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

- **Human Research Protection Program**
  - OHRPP Updates – Moore Rhys

- **Contract and Grant Administration**
  - OCGA Master Training – Jim Fong
  - Grant Policy Updates – Kathy Kawamura

- **Extramural Fund Management**
  - Cost Sharing – Yoon Lee
  - Effort Reports – Andrew Merki

- **Q&A** – Open Forum
OHRPP Updates

October 8, 2020
OHRPP Updates

Job Announcements

Abbreviated applications - in the works

Fund Managers wanted!

Learn at Lunch

OHRPP Office Hours & Human Research News
IRB Analyst

IRB Administrator

Both positions close on 10/9/2020 (unless insufficient applications received). *Please forward/apply today!*
Abbreviated Applications

Online applications for

- Emergency Use of a Test Article
- Humanitarian Use Device (HUD)
- Expanded Access
- Right to Try

...are in development. We anticipate launching them next spring. Watch this space for updates.

➢ In the meantime, please contact OHRPP for analog submissions.
OHRPP is working on updates to our electronic submission system to improve speed/performance and simplify the submission process.

As part of this, we are reaching out to stakeholders.

We would love to speak with some fund managers as part of this process.

How do you use webIRB?

What information do you access in the system?

Please contact the OHRPP Quality Improvement Unit if you’re willing to share your experience with OHRPP systems.
Learn at Lunch – upcoming sessions

- **October 21, 2020**, noon-1pm “Conducting a Risk Assessment” presented by Moore Rhys, OHRPP
  - Register in advance

- **November, 2020 (exact date TBD)**, noon-1pm “Coordinating with other Research Oversight Committees” presented by Mark Mimnaugh, OHRPP
  - Subscribe to HRN for updates on this event
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, October 13, 2020 8:30am
  - Tuesday, October 27, 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
OCGA Master Training

In the beginning ...

- OCGA Master Training Calendar
  - Started September 2014
  - In-person sessions scheduled every month
  - No cost to attend these sessions

https://ocga.research.ucla.edu/training-calendar/
## OCGA Master Training

### Topics

<table>
<thead>
<tr>
<th>Topic</th>
<th>2017</th>
<th>2018</th>
<th>2019</th>
<th>2020</th>
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<tr>
<td>Filling out the EPASS</td>
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<td>Budgets 101</td>
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<td>Outgoing Subaward Basics</td>
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<td>S2S Grants Basics</td>
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<td>NSF Fastlane and Research.gov</td>
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<td>What Constitutes a Complete Proposal Package</td>
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<td>Compliance at the Proposal Stage</td>
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<td>X</td>
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<tr>
<td>Post Submission – Pre Award</td>
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<tr>
<td>Award Processing</td>
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<tr>
<td>Contracts 101</td>
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</table>
## OCGA Master Training

*Topics for the future?*

<table>
<thead>
<tr>
<th></th>
<th>2021</th>
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</tbody>
</table>
OCGA Master Training

Contact Information

Jim Fong, Assistant Director
Email: jim.fong@research.ucla.edu
Send Action Request to Proposal/Award Intake

Logging of activity ensures assignment and processing by staff on hand

<table>
<thead>
<tr>
<th><a href="mailto:Proposals@research.ucla.edu">Proposals@research.ucla.edu</a></th>
<th><a href="mailto:Awards@research.ucla.edu">Awards@research.ucla.edu</a></th>
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<tr>
<td>Proposal for Review/Submission</td>
<td>Award for Processing</td>
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<tr>
<td>Progress Report/RPPR</td>
<td>Carryforward Request</td>
</tr>
<tr>
<td>JIT/Pre-Award Request</td>
<td>No-Cost Extension (Requests 1, 2, 3)</td>
</tr>
<tr>
<td>Supplemental Information</td>
<td>Other Prior Approval Requests (Inc. Revised SOW)</td>
</tr>
<tr>
<td>Revised Budget</td>
<td>Relinquishment of Award Request</td>
</tr>
<tr>
<td>PI Change</td>
<td>Closeout Request (Technical, Invention/Patent, Equipment)</td>
</tr>
<tr>
<td>Department Change</td>
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</table>
### Standard Application Deadlines

