



# Research Administration Forum

---

Marcia Smith

July 11, 2019

# Welcome and Announcements

- Introduction to New Director: Will Murdoch

## Agenda

- **Research Safety and Animal Welfare Administration Updates – *Jennifer Perkins***
- **Office of Human Research Protection Program Updates – *Moore Rhys***
- **Extramural Fund Management – *Yoon Lee***
  - Ascend: Business use case for “Project” and “Source” in FAU
  - Effort Reporting
- **Office of Contract and Grant Administration – *Jim Fong***
  - FDP Updates

# RSAWA Updates

Research Safety & Animal Welfare Administration

- **RSAWA Systems**
  - ARC: New RATS in development
  - IBC: SafetyNet update for continuing review process
  - RSC: SafetyNet update for RUA process
- **Human Gene Transfer**
  - All HGT studies require IRB and IBC review/approval
  - As of April 2019, NIH OSP registration and RAC review have been eliminated
  - IBC evaluating how to best evaluate risks associated with HGT research
- **AAALAC (already?)**
  - Anticipated in August 2020

# RSAWA Updates

- ARC Staff: [arc@research.ucla.edu](mailto:arc@research.ucla.edu) or 310-206-6308
- IBC Staff: [ibc@research.ucla.edu](mailto:ibc@research.ucla.edu) or 310-794-0262
- RSC Staff: [rsc@research.ucla.edu](mailto:rsc@research.ucla.edu) or 310-206-5601
- RSAWA Director: [jperkins@research.ucla.edu](mailto:jperkins@research.ucla.edu) or 310-794-9645



# OHRPP updates

**FDA Inspections**



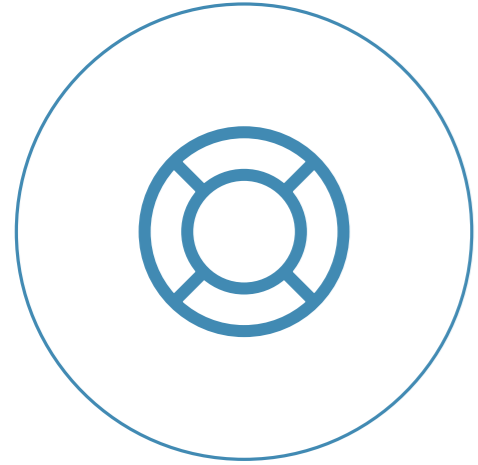
**Training Opportunities**



**Subscribe to HRN**



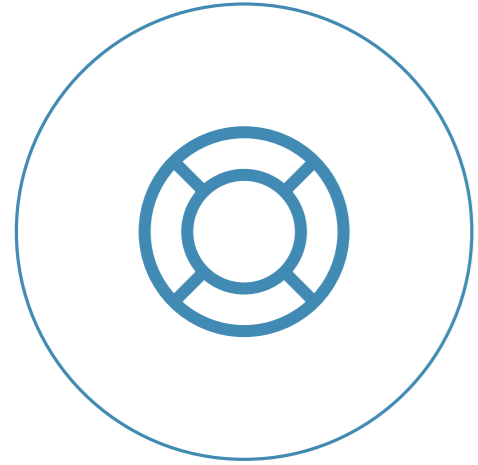
# FDA inspections



## The FDA inspects IRBs

- IRBs are inspected much less frequently than investigators
- The UCLA MIRB1 received a not-for-cause inspection during the week of June 24, 2019
  - The UCLA IRBs were last inspected in 2012
  - The current inspection lasted 3 days
  - Not-for-cause inspections of IRBs can happen as frequently as every 2 years

