Research Administrators Forum

Sponsored by Office of Research Administration

Marcia Smith
Associate Vice Chancellor
Research Administration

February 11, 2010
Meeting Agenda

- **Welcome and Announcements**
  - Marcia Smith, ORA

- **Updates from Office of Animal Research Oversight**
  - Kathy Wadsworth, OARO

- **Update on webIRB Roll-Out**
  - Carrie Fisher, OHRPP

- **Cost Transfers – Increasing Controls**
  - Evelyn Balabis, Maurice Taylor, Becky Henricksen, EFM
  - Eugene Harrison, Corporate Financial Services - Payroll

- **RAPID Project Update**
  - Nate Haines, Huron Consulting Group

- **RAPID Financial Reporting Project Update**
  - **Project Management Team**
    - Jessica Lee, ORIS
  - **Testing and Rollout Team**
    - Raellen Man, DOM
    - Jennifer Aguilar, EFM
Effort Reporting -- Update on delay of Summer Quarter reporting

ARRA Reporting – Submit revised reports required for Quarter ending 12/31/2009 to EFM by February 26, 2010

- All ARRA reports were reopened on the ORA Portal
- Departments must review reports, update them to apply the new FTE calculation, and resubmit to EFM
- Reports must be resubmitted even if there are no changes
ARRA FTE calculation to be used beginning with the reports for the quarter ending December 31, 2009

Job estimates will be reported on a quarterly, rather than a cumulative, basis. Calculation no longer requires averaging FTEs across multiple quarters:

\[
\text{quarterly FTE} = \frac{\text{total effort paid with ARRA funds in the quarter}}{\text{full-time effort in a quarter}}
\]
Animal Research Administration Updates

Kathy Wadsworth
Director
Office of Animal Research Oversight (OARO)
NIH Guidance Document
NOT-OD-07-044, dated 1/26/2007

- Clarifies that no costs for activities with live vertebrate animals may be charged to NIH if there is not a valid Animal Welfare Assurance and IACUC approval.
- Applicable to grants and cooperative agreements involving activities with live vertebrate animals.
- Absence of IACUC approval includes failure to obtain approval, expiration, or suspension of IACUC approval.
Important Note!

- The ARC sends expiration reminders 90, 60, and 30 days prior to the expiration date. The average turnaround time is 6 weeks (42 days).

- Federal regulations do not permit the ARC or any other University official to administratively extend the approval period if a protocol expires.

- If a protocol expires, all research must immediately stop until the ARC has reviewed the renewal/continuation and issued a new approval.
“Yikes! ARC approval for our federally funded protocol just lapsed and we still need to do experiments!!!”
What to do?

- Have your PI contact the ARC immediately!
- May need to contact DLAM to arrange for continued care of your animals.
- Above all ... make sure no research related activities are conducted during a lapse in ARC approval.
What can you do to ensure that your PI’s ARC protocols don’t expire?

❖ Get involved!

- Ask your PI for copies of all ARC Approval Notices.
- When the expiration date nears, prompt your PI to submit his/her protocol.
- Ask to be notified of all ARC correspondence.
February 2, 2010

Kathy Wardsworth Ph.D. (Principal Investigator)
MEDICINE-OPHTHALMOLOGY
11000 Wilshire
Mailcode: 123456

SUBJECT: ARC # 2009-123-01
(Approval Period from 2/1/2010 through 1/31/2011)
A Murine Model of Cataracts

The UCLA Institutional Animal Care and Use Committee, known as the Chancellor’s Animal Research Committee (ARC), has approved your above-referenced protocol. The ARC understands that you will receive approval from all associated departments and/or Committees (e.g., Institutional Biosafety Committee, Human Embryonic Stem Cell Research Oversight (ESCR) Committee) prior to starting relevant experiments.

In accordance with the Public Health Service Policy on Humane Care and Use of Laboratory Animals (PHS Policy) IV.C.5 and USDA Animal Welfare Act Regulations (AWARs) §2.31(g)(5), the ARC is required to conduct continuing review of each previously approved animal research application, including an annual review and a complete de novo review no less than every 3 years. Continuation of animal activities beyond the maximum approval period without such review would be a violation of the USDA AWARs, PHS Policy, and the terms and conditions of NIH grants; therefore, if a lapse in approval occurs, investigators must cease conducting experiments until a new approval is received. Please note that NO exceptions or extensions to protocol approval can be granted.

