Welcome

Marcia Smith
Associate Vice Chancellor for Research
Agenda

- Welcome and Announcements
  - Marcia Smith, Office of Research Administration

Conflicts of Interest and Physician Payments Sunshine Act
  - Ann Pollack, Research Policy and Compliance

- Contract and Grant Administration
  - Patti Manheim, Office of Contract and Grant Administration
  - Heather Winters and Kim Duiker – OCGA Updates
  - Cindy Gilbert – S2S Report

- Human Research News
  - Alison Orkin, Office of the Human Research Protection Program

- OARO Updates
  - Jennifer Perkins, OARO

- Post-Award Management System (PAMS) Status Report
  - Yoon Lee and Katie Cadle, Extramural Fund Management
  - Jessica Carney, Office of Research Information Systems

- Questions and Discussion
Research Administrators Forum

Ann Pollack
Assistant Vice Chancellor – Research

August 8, 2013
Today’s Topics

- Conflicts of Interest in Research - an update

- Physician Payments Sunshine Act – a preview of coming attractions
“Publicity is justly commended as a remedy for social and industrial diseases. Sunlight is said to be the best of disinfectants; electric light the most efficient policeman”

- Justice Louis D. Brandeis
Revised Public Health Service Regulations

- Went into effect on August 24, 2012
- Intended to expand and add transparency to investigators’ disclosures of Significant Financial Interests
- Changed definitions and reduced thresholds for disclosure *(Significant Financial Interests)*
- Requires broader disclosures *(related to institutional responsibilities)*
- Increased disclosure requirements *(initial, 30 day and annual updates)*
Revised Public Health Service Regulations

- Increases review requirements *(2 step)*
- Increases reporting requirements *(more detail)*
- Adds an education/training requirement
- Adds a new public accessibility requirement *(must respond promptly to inquiries)*
- Adds new monitoring requirements
- Adds requirements for conducting retrospective reviews and looking for bias in instances of noncompliance
UCLA’s experience

• Between August 10, 2012 and June 30, 2013:
  ▪ 2331 individuals submitted annual certifications through the electronic Disclosure Gateway (eDGE)
  ▪ 2039 (87.5%) individuals certified that they had no Significant Financial Interests to report
  ▪ 292 (12.5%) individuals reported one or more Significant Financial Interests
  ▪ 492 SFIs were disclosed in total
UCLA’s experience

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<td>• 111 disclosures were forwarded to the RPC for review under “old” PHS rules</td>
<td>• OCGA sent &gt;1000 requests to RPC triggering reviews to determine whether the PI or any other Investigators on a particular contract or grant had disclosed any “related” SFIs</td>
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<td>• All 111 disclosures were reviewed by the CIRC to make a determination about whether the SFIs constituted Financial Conflicts of Interest</td>
<td>• 84 SFIs were determined to be related to PHS-activities and were forwarded to the CIRC for review</td>
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<td>• ~61 FCOIs were identified</td>
<td>• ~70 FCOIs were identified</td>
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Conclusions

Much more work
Not many more FCOIs identified
Physicians Payment Sunshine Act

- Intended to promote transparency and decrease the potential for conflicts of interest
- Regulations directed to manufacturers
- Requires applicable manufacturers to report payments made to physicians* and medical centers to the federal Center for Medicare and Medicaid Services (CMS)

*doctors of medicine and osteopathy, dentists, podiatrists, optometrists, and chiropractors
Physicians Payment Sunshine Act

- Applicable manufacturers will be required to report payments and transfers of value of >$10 or smaller payments that add up to >$100 during a calendar year
- Reports will include research agreements to institutions
- Reports will include payments to individuals for such things as consulting fees, honoraria, speakers fees (but not for accredited CME), food and drink, and more
Physicians Payment Sunshine Act

- Reports will be made public
- Only the individual for whom the report is made will be able to check his/her listing(s) and if necessary contest accuracy before reports are made publicly available
- Not sure how/if reported information will be used or by whom
Resources

CMS Fact Sheet for Physicians:

CMS Open Payments:
RPC is working with the School of Medicine Deans Office and the Medical Enterprise Corporate Compliance Office to determine how to disseminate information to the campus.
Questions?

