Thank you for joining us. The webinar will begin momentarily at 10:00am.
Welcome and Announcements

• This is NOT being recorded
• We will answer questions at the end of each segment as time permits
• Submit questions via Zoom Q&A window
• Slides will be posted on ORA website following the meeting
Agenda

- Welcome & Announcements – Marcia Smith
- FDP Updates – Kristin Lund
- Clinical Research Ramp-up – Kristin Craun
- Preparation of releasing Effort Reports, Fiscal Year journal correlation related to UCPath issues, Benefit Cost Transfer – Yoon Lee, Andrew Merki
- RSAWA Updates – Jennifer Perkins
- Questions and Discussion
Announcements

• Patti Manheim’s Retirement
Federal Demonstration Partnership (FDP) Updates

from the FDP Virtual Meeting May 21 - 28, 2020

Research Administration Forum

June 18, 2020
FDP Updates: **COVID-19**

- Sponsors adopted the Office of Management and Budget (OMB) authorized administrative flexibilities
- FAQ links and current flexibilities are available on OCGA's website
- Changing landscape so check back often
FDP Updates: COVID-19 (cont.)

**ONR**
- Automatic No-Cost Extensions – OCGA has reached out to grantees. If there are any questions, contact your Analyst or Officer.

**NASA**
- Looking at ways to simplify review practices for augmentation and extension requests for existing awards that could also need Scope of Work changes
- How NASA can work with universities to mitigate risks to graduate students and post-docs
FDP Updates: COVID-19 (cont.)

NIH

- Updating COVID flexibilities FAQs weekly
- All changes and delays due to COVID-19 should be discussed in the Research Performance Progress Report (RPPR)

- Extensions – Grantees already have ability to do a Grantee-approved No-Cost Extension (NCE), NIH also looking at approving second No-Cost Extensions and considering mid-project extensions
FDP Updates: ONR

ONR

• ONR Unilateral Closeout -- currently in the review process, DOD Working Group is looking at drafting a Unilateral Closeout policy that reflects NIH's Unilateral Closeout policy
FDP Updates: NASA

NASA

- New NASA guidebook, forthcoming 2020 edition, relatively minor changes to nomenclature

  2018 Guidebook Version
  - Funding Announcements (FA)
  - NASA Office of Education
  - Federal Business Opportunities
    www.fbo.gov
  - Data Universal Numbering System (DUNS)

  2020 Guidebook Version
  - Notice of Funding Opportunities (NOFO)
  - NASA Office of STEM Engagement
  - System for Award Management
    www.beta.sam.gov
  - Unique Entity Identifier (UEI) (12/2020)
  - Participant/Trainee
  - Government-wide certifications and representation

- Dual anonymous peer review is being piloted
  - Proposals will need to be written in such a way that they do not disclose identities of key personnel
  - Specific guidance regarding how to write an anonymized proposal is available at https://science.nasa.gov/researchers/dual-anonymous-peer-review along with the specific funding announcements taking part in the pilot
NIH

- Reminder, pay attention to your proposal submission forms – E vs. F
  - Applies to applications with due dates on/after May 25, 2020. Originally implemented under NOT-OD-20-077
  - See NOT-OD-20-026 and NIH-OD-20-047 for additional information
NIH

- Commitment Transparency: Other support -- all resources made available to a researcher, monetary and non-monetary and foreign resources
  - Other Support as defined in the NIH Grants Policy Statement: “All resources made available to a researcher in support of and/or related to all of their research endeavors, regardless of whether or not they have monetary value and regardless of whether they are based at the institution the researcher identifies for the current grant. This includes resource and/or financial support from all foreign and domestic entities, including but not limited to, financial support for laboratory personnel, and provision of high-value materials that are not freely available (e.g., biologics, chemical, model systems, technology, etc.).”
- NIH – The harmonization of the collection of Other Support, current and pending
FDP Updates: NSF

NSF

• DELAYED TO October 1, 2020: delay of implementation of NSF-approved forms for Biosketches and Current & Pending until October. For now, continue to format docs in accordance with June 1, 2020 PAPPG requirements.