# FDA inspections

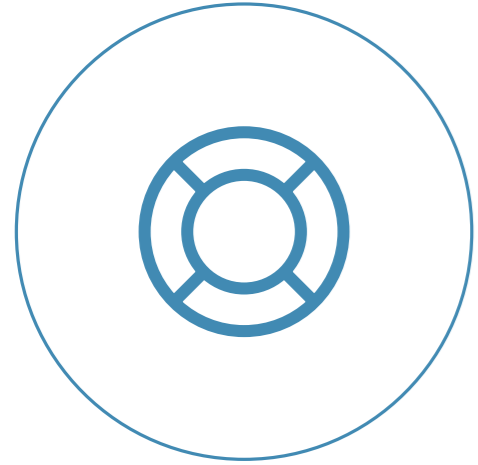


## The FDA inspects IRBs

- The outcome of the recent inspection of the UCLA MIRB1 one minor finding (“voluntary action indicated”) not related to patient safety
- FDA inspections of IRBs can possibly trigger for-cause inspections of investigators
  - For example, if there is a glaring omission of reportable events (such as no serious adverse event PARs submitted for a high-risk trial – where other participating sites have submit a large volume of SAE reports)
  - If the IRB is made aware of a pending investigator inspection, we will notify the investigator



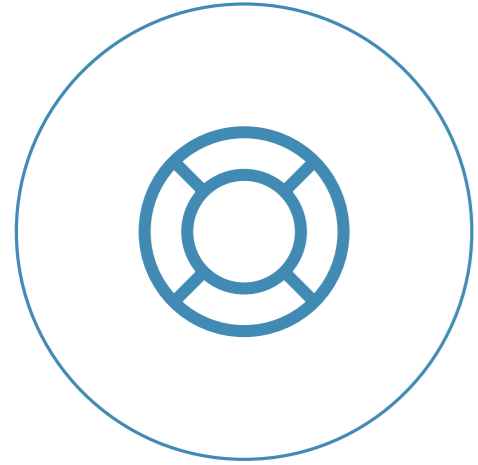
# FDA inspections



## The FDA inspects Investigators

- The FDA identifies clinical investigators for not-for-cause inspections by abstracting names from FDA forms [1571](#) (IND holders) and [1572](#) (clinical investigators)
- FDA inspections of Investigators can possibly trigger inspections of IRBs, so ***please notify the IRB*** if you will be inspected by the FDA
- Also, contact [Marlene Berro](#), UCLA Director of FDA Affairs for assistance with your FDA inspection
  - For more information on FDA Inspections of investigators, please visit the CTSI “[Research Go](#)” page

# FDA inspections



## The FDA inspects to the regulations

- For both IRBs and Investigators, the FDA Inspector may provide verbal comments about their ideas of best practices, but the written findings from their inspections should only reflect regulatory requirements.
- Nevertheless, it is in the best interest of Investigators and IRBs to follow written FDA guidance (as best practice)

# OHRPP Training Opportunities - Reminder



OHRPP Quality Improvement Unit ***will come to your division/department for IRB-related training, customized to your needs.***

*Recent examples include:*

- IRB Submission Basics
- Revised Common Rule

➤ *To request a training, please contact: OHRPP Assistant Director, Education & Quality Improvement Moore Rhys (310) 794-6339*

# OHRPP “Human Research News” - Reminder



**To be the first to know when OHRPP releases guidance and other updates, please subscribe to our listserv**

- *To subscribe, send an email (blank subject and body) to: [investigators-l+subscribe@lists.ucla.edu](mailto:investigators-l+subscribe@lists.ucla.edu)*

**UCLA** Research Administration

# Extramural Fund Management

---

July 11, 2019

# Agenda

---

- **Ascend**
  - Business Use Case of “Project” and “Source” in FAU
- **Effort Reports**
  - Effort reporting periods of the current release
  - LA county awards’ requirements