The approval of this protocol is limited to the animal model(s) and procedures described in the application. If you require any modifications or additions to this protocol, you must obtain prior approval from the ARC before initiating such changes. The approval of your project includes:

ANIMAL SUBJECTS
The total number of animals, by species, approved for this protocol is:

Mouse (128)
Grant Information

Codicil (if any)

Information about our Assurance with the NIH/OLAW and AAALAC Accreditation
**ARC: Who Are You Gonna Call?**

- Director Kathy Wadsworth
- Assistant Director Compliance & Education Andy Perkins
- Assistant Director ARC Jennifer Perkins
- ARC Compliance Coordinator Rosa Harmon
- ARC Coordinator Karen Sharkey
- ARC Specialist Annie Ryan

(310) 206-6308

arc@oaro.research.ucla.edu

http://www.oaro.research.ucla.edu
webIRB Update
RAF Meeting

February 11, 2010
Carrie Fisher, OHRPP
webIRB Roll-Out Timeline

Investigators from:
- JCCC/Hem-Onc
- Care Center
- Infectious Disease
- Nursing
- Public Health
Who submit to **MIRB2** or **SGIRB**

Investigators from **North Campus** who submit to **NGIRB** or **SGIRB**

Investigators from:
- Psychiatry
- Neurology
Who submit to **MIRB3** (or MIRB2, SGIRB or NGIRB)

Investigators from:
- School of Medicine,
- School of Dentistry
- All other Submitters
Who submit to **MIRB1** (or any of the other IRBs)

Timeline:
- Limited Release: January 2010
- Projected Roll-Out to Campus:
  - April 2010
  - May 2010
  - June 2010
  - July 2010
  - August 2010
  - September 2010
- Projected Deadline for Adoption: October 2010
webIRB Update

- How many people in the audience are here from this group?

- JCCC/Hem-Onc
- Care Center
- Infectious Disease
- Nursing
- Public Health

Who submit to *MIRB2* or *SGIRB*
<table>
<thead>
<tr>
<th><strong>webIRB New &amp; CR Submissions in Progress</strong> (pre-submission through approved)</th>
<th>31</th>
</tr>
</thead>
<tbody>
<tr>
<td>(2/9/10)</td>
<td></td>
</tr>
</tbody>
</table>
**MIRB2 & SGIRB Submissions**

- **webIRB New & CR Submissions in Progress** (pre-submission through approved) (2/9/10) - 31

- **Paper Submissions received by the IRB – same period ’09** - 263
What’s it Like to Use webIRB?

‘…I am really glad that Nursing is one of the “guinea pigs” for webIRB – that way we get lots more individual attention. I really like it more each time I work on it. The amendment process is much better than the paper version – don’t have to try to find your original IRB application to modify, it’s right there on the webpage! I think it will be much better once everyone get used to using it.’
UCLA webIRB Training Classes.

Please do both of the following steps the Registration, and then 2) Login with your credentials.

Registration
If you do not have an account, click on the Register button below to register.

Register

UCLA webIRB Training Courses

On-line Scheduling System
Office of the Human Research Protection Program (OHRPP)
UCLA Biomedical Library (12th floor computer room behind reception desk)

webIRB Training: Investigators & Study Staff
Learn the basic functions of webIRB such as: 1) logging-in, 2) creating your researcher profile, 3) creating and submitting a new study; 4) responding to IRB feedback, and 5) creating and submitting amendments and PARS. Note: Attendees will work in pairs at each computer station.

webIRB Short Course for PIs with Study Teams
(Note: Do not take this course if you will be inputting your own studies into webIRB.)
Designed for investigators with dedicated study teams, this short course focuses on the following skills: 1) Creating your researcher profile; 2) Reviewing and submitting studies; and 3) Completing PI Assurances.

webIRB Consulting Session
Designed for investigators and study staff who have completed the webIRB training workshop and would like support with creating and submitting a webIRB application and/or responding to IRB feedback. webIRB staff will be available to provide assistance. Appointments are required.
Please Tell Us what You Think

Link to webIRB Survey
Planning for North Campus Roll-Out in April

- Department Computer Labs
  - Psychology
  - Anthropology/Sociology
  - Public Affairs
  - GSEIS
  - Anderson
- Graduate Student Association
- Powell Library
How to Contact Us

The webIRB Help Desk is available to provide assistance with using webIRB and for reports of technical problems experienced while using the site.

<table>
<thead>
<tr>
<th>webIRB Help Desk</th>
<th>E-mail Address and Phone</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Hours:</strong> 8:30 AM to 4:30 PM weekdays</td>
<td><a href="mailto:webIRBhelp@research.ucla.edu">webIRBhelp@research.ucla.edu</a></td>
</tr>
<tr>
<td><strong>Staff:</strong></td>
<td>310-267-1887</td>
</tr>
<tr>
<td>• Yana Gorelik, Programmer/Analyst</td>
<td></td>
</tr>
<tr>
<td>• Michele Carter, RN, Coordinator</td>
<td></td>
</tr>
<tr>
<td>• Jae Kwak, Specialist</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Project Management</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Carrie Fisher, Ph.D.</strong></td>
<td><strong><a href="mailto:cfisher@research.ucla.edu">cfisher@research.ucla.edu</a></strong></td>
</tr>
<tr>
<td><strong>Project Director</strong></td>
<td><strong>310-206-8524</strong></td>
</tr>
<tr>
<td><strong>Michelle Leonard, M.S.</strong></td>
<td><strong><a href="mailto:mleonard@research.ucla.edu">mleonard@research.ucla.edu</a></strong></td>
</tr>
<tr>
<td><strong>Sr. Business Analyst/Project Manager</strong></td>
<td><strong>310-709-2769</strong></td>
</tr>
</tbody>
</table>
COST TRANSFERS

Evelyn Balabis, Maurice Taylor, Becky Henrickson – EFM
Eugene Harrison - Payroll
Cost Transfers

What is a Cost Transfer?