#### Upcoming NIH Cycle 2020

<table>
<thead>
<tr>
<th>Activity Code</th>
<th>Program Description</th>
<th>Due Date</th>
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<tbody>
<tr>
<td>P Series - ALL</td>
<td>Program Project/Center Grants</td>
<td>September 25</td>
</tr>
<tr>
<td>T Series - ALL</td>
<td>Institutional Training Grants</td>
<td>September 25</td>
</tr>
<tr>
<td>R01 – New</td>
<td>Research Grants</td>
<td>October 5</td>
</tr>
<tr>
<td>U01 - New</td>
<td>Research Grants - Cooperative Agreements</td>
<td>October 5</td>
</tr>
<tr>
<td>K01 - New</td>
<td>Research Career Development</td>
<td>October 12</td>
</tr>
<tr>
<td>R21 - New</td>
<td>Research Grants</td>
<td>October 16</td>
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<table>
<thead>
<tr>
<th>Activity Code</th>
<th>Program Description</th>
<th>Due Date</th>
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<tbody>
<tr>
<td>R01 – Renewal, Resubmission, Revision</td>
<td>Research Grants</td>
<td>November 5</td>
</tr>
<tr>
<td>U01 - Renewal, Resubmission, Revision</td>
<td>Research Grants - Cooperative Agreements</td>
<td>November 5</td>
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<tr>
<td>K01 - Renewal, Resubmission, Revision</td>
<td>Research Career Development</td>
<td>November 12</td>
</tr>
<tr>
<td>R21 – Resubmission, Revision</td>
<td>Research Grants</td>
<td>November 16</td>
</tr>
<tr>
<td>F – New, Renewal, Resubmission</td>
<td>Individual National Research Service Awards</td>
<td>December 8</td>
</tr>
</tbody>
</table>
Prior Approval = Approval Prior

**TOP FIVE**

- No Cost Extension
- Carryover Unobligated Balances
- Change in Status of PD/PI or Sr. Key named in NOA
- Deviation from Award Terms & Conditions
- Foreign Component added to a grant

### NIH Grants Policy Statement - Prior Approval (8.1.2)

<table>
<thead>
<tr>
<th>NIH prior approval is required for</th>
<th>Under the following circumstances</th>
</tr>
</thead>
<tbody>
<tr>
<td>Additional no-cost extension, extension greater than 12 months, or late notification of initial no-cost extension (8.1.2.1)</td>
<td>All instances.</td>
</tr>
<tr>
<td>A&amp;R (8.1.2.2)</td>
<td>Rebudgeting into A&amp;R costs that would exceed 25 percent of the total approved budget for a budget period. If rebudgeting would not meet this threshold but would result in a change in scope.</td>
</tr>
<tr>
<td>Capital expenditures (construction, land, or building acquisition) (8.1.2.3)</td>
<td>All instances. Also, any proposals to convey, transfer, assign, mortgage, lease, or in any other manner encumber real property acquired with NIH grant funds.</td>
</tr>
<tr>
<td>Carryover of unobligated balances (8.1.2.4)</td>
<td>If the NoA indicates that the recipient does not have the authority to automatically carry over unobligated balances.</td>
</tr>
<tr>
<td>Change in scope (8.1.2.5)</td>
<td>All instances.</td>
</tr>
<tr>
<td>Change in status of the PD/PI or senior/key personnel named in the NoA (8.1.2.6)</td>
<td>A significant change in the status including but not limited to withdrawal from the project; absence for any continuous period of 3 months or more; reduction of the level of effort devoted to the project by 25 percent or more from what was approved in the initial competing year award.</td>
</tr>
<tr>
<td>Change of recipient organization (8.1.2.7)</td>
<td>All instances.</td>
</tr>
<tr>
<td>Change of recipient organization status (8.1.2.8)</td>
<td>All instances.</td>
</tr>
<tr>
<td>Deviation from award terms and conditions (8.1.2.9)</td>
<td>All instances. Includes undertaking any activities disapproved or restricted as a condition of the award.</td>
</tr>
<tr>
<td>Foreign component added to a grant to a domestic or foreign organization (8.1.2.10)</td>
<td>All instances.</td>
</tr>
<tr>
<td>Make subawards based on fixed amounts (8.1.2.11)</td>
<td>All instances.</td>
</tr>
<tr>
<td>Need for additional NIH funding (8.1.2.12 and 8.1.2.13)</td>
<td>All instances, including extension of a final budget period of a project period with additional funds.</td>
</tr>
<tr>
<td>Pre-award costs (8.1.2.14)</td>
<td>More than 90 days before effective date of the initial budget period of a new or competing continuation award, always at the recipient’s own risk.</td>
</tr>
<tr>
<td>Rebudgeting funds from trainee costs (8.1.2.15)</td>
<td>All instances.</td>
</tr>
<tr>
<td>Rebudgeting of Funds between construction and non-construction work (8.1.2.16)</td>
<td>All instances.</td>
</tr>
<tr>
<td>Retention of research grant funds when CDA awarded (8.1.2.17)</td>
<td>All instances.</td>
</tr>
</tbody>
</table>
UCLA Policy 910 (7/1/2002)

