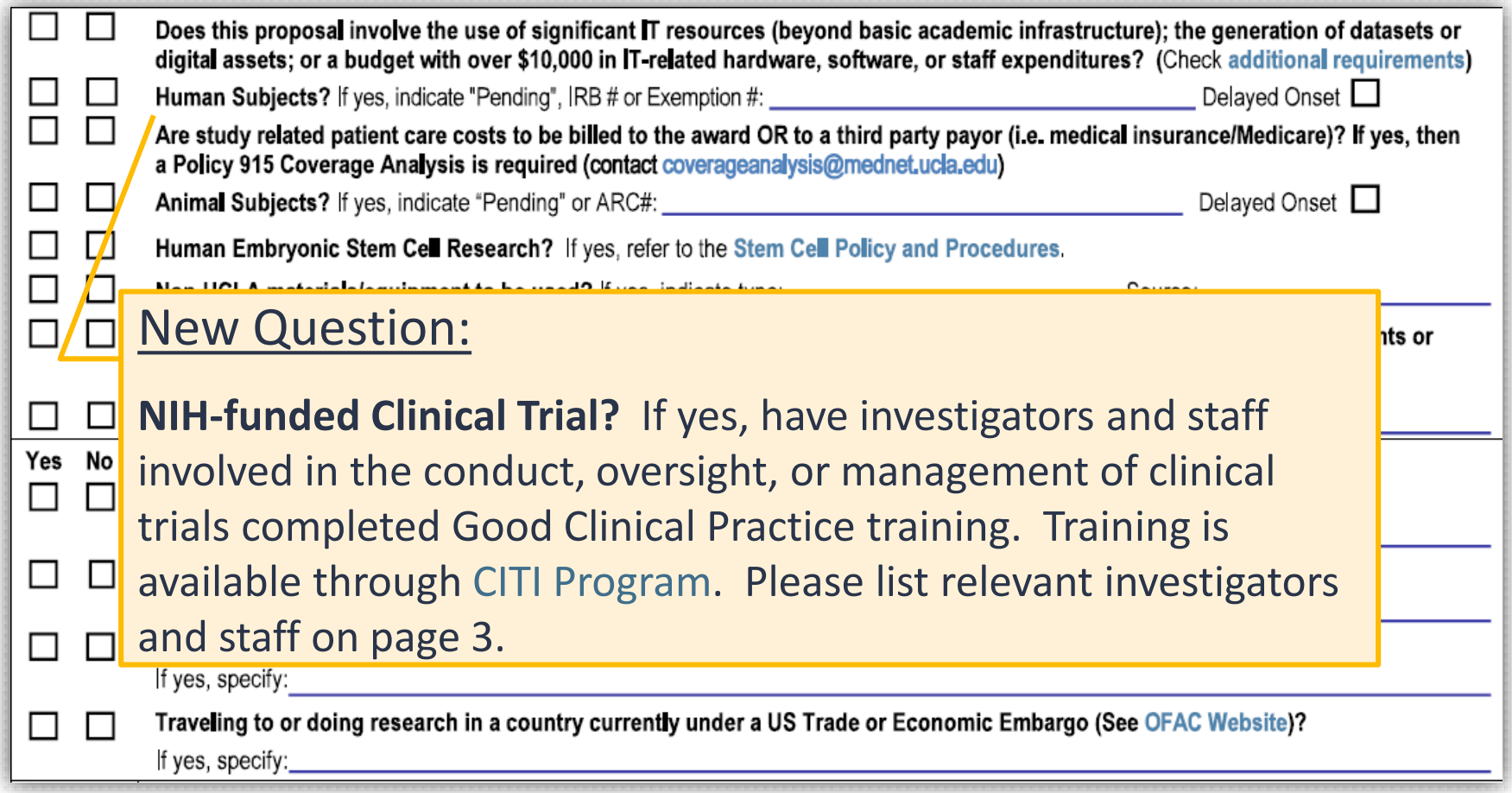
Last Name	First Name	DEPARTMENT	DEPT	Learner Group or Course Taken	Completion Date	Expiration Date	Type of Course
Bruin	Joseph	CLINICAL RESEARCH CENTER	1790	Good Clinical Practice (OPTIONAL)	4/8/2013	4/7/2016	GCP
Bruin	Josephine	MEDCTR-VOLUNTEERS	2808	Good Clinical Practice (OPTIONAL)	12/11/2009	12/10/2012	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

Pending Epass Changes (NIH Good Clinical Practice)