- A cost transfer is the transfer of an expenditure originally posted to one project and then transferred to another project. It is also a transfer within a project from one sub-object code to another sub-object code.
Cost Transfers

- The government expects that costs are charged appropriately at the time incurred and that significant adjustments should not be required if adequate financial management practices and policies exist.
Cost Transfer Regulations

- Federal Regulations
  - NIH Grants Policy Statement
    - Transfers should be accomplished within 90 days of discovery
    - Must be supported by documentation that fully explains how the error occurred and a certification of correctness of the new charge by responsible, organization official
    - Maintain documentation of cost transfers
Cost Transfer Regulations

- **OMB Circular A-21**
  - Details factors affecting the allowability of costs
  - Defines reasonable and allocable costs
- **OMB Circular A-133**
  - Auditee shall:
    - Identify all Federal awards
    - Maintain internal control
    - Comply with laws, regulations and provisions
- **OMB Circular A-110**
  - Unless the Federal agency authorizes an extension, a recipient shall liquidate all obligations incurred under the award not later than 90 days after the funding period or the date of completion.
Cost Transfer Regulations

• When a cost transfer should be used:
  - Correct errors caused by a typo, or a charge that appears on a fund that cannot be identified or does not belong to that fund.
  - The University recharge ID system defaults to an object code that should be moved to the appropriate cost category.
  - Bulk charges to a departmental fund then redistributed to a particular fund usage/source.
Cost Transfer Justifications

- Unacceptable Examples
  - Cost Transfers used as a cost management strategy – to use up remaining balance for a fund that is ending
  - Cost Transfers from one sponsored project to another sponsored project to avoid or eliminate overdrafts
  - Shortage of Staff – Turnover, out on maternity leave
  - Cost Transfer to bring down the balance of the fund
  - Cost Transfer to help the other department survive
  - Cost Transfer done per instruction of main department to use up the balance of the account
Cost Transfer Justifications

- **Red Flags** – requires further explanation or documentation
  - Transfers in excess of 120 days from doc date or 90 days after fund end date
  - Previously transferred expense being transferred again to another sponsored fund.
  - Transfers without full justification or explanation
  - High volume of cost transfers
  - Transfers between “closely related” projects
Cost Transfer Justifications

- **Acceptable Examples**
  - Late Award Set Up – should consider use of eRAS
  - Correct bookkeeping or clerical errors (transposition of numbers)
  - Reallocate a portion of cost to other appropriate fund sources.
  - Cost Transfers to the applicable grant year of the same award
  - PI determines that fund charged was not the fund that benefited from cost; a change in the decision as to the use of goods or services
  - Expenses approved through a revised budget or sponsor approved
  - No Cost time extension approval delay by sponsor
  - To redistribute payroll costs based on the after the fact verification of effort reported through the effort reporting system.
N-PEAR Cost Transfers

❖ Non-payroll Cost Transfer System

❖ URL: Training
  ➢ http://www.accounting.ucla.edu/training

❖ URL: System access
  ➢ http://www.accounting.ucla.edu/non-pear
Sign In

UCLA LOGON ID: 

PASSWORD: 

Sign In  Can't access your account?

Get a Logon ID | Help

Sample: Selection Screen Saved Non-PEAR
N-PEAR Cost Transfers

- Department’s Responsibility & Submission

- Monthly G/L review Critical

  - Cost transfers prepared within 120 days are automatically processed and will appear in the G/L the next day

  - If your transaction is over 120 days and/or >90 days after award expiration date, the cost transfer is routed to EFM for further review and approval

  - If the transaction is moving an expense from a sponsored award to an unrestricted fund it will automatically be processed
N-PEAR Cost Transfers

EFM Review Process:

- For cost transfers routed to EFM, departments will receive a message that the transfer requires additional review and approval.

- The preparer has the option whether to change the FAU to an unrestricted fund source, cancel, or proceed for further review.
No Errors Found

Warning:
APPROVAL REQUIRED
This document will require an approval because you are debiting a Contracts and Grant Fund,
AND
On Line(s) 2, 4, the Effective Date is more than 4 months past the original transaction’s effective date.