Management of Sponsored Projects

Selected Department, Principal Investigator, and Dean Responsibilities

2. Determine the eligibility of the individual designated as Principal Investigator (PI) or Co-Principal Investigator in accordance with UCLA Policy 900, Principal Investigator Eligibility;

3. Ensure the appropriateness of the effort committed to the project made by UCLA faculty, staff and students;

3. Comply with the specific terms and conditions of each Award as stated in the Contract, Grant, Cooperative Agreement or Subaward documents and with all administrative requirements, as set forth by the federal government, sponsoring agency and campus policy statements, as applicable;

7. Comply with the reporting requirements as stated in the Contract, Grant, Cooperative Agreement or Subaward documents, including the submission of periodic and final programmatic reports, financial reports, invention reports and inventory and equipment reports; and
Change in Status, Including Absence of PD/PI and Other Key Personnel Named in the Notice of Award NOT-OD-20-124

• “…..because NIH recipients are expected to provide safe and healthful working conditions for their employees and foster work environments conducive to high-quality research, the request for approval should include mention as to whether change(s) in PD/PI or Senior/Key Personnel is related to concerns about safety and/or work environments (e.g. due to concerns about harassment, bullying, retaliation, or hostile working conditions).”

NIH Policy on Use of Hypertext in NIH Grant Applications NOT-OD-20-174

• Hyperlinks usually limited to publications only
• Reviewers are instructed NOT to click on hyperlinks

NIH Virtual Seminar 2020

• October 27 - 30
• Free Registration
  • Demystify the application and review process;
  • Clarify federal regulations and policies; and
  • Highlight current areas of special interest or concern.
NIH Foreign Component Definition

The performance of any significant scientific element or segment of a project outside of the United States, either by the recipient or by a researcher employed by a foreign organization, whether or not grant funds are expended. Activities that would meet this definition include, but are not limited to, (1) the involvement of human subjects or animals, (2) extensive foreign travel by recipient project staff for the purpose of data collection, surveying, sampling, and similar activities, or (3) any activity of the recipient that may have an impact on U.S. foreign policy through involvement in the affairs or environment of a foreign country. Examples of other grant-related activities that may be significant are:

- collaborations with investigators at a foreign site anticipated to result in co-authorship;
- use of facilities or instrumentation at a foreign site; or
- receipt of financial support or resources from a foreign entity.

Foreign travel for consultation is not considered a foreign component.

REMINDER: Prior Approval is REQUIRED per NIH Grants Policy Statement 8.1.2.10
LOCAL RESOURCES: UCLA Research Policy & Compliance Foreign Engagement
“other support includes 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.).”
FAQs - Other Support & Foreign Components

A researcher at my institution has a 9-month appointment. They spend 2 months at a University outside of the United States during the summer conducting research under a foreign award. Does this count as Other Support?

Yes. Available resources in support of and/or related to an investigator’s research endeavors should be disclosed even if they relate to work that is performed outside of a researcher’s appointment period.
FAQs - Other Support & Foreign Components

I am a Principal Investigator on an NIH award to a domestic university and have an unpaid appointment at a foreign university. At the foreign site I have access to lab space, research materials, and staff. Should I report this as Other Support?

Yes. While the researcher is not receiving monetary compensation, the lab space, materials, and staff are resources made available to them in support of and/or related to their research efforts. Other payments, such as travel or living expenses must also be reported. As outlined in NOT-OD-19-114 this appointment must be reported as Other Support. NIH requires applicants to list all positions & scientific appointments both domestic and foreign held by senior/key personnel that are relevant to an application including affiliations with foreign entities or governments. This includes titled academic, professional, or institutional appointments whether or not remuneration is received, and whether full-time, part-time, or voluntary (including adjunct, visiting, or honorary).
FAQs - Other Support & Foreign Components

What are the consequences if “NIH determines that an institution is not complying with NIH policies for transparency & disclosure of all Other Support?”

may include the following...

