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# Research Administration Forum

June 14, 2018

**Marcia Smith**

**Associate Vice Chancellor for Research**

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# Welcome!

Research Administration Forum

June 14, 2018 - 10:00 am to 11:30 am

Louis Jolyon West Auditorium, Room C8-183  
of the Semel Institute

## Meeting Agenda

### Welcome and Announcements – *Marcia Smith*

- F&A Rate Adjustments at FY End
- New leadership in OHRPP

### OCGA

- FDP Updates – *Kathy Kawamura*

### EFM

- Fiscal Close Reminders – *Jen Ear*
- Effort Reporting – *Katie Cadle*
- UCPath & Payroll Expense Transfers – *Katie Cadle*

### RPC

- Cannabis Updates (No Samples) – *Ann Pollack*

# Announcements

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- **F&A Rate Changes at FY End**
- **New leadership in OHRPP**
- **New ORA RAF Planning Committee**

RAF Administrators:	Joe Gibbs, Carina Cobos
OCGA:	Kathy Kawamura, Jim Fong
EFM:	Jennifer Iglesias
ORIS:	Sendhil Kolandaivel
RSAWA:	Dina Boktor
OHRPP:	Alison Orkin
ORDM:	Harry Yang
OBFS:	Lupe Romero



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# Frank Conte

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# Mark Mimnaugh

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# FDP / Grant Updates

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June 14, 2018

# NIH

## NRSA Stipend Levels (2018)

May 8, 2018

Stipend Level increases for FY18 awards

<b>Career Level</b>	<b>Years of Experience</b>	<b>Stipend for FY 2018</b>	<b>Monthly Stipend</b>
Postdoctoral	0	\$48,432	\$4,036
	1	\$48,804	\$4,067
	2	\$49,188	\$4,099
	3	\$51,324	\$4,277
	4	\$53,184	\$4,432
	5	\$55,308	\$4,609
	6	\$57,528	\$4,794
	7 or More	\$59,736	\$4,978

**NOT-OD-18-175**

# NRSA Budgetary Levels (FY 2018)

NIH

## Institutional Training Grants



### Xtrain

amend appointments must be submitted using new stipend levels

## Individual NRSA Awards



Amended NOAs will be issued reflecting new stipend levels

## Training Related Expenses & Institutional Allowance



Increased by \$1,000

## Tuition & Fees



No change

[NOT-OD-18-175](#)

# NIH - Xtrain

## GENERAL INFO

### Xtrain

Management of PHS 2271 Statement of Appointments and PHS 41-7 Termination Forms

Allows for electronic data capture and data validations

Multi-User access (PI, Dept/Central Admins, Sponsor PO, Sponsor GMS)

- View the List of Appointments and Terminations (PHS 2271)
- Accept appointments or terminations (PHS 416-7)
- Place appointments and terminations on hold and release them
- Reject (Route back to Institution) appointments or terminations
- Delete appointment and termination forms from the system before they are accepted by the Agency
- Accept appointment and termination forms without validating errors
- View a PDF version of the appointments and terminations
- Revert accepted appointments that have not yet been terminated and accepted termination notices to prior state (available only for TA Super admin users)

# NIH

## GENERAL UPDATES

### Training Data Tables to be prepared in xTRACT for proposals and progress reports

- Upcoming Requirement
- T32, TL1, 90/R90, T15
  - RPPRs due on/after October 1, 2019
  - Proposals due on/after January 25, 2020

### NOT-OD-18-133

### Prior Approval

- Ensure Prior Approval requests (ie. Change of PI, No Cost Time Extension, Rebudget, etc.) are actually “Prior”

# NIH Fiscal Policy (update) FY2018

## Non-Competing Awards

- Previously funded at ~90% of previous commitment levels
- Restored to ~100% funding level

How Can I Tell What Fiscal Year My Award Was Issued Under?