**Ascend:**

**Current Business Use of “Project” and “Source” in FAU**

Yoon Lee

## Current Business Use of “Project” and “Source” in FAU

- **Full Accounting Unit (FAU) structure**

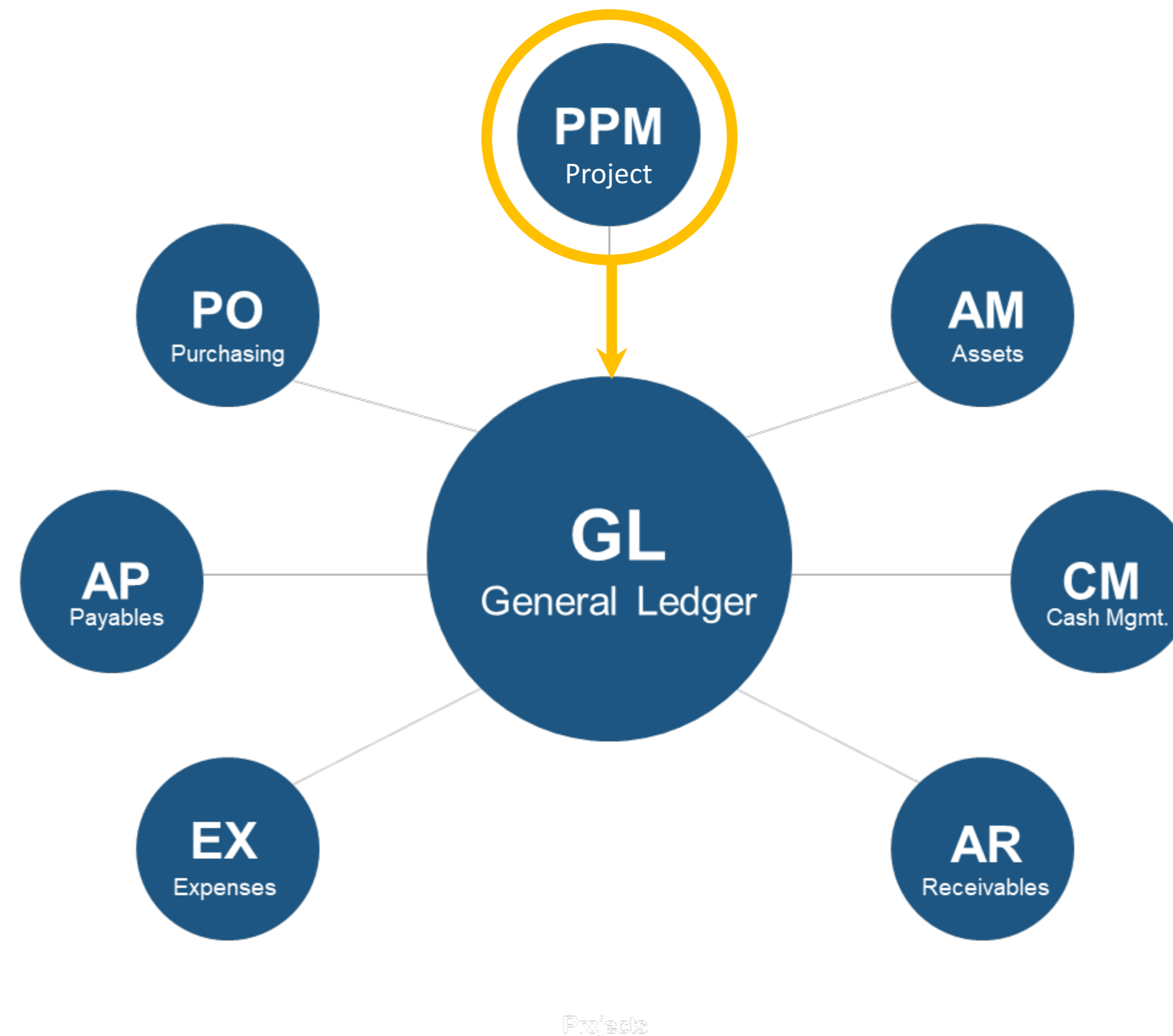
Field Name	Location	Account	Cost Center	Fund	Project	Sub	Object	Source
Field length	1	6	2	5	6	2	4	6

