FY2020 Research Counts

- FY2020 Proposals: 5,900 requesting $4,257,001,878
- FY2020 Awards: 6,730 award transactions $1,426,986,822
- FY2020 Expenditures: $1,104,185,397
Reminders

• PI and Other Key Personnel leaves of absence, sabbaticals and other leaves require sponsor notification and/or prior approval

• Collaborations with investigators outside of the US may require reporting and/or prior approval
Agenda

• Welcome & Announcements – Marcia Smith
  ◦ FY2020 Highlights
  ◦ PI and Other Key Personnel Leaves of Absence, Sabbaticals and Other Leaves Require Sponsor Notification and/or Prior Approval

• OHRPP Updates – Moore Rhys

• EFM Closing Funds Expired in August 2018 or Prior, UCPath Funding Roll Over and Fund End Date, Fiscal Year Journal Correction Related to UCPath Issues, Thresholds for Revised COP and PI’s Re-certification – Yoon Lee, Andrew Merki, Monida Hean

• Questions and Discussion
OHRPP Updates

August 13, 2020
OHRPP Updates

Guidance Updates/New Guidance

Post Approval Monitoring - update

Learn at Lunch

OHRPP Office Hours

Human Research News
Guidance Updates/New Guidance

Certificates of Confidentiality:

• **Tip Sheet: Certificates of Confidentiality**

• **Quick Guide: Certificate of Confidentiality (CoC) Applications for Non-Federally Funded Research**

Right to Try:

• **Right to Try Policy and Guidance**

• **Right to Try Consent Form template**
Guidance Updates/New Guidance

Reliance:

• Consent Form Checklist for Reliance on External IRBs
• Steps to Rely on Another IRB – Flow Chart
• Relying Investigator Responsibility Checklist
• When UCLA Relies information on ancillary reviews, amendments, and continuing reviews
• Steps to serve as the Reviewing IRB – Flow Chart
• Reviewing Investigator Responsibility Checklist
• NCI CIRB reliance information on ancillary reviews, amendments, and continuing reviews
• NCI CIRB Boilerplate Consent Language Checklist
Guidance Updates/New Guidance

Consent:

• **Deception or Incomplete Disclosure**

• **Obtaining and Documenting Informed Consent** Added table on types of informed consent allowable under FDA and DHHS regulations.

IRB submission and review:

• **Brief Overview of webIRB Submission Procedures**

• **Communication of Results of IRB Review**

• **List of Exemption Categories – 2018 Rule** Added information on exemption category 4(iii).

• **Tip Sheet: Minimal Risk**
Guidance Updates/New Guidance

Misc:

- **Funding Considerations for Federally-Funded and Industry Sponsored Human Research**
- **Genetics Research**
- **Use of Devices in Clinical Research and Treatment**
- **Family Educational Rights and Privacy Act (FERPA)**
- **Closure of Human Subjects Research studies**
- **Investigator Responsibilities**
- **Research Supported by the Department of Defense** (Removed the requirement for medical monitors on greater than minimal risk research as it is no longer required.)
- **DOD Checklist** (Removed the requirement for medical monitors on greater than minimal risk research as it is no longer required.)
Post Approval Monitoring

• Updated Post Approval Monitoring guidance will be posted early next week
• Routing monitoring now includes a tiered system and begins with an investigator self-assessment
• The focus of the monitoring is to provide investigators and their teams with the tools they need to meet their compliance responsibilities
OHRPP’s “Learn at Lunch”

**Topic:** “Post Approval Monitoring”  
**Presenter:** Moore Rhys, Asst. Director, OHRPP  
**Date:** August 17, 2020, noon-1pm

[Register in advance]
OHRPP’s “Office Hours”

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

- **Upcoming sessions**
  - Tuesday, August 18, 2020 8:30am
  - Tuesday, September 1, 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
Any Questions?