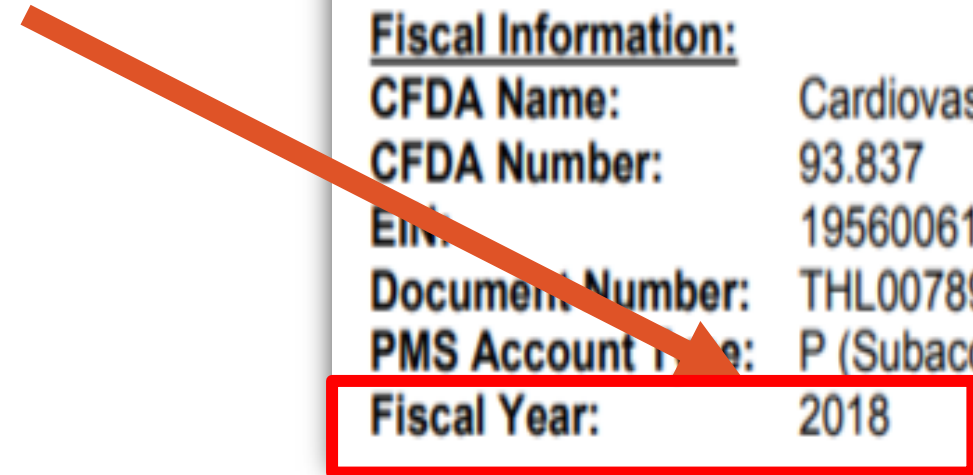
**SECTION I - AWARD DATA - 5T32HL [REDACTED]**

Award Calculation (U.S. Dollars)

Stipends	\$336,372
Tuition & Fees	\$51,966
Trainee Travel	\$8,400
Training related Expenses	\$59,100
<b>Federal Direct Costs</b>	<b>\$455,838</b>
<b>Federal F&amp;A Costs</b>	<b>\$32,310</b>
<b>Approved Budget</b>	<b>\$488,148</b>
<b>Total Amount of Federal Funds Obligated (Federal Share)</b>	<b>\$488,148</b>
Less Unobligated Balance	\$80,452
<b>TOTAL FEDERAL AWARD AMOUNT</b>	<b>\$407,696</b>
<b>AMOUNT OF THIS ACTION (FEDERAL SHARE)</b>	<b>\$407,696</b>

SUMMARY TOTALS FOR ALL YEARS								
YR	THIS AWARD				CUMULATIVE TOTALS			
	Total	Pre	Post	Short Term	Cumulative Total	Pre	Post	Short Term
20	\$407,696		6		\$407,696		6	

Fiscal Information:  
 CFDA Name: Cardiovascular Diseases Research  
 CFDA Number: 93.837  
 EIN: 1956006143A1  
 Document Number: THL007895D  
 PMS Account Name: P (Subaccount)  
**Fiscal Year: 2018**



# Federal Demonstration Sponsorship

## OTHER SPONSOR GENERAL UPDATES

### Air Force Office of Scientific Research (AFOSR)

- Interest in collecting data of Women
  - Expanding Personal Data & Key Persons section to collect information
  - New requirement to be included in upcoming BAAs/FOAs

### National Science Foundation (NSF)

- Proposal & Award Policies & Procedures Guide (PAPPG)
  - Effective January 2019 open for comment

[https://www.nsf.gov/bfa/dias/policy/papp/pappg19\\_1/draftpappg\\_may2018.pdf](https://www.nsf.gov/bfa/dias/policy/papp/pappg19_1/draftpappg_may2018.pdf)