- The Project code is designed to identify a specific project, program or group of activities that require financial tracking. The department can use this field flexibly to meet its need.
  - The Source Code is available for the department to use in any way they choose, with some limitations for Fund Balance Accounts. It may use to group a lower level of detailed expenditure classification than the Object Code, to track lower level of Project, or any other purpose that is not already accounted in another field of FAU.
- **Are you using “Project” or “Source” in FAU for expense 1) charged to the sponsored project or 2) claimed as cost share for the sponsored project?**



# Ascend

## General Ledger and Sub Ledgers in Oracle



- Today's General Ledger is the central repository for all detailed financial transactions.
- In Oracle, most transaction will begin in Modules and will contain module-specific details.
- Summarized general ledger balances will frequently update to reflect transaction processed within Modules.
- General ledger will remain "General".

- All sponsored contract and grant costs will be captured in PPM.
- All costs in PPM will be recorded to General Ledger based on Sub-Ledger Accounting (SLA) Rules.
- In General Ledger, summary level information will be recorded.
- In PPM sub-ledger, detailed individual transaction will be recorded.

# Ascend

Current FAU to New COA/POETAF

- In the current financial system, all individual expense transactions are recorded to General Ledger using FAU regardless of whether it is a cost for sponsored project or not.

- “Project” and “Source” fields are available for department’s discretionary use.

Location	Account	Cost Center	Fund	Project	Sub	Object	Source
----------	---------	-------------	------	---------	-----	--------	--------

- In Oracle, for non-sponsored costs, CoA will be used to record a transaction in General Ledger.

- “Flex 1” and “Flex 2” fields are available for department’s discretionary use.

Entity	Fund	Account	Department	Transaction Class	Program	Flex 1	Flex 2
--------	------	---------	------------	-------------------	---------	--------	--------

- In Oracle, for sponsored costs, POETAF will be used to record a transaction in PPM Sub-ledger.

- Flex fields are NOT available in PPM in the same manner as in GL.

Project	Organization	Expenditure Type	Task	Award	Funding Source
---------	--------------	------------------	------	-------	----------------

# Ascend

Current Business Use case of “Project” and “Source”

- **Goal:**
  - To develop solutions in Oracle to address business needs that require the use of “Project” and/or “Source” fields in FAU today for costs charged to sponsored projects or claimed as cost share for sponsored projects.
- **What business scenarios do you use “Project” and “Source” fields in FAU for?**
  - For example,
    - Indicate a sponsored project fund number in the “Project” field to flag cost shared cost in unrestricted fund.
    - Indicate sub-task name/code in the “Project” field to track costs by sub-task within the same award.
- **Your feedback will be essential to identify business scenarios that require solutions for the future state business processes.**
  - Email Yoon Lee ([yoona.lee@research.ucla.edu](mailto:yoona.lee@research.ucla.edu)) by July 31, 2019.

# Ascend

Stay Informed

- **Ascend Website:** <https://www.ascend.ucla.edu/>
- **Business Partner Experts (BPEs) and Specialists**
  - Members of 4 different BPE groups can be found at <https://www.ascend.ucla.edu/bpe>
    - Academic BPE
    - Non-Academic BPE
    - Research
    - School of Medicine
  - Specialists were named by BPEs
  - Project updates are periodically provided to the BPEs and Specialists at meetings as key milestones are met.
  - Get connected with BPEs and Specialists in your area.
- **Change Agents**
  - Sign up to be a change agent at <https://www.ascend.ucla.edu/changeagent>
  - Monthly webinars are available for a change agent.
  - Previous webinars can be found at <https://www.ascend.ucla.edu/changeagent>

# Effort Reports

Yoon Lee

# Effort Report

## Overview

- **EFM Effort Report Coordinator: Val Gomez**
  - 5+ years of experience in EFM
  - Transferred to ERS from the fund management in EFM since April 2019
  - With direct experience in managing and closing funds, she is equipped to provide a holistic view in providing solutions for effort report issues.
- **The latest round of effort reports**
  - Released to campus: July 11, 2019.
  - Deadline to certify: August 31, 2019.
- **Due to pending resolution of UCPath issues, this release include only the periods in which payroll was processed in PPS.**
  - April to July 2018: 11/12 Academics
  - April to July 2018: Non-Academics
  - March to July 2018: 9/12 Academics
- **Departments will be required to certify effort reports for certain LA County awards that are subject to timesheet requirements.**