EPASS Section 6



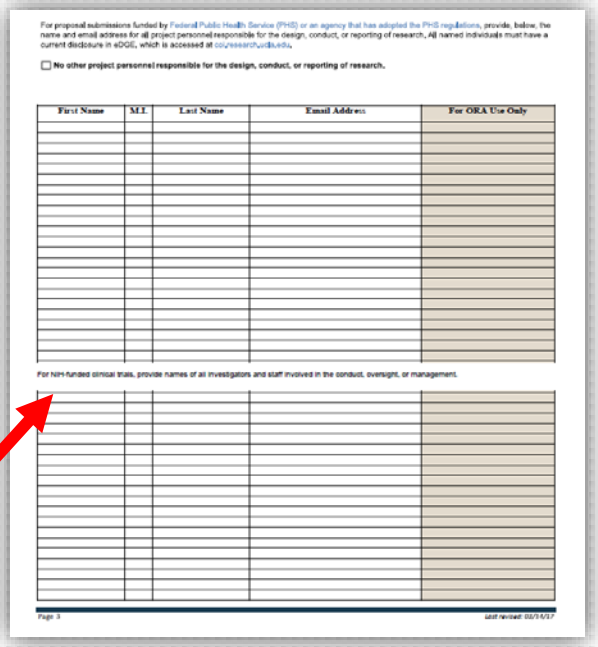
New Question:

NIH-funded Clinical Trial? If yes, have investigators and staff involved in the conduct, oversight, or management of clinical trials completed Good Clinical Practice training. Training is available through CITI Program. Please list relevant investigators and staff on page 3.

Pending Epass Changes (NIH Good Clinical Practice)

EPASS Page 3

List all of the “NIH-funded investigators and staff who are involved in the conduct, oversight, or management of clinical trials should be trained in Good Clinical Practice (GCP)”



For proposal submissions funded by Federal Public Health Service (PHS) or an agency that has adopted the PHS regulations, provide, below, the name and email address for all project personnel responsible for the design, conduct, or reporting of research. All named individuals must have a current disclosure in eDGE, which is accessed at coi.research.ucla.edu.

☐ No other project personnel responsible for the design, conduct, or reporting of research.

First Name	M.I.	Last Name	Email Address	For ORA Use Only

For NIH-funded clinical trials, provide names of all investigators and staff involved in the conduct, oversight, or management.

Page 3 Last revised: 02/14/17

For NIH-funded clinical trials, provide names of all investigators and staff involved in the conduct, oversight, or management.

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.

ClinicalTrials.gov

Compliance with FDAAA 801 Requirements (Final Rule)

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

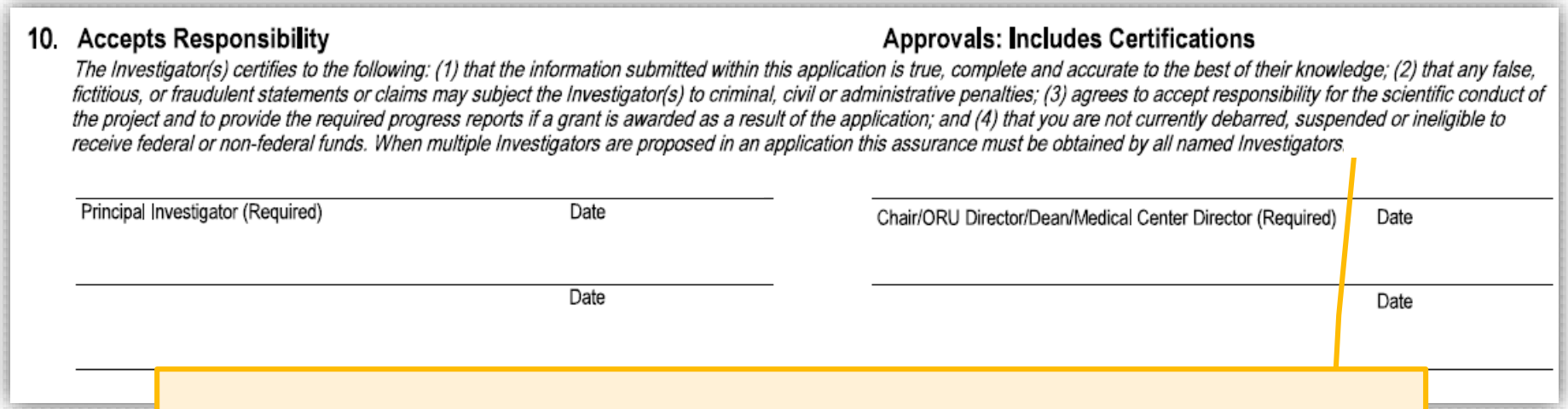
- ***Non-Cancer Studies**:* The Office of Regulatory Affairs, Clinical and Translational Science Institute (CTSI): ctsiora@mednet.ucla.edu. Each Investigator receives a user account under the "UCaliforniaLA" organization name to be able to log in to register and maintain their own studies. CTSI staff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

- Per NIH (https://grants.nih.gov/clinicaltrials_fdaaa/certify-compliance.htm), AOR's signature on a competing application or RPPR assures compliance with FDAAA.