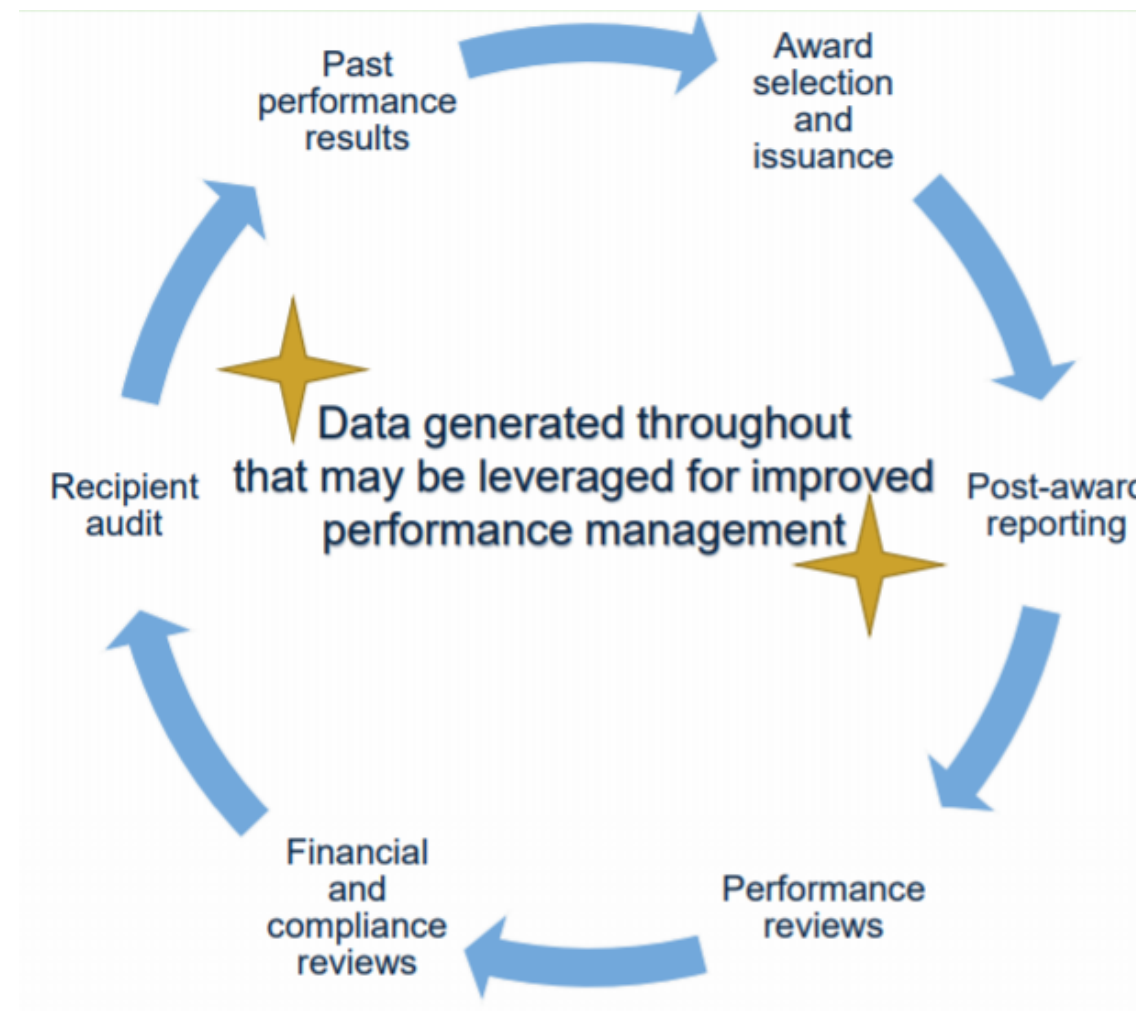
- Push towards establishing more robust electronic system (Research.gov)
  - More details to follow (updates/enhancements deployed quarterly)

# Federal Demonstration Sponsorship

## OTHER SPONSOR GENERAL UPDATES

### Office of Management & Budget

- Emphasis on “Results-Oriented Accountability for Grants”
  - Maximize the value of grant funding by applying a risk-based, data-driven framework that balances compliance requirements with demonstrating successful results for the American taxpayer.
    - Standardize Data
    - Use Digital Tools to Manage Risk (data analytics)
    - Risk-Based Performance Management (past performance, financial risk, capabilities to deliver)



# Centers for Disease Control and Prevention

## NIH eCOMMONS

**Prior Approval ?**

**Initiate a Prior Approval Request**

Select the type of request you wish to initiate.