Resources

• NSF
  • NSF-Approved Formats for the Biographical Sketch
  • NSF-Approved Formats for Current and Pending Support
  • NSF-Approved Formats for the Biographical Sketch & Current and Pending Support Sections of Proposals - NSF Webinar (recorded April 9, 2020)
  • NSF ERA Forum Webinar (May 14, 2020)

• Other
  • ORCID – UCLA Library Research Guides
  • Using SciENcv to Create Your Biosketch – NC State University Libraries
  • ORCID – Connecting the Research Community – NCURA Webinar (recorded April 30, 2020)
FDP Updates: Subaward Subcommittee

Subaward Subcommittee

- FDP is looking at a possible change to the term "Revised Period of Performance" on their standard amendment

- Due to COVID-19 you may be seeing the addition of force majeure language - language regarding unforeseeable events and the impacts on your awarded project. FDP has proposed standard language for these additions and is looking at possibly incorporating that language into future FDP templates
FDP Virtual Meeting

- Recorded Sessions Available!
- http://thefdp.org/default/meetings/previous-meetings/may-2020-meeting/

Questions?

Thank you!
OHRPP Updates

- Research Ramp-up
- Learn at Lunch
- OHRPP Office Hours
- Human Research News
- Beta Testers wanted
UCLA is now in Phase 2 of research ramp-up

OHRPP is building an FAQ to accompany the Vice Chancellor for Research’s ramp-up plan

- We have created an information sheet for research participants, outlining the precautions being taken at UCLA to prevent COVID-19 transmission.
- Use of this form is voluntary. Investigators may choose to distribute to participants for relevant studies.
- The form does not need to be submitted to the IRB for review before use.
- Please send in your questions about ramp-up of human subjects research
Topic: “Ramp Up of Human Subjects Research: how to operationalize the 5/26/2020 memo from the Executive Vice Chancellor for Research”

Presenter: Kristin Craun, Director, OHRPP

Date: June 24, 2020, noon-1pm

Register in advance
OHRPP Quality Improvement Unit staff are hosting **half-hour open Q/A sessions every week** to answer your questions

**Upcoming sessions** (every week, alternating Tuesday mornings and Thursday afternoons):
- Thursday, June 18 *(today!)*, 2020 3pm
- Tuesday, June 23, 2020 8:30am

Register once and you can join any session.
To be in the know when OHRPP releases updated guidance and offers training opportunities, please subscribe to Human Research News

➢ To subscribe, visit ORA news subscription
The Quality Improvement Unit of OHRPP is revamping the post-approval monitoring program.

The first step in the revised program will be a “self-assessment form” for investigators/their teams to complete.

We’re looking for *investigators willing to try out the process* by conducting a self-assessment for one of their protocols.

Contact: **Moore Rhys**, Asst. Director for QI & Education
Any Questions?

Contact Information

OHRPP Website
http://ora.research.ucla.edu/ohrpp

Kristin Craun, OHRPP Director
Phone: x33150
Email: kristin.craun@research.ucla.edu
Extramural Fund Management
Agenda

• Preparation for Releasing Effort Reports
• Fiscal Year Journal Correction Related to UCPath Issues
• Benefit Cost Transfer
Preparation for Releasing Effort Reports

Yoon Lee
The last release of effort reports in July 2019
- Included only the periods in which payroll was processed in PPS due to pending resolution of UCPath issues.
  - August 2018 payroll was processed in PPS but was not included because vacation and sick used in August were processed in UCPath in September.
  - Summer for 9/12 Academics was not included as the period contained payroll processed in UCPath.

The next periods of effort reports to release
- Plan to release all subsequent quarters to bring effort reports current.