Pending Epass Changes

(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. When multiple Investigators are proposed in an application this assurance must be obtained by all named Investigators.

Principal Investigator (Required) Date

Date

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

Date

INSERT:

(5) all Clinical Trials based upon FDAAA 801 , will be registered in ClinicalTrials.gov.

Technology Infrastructure Fee (TIF)

https://www.it.ucla.edu/support-training/campus-billing-help/2017-2018-billing-rates-announcement

- FY 18 TIF Rate: **$41.22**
- Effective July 1, 2017
- TIF based upon paid FTE

TIF Fee FAQs

https://www.it.ucla.edu/support-training/campus-billing-help/general-billing-faqs/technology-infrastructure-fee-faqs

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

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)** UCLA F&A Rate **55%**		7/1/18 – 12/31/18 **(6 months)** UCLA F&A Rate **56%**	
Total Direct	137,500	Total Direct	137,500
exclusions	37,500	exclusions	37,500
Base	100,000	Base	100,000
Indirect	55,000	Indirect	56,000
Total Cost	192,500	Total Cost	193,500

NIH Notice Updates

NOT-OD-17-048

NIH Continuing Resolution

- Non-competing awards issued ~90%

Update

NOT-OD-17-086

FY17 passed May 5, 2017

$2B increase from FY16 budget ($34.3b)

"*in general* reductions will be fully restored"

NIH Notice Update

NOT-OD-17-084

- NRSA Predoc Increased Stipend Levels FY17
- NRSA awards with PreDocs will be amended if issued from FY17 funds
- Amended Appointment Forms must be updated via Xtrain (eCommons)
  - Reminder: Stipends noted on Statement of Appointment Forms must match Stipends paid

NOT-OD-17-003 *(Postdoc NRSA FY17 Levels)*

NIH Updates

NOT-OD-17-062

New NIH “FORMS-E”

For proposal due dates on or after 1/25/18

Forms-E to be released ~October 2017

- Consolidate Human Subjects Information
- Expand Clinical Trial Information
  - Align with ClinicalTrials.gov

MASTER TRAINING

http://ora.research.ucla.edu/OCGA/Pages/Training-Resources/training-calendar.aspx

JULY

Post Submission Pre-Award

Wednesday, July 26, 2017

New Location

10889 Wilshire Blvd., Conf Room 820-20

9:30am-11:00 am

UCLA Office of Contract & Grant Administration is the central point of contact for all pre-award actions related to sponsored projects to be funded upon receipt of satisfactory compliance. This session will focus on NIH Just-in-Time (JIT), DOD pre-award process, Reps and Certs, other authorizations (Federal, State, County) and sponsor requests.

MASTER TRAINING

http://ora.research.ucla.edu/OCGA/Pages/Training-Resources/training-calendar.aspx

August

NSF FastLane and Research.gov

September

What Constitutes a Complete Proposal Package?

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.

UCLA

Health Sciences
Office of the Vice Chancellor for Research

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

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

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

For additional information see: http://researchgo.ucla.edu/clinicaltrialsgov.