Ann Pollack
Assistant Vice Chancellor – Research
310-794-0387 or apollack@research.ucla.edu

Claudia Modlin
Coordinator, Research Policy and Compliance
310-794-2642 or cmodlin@research.ucla.edu
Today’s Topics

- OCGA Quick Updates – Kim Duiker and Heather Winters
- Updates from NIH Regional Seminar – Kim Duiker
- S2S Grants Updates – Cindy Gilbert
Quick Updates

- OCGA Staffing Update
  - Three retirements in last six months
  - New hires:
    - Two Officers
    - One Analyst (plus one starting August 19)
    - One Specialist
  - One Analyst still open/recruiting
  - Redistribution of department assignments:
    - Grants
    - Subawards and Contracts
Updates from NIH Regional Seminar

Issues at NIH - Spring 2013

• No stipend increases for Kirschstein-NRSA grants (F-series).
  ▪ See: NOT-OD-13-064, NOT-OD-12-033

• Upcoming Change to HHS Closeout Requirements:
  ▪ Revised FFR must be submitted no later than six months after the original report
  ▪ Currently, one year.
  ▪ Guide Notice coming soon.
Updates from NIH Regional Seminar

Reminders from NIH Staff:

• Modular Budgets
  - Highly recommended that PI maintain a detailed budget just in case NIH asks for it.
Updates from NIH Regional Seminar

Reminders from NIH Staff:

• On detailed budget, indicate actual institutional salary base even if the salary cap is in effect.
  ▪ Enter requested salary based on the salary cap and discuss in budget justification.
  ▪ This is so if the salary cap changes, the PI’s salary can be adjusted.

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Updates from NIH Regional Seminar

Reminders from NIH Staff:

- Conference Grants
  - Unallowable costs:
    - food and entertainment;
    - promotional items
  - *Note:* For research grants, meal costs *may* allow able for meetings for disseminating technical information.
  - Work with your Grant Analyst in OCGA.
Updates from NIH Regional Seminar

Reminders from NIH Staff:

- Institutional Training Awards
  - Generally awarded approximately nine months from proposal submission; could be awarded 5-6 months if expedited.
  - PIs should keep this in mind when planning submission.
  - Program Officials receiving inquiries.
S2S Grants Update

Adobe Forms-C are Here!!!

• Includes updates to both 424 and PHS 398 components.

• Required for NIH applications due on or after September 25, 2013.

• Exceptions
  - On or after January 25, 2014
    • Individual Research Career Development (K)
    • Institutional Training and Career Development (T and D)
    • Individual NRSA Fellowship (F)
  - SBIR/STTR – TBD 2014
S2S Grants Update

Adobe Forms-C are Here!!

  - BUT, will still be accepted for proposals due or submitted *prior to* September 25, 2013.

Electronic Submission

*Note: Opportunity Closed*

The Opportunity Closing Date for this proposal has passed. This proposal might not be accepted.

- **Opportunity Details**
  - Opportunity: Research Project Grant (Parent R01)
  - Opportunity Number: PA-11-260
  - Competition ID: ADOBE-FORMS-B2
S2S Grants Update

Adobe Forms-C are Here!!!

• NIH Adobe Forms-B2 Parent FOAs will **expire** on September 25, 2013.

• Use Transform functionality.
S2S Grants Update

Bugs/Issues

• Some fields not populating when transforming from Adobe Forms-B to Adobe Forms-C.

• When generating a PDF of the entire application, the Research Strategy does not appear in the PDF.
  - However, it is getting properly transmitted to the Commons.

• eRA Commons Error – paper size.

• More information coming on the S2S Grants list-serv:
  - Subscribe at: http://lists.ucla.edu/cgi-bin/mailman/listinfo/s2sgrants
S2S Grants Update

Electronic Submission of NIH Multi-project Applications
S2S Grants Update

Electronic Submission of NIH Multi-project Applications
Using ASSIST for Electronic Submission of NIH Complex Applications

Who can use ASSIST?

- Anyone with a NIH Commons ID, and
- Role(s) of:
  - Signing Official (SO)
  - Administrative Official (AO)
  - Principal Investigator (PI)
  - Assistant (ASST)
  - Account Administrator (AA)
- Including those who are not affiliated with UCLA.
Using ASSIST for Electronic Submission of NIH Complex Applications

System Highlights

• Builds multiple single-project applications (cores, projects) within a complex (multi-project) application.
• Individual budgets roll-up into overall budget.
• Allows users to compile a complete PDF application for review prior to submission.
Using ASSIST for Electronic Submission of NIH Complex Applications

System Highlights

• Ability to manage user access to at various levels:
  - View only, edit and view.
  - Project/Core level.
  - Budget only/programmatic only.
  - Automatic access for PIs, Project/Core leads, SOs/AOs.