Contact Information

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

Moore Rhys, OHRPP Asst. Director
Phone: x46339
Email: moore.rhys@research.ucla.edu
 Agenda

- Closing Funds Expired in August 2018 or prior
- UCPath Funding Roll Over and Fund End date
- Fiscal Year Journal Correction Related to UCPath Issues
- Threshold for Revised COP and PI’s re-certification
Closing Funds expired in August 2018 or prior

Yoon Lee
Closing Funds expired in August 2018 or prior

• Why August 2018?
  ◦ August 2018: Last month payroll was processed in PPS before UCPath go-live.
  ◦ Effective July 1, 2019, PPS support including WebPET discontinued. To transfer incorrect PPS payroll, it needs to be processed through financial journals bypassing payroll sub-ledger.
  ◦ One of items that need to be addressed to close expired funds is pending payroll transfers.

• Effective August 1, 2020, EFM will **remove** unallowable or inapplicable PPS payroll expenses from the project funds to department unrestricted funding sources via financial journal.
  ◦ Effective July 1, 2019, EFM does not accept PPS payroll expense transfers debiting to sponsored project funds.
  ◦ Unallowable or inapplicable PPS payroll expenses on the project funds must be removed. When you identify such cases, contact your EFM accountant.
  ◦ To expedite progress on closing expired funds, EFM may initiate removal of PPS payroll expenses on funds expired in August 2018 or prior.
    ◦ EFM will email the department a draft of financial journals including an unrestricted FAU of the department for the confirmation.
    ◦ The department can provide an alternative FAU if desired. If a response is not received in 3 business days, EFM will proceed to submit the journal and close the fund.
Removing PPS Payroll vis Financial Journal

- Effective August 1, 2020, EFM will **remove unallowable or inapplicable PPS payroll expenses from the project funds to department unrestricted funding sources via financial journal.**
  - EFM vetted the procedure with Corporate Financial Services, Central Resource Unit, and Academic Planning and Budget.
  - Unallowable payroll expenses that were excluded from the final financial deliverable will be removed.
  - Financial journals will be prepared summarizing detailed unallowable transactions in the PPS payroll expense distribution report at the sub-code level in General Ledger. The following object codes will be used for each sub.

<table>
<thead>
<tr>
<th>Sub code</th>
<th>Object Code</th>
<th>Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>00</td>
<td>1000</td>
<td>Salaries &amp; Wages - Academic</td>
</tr>
<tr>
<td>01</td>
<td>1100</td>
<td>Salaries &amp; Wages – Staff</td>
</tr>
<tr>
<td>02</td>
<td>1130</td>
<td>S&amp;W-Casual Staff</td>
</tr>
<tr>
<td>06</td>
<td>8914</td>
<td>Other Employee Benefits Adjustment</td>
</tr>
</tbody>
</table>

- Other expenses related to payroll will be removed as well (e.g. TIF, GAEL, etc.)
- For these journal entries, “PPS-CG” will be entered in the “project “field in FAU to distinguish these adjusting journals in the GL from actual payroll expenses coming from UCPATH.
- PPS payroll expense distribution report highlighting detailed unallowable transactions will be retained to support the financial journal and to explain a discrepancy between payroll reports and General ledger.
Removing PPS Payroll vis Financial Journal

- Adjusting PPS payroll expenses via financial journal directly in General Ledger bypassing Labor Ledger will impact effort reports.

- When payroll expenses are removed from a federal or federal flow through fund:
  - This payroll adjustment will not be reflected in the effort report and manual adjustments are required. Keep the journals and the supporting payroll reports as reference to make the necessary adjustment to the effort report for the corresponding period.

- When payroll expenses are removed from a project fund other than a federal or federal flow through:
  - If any of these individual’s salary was partially funded by other federal or federal flow through fund(s), provide EFM with a list of those individuals. This payroll adjustment will not be reflected in the effort report and manual adjustments to the effort report(s) of these individuals are required.