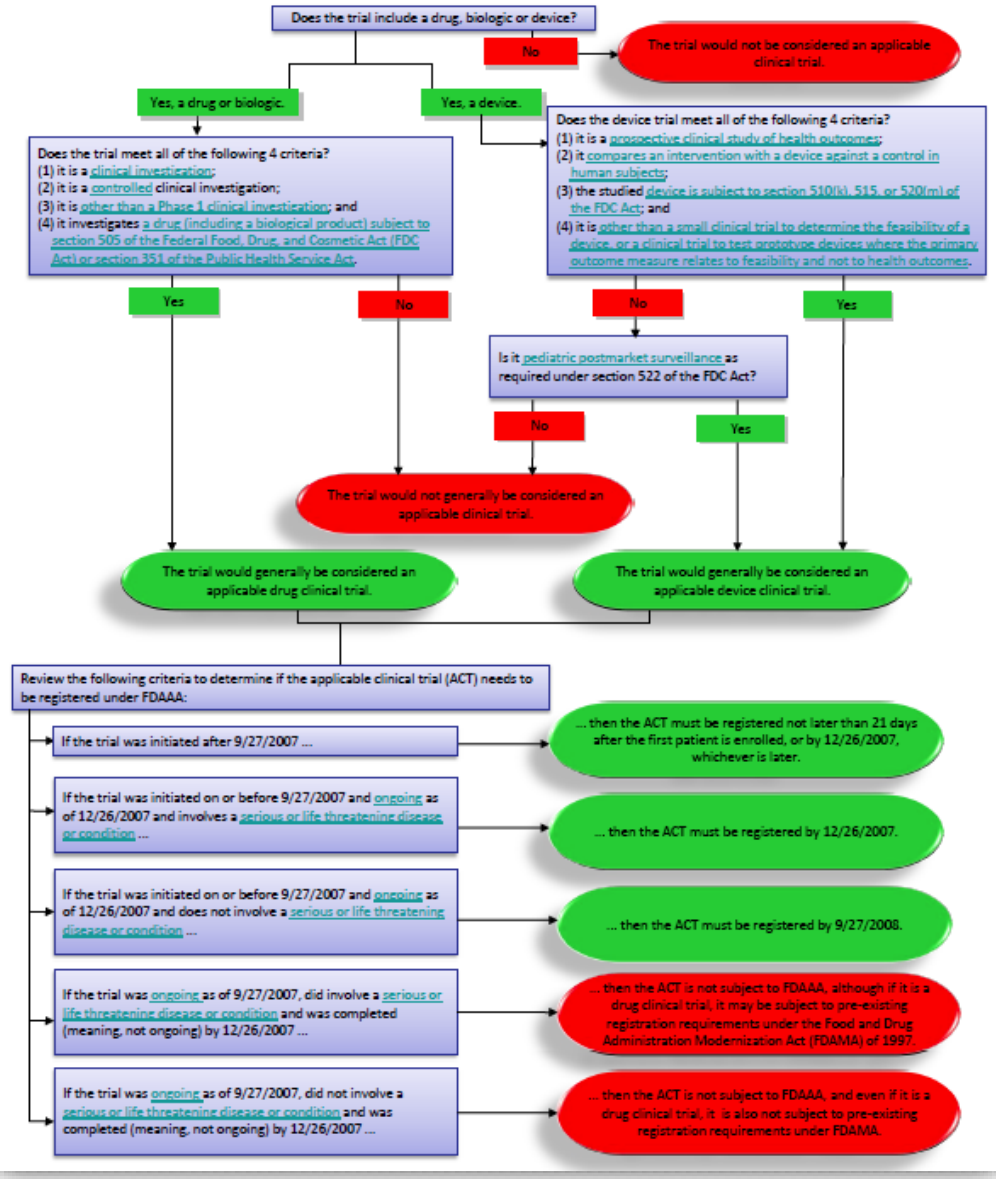
Sincerely,

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
- 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.



Cuba Sanctions Program – Travel Update

Ann Pham
Export Control Administrator
Office of Research Policy & Compliance

QUICK REVIEW

EXPORT CONTROLS

The **federal laws and regulations** that have been established by the U.S. government to control:

- The export of sensitive equipment, software, and technology
- Trade and financial transactions

These controls are in place to promote national security interests and foreign policy objectives.

REGULATING AGENCIES

OFAC

U.S. Department of the Treasury
Office of Foreign Assets Control (OFAC)

- Sanctions Programs and Country Information
  https://www.treasury.gov/resource-center/sanctions/Programs/Pages/Programs.aspx

- Cuba Sanctions
  https://www.treasury.gov/resource-center/sanctions/Programs/pages/cuba.aspx

CURRENTLY . . .

12 CATEGORIES OF AUTHORIZED TRAVEL

1. Family visits;
2. Official business of the U.S. government, foreign governments, and certain intergovernmental organizations;
3. Journalistic activity;
4. **PROFESSIONAL RESEARCH AND PROFESSIONAL MEETINGS;**
5. **EDUCATIONAL ACTIVITIES;**
6. Religious activities;
7. Public performances, clinics, workshops, athletic and other competitions, and exhibitions;
8. Support for the Cuban people;
9. Humanitarian projects;
10. Activities of private foundations or research or educational institutes;
11. Exportation, importation, or transmission of information or informational materials;
12. Certain export transactions that may be considered for authorization under existing Department of Commerce regulations and guidelines with respect to Cuba or engaged in by U.S.-owned or -controlled foreign firms.