# Effort Report

Modified Reporting Period

- **Standard UCLA effort reporting periods**

Reporting Period	Non-Academic and 11/12 Academics	9/12 Academics	Release schedule
Spring	April, May, and June	March, April, May, and June	October
Summer	July, August, and September	June, July, August and September (*)	October
Fall	October, November, and December	July, August, September and October	April
Winter	January, February, and March	November, December, January and February	April

*(\*) Additional Compensation DOS codes only*

- **Previous release in April 2018:** Fall 2017 and Winter 2018 periods.
- **Current release on July 11, 2019:** covers all outstanding months since the previous release through July 2018.
  - August 2018 payroll was processed in PPS but is not included in this release because vacation and sick used in August were processed in UCPath in September. August will be included in the next release to provide complete set of data.
  - Summer for 9/12 Academics is not included in this release as the period contains payroll processed in UCPath. It will be included in the next release.

# Effort Report

## LA County Requirement

- **Background on LA County effort reporting requirement**
  - Certain LA County awards have specific terms and conditions that require timesheets for all personnel being charged to the award. In lieu of timesheets, UCLA will provide certified effort reports.
  - Starting this release period, departments are required to certify effort reports for individuals whose salaries are charged to these awards.
- **ORA has identified LA County awards subject to this requirement**
  - Detailed instruction on certifying LA county awards will be provided to individual fund managers who are affected by this requirement.



# Effort Report

## General Reminders

- Please see ERS FAQs web page for helpful information related to effort reports:  
<http://efm.research.ucla.edu/ers-faq/>
- Principal Investigators (PIs) are required to include committed cost sharing when certifying effort reports.
- PIs must self-certify their own effort reports.
- Non-PI effort reports can be certified by either the PI, the employee, or an authorized certifier with first-hand knowledge of the employee's effort. Unless an effort report status is "Certified" the report is considered "Open" and requires review and certification.
- Effort reports with a "Not Required" status should be reviewed and verified to determine if effort or cost sharing should be reported.

# Appendix

# Ascend

**POETAF:** Combination that describes a PPM expenditure

<b>PROJECT NUMBER</b>	<ul style="list-style-type: none"> <li>• Unique number assigned to identify each project under an award</li> <li>• Contains budget by expense category</li> </ul>
<b>ORGANIZATION</b>	<ul style="list-style-type: none"> <li>• Unit that owns a given project expenditure</li> <li>• Department must be designated as an expenditure-owning organization</li> </ul>
<b>EXPENDITURE TYPE</b>	<ul style="list-style-type: none"> <li>• Identifies the specific type of transaction</li> <li>• Corresponds with Natural Account segment in the CoA</li> </ul>
<b>TASK</b>	<ul style="list-style-type: none"> <li>• Identifies the project activity</li> </ul>
<b>AWARD</b>	<ul style="list-style-type: none"> <li>• Umbrella record that contains overall financial and demographic information with projects associated underneath</li> </ul>
<b>FUNDING SOURCE</b>	<ul style="list-style-type: none"> <li>• The funding source supporting a specific expenditure</li> <li>• Options generally include sponsor and an internal source, such as a cost share fund</li> </ul>

Refer to January 2019 RAF slides for more details: <http://www.research.ucla.edu/ora/raf/raf-2019/>