OK

1. Why is the transfer being made?
2. Why was the original in error?
3. Who approved the transfer?
4. How does the expense benefit new fund charged?
5. Explain delay in transfer > 120 days after original transaction date?
6. What steps have been taken to prevent recurrence?
The system allows for three options if you decide to move it forward for review: Approve, Reject or Re-do.

Decision to approve by EFM is based on whether:
- all six policy questions have been addressed
- Reasons for delay is well documented
- PI approval was obtained

EFM is committed to review all cost transfers within 3 business days of receipt.

Note: if further explanation is necessary send email along with documentation to EFM.
Approval notification is received via email.
N-PEAR Cost Transfers

- Reject/Re-do transaction:
  - Preparer receives an email message when a transaction is rejected
  - Re-do is a form of rejection, but allows the preparer to view the original transaction as it was submitted, update the cost transfer, and resubmit.
Extra line breaks in this message were removed.

From: Henricksen, Becky
To: Taylor, Maurice
Subject: FW: Automated message from Non-payroll

Los Angeles, CA 90095

T: 1-310-794-3578

-----Original Message-----
From: bhenricksen@resadmin.ucla.edu [mailto:bhenricksen@resadmin.ucla.edu]
Sent: Thursday, February 04, 2010 3:45 PM
To: [REDACTED]
Subject: Automated message from Non-payroll

REPOST NOTICE
-------------

Non-Payroll Expenditure Adjustment with VIP #00007785458 was not approved for the following reason.

#79433 appropriation of funds processed 5/09. You will need PI's certification along with back-up documentation: Why is the transfer being made? Why was the original in error? Who approved the transfer? How does the expense benefit new fund charged? Explain delay in transfer > 120 days after original transaction date? What steps have been taken to prevent reoccurrence?

------------------------------------------------------------------------------------------------------------------------

You can open and resubmit this non-pay from the "Saved Non-Pear" link on the Main Menu.

https://fsv ais.ucla.edu/dataentry/nonpear/default.asp

IMPORTANT WARNING: This email (and any attachments) is only intended for the use of the person or entity to which it is addressed, and may contain information that is privileged and confidential. You, the recipient, are obligated to maintain it in a safe, secure and confidential manner. Unauthorized redisclosure or failure to maintain confidentiality may subject you to federal and state penalties. If you are not the intended recipient, please immediately notify us by return email, and delete this message from your computer.
N-PEAR Cost Transfers

- Audit Finding

- During the 2007, A-133 audit, UCLA was sited on its cost transfer practices for lack of support, which led UCLA to modify the process and pre-review transfers > 120 days.

- UCLA’s cost transfer practices were reviewed by UCLA Audit & Advisory Services in 2009, in response to UCOP concerns.
Enhancements to N-PEAR Cost Transfer System

- Improve warning message to alert Preparer that transaction violates policies
- Better description of the policy questions
- Modify system to allow all rejected transactions to be recalled so there’s no re-creation of transfer
- Develop tools to review cost transfer data
- Ability to upload Justifications and Approvals
Payroll Cost Transfers

- After implementation of the Non-payroll cost transfer system in July 2008, we promised that Payroll would soon follow
  - Better control mechanism
  - All transfers are processed

- Implementation for the new Payroll Expense Cost Transfer system is scheduled for release March 2010
  - Schedule training
Payroll Cost Transfer System

Eugene Harrison
Manager, Training & Development
Corporate Financial Services, Payroll
The Web Expense Transfer allows departments to process single line transfers.

It replaces the need to process the “Brown UPAY” because the transaction is not limited to the 13 months permitted on the EDTS screen.

Transfers of expenses older than 13 months must be entered manually but more recent expenses will be populated from PPS.

Scheduling the compute into which the transfer will be processed follows the same PPS schedule column called “Last day to submit UPAY 646 Form to Payroll.”
Login Screen

Sign In

UCLA LOGON ID: 

PASSWORD: 

Sign In  Can't access your account?

Get a Logon ID  Help
Select an expense to transfer

- Pay Cycle: [Select a pay cycle]
- ET Months: [ ]
- ET Page Lines: [ ]
- Load Expense
Select A Pay Cycle

UCLA PERSONNEL PAYROLL SYSTEM

Select an expense to transfer

Pay Cycle: Select a pay cycle
ET Month: Select a pay cycle
- MO - 11/30/09
- B2 - 11/30/09
- B1 - 12/12/09

Load Expense
Enter ETMO and ET Page Line

From PPP5302
The following PAN will be created:

Preparer: Harrison, Eugene

TS - Single Expense Transfer
Check Date: 2009-12-09 Pay Cycle: B2

The following expense transaction has been created:

PPP5003 Reference: Month: 0912 Page: 45182 Line: 1
Transfer from 48/1133141/0300417/333747
Transfer to: 48/11323141/2000417/332902
Pay Period End: 2009-04-30 Title: 35709 DOD: 4CU
Original Gross Earnings: 853.33 Original Benefits: 72.70
Transfer Gross Earnings: 830.33
Reason: C

Comments:
Employee was paid from wrong sub. Prepared was not informed. DOD sent to pay from sub 07. Transfer approved by ISO. Funds reallocated in sub 07. Waited for PPP5003 to be run. Prepared and informed of allocation in sub 07 and was correct. EDB.