PROFESSIONAL RESEARCH & MEETINGS

GENERAL LICENSE

- Authorizes attendance at professional meetings or conferences in Cuba related to a traveler's profession, professional background, or area of expertise.
- Schedule of activities: NO free time or recreation in excess of that consistent with a full-time schedule.
- Traveler: Retain receipts and records demonstrating a full-time schedule of authorized activities.

EDUCATIONAL ACTIVITIES

GENERAL LICENSE

- Authorizes faculty, staff, and students at U.S. academic institutions to engage in study abroad programs, academic exchanges, and joint non-commercial academic research.

- Includes *people-to-people* educational activities in Cuba.

- Traveler: Retain receipts and records demonstrating a full-time schedule of authorized activities.

PRESIDENT'S ANNOUNCEMENT

JUNE 16, 2017

- President Trump wants to end *individual* people-to-people travel.

- Individual people-to-people travel: educational travel that does not involve academic study pursuant to a degree program, and does not take place under the auspices of an organization that is subject to U.S. jurisdiction that sponsors such exchanges to promote people-to-people contact.

CONCLUSIONS

- The announced changes do not take effect until OFAC issues the new regulations. WHEN?? Stay tuned.
- No changes for UCLA . . . for now.
- Travel: Contact RPC prior to traveling to Cuba
  (and Iran, North Korea, Sudan, and Syria)
- EPASS: If PI has intentions of traveling to Cuba, please indicate this in the Export Control section

CONTACT

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Joanna Arias
Export Control Analyst
joanna.arias@research.ucla.edu
310.794.2642

Claudia Modlin
Assistant Director, ORPC
cmodlin@research.ucla.edu
310.794.2642

OHRPP Updates

Kip Kantelo, Director

July 13, 2017

NIH Policy on Single IRBs

- Policy ~~coming this month~~ ***released in June '16***
- Effective for ~~Jan~~ ~~May~~ ~~Sept~~ ***Jan 25***
- Domestic sites of multi-center
- Proposals to identify cIRB
  - Coordination plans & personnel
  - Certain direct costs allowable

NIH Policy on Single IRBs

- ~~IRBrely~~ ***SmartIRB*** framework
  - National agreement now in place
    - 200+ institutions (including UCLA)
    - Some institutions coming up with additional agreements
  - Online tool for communication
- More detailed guidance and tools coming
- irbreliance@research.ucla.edu

Final Rule

- Released January 19
- Effective next January (maybe)
- Key changes
  - Broadening exemption categories
  - Eliminate continuing IRB review for expedited studies
  - Consent- key info up front
  - Broad consent for secondary use
  - Single IRB mandate (3 years delay)
- Planning rollout, more to come

Thank you!

- For questions:
  - Reliance
    - irbreliance@research.ucla.edu
  - North & South General IRBs
    - x57122
    - gcirb@research.ucla.edu
  - Medical IRBs
    - x55344
    - mirb@research.ucla.edu

RESEARCH ADMINISTRATION

Extramural Fund Management

July 13, 2017

Today's Topics

- UCPath: Payroll Expense Transfer
- PAMS Update
- ERS Update

UCPath: Payroll Expense Transfers

Yoon Lee

UCPath Go Live

- December 2017 remains go–live target
- Transition readiness in process
  - Campus Advisory Group have been attending transition readiness workshop since October 2016
  - Assessing each unit's business processes, plan, and execute relevant activities to ensure successful transition to UCPath
- Testing in process
  - EFM participated in salary cost transfers testing through Integrated Testing Cycle 2
  - Integration testing Cycle 3 will be performed from July 17, 2017 through September 11, 2017
  - User Acceptance Testing is scheduled from September 25, 2017 through November 3, 2017

Payroll Expense Transfers: Pre-UCPath Go Live Data

- UCLA elected not to convert payroll data from PPS to UCPath.
- After UCPath Go Live, UCLA will maintain Payroll Personnel System (PPS) for the limited time.
- While PPS is maintained,
  - PPS current process to update the Financial System and ERS will be supported.
  - WebPET (Payroll Expense Transfers) will be supported.
- Currently UCLA plans to discontinue PPS as of July 1, 2018.