### Effort Reporting Periods

<table>
<thead>
<tr>
<th>Reporting Period</th>
<th>Non-Academic and 11/12 Academics</th>
<th>9/12 Academics</th>
</tr>
</thead>
<tbody>
<tr>
<td>Modified period</td>
<td>April - July 2018</td>
<td>March - July 2018</td>
</tr>
</tbody>
</table>

*Additional Compensation DOS codes only*
## Necessary Steps to Release Effort Reports

### Types of issues to address in the labor ledger

#### Incorrect payroll amount

The actual dollar amount on the funding source is not accurate. *For example,*
- Vacation credit was not allocated across multiple funding sources (REG like earn codes and VAC to salaries and wages)
- Vacation credit not posted to the funding source vacation was taken from but to the current funding source when vacation credit is processed → Crediting incorrect funding if funding distribution changed (called “Leave in arrear” issue).

#### Incorrect effort percentage

The dollar amount on the funding source is accurate but effort % is incorrectly calculated. *For example,*
- Certain earn codes did not bear effort when they should (e.g. NNC & RSP)
- Partial salary cost transfers were processed with incorrect pay % and derived effort %

### Solutions to address issues

#### Step 1: Correct payroll amount

“Mass Leave Correction (MLC) (*)”
- Queries to capture errors where vacation credit was not recorded correctly and to show where they should have been posted.
- MLC will be processed in the labor ledger to correct the dollar amounts on funding sources.
- (*) Mass salary cost transfer (SCT) feature is not available yet in UCPaht and MLC is not the same as Mass SCT.

#### Step 2: Correct effort percentage

“Enhanced I-129 File and Loading Process”
- I-129 file is used to upload payroll data from UCPaht to ERS.
- Additional logic and step were added to re-calculate effort % to pass correct effort % to ERS.
- Effort % in the labor ledger will remain as is but effort % in ERS will be accurate.

“Step 1 and Step 2 do not address all issues that may affect effort reporting but issues confirmed to affect accuracy of effort reports in magnitude.”
Current Status

• **Mass Leave Correction (MLC) Tool**
  ◦ UCPath Center and UCLA started testing the MLC tool yesterday, June 17th and scheduled to be completed by next Friday, June 26th.
  ◦ MLC addresses payroll amount issues related to “leave allocation” and “leave in arrear” only.

• **Phase 1 I-129 file**
  ◦ UCPath Center and UCLA completed testing last week and it will go live tonight, June 18th for other campuses to test.
  ◦ *Phase 1 I-129 file* does not address all issues that may impact effort percentage.
  ◦ Groupings of Issues
    ◦ Issues that were known and confirmed in February 2020 to have major impact to effort reporting → included in *Phase 1 I-129*
    ◦ Issues that were known in February 2020 but its impact to effort reporting not confirmed → In the process of evaluating its impact to determine utility of Phase 1 I-129 to generate effort reports and the scope of *Phase 2 I-129*
    ◦ Issues that were uncovered through development and testing processes of *Phase 1 I-129* → To evaluate its impact to determine scope of *Phase 2 I-129*
    ◦ Collaborative effort between UCPath Center and UCLA to develop *Phase 2 I-129* continues.

• **Updates on the release timeline will be communicated soon.**
Current Effort Report Certification Status

- Complete all open effort reports. Contact ERS Help Desk (ershelp@research.ucla.edu) for questions.

<table>
<thead>
<tr>
<th>Academic Year</th>
<th>The number of open effort reports</th>
</tr>
</thead>
<tbody>
<tr>
<td>2014-2015 and prior</td>
<td>24</td>
</tr>
<tr>
<td>2015-2016</td>
<td>5</td>
</tr>
<tr>
<td>2016-2017</td>
<td>15</td>
</tr>
<tr>
<td>2017-2018</td>
<td>63</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>107</strong></td>
</tr>
</tbody>
</table>
PAMS: UCPath Flag

Yoon Lee
PAMS: UCPath Flag

• An increase in the number of sponsored funds that are expired but cannot be closed pending the resolutions of various UCPath issues.