List of Reviewers:

<table>
<thead>
<tr>
<th>Name</th>
<th>Email Address</th>
<th>Reviewer Type</th>
</tr>
</thead>
<tbody>
<tr>
<td>KIM, KIM</td>
<td><a href="mailto:KKING@4S.UCLA.EDU">KKING@4S.UCLA.EDU</a></td>
<td>Mandatory Reviewer</td>
</tr>
<tr>
<td>TANG, YBIN</td>
<td><a href="mailto:WITANG@4S.UCLA.EDU">WITANG@4S.UCLA.EDU</a></td>
<td>Mandatory Reviewer</td>
</tr>
<tr>
<td>KIM, XHANG</td>
<td><a href="mailto:KK1NG@4S.UCLA.EDU">KK1NG@4S.UCLA.EDU</a></td>
<td>Non-Mandatory Reviewer</td>
</tr>
</tbody>
</table>
Review Procedure

- Expense transfers that meet the criteria listed will be placed in a Transaction Holding File (THF).
  - The criteria are:
    a. Does the transfer fall into the 120 day Rule?
    b. Is this a Contract and Grant fund?
    c. Is it a Contract and Grant fund and is its end date over 90 days before the scheduled pay cycle end date?

- The transfers that go into the THF will be reviewed and approved by EFM.

- If the transfers are not approved in time to be processed in the compute selected, the transaction will have to be reentered by the department.
* Invalid transfer-to Fund: Fund ended over 90 days from pay cycle date
* Invalid transfer-to Fund: Loc/Fund not found.
* Invalid transfer-to FAU account
* This transfer involves a contract/grant fund that is over 120 days old.
* Transfer-to gross plus previously transferred gross exceeds original.
* Pending approval.
From: Noble, Xiomara [XNOBLE@finance.ucla.edu]
To: Taylor, Maurice
Cc: 
Subject: RE: Screen shot of pending approval

2010-02-05 02:58:02PM

Record Created. It is pending approval.

Prepared by: Noble, Xiomara      Create Date: 2010-02-05 02:58:02PM

Pay Cycle: Monthly 2009-11-30
ET Month: 911      ET Page Lines: 4670104       --Pending Approval--

Employee Details:
EmpId: 603738659       WILSON, VERONICA MARIE
AdjSeq: 0             Title: 6453       ERC: E       ApptType: 1       DUC: DOS       REG
Pay Rate: 2200.00      Rate Cycle: E       RAI: Pay End Date: 2009-05-02

Benefit Details:
PlanCode: U
Ret Matching Contr: 0.00      UCLA Fee Rem: 0       OASDI: 64.84       DNTL MED/OPT: 184.98
UNGH: 0.44       WC/ESP: 7.13       IAP/LEAVE: 60.10       LIFE/UCD/HOPF: 3.67

Transfer Details:
From FAU: 4 623837      KW 59339       Proj: 2       Sub: 40.00 H      Gross Earnings: 880.00
Transfer To: 4 413776      JC 79590       Proj: 2       Sub: 880.00

Comments: testing
Payroll Cost Transfers

- Department’s Responsibility & Submission

- Monthly G/L review Critical:
  - Cost transfers within 120 days will be processed without EFM review
  - Cost Transfers > 120 days and/or 90 days past the fund expiration date will be routed to EFM for further review and approval
  - If the transaction is moving an expense from a sponsored award to an unrestricted fund it will automatically be processed
Payroll Cost Transfers

- EFM Review Process

- For payroll cost transfers routed to EFM, departments will receive a message that additional review and approval is required.

- The preparer will have the option whether to, change the FAU to an unrestricted fund source, cancel, or move it forward.
Payroll Cost Transfers

From: Noble, Yomara [yomara@finance.ucla.edu]
To: Taylor, Maurice
Cc: 
Subject: RE: Test Expense Transfer emails

Payroll Expense Transfer - Microsoft Internet Explorer

Pay Rate: Rate Cycle: Bi-Weekly RA: Pay End Date (mm/dd/yyyy):

Benefit Details:
Plan Code: 
Ret Matching: UCLA Fee Rem: OASDI: 
UIC/IHS: WCESP: DNTL/MED/OPT:

Transfer Details:
From FAU: Acct: CC: Fund: Prog: Sub: Time: Gross Earnings:
Transfer To: 

Explain Reason for TOE by answering the 6 questions below.
1. Why is the transfer being made?
2. Why was the original in error?
3. Who approved the transfer?
4. How does the expense benefit new fund charged?
5. Explain delay in transfer > 120 days after original transaction date?
6. What steps have been taken to prevent recurrence?