Payroll Expense Transfers: Pre-UCPath Go Live Data

After UCPath Go Live, transfer of payroll expenses processed in PPS while PPS is supported:

- Transfer payroll expenses through WebPET
- High risk cost transfers will be routed to EFM for approval
- Payroll expense transfers will be processed through pay compute cycle and posted to general ledger (For high risk cost transfers, once approved by EFM)
- Downstream applications (e.g. Effort Reporting System) will be updated via the same process as of today

Payroll Expense Transfers: Pre-UCPath Go Live Data

After UCPath Go Live, transfer of payroll expenses processed in PPS after PPS support discontinues:

- As PPS support discontinues, WebPET will no longer be available to transfer payroll expenses.
- If payroll expense transfer is needed after PPS support discontinues, it needs to be processed through a financial journal bypassing payroll sub-ledger.
  - No clear audit trails for payroll expense transfers.
  - Impact to downstream applications consuming payroll sub-ledger data (e.g. Effort Reporting System).
  - Related benefits, GAEL, TIF, etc. need to be manually calculated to be included in a financial journal.

Required Actions by the Department

- Continue to review payroll expenses every month and upon discovery of errors, process payroll expense transfers through WebPET timely.
- If there are any awards where monthly reconciliation has not been completed, review payroll expenses now and process payroll expense transfers as soon as errors are discovered.
- Target to complete all transfers of payroll expenses processed in PPS before UCPath Go-Live: by January 1, 2018.
  - Only payroll expenses processed in December 2017 should be left for review after UCPath Go-Live.

EFM Procedure

- EFM standard procedure will be not to accept pre-UCPath go live payroll expense transfers debiting to sponsored project funds after PPS support discontinues (currently scheduled to be July 1, 2018).
- Department will be responsible for finding unrestricted source of funding for these payroll expenses.
- If payroll expenses need to be transferred off from sponsored project funds after PPS support discontinues, EFM will require the department to submit following:
  - Comprehensive explanation of circumstances why payroll expense errors could not be corrected timely in addition to standard questions for cost transfers, signed by the PI and the department fund manager.
  - Detailed action plan on how the department will ensure manual adjustments to all affected downstream system reports
    - e.g. For effort reports, a complete list of all employees whose salaries are transferred including affected effort report periods, pay rate, pay distribution before and after, etc.)
  - Endorsement of Department CFO, CAO, Director, or an equivalent position on the explanation and action plan.

Post Award Management System (PAMS)

Jennifer Aguilar

RAPID Closeout Packet Upload Tool

- Effective July 1, 2017, the RAPID closeout packet upload tool in the ORA portal is no longer available
- All RAPID closeout packets along with supporting documentation are to be submitted via PAMS
- This change will help the department:
  - View real-time status of closeout packets in PAMS by using the approval workflow
  - Easily locate closeout packets and documents submitted in PAMS

PAMS Pilot

- Pilot users actively provided extensive feedback to enhance the system
- The PAMS Team made system improvements and documented wide-ranging list of enhancements
- In order to focus on the development of these enhancements, effective July 1, 2017, pilot has stopped
- Completing closeout packets in PAMS is temporarily not available during this development phase
- Campus will be notified once system is back for all to use
- All other functionalities in PAMS will continue to be available

Thank you!

Pilot Users Departments

ANDERSON GRAD SCH OF MANAGEMENT	MICROBIOLOGY, IMMUNO & MOLECULAR GENETICS
ANESTHESIOLOGY & PERIOPERATIVE MEDICINE	NEUROBIOLOGY
ARCHITECTURE & URBAN DESIGN DEPARTMENT	NEUROLOGY
BIOMATHEMATICS	NEUROLOGY-ADMINISTRATION
CIVIL & ENVIRONMENTAL ENGINEERING	OBSTETRICS & GYNECOLOGY
CNTR FOR HEALTH POLICY RESEARCH	PATHOLOGY DEPARTMENT ADMINISTRATION
COMPUTER SCIENCE	PEDIATRICS
COTSEN INSTITUTE OF ARCHAEOLOGY	PHYSICS & ASTRONOMY
DEAN, SCHOOL OF THE ARTS	PHYSIOLOGY
DEANS OFFICE-SCHOOL OF MEDICINE	POLITICAL SCIENCE
DEPARTMENT OF MEDICINE	PSYCHIATRY/BIOBEHAVIORAL SCI
DEPT OF WORLD ARTS & CULTURES/DANCE	RADIATION ONCOLOGY
EMERGENCY MEDICINE	SEMEL INSTITUTE
ENVIRONMENTAL HEALTH SCIENCES	SOCIAL SCIENCES GRANT SUPPORT
EPIDEMIOLOGY	STATISTICS
FOWLER MUSEUM AT UCLA	SURGERY-CHAIRMAN
HEALTH POLICY AND MANAGEMENT	SYSTEMWIDE ACCOUNTS(MISC)
LAW	TECHNOLOGY DEVELOPMENT GROUP
MECHANICAL & AEROSPACE ENGINEER	UCLA INTERNATIONAL INSTITUTE