• Multiple users can work on different parts of the application simultaneously.
Using ASSIST for Electronic Submission of NIH Complex Applications

When should I get started?

• Start now ... there's a lot to be done!
  ■ Review resources available from NIH.
  ■ Work with PI to identify team members and their Commons User IDs.
  ■ Initiate the proposal and create shell structure.
  ■ Give team members access.
  ■ Complete the proposal.
  ■ Provide final draft and all internal documents to OCGA at least five days prior to the deadline.
Using ASSIST for Electronic Submission of NIH Complex Applications

Resources:

• ASSIST: public.era.nih.gov/assist

• Online help: era.nih.gov/erahelp/ASSIST/

• Applying Electronically Website for Multi-project Applications: grants.nih.gov/grants/ElectronicReceipt/com_index.htm

• Webinar for Applicants, Tuesday, August 8, 11:30 – 1:00: grants.nih.gov/grants/webinar_docs/webinar_20121213.htm

• Annotated form set: grants.nih.gov/grants/ElectronicReceipt/files/annotated_multi-project.pdf
Using ASSIST for Electronic Submission of NIH Complex Applications

QUESTIONS
Project Update

Yoon Lee, EFM Asst Dir/PAMS Project Director
Katie Cadle, PAMS Business Analyst
Jessica Carney, PAMS Project Manager
Agenda

- What is PAMS?
- PAMS Pilot Program
- Deployment Milestones
- PAMS Provision and COP Scope
- Training Requirements & Format
- PAMS Training Team Members
- PAMS Contact Email
- PAMS Demo & Benefits
- Q&A
What is PAMS?

- **Post Award Management System**
- A single web based system for Departments and EFM
- A tool to replace shadow systems and manual processes
  - Does **NOT** duplicate current or future Financial System
  - No 3\(^{rd}\) party tool exists
- Real time view on financial transactions, and financial deliverable preparation and approval status
Campus Needs and Participation

- **Start of PAMS**
  - Based on the campus needs identified through RAPID initiatives
  - To satisfy customer service needs by providing a tool to improve post award financial management processes

- **Development of PAMS**
  - 50+ representatives from various campus departments participated with EFM in analyzing and developing business processes
  - 25+ working sessions amongst the departments and EFM
    - Gathered business requirements and feedback
    - Defined and implemented standardized workflow
  - 12 department representatives in PAMS training program to be trainers with 10+ EFM trainers.
PAMS Pilot Program

- PAMS will deploy to a Pilot group followed by the rest of campus
- Examples of past pilot deployments
  - WebIRB, Cayuse, PI Portal, RAPID Closeout Tool
- Early system feedback and support
  - More support at the local level
  - Time for departments/EFM to establish new processes
- Prepare FAQ’s, hints, and tips
- Real hands-on experience before campus training
  - More informed trainers with better examples
What does it mean to be a Pilot Dept?

- **Pilot Group:**
  - Departments participating in PAMS training program
  - Open to all departments
    - To volunteer for the pilot email us at PAMSHelp@research.ucla.edu

- **Early access to the live Production environment**
  - Departments will experience the full workflow and functionality of the system before the rest of campus
What does it mean to be a Pilot Dept?

- **Assignments**
  - The department assignment tree and users will be available for Pilot Go Live
  - User roles will be defined

- **Closeout Packets (COPs)**
  - The department will determine which COPs will be processed through PAMS (can be all)
  - All others will be processed using the RAPID Smart Closeout Tool
  - Any COP with a linked department that is not part of the pilot will be excluded from pilot
Pilot Next Steps

- Identify Pilot Departments
  - Training Group
  - Volunteers: by August 30
    - Email PAMSHelp@research.ucla.edu
    - Allow time to review access form instructions prior

- Fill Out Access Form by Friday August 30
  - Return with authorized official approval
  - Allows us to assess pilot population and outline training plan

- Register for October training

- Complete training before Pilot Go Live in November
2013

- **August:**
  - Pilot users return access forms
- **September:**
  - Training registration
- **October:**
  - Training for pilot users
- **November:**
  - Deploy PAMS pilot
  - Trainer sign-up for campus training sessions
- **December:**
  - Gather system feedback and FAQ’s
Campus Deployment Milestones