- Effort reporting period:
  - The standard period can be found at https://efm.research.ucla.edu/ers-overview/
  - The modified periods for UCPath was shared at June 2020 RAF, which can be found at https://ora.research.ucla.edu/wp-content/uploads/RAF-2020-06-EFM.pdf
As of August 12, 2020, 756 funds with the fund end date in August 2018 or prior include:

- 667 funds: The final invoice or report was submitted but expenses in the general ledger do not reconcile to the final expenditure reported to the sponsor (GL Clean-up).
- 89 funds: The final has not been submitted Pending Department Action (Final PDA).

Review “Expired Funds to Close” report in PAMS to find your funds that require actions; either GL clean up or PDA for the final financial deliverable.

- For more details, refer to May 2020 RAF EFM presentation.

Review financial deliverables with the status of “Pending Department Action” in your worklist in PAMS.

Effective May 1, 2020, 7 accountants in EFM are working full time on closing all expired funds with the final financial deliverables due in February 2020 or prior.
UCPath Funding Roll Over and Fund End date

Yoon Lee
What is “funding rollover” process in UCPath?

- This process basically copies the funding distributions of employees (technically FAUs associated to a position) in UCPath from one fiscal year to the upcoming fiscal year so the user does not have to re-enter all labor distributions every fiscal year unless a change is required.
- It runs later in June every year.
- If funding is not roll over and the department has not add funding into the next fiscal year, prior to the first payroll in July, payroll will be charged to the department’s suspense FAU.

Scenarios where the funding will NOT roll over include:

- If the fund code in Oasis has a fund end date that is in the current fiscal year or prior, funding is not roll over.
- This affected funding roll over for contract and grant funds.

June 19th: CRU sent the announcement for FYE Funding Roll Over Process in UCPath

- To CAOs, CFOs, and UCPath GL initiators and approvers.
- You can find more information about funding roll over including additional scenarios here. [https://centralresourceunit.ucla.edu/s/article/Funding-Rollover-Process-in-UCPath](https://centralresourceunit.ucla.edu/s/article/Funding-Rollover-Process-in-UCPath)
The fund end date in the fund table in Financial System represents the last day of the latest budget period executed. For example,

- 5 year award with the project period of 7/01/2020 - 6/30/2025 is received. Only budget year 1 was executed and the fund 12345 was set up in 2020. the remaining 4 years are anticipated and committed but not yet executed.
- Then following dates will be populated in the Fund table in Financial system,
  - Project period: 7/01/2020 - 6/30/2025
  - Budget period: 7/01/2020 - 6/30/2021
  - Fund end date: 6/30/2021

**Issue with this procedure:**

- If a continuing year is not executed (in this case the budget year 2) prior to the UCPPath funding roll over date (later in June), the fund end date will remain as 6/30/21.
- UCPPath looks at the fund end date, 6/30/21, and funding will not roll over to the next fiscal year.
- Funding distribution of all positions that will continue to work on the project will need to be re-entered.
Contract and Grant Fund End Date: Remedy

**Procedure effective July 20, 2020**

- **The fund end date in the fund table in Financial System represents the last day of the project end date. For example,**
  - 5 year award with the project period of 7/01/2020 - 6/30/2025 is received. Only budget year 1 is executed and the fund 12345 is set up in 2020. The remaining 4 years are anticipated and committed but not yet executed.
  - Then following dates will be populated in the Fund table in Financial system,
    - Project period: 7/01/2020 - 6/30/2025
    - Budget period: 7/01/2020 - 6/30/2021
    - Fund end date: 6/30/2025

- **Exception for MFNOA:**
  - The fund end date will be the last day of the budget period assigned to the fund as is today.

- **For new awards processed on July 20, 2020 or onward:** Fund end date = Project end date

- **For awards processed prior to July 20, 2020:** As a continuing year is executed, the fund end date will be updated to “Project end date”.