• A new UCPath indicator will be added to the PAMS Deliverables Page.
  ◦ To identify the funds that cannot be closed due to pending resolutions of UCPath issues
  ◦ To describe the types of known issues impacting that specific fund

• 10 major known issues are going to be tracked.

• As the department and/or EFM identifies funds that cannot be closed due to pending resolutions of UCPath issues, EFM will update UCPath flag in PAMS accordingly.

• The enhancement will be available tomorrow, 06/19/20 and more details on the feature will be communicated with all PAMS users.
Fiscal Year Journal Correction related to UCPath Issues

Andrew Merki
Fiscal Year End Journal Corrections

Related to UCPath Issues

• **CFS will process Financial Journals to correct erroneous transactions in General Ledger as a result of UCPath defects for fiscal closing**
  ◦ These journals will **not** show up in the labor ledger or payroll reports because they are posted directly into the General Ledger. Supplemental backup will be provided for departments to identify the original employee/salary expense the correcting entry is for.
  ◦ For UCPath defects resolved in the system: **One-time financial journals**
    ◦ To clean up all outstanding historical errors as of June 30th.
  ◦ For UCPath defects not yet resolved in the system: **One-time financial journals + Monthly recurring financial journals**
    ◦ To clean up all outstanding historical errors as of June 30th.
    ◦ Until the defect is resolved in the system, CFS will process journals to correct errors on a monthly basis starting July 2020.

• **Mass Leave Correction (MLC) in Labor Ledger**
  ◦ This tool will allow correction of two defects: 1) exceptions (e.g., VAC, SKL) not distributing across full funding distribution and 2) exceptions distributing to current month FAUs instead of earn period month FAUs.
  ◦ Tool is currently being tested in coordination with UCPath Center and scheduled to be delivered prior to fiscal close.
  ◦ If the delivery schedule is delayed, separate financial journal entries will be posted by CFS for fiscal close purposes.
## Fiscal Year End Journal Corrections

- Corrections handled via Financial Journal (in General Ledger)

<table>
<thead>
<tr>
<th>Defect</th>
<th>Brief Description</th>
<th>UCPath Defect Status</th>
<th>Correcting Entry Category</th>
</tr>
</thead>
<tbody>
<tr>
<td>Vacation Leave Assessment (VLA) for employees who should not accrue Vacation</td>
<td>UCPath is assessing VLA for certain employees who are not eligible to accrue VLA.</td>
<td>Unresolved</td>
<td>Monthly recurring financial journal</td>
</tr>
<tr>
<td>CBR not redirecting on Work Study funds</td>
<td>CBR on Work-Study funds should be redirected to Department’s GAEL/CBR redirect FAU. Currently they are not redirecting.</td>
<td>Unresolved</td>
<td>Monthly recurring financial journal</td>
</tr>
<tr>
<td>Incorrect CBR moving with Direct Retro</td>
<td>Multiple defects are causing the incorrect CBR amount to move when Direct Retros are processed. These include: 1. Current fiscal year CBR rate being applied instead of CBR rate in effect for original earn period 2. CBR rate not moving at all with Direct Retro 3. Incorrect CBR rate applied when position number or other CBR characteristic is changed</td>
<td>Unresolved - #1 &amp; #2 Resolved - #3</td>
<td>Monthly recurring financial journal - #1 &amp; #2 One-time financial journal - #3</td>
</tr>
<tr>
<td>Incorrect CBR assessed for Academic Medical Residents</td>
<td>UCPath is assessing the incorrect CBR rate for Academic Medical Residents belonging to LACMP. (Note: this is not an issue for Academic Medical Residents belonging to LAMED – only LACMP.)</td>
<td>Unresolved</td>
<td>Monthly recurring financial journal</td>
</tr>
<tr>
<td>Incorrect CBR applied when split funded across Med Center &amp; Campus</td>
<td>The CBR, VLA and GAEL rates need to be applied based upon the FAU an employee is charged to and not the HR Business Unit (LAMED, LACMP) associated to their Position.</td>
<td>Resolved</td>
<td>One-time financial journal</td>
</tr>
<tr>
<td>GAEL charges hitting federal and federal flow-through funds</td>
<td>GAEL is not allowed on federal and federal flow-through (FFT) funds. This issue was previously resolved but a small number of outstanding transactions were identified that posted to federal/FFT funds that will be reversed. The following link can be used to identify federal funds. <a href="https://www.finance.ucla.edu/corporate-accounting/fund-managers-by-fund-category">https://www.finance.ucla.edu/corporate-accounting/fund-managers-by-fund-category</a></td>
<td>Resolved</td>
<td>One-time financial journal</td>
</tr>
<tr>
<td>RPNI expenses hitting federal flow through fund</td>
<td>RPNI is not allowed on federal and federal flow-through funds. This issue was previously resolved but a small number of outstanding transactions were identified that posted to federal/FFT funds that will be reversed.</td>
<td>Resolved</td>
<td>One-time financial journal</td>
</tr>
</tbody>
</table>
Fiscal Year End Journal Corrections