Comments:
Loading Expense
The following PAN will be created

Preparer: Lee Hung-Fai

----------Web Payroll Expense Transfer - EDTS----------
App. Pay Trans: WebEDTS Preparer: PRHFL Date: 2010-02-09 08:01:23 AM
Employee Name: KUBIC JONATHAN EmpID: 200261341

TS - Single Expense Transfer
Check Date: 2009-12-01 Pay Cycle: MO

The following pay transaction has been created:
**This transfer involves a contract/grant fund that is over 120 days old:
PPE 302 Reference: Month: 0904 Page: 37804 Line: 3
Transfer from: 44440025/HC.021331/6
Transfer to: 44440025/HC.19900/6
Pay Period End: 2009-09-30 Title: 7161 DOS: VLA
Original Gross Earnings: 0.00 Original Benefits: -743.04
Transfer Gross Earnings: 0
Reason: C

Comments:
test

**** Approval required after submission ****
From: Lee, David H. [dlees@usc.edu]
To: Taylor, Maurice
Cc: Tang, Wen
Subject: RE: Question on Payroll Cost Transfer System

Preparer: Noelle, Xiomara

----------------------------- Web Payroll Expense Transfer - EDTS -----------------------------
App: PAY Tran: WebEDTS Prep: FPXAN Date: 2009-12-11 02:33:00PM
Employee Name: [Redacted] EmpID: 005634301

TS - Single Expense Transfer
Check Date: 2009-12-01, Pay Cycle: MO

The following pay transaction has been created:

PPP5302 Reference: Month: 1001, Page: 3523, Line: 1
Transfer from: 4444901/LR 2009/40
Transfer to: 4460525/194007
Pay Period End: 2009-07-31, Title: 1630, DAR: REG
Original Gross Earnings: 2842.69, Original Benefits: 71.63
Transfer Gross Earnings: 2842.69
Reason: C

Testing context and grant closed fund that is more than 90 days testing transaction that is more than 120 days (CLOSED TO OPEN)
Payroll Cost Transfers

The system allow two options for the EFM reviewer:

• Approve and Reject
• Decision to approve is based on whether:
  - All six policy questions have been addressed
  - Reason for delay is well documented
  - PI approval was obtained
  - If additional documentation needed contact EFM representative
Payroll Cost Transfers

- Rejected transaction notifications shall be received when the transfer has been rejected via email.

- Rejected transfers will include a message explaining why the transaction was rejected.
From: Lee, David H.
Sent: Monday, November 09, 2009 5:31 PM
To: Settyavan, Dikko
Subject: Test Payroll Expense Transfer - REJECTED by BALABIS, EVELYN -- for Employee: WILSON, VERONICA MARIE

------------------------Your Expense Transfer was rejected------------------------

Rejected by: BALABIS, EVELYN  Date: 2009-11-09 04:32:23PM
Reason:
Rejecting for test purposes

=================================Original Expense Transfer Details=================================

------------------------Web Payroll Expense Transfer - EDIT------------------------
Employee Name: WILSON, VERONICA MARIE    EmpID: 603733859

TS - Single Expense Transfer
Check Date: 2009-10-28  Pay Cycle: BI

The following pay transaction has been created.
**This transaction involves a contract/grant fund that is over 120 days old.
Transfer from: 46129315030  552649000
Transfer to: 44413736409  552649000
Pay Period End 2009-09-30  Title: 6433 DOS, REG
Original Gross Earnings: 880.00  Original Benefit: 263.55
Transfer Gross Earnings: 400.00  Reason: C
Payroll Cost Transfers

- Selecting a pay-compute:

- Unlike Non-payroll submission, payroll processing is subject to deadlines.

- Submission of transfers >120 days must be submitted by the cut-off, otherwise the transaction expires.
Select A Pay Cycle

Select an expense to transfer

Pay Cycle: — Select a pay cycle —
ET Month: — Select a pay cycle —
M0 - 11/30/09
B2 - 11/20/09
B3 - 12/12/09