2013

- **December:**
  - Campus users return access forms
  - Campus users register for training

2014

- **January:**
  - Campus wide training

- **February:**
  - Deploy PAMS to campus
PAMS Scope for Pilot Deployment

- **Financial Provisions (Invoices/Reports)**
  - Current: PATS
    - All UCLA Provisions
  - **Go-Live: PAMS**
    - All UCLA Financial provisions
    - INCLUDES Training grants & Fellowship grant provisions
    - Only pilot group can log into PAMS to view these

- **Closeout**
  - Current: RAPID Smart Closeout Tool
    - All UCLA Closeouts
  - **Go-Live: PAMS**
    - UCLA Closeouts identified for the pilot
    - Excludes Training & Fellowship grants
    - Exclude funds already mid-closeout using Rapid Smart Closeout Tool

8/08/2013
PAMS Scope for Campus Deployment

- Financial Provisions (Invoices/Reports)
  - Go-Live: PAMS
    - Grant access to additional users to view these

- Closeout
  - Go-Live: PAMS
    - UCLA Closeouts for all of campus
    - Excludes Training & Fellowship grants
    - Exclude funds already mid-closeout using Rapid Smart Closeout Tool
# Pilot & Campus Training Requirements

## Training Required for Access

- No change to training requirements

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**Full Day Total**

**Half Day Total**
Post Campus-Deployment Training

- Training required for PAMS access
- Several training formats under consideration
  - In-Person for first several months
  - Online options being considered
# Training Team Members

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<td>Steven Acosta</td>
<td>International Institute</td>
<td>Jennifer Aguilar</td>
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<td>Proposal &amp; Award Resource Center (PARC)</td>
<td>Grace Agustin</td>
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<td>Yadira Santoyo</td>
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<td>Katie Cadle</td>
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<td>Duy Dang</td>
<td>MAE</td>
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<td>Mary Ann Macaso</td>
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<td>Jevon Echave</td>
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PAMS Support Email

- PAMSHelp@research.ucla.edu

- Questions
- Suggestions/feedback
- Issues
- Technical Support
PAMS Demo: Communication Features

- Comments within the transaction
- Status of Close out Packet
- Approvals Log
- Availability of financial reports and invoices
- Automatic Notifications
Thank You!

Questions: PAMShelp@research.ucla.edu

Technical & Business Analyst Teams

GABY  JESSICA  TERRY  ALLISON  JOVAN  MILA  DAN  STEPHANIE  KATIE  LOUIS
# Expenses Outside Period - Non Payroll

## Post-Award Spending

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### Fund # 77777

**PI:** Sytwu, Allen

**Amount:** $255.97

**Status:** Justified Pending EFM App...

#### Comments for: 1062 - Post-Period Expense 01

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### Closeout Packet Overview

#### Financial Summary

<table>
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<tr>
<th>Appropriation</th>
<th>Expenditures</th>
<th>Encumbrances &amp; Memo-Liens</th>
<th>GL Balance</th>
<th>Pending GL Posting</th>
<th>Current Balance</th>
<th>Pending Review</th>
<th>Estimated Balance</th>
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<td>Direct Expenses</td>
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#### Expenditure Review
- Expenses Outside Period - Non Payroll
- Expenses Outside Period - Payroll
- Unallowable/Warning Codes
- Administrative Salaries
- Subawards
- Encumbrances & Memo-Liens
- Salary Over the Cap
- Additional Cost Transfers
- Cost Share
- F&A Reconciliation
- Fund Balance and Approvals

#### Review Transactions

**Linked Accounts**
- Ahmed - 1000 Medicine
- Lee - 1000 Medicine
- Macias - 1000 Medicine
- Nyama - 1000 Medicine
- Phalamba - 1000 Medicine
- Su - 1000 Medicine
- Wingo - 1000 Medicine
PAMS Demo & Benefits
# PAMS Demo & Benefits

## Report and Invoice Schedules

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<th>Owner</th>
<th>Status</th>
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<th>Report Figures</th>
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<th>Approved Deliverable</th>
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PAMS Demo & Benefits

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Blueberry Muffin Cake.pdf & Salini & 07/26/2013 21:53:01 & Remove \\
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PAMS Demo & Benefits

Fund #: 77777   PI: Sytwu, Allen

Route the Approved Closeout Packet to:

Goria Su (EFM Approver)

Enter Comments:

Submit  Cancel