**Request type:**

Select a request type ▼

- Select a request type
- No Cost Extension Request
- Withdrawal Request
- Carryover Request
- Change of PD/PI Request

June 25, 2018

### Prior Approval Actions

All Type 6 submission (Prior Approvals) must use eCommons for submission effective June 25, 2018

Closeout Submission Requirement	Instruction	Status	Result of Actions	Date	Action
FFR	For FFR submission, you must have the Commons FSR role.	Not Started			<a href="#">Manage Final FFR</a>
Final RPPR	Only the SO or the PI of the Award may process the Final RPPR	Not Received			<a href="#">Process Final RPPR</a>
Final Invention Statement	For Submission, Final Invention Statement requires verification by the Signing Official of the Institution	Not Received			<a href="#">Process Final Invention Statement</a>

July 2018

### Closeout Submission

Closeout documents to be managed in eCommons starting early ~ July 2018

# PROPOSAL CENTRAL

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## Hints & Tips

### PDF Issue

- “View Application” to ensure all files are visible.
- PDF may appear visible as individual document upload, but may not appear when viewing the entire application due to issues with how the PDF upload is saved.
- **Print to PDF – DO NOT Save as PDF**

# MASTER TRAINING

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

**JUNE**

**BUDGETS 101**

**Wednesday, June 20, 2018**

**10889 Wilshire Blvd., Conf Room 820-20**

**9:30am-11:00 am**

Do you have questions about budgets and budget related requests to sponsors? This session will discuss the basics of a budget, direct cost, exclusions, base, indirect cost, and F&A calculations. Further discussion will address the basic concepts of offset vs. carryforward, stipend vs. salary, effort vs. salary, cost sharing and rebudgeting requests. Department expert(s) will be on hand.

# MASTER TRAINING

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

## **JULY**

### **POST SUBMISSION-PREAWARD**

**Wednesday, July 18, 2018**

**10889 Wilshire Blvd., Conf Room 820-20**

**9:30am-11:00 am**

## **AUGUST**

**Filling out the EPASS:**

**What is it, when is it required and how to complete**



# Extramural Fund Management

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June 14, 2018

# Agenda

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- **Fiscal Year 17 – 18 Closing**
- **UCPath and Payroll Expense Transfers**
- **Effort Reporting**

# Fiscal Year 17-18 Closing

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Jen Ear

# Fiscal Year 17-18 Closing

## Recording Expenses

- **June 2018**
  - Departments must conduct their monthly ledger review and reconciliation to;
    - Ensure expenses are recorded to the appropriate FAU, and
    - Financial adjustments have been posted, and
    - Obtain invoices from vendors and subcontractors for goods and services delivered for FY17-18.
  - By 10:00am June 25<sup>th</sup>
    - Departments must submit invoices to Accounts Payable for FY17-18
    - Departments must submit invoices to the AP office by the deadline to minimize the need to accrue expenses at fiscal year end

# Fiscal Year 17-18 Closing

## Expense Transfer Deadlines for EFM Review

- **Expense transfers requiring EFM review**
  - Transfer impacts a restricted contract and grant fund, and
  - Transfer is being completed 120 days after original transaction date, and/or
  - Transfer will be posted to a fund 90 days after fund expiration, and/or
  - Retransfer of an expense previously transferred
- **Payroll Expense**
  - By 8:00pm June 15<sup>th</sup>
    - Departments must submit payroll expense transfers for the BW1 pay period 6/3-6/15
  - By 8:00pm June 18<sup>th</sup>
    - Departments must submit payroll expense transfers for the monthly pay period 6/1-6/30
  - By 8:00pm June 28<sup>th</sup>
    - Departments must submit payroll expense transfers for the BW2 pay period 6/17-6/30
- **Non-Payroll Expense**
  - By 8:00pm July 12<sup>th</sup>
    - Departments must submit their non-payroll expense transfers through the financial system
- **There is no guarantee for review if expense transfers are submitted after the deadlines. Expense transfers that are not reviewed will expire and require the department to resubmit.**