• withdraw approval of PD/PI or other researchers on award
• adding special terms and conditions on award
• disallowing costs
• suspend or terminate award
ORCID (Open Researcher and Contributor Identifiers)

- [https://orcid.org/](https://orcid.org/)
  - Fast, Simple Registration
  - Non-Sponsor Specific (many Sponsor utilize / require)

- Per [NOT-OD-19-109](https://orcid.org/)
- NIH Required
  - Fellowship (F) and Career Development (K)
  - Must be added to NIH eCommons Personal Profile or will result in “error”
  - Error will not be known until AFTER the Proposal is submitted, and passed through NIH eCommons validations
    - *submit early*
Proposal & Award Policies & Procedures Guide (PAPPG; NSF 20-1)
Proposals submitted or due on or after June 1, 2020

PAPPG Updates

- RAPID or EAGER proposals require email from NSF PO approving submission of proposal to be submitted.
- Biographical Sketches must be submitted in a “NSF-approved format”
  - Language added requiring “all” appointments to be listed
- Current and Pending Support – must be submitted in a “NSF-approved format”

NSF-Approved Format

- SciENcv
  - Bio - available now – highly encouraged
  - Current/Pending – available now – highly encouraged
- NSF Fillable PDF
  - Bio – revised March 1, 2020 (NSF Biosketch 20-1)
  - Current/Pending – revised March 1, 2020 (NSF CPS 20-1)
NSF

Proposal & Award Policies & Procedures Guide (PAPPG; NSF 20-1)

REMINDEERS

NSF Current and Pending Support (CPS) (PAPPG Chapter II.C.2.h)

CPS FAQs (7/30/20)

- “all resources made available to an individual in support of and/or related to all of his/her research efforts, regardless of whether or not they have monetary value.”
  - In-kind support with effort used in project/proposal – CPS
  - in-kind support with NO effort used in project/proposal – Facilities, Equipment & Other Resources
  - Mentoring of outside of UCLA - CPS
  - Conducting research as part of a consultant agreement - CPS

NSF Biosketch (PAPPG Chapter II.C.2.f)

- List appointments “whether or not remuneration is received, and whether full-time, part-time, or voluntary (including adjunct, visiting, or honorary).
- Projects limited to 10 (5 related to project) + (5 other significant products)
  - “et al.” maybe used for biosketch publications only (8/27/20 NSF FAQs)
- Synergistic Activities limited to 5
Proposal & Award Policies & Procedures Guide (PAPPG; NSF 20-1)

NSF APPROVED FORMAT Effective: October 5, 2020

NSF Fillable PDF

◦ Not encouraged
◦ Not flexible
  ◦ Download of pdf must be blank; DO NOT save to pdf or print to pdf
  ◦ Text fields and formatting of fillable pdf CANNOT be modified
    ◦ Ex: limitation on citations, synergistic activities, CPS project/proposal, in-kind contributions
    ◦ Cannot add extra text; cannot delete blank pages or blank spaces
  ◦ Will cause errors; not allow proposal to be submitted due to systematic error.

FAQs

◦ NSF Biosketch - FAQs
◦ NSF Current and Pending Support - FAQs
Science Experts Network Curriculum Vitae

- Part of My NCBI
  - Sign in with NIH eCommons, NSF, Google, or other Institutional Login Accounts

Benefits per SciENcv

- “Eliminates the need to repeatedly enter biosketch information”
- “Reduces the administrative burden associated with federal grant submission and reporting requirements”
- “Provides access to a researcher-claimed data repository with information on expertise, employment, education, and professional accomplishments”
- “Allow researchers to describe their scientific contributions in their own language”
NSF Biosketch

NIH Biosketch
SciENcv YouTube Videos

NSF Biographical Sketch

SciENcv for NSF Users: Biographical Sketches

NSF Current and Pending Support

SciENcv for NSF Users: Current and Pending Support
Mandatory Cost Share

UCLA OCGA ePass Form (updated 8/25/20)

Cost Share or matching means the portion of project costs not paid by the Sponsor (2 CFR 200.36, 2 CFR 200.306)

*Voluntary committed cost sharing* means cost sharing specifically pledged on a voluntary basis in the proposal's budget or the Federal award on the part of the non-Federal entity and that becomes a *binding requirement* of Federal award. (2 CFR 200.99)