PAMS Training

- In-Person Training Session:
  - Wednesday, July 19th 9-11am in the Wilshire-Glendon building
  - To register, complete the Doodle poll: http://doodle.com/poll/5yr96mf9hmavi9nw

Resources

- PAMS Help Team
  - (310) 794-0008, pamshelp@research.ucla.edu
  - Questions on access to PAMS

- Visit the PAMS website for more information including:
  - Training materials, Quick Guides, Videos

Effort Reporting

Connie Brown

Effort Reporting Statistics

As of July 12, 2017

- Fall 2016 & Winter 2017 (7/31/17 Deadline)
  - Generated: 10,186
  - Certified: 5,245
  - Open: 4,941
  - On-Time Rate – 51%
- Spring 2006 to Summer 2016 (Prior Quarters)
  - Generated: 257,219
  - Certified: 256,271
  - Open: 948
  - Current Rate – 99%
- Spring'06 - Winter'17 (All Quarters Rate)
  - 97% Certified

Past Due and Current Due Reports

- Notification automatically sent to departments on the 15th the month
  - Current Due Reports included until 7/31/17

Past Due Effort Reports for [redacted] (as of 6/14/2017)

Row	Emp_ID	Name	Is PI?	Period	Appointment Type	Status	Certification Due Date	Days Overdue
1	[redacted]			Winter 16	Non-academics	Exception	7/29/2016	321
2	[redacted]			Summer 16	Non-academics	Open	2/7/2017	128
3	[redacted]		Y	Summer 16	Academic-9/12	Open-Reissued	2/7/2017	128
4	[redacted]		Y	Spring 12	Academic-11/12	Certified/AdjustReqd	2/7/2013	1589
5	[redacted]		Y	Summer 16	Academic-9/12	Open-Reissued	2/7/2017	128
6	[redacted]			Summer 16	Academic-11/12	Certified/AdjustReqd	2/7/2017	128

Current Due Effort Reports for [redacted] (as of 6/14/2017)

Row	Emp_ID	Name	Is PI?	Period	Appointment Type	Status	Certification Due Date	Days Remaining
1	[redacted]			Fall 16	Academic-11/12	Open	7/31/2017	46
2	[redacted]			Winter 17	Academic-11/12	Open	7/31/2017	46
3	[redacted]		Y	Fall 16	Academic-9/12	Open	7/31/2017	46
4	[redacted]		Y	Winter 17	Academic-9/12	Open	7/31/2017	46
5	[redacted]			Fall 16	Non-academics	Open	7/31/2017	46
6	[redacted]			Winter 17	Non-academics	Open	7/31/2017	46