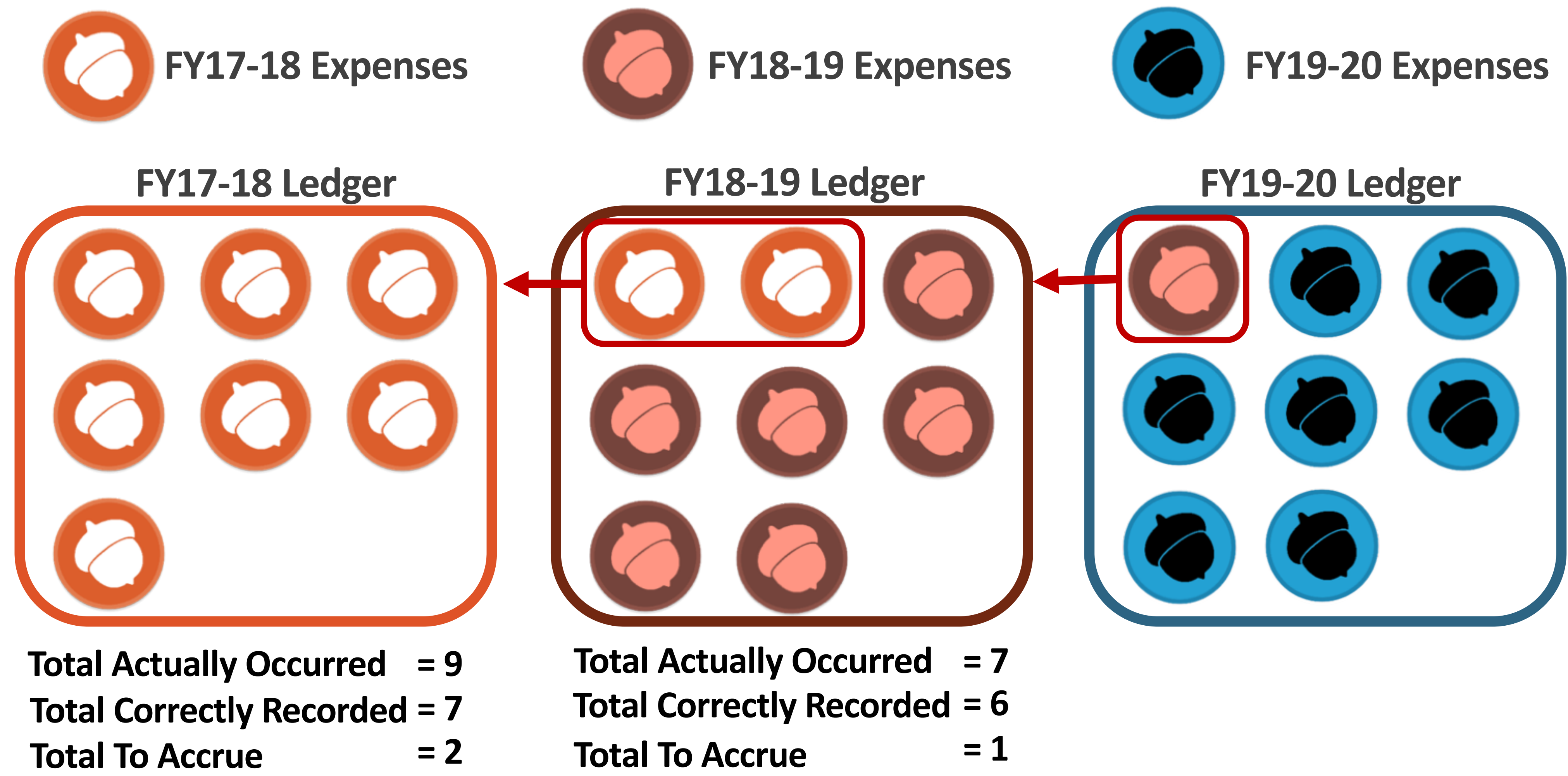
# Fiscal Year 17-18 Closing

## Accrual of Unrecorded Liabilities

- **What is an accrual for unrecorded liabilities?**
  - Accruals are adjustments for expenses that have been incurred but are not yet recorded in the ledger.
  - Key purpose of an expense accrual is to ensure that expenses are recorded in the proper account period (i.e. fiscal year)
- **When is an accrual needed?**
  - Accrual entries are needed if invoices for goods and services rendered in FY17-18 were not recorded in the general ledger for FY17-18