Load Expense
<table>
<thead>
<tr>
<th>Payday</th>
<th>Pay Cycle</th>
<th>Pay Period</th>
<th>Roster Available &amp; Monthly Maintenance (MM)</th>
<th>Last Day to...</th>
<th>Pay Compute&lt;sup&gt;+&lt;/sup&gt;</th>
<th>IPAY Screens Available</th>
<th>Month Transactions Should Appear on PPPS302</th>
</tr>
</thead>
<tbody>
<tr>
<td>01/20/10 BW</td>
<td>B1</td>
<td>12/27/09 - 01/09/10</td>
<td>01/04/10 MM</td>
<td>01/07/10</td>
<td>01/13/10</td>
<td>01/14/10</td>
<td>Jan 10 (ETMO:1007)</td>
</tr>
<tr>
<td>02/01/10 MO</td>
<td>MO</td>
<td>01/01/10 - 01/31/10</td>
<td>01/13/10</td>
<td>01/19/10</td>
<td>01/25/10</td>
<td>01/26/10</td>
<td>Feb 10 (ETMO:1008)</td>
</tr>
<tr>
<td>02/03/10 BW</td>
<td>B2</td>
<td>01/10/10 - 01/23/10</td>
<td>01/19/10</td>
<td>01/22/10</td>
<td>01/28 (ETMO:0906)</td>
<td>01/29/10 R</td>
<td>Mar 10 (ETMO:1009)</td>
</tr>
<tr>
<td>02/17/10 BW</td>
<td>B1</td>
<td>01/24/10 - 02/06/10</td>
<td>02/01/10 MM</td>
<td>02/04/10</td>
<td>02/10/10</td>
<td>02/11/10</td>
<td>Apr 10 (ETMO:1010)</td>
</tr>
<tr>
<td>03/01/10 MO</td>
<td>MO</td>
<td>02/01/10 - 02/28/10</td>
<td>02/09/10</td>
<td>02/16/10</td>
<td>02/22/10</td>
<td>02/23/10</td>
<td>May 10 (ETMO:1011)</td>
</tr>
<tr>
<td>03/03/10 BW</td>
<td>B2</td>
<td>02/07/10 - 02/20/10</td>
<td>02/15/10</td>
<td>02/19/10</td>
<td>02/25 (ETMO:0907)</td>
<td>02/26/10 R</td>
<td>Jun 10 (ETMO:1012)</td>
</tr>
<tr>
<td>03/17/10 BW</td>
<td>B1</td>
<td>02/21/10 - 03/06/10</td>
<td>03/02/10 MM</td>
<td>03/05/10</td>
<td>03/11/10</td>
<td>03/12/10</td>
<td></td>
</tr>
<tr>
<td>03/31/10 BW</td>
<td>B2</td>
<td>03/07/10 - 03/20/10</td>
<td>03/15/10</td>
<td>03/18/10</td>
<td>03/24/10</td>
<td>03/25/10 (ETMO:0908)</td>
<td></td>
</tr>
<tr>
<td>04/01/10 MO</td>
<td>MO</td>
<td>03/01/10 - 03/31/10</td>
<td>03/15/10</td>
<td>03/19/10</td>
<td>03/24/10</td>
<td>03/29/10 R</td>
<td></td>
</tr>
<tr>
<td>04/14/10 BW</td>
<td>B1</td>
<td>03/21/10 - 04/03/10</td>
<td>04/01/10 MM</td>
<td>04/02/10</td>
<td>04/08/10</td>
<td>04/09/10</td>
<td></td>
</tr>
<tr>
<td>04/28/10 BW</td>
<td>B2</td>
<td>04/04/10 - 04/17/10</td>
<td>04/13/10</td>
<td>04/16/10</td>
<td>04/22/10</td>
<td>04/23/10</td>
<td></td>
</tr>
<tr>
<td>04/30/10 MO</td>
<td>MO</td>
<td>04/01/10 - 04/30/10</td>
<td>04/14/10</td>
<td>04/19/10</td>
<td>04/24/10</td>
<td>04/26/10 R</td>
<td></td>
</tr>
<tr>
<td>05/12/10 BW</td>
<td>B1</td>
<td>04/18/10 - 05/01/10</td>
<td>04/27/10 MM</td>
<td>04/30/10</td>
<td>05/05/10</td>
<td>05/06/10</td>
<td></td>
</tr>
<tr>
<td>05/26/10 BW</td>
<td>B2</td>
<td>05/02/10 - 05/15/10</td>
<td>05/11/10</td>
<td>05/14/10</td>
<td>05/19/10</td>
<td>05/20/10</td>
<td></td>
</tr>
<tr>
<td>06/01/10 MO</td>
<td>MO</td>
<td>05/01/10 - 05/31/10</td>
<td>05/12/10</td>
<td>05/13/10</td>
<td>05/20/10</td>
<td>05/21/10</td>
<td></td>
</tr>
<tr>
<td>06/09/10 BW**</td>
<td>B1**</td>
<td>05/16/10 - 05/29/10</td>
<td>05/24/10</td>
<td>05/27/10</td>
<td>06/01/10</td>
<td>06/02/10</td>
<td></td>
</tr>
<tr>
<td>06/23/10 BW</td>
<td>B2</td>
<td>05/30/10 - 06/12/10</td>
<td>06/08/10 MM</td>
<td>06/11/10</td>
<td>06/17/10</td>
<td>06/18/10</td>
<td></td>
</tr>
<tr>
<td>07/21/10 MO</td>
<td>MO</td>
<td>06/01/10 - 06/30/10</td>
<td>06/14/10</td>
<td>06/18/10</td>
<td>06/24/10</td>
<td>06/25/10</td>
<td></td>
</tr>
</tbody>
</table>
Enhancements to Payroll Cost Transfers