- Corrections handled via Mass Leave Correction (in Labor Leger)

<table>
<thead>
<tr>
<th>Defect</th>
<th>Brief Description</th>
<th>UCPath Defect Status</th>
<th>Correcting Entry Category</th>
</tr>
</thead>
<tbody>
<tr>
<td>Exception Earn Codes (e.g., VAC, SKL) not distributing correctly across an employee's funding distribution</td>
<td>Two sub issues are causing this to occur 1. UCPath adds 2 lines when an exception is taken: a credit to the REG-like Earn Code and a debit to the exception Earn Code (VAC, SKL). The credit and debit are not distributing appropriately across all FAUs in an employee’s funding distribution. 2. When a vacation or sick day is taken, the exception is posted in the following month. The credit is currently posted not to the fund where vacation or sick time was accrued (earn period) but to the fund where the employee’s payroll is distributed in the current month (pay period).</td>
<td>Resolved - #1 Unresolved - #2</td>
<td>Mass Leave Correction in Labor Ledger (will be done centrally by CFS once MLC tool is available)</td>
</tr>
</tbody>
</table>

- Information on the Fiscal Year End journals can also be found on Central Resource Unit website:
  - [https://centralresourceunit.ucla.edu/s/article/FYE-Close-Correcting-Entries-for-UCPath-Defects](https://centralresourceunit.ucla.edu/s/article/FYE-Close-Correcting-Entries-for-UCPath-Defects)
Benefit Cost Transfer

Andrew Merki
Central Resource Unit (CRU) released a new Benefit Cost Transfer (BCT) process last week, effective Tuesday 6/9/20.

BCT requests allow departments to move benefits without moving associated salary. Types of expenses that can be transferred via the new BCT process:
- CBR, VLA, Tuition & Fee Remissions, GAEL, RPNI

Departments must submit BCT requests for FY19-20 posting to CRU by Monday 6/29/20
- Departments must submit BCT requests that require EFM review to the EFM accountant by Wednesday 6/24/20 to allow three business days for review prior to CRU’s deadline

The CRU web page outlining the new process along with links to the new report and Excel template can be found here: https://www.centralresourceunit.ucla.edu/s/article/Benefit-Cost-Transfer-Process
High level steps for new BCT request process:

1. Department runs the new Benefit Cost Template Report in CDW which provides a breakdown of benefit expenses by individual employee and pay period.
2. Department downloads and complete the new BCT Request Form Template (Excel).
3. Department obtains email approvals from EFM and/or Grad Division when applicable.
4. Department uploads the template and appropriate approvals to the BCT request page on CFS website (https://uclacfs.tfaforms.net/189).
Steps for departments to obtain EFM approval when applicable:

1. Department submits completed BCT request form to EFM accountant via email
   - EFM approval required for all BCT requests moving expenses to or from a C&G fund regardless of debit or credit

2. EFM accountant reviews BCT request form, including department responses to questions in the form:
   - Questions 1 – 4 must be answered for all BCT requests; questions 5 must be answered for High Risk
     1. How did the error occur?
     2. Who approved the transfer?
     3. What is the reason the expense is being moved to a new funding source?
     4. How does the transfer benefit the new funding source?
     5. Explain untimeliness if High Risk (120+ days after original pay end date or 90+ days after fund end date AND increasing expenditures on a federal or federal flow-through fund)

3. EFM accountant provides approval via email
4. Department submits the BCT form along with EFM email to CFS via webpage

Typical business scenarios for BCT requests on C&G funds:

- Move unallowable types of benefits (e.g., NIH training grants)
- Move unallowable portion of benefits when sponsor has a capped benefit rate
Benefit Cost Transfer for C&G

New Benefit Cost Transfer (BCT) Process

• Additional details of new BCT process to be aware of:
  ◦ BCT functionality is not yet available in UCPath. CRU will be submitting Financial Journals in General Ledger until the functionality is available.
  ◦ Departments can now request any benefit transfer needed to move an unallowable expense from a C&G fund; requests are no longer limited to transfers for C&G fund closeouts.
    ◦ The only exception is BCT requests for UCPath defects. Departments should not submit benefit transfer requests for UCPath defects at this time, as CFS will be posting financial journals centrally for UCPath defects prior to fiscal close.
  ◦ BCT should be the final transfer. Salary Cost Transfer (SCT) should not be processed after the BCT because it will cause the benefit expense to be out of sync. If business requires this, a subsequent BCT must be processed to move benefit expenses back to the original FAUs before proceeding with the SCT.
UCPath Announcements

• **UCPath Announcements:**
  ◦ Funding Rollover process in UCPath has been enhanced for FY20-21
    ◦ Funding Rollover will allow for automatic rollover of employee funding into new fiscal year, with some limitations.
    ◦ The rollover process will occur this month in June.
    ◦ CFS will be publishing additional details in coming days.

  ◦ FY20-21 CBR rates have been posted by CFS. Please refer to CBR web page for details:
Any Questions?

Contact Information

EFM Website
http://ora.research.ucla.edu/efm/

Yoon Lee
Phone: X40375
Email: yoon.lee@research.ucla.edu

ERS Help Desk
Email: ershelp@research.ucla.edu

Andrew Merki
Phone: X43375
Email: Andrew.merki@research.ucla.edu
Research Safety & Animal Welfare Administration (RSAWA) Updates

June 2020 RAF
• System Updates
  ◦ RATS 2.0
  ◦ SafetyNet–RUA
• AAALAC Site Visit
• RSAWA Contacts
RSAWA Updates

• System Updates: RATS 2.0
  ◦ Live as of June 15, 2020
  ◦ Data migration
  ◦ In-flight protocols and drafts
  ◦ User training
    ◦ Basic
    ◦ Advanced
• **System Updates: SafetyNet – RUA**
  ◦ Official launch = June 15, 2020
  ◦ System has been live and in use for several months already
  ◦ PI Profile
  ◦ RAM applications only right now
  ◦ RPM applications in the near future
• **AAALAC Site Visit**
  ◦ Discussions underway for October site visit
  ◦ Hybrid in-person / remote visit
  ◦ Site visit prep:
    ◦ Update to Program Description
    ◦ HVAC data for PI-managed housing areas
    ◦ Resumption of ARC inspections
• ARC Staff: arc@research.ucla.edu or 310-206-6308
  ◦ RATS 2.0 support: RATSHelp@research.ucla.edu
• IBC Staff: ibc@research.ucla.edu or 310-794-0262
• RSC Staff: rsc@research.ucla.edu or 310-206-5601
• RSAWA Director: jperkins@research.ucla.edu
  or 310-794-9645