# Fiscal Year 17-18 Closing

Accrual of Unrecorded Liabilities – Visual Representation



# Fiscal Year 17-18 Closing

## Accrual of Unrecorded Liabilities

- **Why does this matter?**
  - The Governmental Accounting Standards Board (GASB) requires the UC/UCLA financial statements to be prepared on an “accrual basis” where expenses incurred in a fiscal year are recorded to the year which goods and services were rendered.
  - Failure to accrue expenses in the proper period will result in non-compliance with the standards established by GASB and UCOP policy.
  - If FY17-18 expenses are recorded to FY18-19, expenses and accounts payable (liabilities) will be,
    - Understated in the financial statement for FY17-18, and
    - Overstated in the subsequent FY17-18 period

# Fiscal Year 17-18 Closing

## Accrual of Unrecorded Liabilities

- **What should I do if I receive an invoice for expenses that will be recorded to a research project, after the AP deadline?**
  - By 10:00am July 10<sup>th</sup>
    - Departments must complete the accrual Form E online, and
    - Complete a journal justification, and
    - Submit supporting documentation to EFM at [EFMOperations@research.ucla.edu](mailto:EFMOperations@research.ucla.edu)
  - Accrual forms and justification template can be found at <http://ga.accounting.ucla.edu/fcr/>

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# UC Path and Payroll Expense Transfers

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Katie Cadle

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# Go-Live

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- Go-Live is scheduled for September 2018
- First payroll to be processed through UCPath
  - **Mo:** September 2018
    - Pay Period: 9/1/18-9/30/18
    - Pay Date: 10/01/18
  - **BW2:** September 2018
    - Pay Period: 09/09/18-09/22/18
    - Pay Date: 10/03/18

# Payroll Expense Transfers: Pre-UCPath Go-Live Data

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- UCLA elected not to convert payroll data from Payroll Personnel System (PPS) to UCPath
- After UCPath go-live, PPS will be maintained for a limited amount of time
- While PPS is maintained:
  - PPS will update the Financial System and ERS
  - WebPET (Payroll Expense Transfers) will be supported
- Current plan is to discontinue PPS as of **July 1, 2019**

# Payroll Expense Transfers: Pre-UCPath Go-Live Data

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## Transfer of payroll expenses processed in PPS after UCPath go-live while PPS is maintained:

- Transfer payroll expenses through WebPET
  - High risk cost transfers will be routed to EFM for approval
- Payroll expense transfers will be processed through the pay compute cycle and posted to the general ledger
  - For high risk cost transfers, this will occur once EFM has approved the transfer
- Downstream applications, such as Effort Reporting System, will be updated via the same process as today

# Payroll Expense Transfers: Pre-UCPath Go-Live Data

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## Transfer of payroll expenses processed in PPS after UCPath go-live after PPS support discontinues:

- WebPET will no longer be available to transfer expenses
- If a payroll expense transfer is needed after PPS support discontinues, it needs to be processed through a financial journal which will bypass the payroll sub-ledger
  - No clear audit trail for payroll expense transfers
  - Impact to downstream systems, such as Effort Reporting System, consuming data from the payroll sub-ledger
  - Related benefits, GAEL, TIF, etc. need to be manually calculated and included in the financial journal

# Required Actions by the Department

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- Continue to review payroll expenses each 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 upon discovery of errors
- Target to complete all transfers of payroll expenses processed in PPS before UCPATH go-live:  
**September 2018**
  - Only payroll expenses processed in August 2018 should be left for review after UCPATH go-live