- Better description of the transaction type 120 vs 90 day
- Carry over expired transaction to next pay-compute cycle or recall rejected transactions to avoid resubmission
- Re-design pending review file by Sponsor type
- Mechanism for tracking, monitoring & searching transfer data by organizational hierarchy
Cost Transfers

Questions?
RAPID Update

Research Administrators Forum (RAF)
February 2010
Agenda

• RAPID Updates (Nate Haines)
• Financial Reporting Project Update (Jessica Lee)
• Closeout Tools (Raellen Man, Jennifer Aguilar)
RAPID Updates

Presenter: Nate Haines
Rapid Projects/Priorities

- Effort Reporting
- Cost Transfers
- Proposal/Award Tracking
- InfoEd Improvements
- Performance Metrics and Measurement
- PI Dashboard
- Invoicing
- Award Set-up

- OHRPP Operations
- ORA Portal
- ARRA Reporting
- Staff Training
- Letter of Credit (LOC)
- webIRB/OHRPP
- OARO - TBD
- Financial Reporting
Financial Reporting Project Update

Presenter: Jessica Lee
Project Overview

Background
- Most sponsors require UCLA to report how money was spent during an award
- Sponsor deadlines typically 90 days after award end date
- Payment to UCLA often dependent on financial report submission

Project Driver
- Address the cause of delays in on-time submission of financial reports to sponsors
Project Goal

- Develop a single *web-based system* that can be used by departmental fund managers and EFM to manage the development and submission of financial reports to the various sponsors.

- Post Award Management System (PAMS)
Expected Results

- Better integration of technology - SINGLE SYSTEM!!
  - Integrated data retention and historical information
  - Increased efficiency, reduced handoffs
- Standardization of submission process across EFM and campus
  - Ability to track internal turnaround times for financial reports
  - Ease of training through standardization
- Efficient and accurate financial reporting
- Improved compliance and management information
- On time submission of financial reports
- Reduction of revised financial report submissions
- Improved accountability and visibility into roles and responsibilities
- Improved communication and collaboration between EFM and campus
- Increased faculty involvement and awareness
- Culture change!
Project Organization
Current Team Members

**ORA**
- Marcia Smith

**EFM**
- Jennifer Aguilar
- Brian Atienza
- Evelyn Balabis
- Jevon Echave
- Willian Paja
- Maurice Taylor
- Winny Migletz

**OCGA**
- Cindy Gilbert
- Martha Hansen
- Linnaea Mallette
- Miesha Bailey

**Campus Representation**
- Ned Avejic
- Nancy Blumstein
- Karla Breen
- Rory Constancio
- Duy Dang
- Michelle Deluca
- Robert Duncan
- Mike Hassanvand
- Alan Illescas
- Sheila Jefferson
- Kathy Kawamura
- Raellen Man
- Jim Nakatsuka
- Neda Navab
- Terry Novorr
- Michelle Phillips
- Cathy Rujanuruks
- Lana Song
- Keith Steele

**ORIS**
- Jackson Jeng
- Jessica Lee
- Terry Wingo
- Mila Remigio

**Huron**
- Nate Haines
- Sarah Horner

To Get Involved:
RAPIDfeedback@research.ucla.edu
# Financial Reporting Timeline

<table>
<thead>
<tr>
<th>2009</th>
<th>2010</th>
<th>2011</th>
</tr>
</thead>
<tbody>
<tr>
<td>(OCT – DEC)</td>
<td>(JAN – DEC)</td>
<td>(TBD)</td>
</tr>
<tr>
<td><strong>Early Initiatives</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>1. Smart Closeout Tool</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Pilot 3/1</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>2. PAMS System</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Deployment Goal</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>3. PAMS Enhancements</strong></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Early Initiatives

- Define EFM closeout requirements
- Standardize closeout packet/tools for schools and departments
- Migrate 30 day reminder communications to new system
- Provide users ability to run FS reports (made available through the ORA portal) for expenses
  - After fund end date
  - On unallowable/warning object costs
  - From subcontracts/subgrants
  - From intercampus agreements
- Improve accuracy of FSR due reports by addressing the MFNOA issue
Phase 1: Closeout Tool

Milestones

- COMPLETE: Functional Requirements Signoff
- 2/28/2010: Training Documentation Complete
- 6/30/2010: Campus-Wide Rollout
Phase 2: PAMS System

Milestones

- COMPLETE: Phase 1 Requirements
- 3/31/2010: Phase 2 Requirements
- TBD: Timeline Reassessment

Phase 3: PAMS Enhancements

- TBD: Enhancement list and Timeline
Smart Closeout Tool Demo

Presenters: Raellen Man & Jennifer Aguilar