Research Administration Forum
June 14, 2018

Marcia Smith
Associate Vice Chancellor for Research
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

• 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
Frank Conte
Interim Director, Office of Human Research Protection Program

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Frank.Conte@research.ucla.edu
Mark Mimnaugh
Assistant Director, Medical Institutional Review Boards, Office of Human Research Protection Program

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FDP / Grant Updates

June 14, 2018
May 8, 2018

Stipend Level increases for FY18 awards

<table>
<thead>
<tr>
<th>Career Level</th>
<th>Years of Experience</th>
<th>Stipend for FY 2018</th>
<th>Monthly Stipend</th>
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<td>7 or More</td>
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NRSA Budgetary Levels (FY 2018)

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
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)
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”
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?
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

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

Prior Approval Actions

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

Closeout Submission

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

http://www.research.ucla.edu/ocga/training-calendar.html
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
Fiscal Year 17 – 18 Closing

UCPath and Payroll Expense Transfers

Effort Reporting
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 25th
    ◦ 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
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 15th
    - Departments must submit payroll expense transfers for the BW1 pay period 6/3-6/15
  - By 8:00pm June 18th
    - Departments must submit payroll expense transfers for the monthly pay period 6/1-6/30
  - By 8:00pm June 28th
    - Departments must submit payroll expense transfers for the BW2 pay period 6/17-6/30

- **Non-Payroll Expense**
  - By 8:00pm July 12th
    - 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

FY17-18 Expenses
FY18-19 Expenses
FY19-20 Expenses

FY17-18 Ledger
FY18-19 Ledger
FY19-20 Ledger

Total Actually Occurred = 9
Total Correctly Recorded = 7
Total To Accrue = 2

Total Actually Occurred = 7
Total Correctly Recorded = 6
Total To Accrue = 1
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
• 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 10th
    ◦ Departments must complete the accrual Form E online, and
    ◦ Complete a journal justification, and
    ◦ Submit supporting documentation to EFM at EFMOperations@research.ucla.edu
  ◦ Accrual forms and justification template can be found at http://ga.accounting.ucla.edu/fcr/
UC Path and Payroll Expense Transfers
• 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

• UCLA elected not to convert payroll data from Payroll Personnel System (PPS) to UPath

• After UCP path 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
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

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

• 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 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

• 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
Effort Reporting

Katie Cadle
ERS Version 11.0 Deployment

• 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
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

- Notifications automatically sent to departments with open effort reports on the 15\textsuperscript{th} of the month
  - Past Due: Spring 2006 – Summer 2017
  - Current Due Reports: Fall 2017 & Winter 2018
Fall 2017 & Winter 2018 Effort Report Deadline: Tuesday, July 31, 2018

- **ERS Notifications:**
  - To subscribe: Send an email to ers-subscribe@lists.ucla.edu

- **Training Materials, FAQs:**
  - http://ora.research.ucla.edu/efm/Pages/EFMHome.aspx

- **ERS Helpdesk**
  - 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;
  ▪ Uncertainty 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 | (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 | (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=UlBBQy0xNy0wMQ==&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?

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