# EFM Procedure

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- EFM standard procedure will be to not accept pre-UCPath go-live payroll expense transfers debiting sponsored project funds after PPS support discontinues (currently scheduled for July 1, 2019)
- Department will be responsible for finding unrestricted source(s) of funding for these payroll expenses
- If payroll expenses need to be transferred off sponsored project funds after PPS support discontinues, EFM will require the department to submit the following:
  - Comprehensive explanation of circumstances why payroll expense errors could not be corrected timely in addition to standard questions for cost transfers
    - This will need to be signed by the PI and 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 equivalent on explanation and action plan

# Key Takeaways

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- UC Path go-live is September 2018
- Payroll processed in PPS will not be converted into UCPath
- Review payroll now to ensure all payroll expense cost transfers are completed prior to WebPET discontinuation
- After WebPET discontinuation:
  - Payroll expense cost transfers debiting sponsored project funds will not be allowed
  - Payroll expense cost transfers crediting sponsored project funds will require additional explanations and action plans

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# Effort Reporting

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Katie Cadle

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# ERS Version 11.0 Deployment

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- Deployed May 21, 2018
- Prepares ERS to receive data from both PPS and UCPath
- Until UCPath go-live payroll data will continue to be loaded through PPS
- After go-live payroll data will be loaded from:
  - UCPath – Payroll processed after UCPath go-live
  - PPS – Payroll processed under PPS including Payroll Expense Cost Transfers

# ERS Version 11.0 Deployment

- System Changes
  - New columns:
    - Pay Amount
    - OTC Ind. (Over the Cap Indicator)
      - Will remain blank until UCPATH
  - New column headers representing a hybrid of field names from PPS and UCPATH

Project: <input type="text"/>											Original Payroll %: <input type="text"/>				
Pay Period	Pay Cycle Code	FAU	Earn /DOS	Restate /Trans	Job/ Title	Comp/Pay /Rate	Basis /Type	Pay Amount	Paid %	Derived Effort %	Weighted Effort %	OTC Ind	Pay Cat	Time Code	Pay Cycle End Date

# Effort Reporting Statistics

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## As of June 13, 2018

- Fall 2017 & Winter 2018 (7/31/18 deadline)
  - Generated: 10,132
  - Certified: 1,852
  - Open: 8,280
  - On-Time Rate: 18%
- Spring 2006 – Summer 2017 (Prior Quarters)
  - Generated: 278,727
  - Certified: 277,706
  - Open: 1,021
  - On-Time Rate: 99%
- All Quarters Rate: 96%

# Past Due and Current Due Reports

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- Notifications automatically sent to departments with open effort reports on the 15<sup>th</sup> of the month
  - Past Due: Spring 2006 – Summer 2017
  - Current Due Reports: Fall 2017 & Winter 2018

# Reminders

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## Fall 2017 & Winter 2018 Effort Report Deadline: Tuesday, July 31, 2018

- **ERS Notifications:**
  - To subscribe: Send an email to [ers-subscribe@lists.ucla.edu](mailto:ers-subscribe@lists.ucla.edu)
- **Training Materials, FAQs:**
  - <http://ora.research.ucla.edu/efm/Pages/EFMHome.aspx>
- **ERS Helpdesk**
  - [ershelp@research.ucla.edu](mailto:ershelp@research.ucla.edu)



# Cannabis Research at UCLA

Ann Pollack, Assistant Vice Chancellor – Research  
Research Policy and Compliance

Research Administrators Forum  
June 14, 2018

# Cannabis - Legal Landscape

- State law:
  - Proposition 215 (1996) – Medical Marijuana
  - State Bill 566 (2013) – Legalized Cultivation of Industrial Hemp
  - Proposition 64 (2016) – Adult Recreational Use
  
- Federal law:
  - Marijuana (*Cannabis Sativa L*) regulated under the Controlled Substances Act (CSA) of 1970
  - Most possession, distribution, cultivation (manufacturing) is prohibited under the CSA