Departments are responsible for tracking all voluntary cost share and responsible for providing a report as requested in an audit to prove voluntary cost share was provided in conjunction with the award.
Cost Share or matching means the portion of project costs not paid by the Sponsor (2 CFR 200.36, 2 CRF 200.306)

Voluntary committed cost sharing means cost sharing specifically pledged on a voluntary basis in the proposal's budget or the Federal award on the part of the non-Federal entity and that becomes a binding requirement of Federal award. (2 CFR 200.99)

Departments are responsible for tracking all voluntary cost share and responsible for providing a report as requested in an audit to prove voluntary cost share was provided in conjunction with the award.
THANK YOU !!!
Any Questions?

http://ocga.research.ucla.edu
Extramural Fund Management
Agenda

- Cost Sharing
- Effort Report: Special Instructions
Cost Sharing

Yoon Lee
**Cost Sharing**

- **Effective today, October 8th, for new awards that are processed, cost sharing will be indicated in the award snapshot following the procedure presented by OCGA today.**
  - When “mandatory cost sharing” is indicated in the award snapshot,
    - The cost sharing contribution form must be submitted to EFM.
    - EFM will review the form and report cost sharing to the sponsor as required.
  - When “mandatory cost sharing” is not indicated in the award snapshot,
    - The cost sharing contribution form is not required for submission to EFM.
    - If cost sharing was voluntarily committed in the proposal, the department is responsible for fulfilling cost share commitment and retaining documentation to provide evidence upon request.

- **For existing awards with cost sharing indicated in the award snapshot,**
  - When “mandatory cost sharing” is indicated, there is no change to the procedure.
    - The cost sharing contribution form must be submitted to EFM.
    - EFM will review the form and report cost sharing to the sponsor as required.
  - When “voluntary committed cost sharing” is indicated, does the sponsor require cost sharing reporting?
    - If yes, this is the scenario where cost sharing will be indicated as “mandatory” in the award snapshot for new awards going forward following the new procedure presented by OCGA. The cost sharing contribution form must be submitted to EFM. EFM will review the form and report cost sharing to the sponsor as required.
    - If no, the cost sharing contribution form is not required for submission to EFM. The department is responsible for fulfilling cost share commitment and retaining documentation to provide evidence upon request.

- **Cost sharing contribution form and the instruction for completing the form can be found at EFM website:**
  - [https://efm.research.ucla.edu/cost-sharing/](https://efm.research.ucla.edu/cost-sharing/)
Effort Report: Special Instructions

Andrew Merki
Effort reports were released on Thursday, September 24th for the following periods:

- Certification due date: Friday, November 13th
- In total **11,589** reports were released across the Summer, Modified Fall, and Winter periods
- General information on certifying effort reports can be found on the ERS section of the EFM website: [https://efm.research.ucla.edu/ers-overview/](https://efm.research.ucla.edu/ers-overview/)
- All payroll transactions through July 2020 are loaded in ERS so all direct retros processed through that period are reflected in the effort reports.
- A schedule to load subsequent direct retros processed for August 2020 through current is being finalized in coordination with UCPath Center.

### Reporting Period

<table>
<thead>
<tr>
<th>Reporting Period</th>
<th>Non-Academic and 11/12 Academics</th>
<th>9/12 Academics</th>
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</thead>
<tbody>
<tr>
<td>Summer</td>
<td>N/A</td>
<td>June 2018 – September 2018 (*)</td>
</tr>
<tr>
<td>Modified Fall</td>
<td>August – December 2018</td>
<td>August – October 2018</td>
</tr>
<tr>
<td>Winter</td>
<td>January – March 2019</td>
<td>November 2018 – February 2019</td>
</tr>
</tbody>
</table>

(*) Additional Compensation DOS codes only
Exception Reports Flagged as “Under Prelim Review”

• As noted at September RAF and in the ERS release announcement to campus, some reports have been flagged as “Under Prelim Review” in ERS due to unresolved UCPath defects.
  ◦ An ERS Master Exception List of all effort reports flagged as “Under Prelim Review” along with special instructions can be found on EFM’s website: https://efm.research.ucla.edu/ers-training/#specialinstructions
  ◦ In addition, the “Under Prelim Review” flag appears in two places in ERS:
    1. Under a separate column in the employee’s Report List
    2. On the effort report in the upper right corner with a red box
Exception Reports Flagged as “Under Prelim Review”

- There are four unresolved UCPath issues that are being flagged in impacted effort reports. Additional issues may be added to the exception list if any are discovered.