- **ORA will run an exception report in May to catch cases where the fund end date is not the “project end date” and update those records before UCPath funding roll over date.**
Fiscal Year Journal Correction related to UCPath Issues

Andrew Merki
Agenda

UCPath Defect Financial Journal Report

- Background on Report
- List of UCPATH Defects and Associated Journals
- Sample Journal in General Ledger
- Report Sample
- Incorrect CBR Journal Posted for Summer Salary Earn Codes
- Questions
Corporate Financial Services (CFS) posted financial journals to the June 2020 ledger to correct various UCPath defects – CFS announcement can be found here:

- [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)

The financial journals will not show up in the DOPE Report or UCPath Employee Sum Report since they are not labor ledger transactions.

CFS created a separate reporting tool in coordination with GL Stabilization Workgroup that provides a detailed breakdown of these transactions by employee:

- Campus Users can access data by entering different search parameters on the reporting webpage (e.g., Emp ID, Fund #, Trans ID, etc.)
- Report security was set up/granted based on UCPath DACSS functions
- Users with UCPath Funding Entry/Inquiry and Direct Retro Entry/Inquiry access can view transactions only for departments they have been assigned to by their DSA
List of UCPath Defects and Associated Journals

- List of financial journals posted by CFS in June ledger for UCPath defects:
  - First two characters of Trans ID represent the fiscal posting month of the transaction (e.g., 12 = June, 01 = July)
  - Unresolved issues will have additional journals posted in July and subsequent months until the issue is resolved

<table>
<thead>
<tr>
<th>Trans ID</th>
<th>Defect</th>
<th>UPath Defect Resolved Going Forward?</th>
<th>UPath Defect #</th>
</tr>
</thead>
<tbody>
<tr>
<td>12PJ01</td>
<td>GAEL charges hitting Federal and Federal Flow Through funds</td>
<td>Resolved</td>
<td>UCP-74646</td>
</tr>
<tr>
<td>12PJ02</td>
<td>RPNI expenses hitting Federal Flow Through funds</td>
<td>Resolved</td>
<td>UCP-75288</td>
</tr>
<tr>
<td>12PJ04</td>
<td>Employees who are not eligible for vacation (e.g., recall and limited) are incorrectly having VLA assessed</td>
<td>Resolved</td>
<td>UCP-73470, UCP-73290</td>
</tr>
<tr>
<td>12PJ05</td>
<td>Unallowable fringe benefits hitting Work Study Funds</td>
<td>Unresolved</td>
<td>UCP-78052</td>
</tr>
<tr>
<td>12PJ06</td>
<td>Composite Benefit Rate (CBR) charging incorrectly when processing Direct Retros. Includes multiple sub issues: (1) Direct Retro is applying the current CBR rate not the CBR rate in the original pay transaction (2) CBR is not moving with the salary after processing Direct Retros (3) CBR charges are not calculated correctly during Direct Retro process when position number is changed or one of CBR characteristics is changed</td>
<td>(1) Resolved (2) Resolved (3) Unresolved</td>
<td>(1) UCP-89834 (2) UCP-84171 (3) UCP-71166</td>
</tr>
<tr>
<td>12PJ07</td>
<td>CBR rates not applied correctly when split funded across Med Center and Campus</td>
<td>Resolved</td>
<td>UCP-74887</td>
</tr>
</tbody>
</table>
Sample Journal in General Ledger

- Sample Journal for Trans ID 12PJ04 – Incorrect Vacation Leave Assessment

*Journal includes brief description of the defect and Reference for UCPath defect number, except when the journal is covering multiple defect numbers in which case no defect number is provided in the reference field.*
Report Sample