Departments with 100%

As of February 7, 2017 Deadline

DEPT CODE	DEPARTMENT	DEPT CODE	DEPARTMENT	DEPT CODE	DEPARTMENT
0033	ARCHITECTURE & URBAN DESIGN DE	1205	SOCIOLOGY	1717	SURGERY-PLASTIC
0115	DEAN, SEAS	1210	SOCIAL SCI COMPUTING	1718	SURGERY-CARDIOTHORACIC
0140	NANOSCALE MULTIFERROIC SYSTEMS	1220	CENTER FOR AFRICAN STUDIES	1720	SURGERY-LIVER AND PANC. TRANSP
0142	CENTER OF FUNCTION ACCEL NANOM	1230	CENTER FOR WORLD LANGUAGES	1725	SURGERY-VASCULAR
0145	COMPUTER SCIENCE	1235	COTSEN INSTITUTE OF ARCHAEOLOG	1760	BRAIN RESEARCH INSTITUTE
0157	THE WESTERN INSTI FOR NANOELEC	1240	ASIA INSTITUTE ADMINISTRATION	1915	PUBLIC HEALTH
0159	INSTITUTE FOR TECHNOLOGY ADVAN	1245	INTERREGIONAL PROGRAMS	1916	CANCER PREVENTION & CNTRL RESE
0190	MATERIALS SCIENCE & ENGR	1250	CNTR FOR LATIN AMERICAN STUDIE	1918	CNTR FOR HEALTH POLICY RESEARC
0285	INFORMATION STUDIES	1269	CTR FOR SOUTHEAST ASIAN STUDIE	1920	COMMUNITY HEALTH SCIENCES
0464	FILM, TELEVISION & DIGITAL MED	1295	SOCIAL SCIENCES GRANT SUPPORT	1930	ENVIRONMENTAL HEALTH SCIENCES
0505	INSTITUTE OF PLASMA SCI & TECH	1400	DEANS OFFICE-SCHOOL OF MEDICIN	1935	EPIDEMIOLOGY
0513	EDUCATIONAL INITIATIVES	1430	NEUROBIOLOGY	2040	CRUMP INSTITUTE FOR MOLECULAR
0515	COLLEGE ACADEMIC COUNSELING	1445	BIOLOGICAL CHEMISTRY	2060	ASIAN AMERICAN STUDIES CENTER
0518	CALIF NANOSYSTEMS INSTITUTE	1460	BIOMATHEMATICS	2090	INST OF GEOPHYSICS & PLANETARY
0519	UNDERGRADUATE RESEARCH CENTERS	1505	PHYSIOLOGY	2095	JOINT INSTI REG EARTH SYST SCI
0521	CTR FOR ENVTL IMPACTS OF NANOT	1554	MEDICINE-DERMATOLOGY	2105	INSTITUTE FOR RES ON LABOR AND
0523	ACADEMIC ADVANCEMENT PROGRAM	1558	MEDICINE-GERIATRICS	2112	JONSSON CANCER CENTER
0650	LINGUISTICS	1559	MEDICINE-HEMATOLOGY-ONCOLOGY	2120	INSTITUTE FOR GENOMICS AND PRO
0665	NR EASTERN LANGS & CULTURES	1563	MEDICINE-RHEUMATOLOGY	2135	MOLECULAR BIOLOGY INSTITUTE
0680	ASIAN LANGUAGES & CULTURES	1567	MEDICINE-SAN FERNANDO VALLEY P	2155	INST OF ENVIRONMENT AND SUSTAI
0710	SCANDINAVIAN SECTION	1570	MEDICINE-CENTER FOR HUMAN NUTR	2200	RESEARCH TECHNOLOGY GROUP
0740	SPANISH AND PORTUGUESE	1573	CTR FOR HEALTH PROMO & DISEASE	2301	MICROBIOLOGY, IMMUNO & MOLECUL
0755	DEPARTMENT OF COMMUNICATION ST	1574	MEDICINE-NANO MEDICINE	2890	OFFICE OF EMERGENCY PREPAREDNE
0757	INST FOR PURE & APPLIED MATHEM	1581	NEUROLOGY-LONI	3022	INSTITUTE FOR SOCIETY AND GENE
0830	ECOLOGY AND EVOLUTIONARY BIOLO	1627	PATHOLOGY LABORATORY MEDICINE	4807	BRUIN CORPS
0875	PSYCHOLOGY	1639	PEDIATRICS-PAIN PROGRAM	4954	OID CENTER FOR EDUCATIONAL ASS
0910	DUCHENNE MUSCULAR DYSTROPHY RE	1641	PEDIATRICS-ALLERGY/IMMUNOLOGY	5300	GRADUATE DIVISION
1010	MATHEMATICS	1655	PSYCHIATRY/BIOBEHAVIORAL SCI	5400	GENERAL LIBRARY
1181	SCH OF PUBLIC AFRS SCH WIDE/PR	1703	SURGERY - THORACIC SURGERY	5625	UNEX-EDUCATION
1182	PUBLIC POLICY	1705	ORTHOPEDIC SURGERY		
1190	POLITICAL SCIENCE	1711	SURGERY-GENERAL	Count	91

ERS Reminders

- Fall 2016 & Winter 2017 Effort Reports Deadline
  - Monday, July 31, 2017 (until mid-night)
- ERS Notifications
  - To subscribe: Send an e-mail to: ers-subscribe@lists.ucla.edu or ora-news-subscribe@lists.ucla.edu. The subject line and body of the e-mail can be blank
- Off-Campus Access Update
  - Cisco SSL AnyConnect
  - Download software at https://www.bol.ucla.edu/services/vpn/all.html. Contact the BOL Help Desk at (310) 267-4357 or email consult@ucla.edu for assistance
- ERS Training Course
  - September 6 and 7, 2017
- ERS Help Desk:
  - Connie Brown at ershelp@research.ucla.edu

“SEE YOU All AT …!”

Contact information

EFM Website
http://ora.research.ucla.edu/EFM/

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