# Ascend

**New Chart of Accounts Structure**  
*(As published on the Ascend website as of July 11, 2019)*

Entity (4)		Financial Unit (7)		Fund (5)		Account (6)		Transaction Class (3)		Program (5)		Flex1 (8)		Flex2 (6)	
<b>Use</b>	Who?	<b>Use</b>	Who?	<b>Use</b>	How?	<b>Use</b>	What?	<b>Use</b>	Why?	<b>Use</b>	Why?	<b>Use</b>	Why?	<b>Use</b>	Why?
<b>Required</b>	Yes	<b>Required</b>	Yes	<b>Required</b>	Yes	<b>Required</b>	Yes	<b>Required</b>	Auto-Default	<b>Required</b>	Auto-Default Local use	<b>Required</b>	Auto-Default Local use	<b>Required</b>	Auto-Default Local use
Major operational unit (e.g., school) responsible for the transaction		Academic or operating unit responsible for the transaction		"Pots of money" and their associated spending restrictions and designations		Nature of the transaction (e.g., asset, liability, expense, revenue, and net position)		Purpose of the transaction (e.g., NACUBO functional classification) or mission		Formalized interdisciplinary programs that cross campuses, schools, or Financial Units		<i>These fields will include named values which will be determined in partnership with campus</i>		<i>These fields will include named values which will be determined in partnership with campus</i>	

Institutional (UCLA) Reporting

Local (Department) Reporting

Refer to Ascend website for more details of CoA re-design: <https://www.ascend.ucla.edu/chart-of-accounts-redesign>

# Any Questions?

## Contact Information

### EFM Website

<http://ora.research.ucla.edu/efm/>

### Yoon Lee

Phone: X40375

Email: [yon.lee@research.ucla.edu](mailto:yon.lee@research.ucla.edu)

### ERS Help Desk

Email: [ershelf@research.ucla.edu](mailto:ershelf@research.ucla.edu)

### Val Gomez

Phone: X40103

Email: [valeria.gomez@research.ucla.edu](mailto:valeria.gomez@research.ucla.edu)

**UCLA** Research Administration

# Research Administration Forum

## Office of Contract and Grant Administration

---

July 11, 2019



# FEDERAL DEMONSTRATION PARTNERSHIP

## Mission Statement

Association of federal agencies, academic and nonprofit research institutions, and research policy organizations that work together in a collaborative initiative to streamline the administration of federally sponsored research

# NASA

## Transitions

### **NASA Shared Services Center (NSSC)**

- **Office of the Chief Financial Officer (OCFO)**

### **NASA Earth and Space Science Fellowship (NESSF)**

- **Future Investigators in NASA Earth and Space Science and Technology (FINESST)**

**NNH19ZDA005K**



# USDA

## 2018 Farm Bill

Applies to new award beginning 12/21/2018

- Program and Match requirements updated
  - NIFA exception to land grant institutions removed  
<https://nifa.usda.gov/matching-requirement>
- Indirect Cost Limitations
  - 30% cap on Total Federal Funds Award  
**This is not a rate!**  
<https://nifa.usda.gov/resource/indirect-cost-chart>

# ONR

## Reminder

May 2018 Chief of Naval Research memo

- Twenty-four (24) months of funding and annually thereafter  
or
- Twelve (12) months and then a subsequent 24 month increment

Continue to spend on these grants!!!

## Draft Proposal & Award Policies & Procedures Guide

Draft of the January 2020 available for comment via Federal Register

- NSF accepting comments until July 29, 2019

<https://www.nsf.gov/bfa/dias/policy/>

NSF-approved template for Biosketches

- **Science Experts Network Curriculum Vitae (SciENcv)**

Current and Pending Support

- New proposed revisions to improve clarity but is not a change in policy

## Update to the NIH/AHRQ/NIOSH Policy on Post-Submission Materials

### NOT-OD-19-083

- For Training Grants submitted on or after May 25, 2019, a list of publications up to three pages in length will be accepted

Future change to NIH institutional Training Grant applications

- Signed letter of institutional commitment to ensure proper policies, procedures, and oversight to prevent discriminatory harassment will be part of the institutional profile instead of in the grant application

---

# Any Questions?

---

## Contact Information

Jim Fong, Assistant Director

Phone: 310-794-0608

Email: [jim.fong@research.ucla.edu](mailto:jim.fong@research.ucla.edu)

---