- Report home page after logging in via Single Sign On:
Report Sample

- Report search criteria interface:

```
<table>
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<th>2020</th>
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<tbody>
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<td>Trans ID:</td>
<td>Trans ID</td>
</tr>
<tr>
<td>Employee ID:</td>
<td>Employee ID</td>
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<td>Pay End Date From:</td>
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<td>To:</td>
<td>Select To Date</td>
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<td>Dept Code</td>
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<td>Account Number</td>
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<td>Cost Center:</td>
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Go
• Sample results from report:

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<th>Employee Name</th>
<th>Tran Date</th>
<th>Pay Run ID</th>
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<th>Position</th>
<th>Expense Description</th>
<th>Pay End Date</th>
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<td>Bruin, Joe</td>
<td>11/25/2019</td>
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<td>01/25/2020</td>
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UCLA Research Administration
Sample results from report (continued):

<table>
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<th>P</th>
<th>Q</th>
<th>R</th>
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<td>Cost Center</td>
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<td>($9.41)</td>
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Incorrect CBR Posted for Summer Salary Earn Codes

- **12PJ06 – Incorrect CBR Rate Assessed** – issue discovered with financial journal that was posted for summer salary earn codes
  
  ◦ Journal posted for Trans ID 12PJ06 used an incorrect CBR rate for summer salary earn codes (e.g., ACR)
  ◦ A subsequent correcting journal will be posted by CFS to July ledger to correct these cases
Threshold for Revised Closeout Packet and PI’s Re-Certification

Monida Hean
Currently, when the variance between the final expenditure of the revised closeout packet and that of the original closeout packet is greater than $100, a revised closeout packet is required. When the variance is greater than $500, PI's recertification is required.

The current threshold has been in place for over 10 years. It was established by a committee representing various areas on campus that aim to improve the research administration process.

Given that it has been more than 10 years, EFM is revisiting this topic for the benefit of campus and EFM.

EFM conducted a survey to collect feedback from campus in order to determine a reasonable threshold for a revised closeout packet (COP) and PI’s re-certification.

- Total responses received = 159
## Survey Responses

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<tr>
<th>Answer Choices</th>
<th>Percentage</th>
<th>Count</th>
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</thead>
<tbody>
<tr>
<td>$100 for revised COP; $500 for PI’s re-certification (as is)</td>
<td>15.09%</td>
<td>24</td>
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<td>$500 for revised COP; $1,000 for PI’s re-certification</td>
<td>32.08%</td>
<td>51</td>
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<td>19.05%</td>
<td>31</td>
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<td>$1,000 for revised COP; $2,000 for PI’s re-certification</td>
<td>8.81%</td>
<td>14</td>
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<tr>
<td>$1,500 for revised COP; $3,000 for PI’s re-certification</td>
<td>15.72%</td>
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<tr>
<td>Other</td>
<td>8.81%</td>
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<td><strong>TOTAL</strong></td>
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## Responses Received by School/College

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<th>Answer Choices</th>
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<tbody>
<tr>
<td>College of Letters and Science</td>
<td>18.71%</td>
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<tr>
<td>David Geffen School of Medicine</td>
<td>50.97%</td>
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<td>Education and Information Studies</td>
<td>2.58%</td>
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</tr>
<tr>
<td>Fielding School of Public Health</td>
<td>4.52%</td>
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</tr>
<tr>
<td>Henry Samueli School of Engineering and Applied Science</td>
<td>4.52%</td>
<td>7</td>
</tr>
<tr>
<td>Semel Institute</td>
<td>7.10%</td>
<td>11</td>
</tr>
<tr>
<td>Other</td>
<td>11.16%</td>
<td>18</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td><strong>155</strong>*</td>
<td></td>
</tr>
</tbody>
</table>

*4 responders did not indicate school/college*
New Threshold for Revised COP and PI’s Re-Certification

• Effective August 13, 2020, the new threshold is:
  ◦ $500 for revised COP; $1,000 for PI’s re-certification

• The EFM website has been updated to reflect this change:
  ◦ https://efm.research.ucla.edu/closeout-packet/
Any Questions?

Contact Information

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

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