- The specific issue impacting an effort report is noted in 1) the ERS Master Exception List Excel file and 2) under the “Comment Log” in the effort report in ERS:
Exception Reports Flagged as “Under Prelim Review”

• List of UCPath defects that were flagged and noted at September RAF and in ERS release announcement to campus:
  1. “Incorrect percent of effort for effort bearing payroll line—review supplemental Excel file and job aid provided by EFM before certification”
  2. “Pending Mass Leave Correction (MLC) entry—do not certify until further instruction is provided by EFM”
  3. “Missing payroll record(s) in effort report—do not certify until further instruction is provided by EFM”

• UCPath defect to be newly added to the ERS Master Exception List and flagged in ERS shortly:*  
  4. “Y-OTC or N-OTC indicator is missing—do not certify until further instruction is provided by EFM”

*EFM will send an email to campus once the ERS Master Exception List is updated with reports impacted by the Y-OTC/N-OTC issue and reports have been flagged as “Under Prelim Review” in ERS.
“Incorrect percent of effort for effort bearing payroll line—review supplemental Excel file and job aid provided by EFM before certification”

- Recap of action plan described at September 2020 RAF:
  - EFM has published a report listing all individual effort reports impacted by this issue to EFM website.
  - EFM will provide a job aid and a supplemental Excel file with recalculated effort percentages for impacted employees for departments to review and update effort reports.
  - EFM will host a webinar on Monday, October 19th to demonstrate manual adjustment using the supplemental Excel file and the job aid.

- Example of incorrect percent of effort in ERS detail for an effort report:

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Non-Sponsored Activities

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Examples of Unresolved UCPath Defects
Examples of Unresolved UCPath Defects

- “Pending Mass Leave Correction (MLC) entry—do not certify until further instruction is provided by EFM”
  - MLC is correcting two issues related to exceptions (e.g., VAC, SKL) taken:
    - Vacation credit was not allocated across multiple funding sources
    - Vacation credit did not post to the funding source for the month vacation was taken but to the current funding source when vacation credit is processed. Incorrect funding is credited if funding distribution changed (called “Leave in arrear” issue).
  - Example of MLC issue in ERS:
    - In this example, the “Leave in Arrear” issue is impacting the effort report. The exception (VAC) incorrectly allocated to the employee’s current funding distribution (7/31/20) instead of the funding distribution of the original period vacation was taken (2/28/19 and 3/31/19).
Examples of Unresolved UCPath Defects

• Note on PPS Effort Reports reopened due to exception (e.g., VAC, SKL) issues
  ◦ It was discovered that some PPS effort reports were reopened due to UCPath exceptions (e.g., VAC, SKL) that were posted in UCPath but for previous PPS effort report periods (7/31/18 and prior)
  ◦ EFM is looking into these cases for a resolution since effort reports should not have been reopened. An update will be sent to campus and the website for ERS Special Instructions will be updated once a solution is identified.
Examples of Unresolved UCPath Defects

• “Y-OTC or N-OTC indicator is missing—do not certify until further instruction is provided by EFM”
  ◦ In some cases, either the Y-OTC or the N-OTC line was not correctly processed and is missing from the labor ledger.
  ◦ This results in two issues:
    ◦ Payroll is incorrect on the labor ledger since the dollars for the Y-OTC or N-OTC line are missing.
    ◦ Effort % is incorrectly calculated due to the missing Y-OTC or N-OTC line.
Examples of Unresolved UCPath Defects

- “Y-OTC or N-OTC indicator is missing—do not certify until further instruction is provided by EFM” (continued)
  - Example of an N-OTC line that was processed with a Y-OTC line:
    - In this example, “above the line” federal FAU contains several payroll charges that were ultimately transferred off the fund via Direct Retro.
    - The N-OTC line is showing up in the correct FAU. However, the Y-OTC was not processed in the labor ledger and is therefore not showing up in the effort report. The effort percent associated with the N-OTC line is also calculated incorrectly and causing the total effort for the FAU to be incorrect.

The N-OTC line does not have a corresponding Y-OTC line in Excluded Earnings as we would expect.
Next Steps

• EFM to post updated version of the ERS Master Exception List to the EFM website. An email will be sent to campus once complete.

• EFM to host webinar on Monday, October 19th to review job aid and process for updating effort reports with incorrect percent of effort. Invitation will be sent to campus.

• Reach out to ERS Help Desk for any questions or issues related to effort reports: ershelp@research.ucla.edu
Any Questions?

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