# Cannabis Use

- With limited exceptions\* possession, distribution, and cultivation of *Cannabis sativa L.* (aka marijuana) *is still prohibited* under the federal Controlled Substance Act
- UC Guidance on Use and Possession of Marijuana on UC Property states **marijuana use remains prohibited on UC property and at UC events** except for approved academic research
- All research conducted under the auspices of the University of California (regardless of where the research is conducted) that uses Cannabis must comply with all federal, state, and local regulations, as well as UC policies. Researchers must also comply with a California requirement for review by the Research Advisory Panel of California (RAPC)

\*including an exception permitting certain research to be conducted in compliance with applicable regulations and policies of the Drug Enforcement Agency (DEA), the Food and Drug Administration (FDA), and the National Institute on Drug Abuse (NIDA)

# Cannabis Research

- Research involves the use, cultivation, distribution, possession, procurement, or administration of Cannabis
- Includes derivatives of *Cannabis sativa L*, extracts and purified constituents (including those extracted or purified from Hemp)
- Federal controlled substances law regulating *Cannabis sativa L* also applies to controlled substance analogs intended for human use even if prepared through a de novo chemical manufacturing process
- It does *not* include research where there is no direct use, cultivation, distribution, possession, procurement or administration of cannabis, such as observational studies, policy research, or review of public records related to marijuana use

# Use of Cannabis in Research

- Cannabis research requires DEA Schedule I registration
- Use of Cannabis in human subject research also requires approval from the IRB and the FDA (animal research requires ARC approval)
- Marijuana product for use in research must be obtained from an NIDA approved grower (currently the University of Mississippi)
- Under State law, any planned research to be conducted in California requiring the use of a Schedule I or Schedule II Controlled Substance as its main study drug, must be submitted to the Research Advisory Panel of California in the California Attorney General's Office for review and approval

# Use of Cannabis in Research

- Research support (i.e. contracts, grants, or gifts) from individuals or entities whose funds are derived from the marijuana industry, should be evaluated before being accepted to ensure UC is not inadvertently violating laws on money laundering, or is accused of aiding and abetting an illegal activity
- UCLA will be establishing a process for conducting these evaluations
- In the interim, these reviews are being conducted by the UC Research and Graduate Studies Office, which may seek advice from the UC Office of General Counsel

# Cannabis - Legal Landscape

- Evolving “gray” areas:
  - Questions about how Federal laws apply in some areas;
  - Uncertainly about degree of Federal scrutiny and enforcement actions;
  - Confusing, sometimes inconsistent definitions;
  - Questions about obtaining viable seeds for industrial hemp research;
  - Questions about UC’s risk tolerance;
  - Accepting support from individuals or entities in the Cannabis industry, and conducting research for the Cannabis industry; and
  - Concerns about licensing UCLA Intellectual Property to the Cannabis industry.

# Current Review and Approval Process

- Questions for UCOP should be addressed to **Agnes Balla**, Research Policy Manager, UC Research Policy Analysis and Coordination (RPAC), UCOP  
[agnes.balla@ucop.edu](mailto:agnes.balla@ucop.edu) | (510) 987-9987
- For assistance with DEA registrations to use Controlled Substances (including Cannabis) at UCLA, contact **Alyssa Leiva**, UCLA EH+S  
[controlledsubstances@EHS.ucla.edu](mailto:controlledsubstances@EHS.ucla.edu) | (310)795-5013

# References

- RPAC Memo 17-01 “Information for Researchers on the Effect of Proposition 64 on Marijuana Research at the University of California”:  
<https://researchmemos.ucop.edu/php-app/index.php/site/document?memo=UIBBQy0xNy0wMQ==&doc=3663>
- COGR Cannabis Research Frequently Asked Questions:  
<https://www.cogr.edu/sites/default/files/FAQ.pdf>
- UC Guidance on Use and Possession of Marijuana on UC Property: <https://www.ucop.edu/marijuana-and-drug-policy/>

# Questions?

## **Agnes Balla**

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