Welcome and Reminders

• 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

• Use the “raise hand” option to ask a question verbally. You will be allowed to unmute.

• Slides will be posted on ORA website following the meeting
• **Welcome & Announcements** – *Marcia Smith*

• **Human Research Protection Program** – *Moore Rhys*
  ◦ Functionalities in webIRB

• **Contract and Grant Administration**
  ◦ Updates: Leave of Absence, Teleworking Overseas, DoD IT Security Reviews – *Tracey Fraser*
  ◦ Other Support: Update and Resources – *Maria Shuch*

• **Extramural Fund Management**
  ◦ PAMS Advanced Deliverable Search (ADS) – *Jennifer Iglesias*
  ◦ Effort Reporting Certification – *Robert De Jesus*

• **Open Forum** – Questions, Discussion – *All*
OHRPP Updates

- Edit Study Personnel & automated training check functions
- Upcoming planned webIRB *temporary* shutdown
- OHRPP Office Hours
- Human Research News
As of July 1, 2021, webIRB has a new function that allows the PI, PI proxy, and study contact person to add or remove certain members of the study team without submitting an amendment.

As the same time (and to make the edit study personnel function possible) we launched automated training checks for key personnel with roles that require human subjects training.

These checks will be done for initial submissions, AMs, CRs, and with the “edit study personnel” function.

If training isn’t complete, you’ll get an error message preventing submission.
We have a recorded training available for anyone who missed the Learn at Lunch presentation in July. You can find the training [here](slide deck is [here](here)) with our other webIRB video tutorials:
How to prevent submission delays under the new functions:

1. Use the new “edit study personnel” function to remove any key personnel no longer working on the project.

2. Ensure that key personnel have their CITI account linked to their SSO.

3. Ensure that key personnel with multiple CITI account merge them into a single account.

4. Ensure that key personnel working on the project maintain current required training.
FAQ:

- Does the automatic CITI check run for the study contact person listed in section 1.1/item 4.0? No, but the CITI check is used for the PI, FS, and Key Personnel.

- Can the Study Contact Person use the Edit Study Personnel Activity even if they do not have the PI Proxy privileges? Yes.

- Will CITI training be required for people who have the role "Fund Manager (CITI not required if only serving in this role)"? No, CITI training is not required for the following roles:
  - “Regulatory Coordinator (CITI not required if only serving in this role)"
  - “Fund Manager (CITI not required if only serving in this role)”
FAQ:

- When does the CITI training information sync to webIRB? Is this done on an ongoing basis, hourly, or once a day (if so, what time)? **Once a day** (a midnight feed from CITI is converted into webIRB format and synced at 8am)

- Can I use the Edit Study Personnel activity when an amendment is open? **No**

- Can I use the Edit Study Personnel activity when a study is in an “expired” state? **Yes, but only to remove personnel.**

- Can I use the Edit Study Personnel activity to change the P.I. or Co-P.I.? **No**

- Can I use the Edit Study Personnel activity to change the Co-Investigator? **Yes**
Planned temporary webIRB shutdown

Reminder: There will be a planned shutdown of webIRB (related to SafetyNet Integration) scheduled for

Friday, August 20 5pm
through
Saturday, August 21 5pm
OHRPP Quality Improvement Unit staff are hosting **half-hour open Q/A sessions every other week** to answer your questions.

**Upcoming sessions**
- Tuesday, August 17, 2021 8:30am
- Tuesday, August 31, 2021 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*
Miscellaneous Updates

• PI/Key Personnel Leave of Absence
• Temporarily Teleworking from Overseas
• DoD Contracts & Subcontracts: New IT Security Requirements
PI/Key Personnel Leave of Absence

• Sponsors typically expect that PIs are engaged in conducting and overseeing research projects and personnel at UCLA facilities

• When PIs are away from these facilities or absent from a project for a period of time, the sponsor needs to know of and approve the absence and any plan to address it

• Generally, all federal sponsors require approval of at least an absence of three months
Non-federal sponsors do not typically call out a specific period of time, other than when a PI leaves UCLA; however, an absence of more than three months should be a basis of discussion with the sponsor, including a plan as to how the work will proceed during the absence.

For temporary absences where the PI wishes to continue to oversee the project (e.g. off campus sabbatical, FMLA, etc.), a request should be submitted to the sponsor, seeking approval for the PI to remain on the project despite the absence and describing how the PI will remain engaged in the project. Such requests must originate with the PI and be endorsed and submitted by OCGA as the Institute’s Authorized Representative.
If the PI wishes to continue to oversee the project, the following information should be provided:

- The nature of the leave
- If there will be any change in scope of the project due to the leave
- The location from which the PI/key personnel will perform the work (USA or abroad, if abroad what country)
- How the PI will continue to direct the work remotely (e.g., how will they communicate with and supervise those still at UCLA, including methods of communication and frequency)
- If human subjects or animals research is involved, how will that work be managed in the PIs physical absence
- Whether the level of effort the PI will spend on the project will be reduced
- How financial oversight will be managed
Regulatory and Sponsor Requirement
For non-construction Federal awards, recipients must request prior approvals from Federal awarding agencies for the following program or budget-related reasons... The disengagement from the project for more than three months, or a 25 percent reduction in time devoted to the project, by the approved project director or principal investigator.
Section 4.8.1.2.6 Change in Status, Including Absence of PD/PI and Other Senior/Key Personnel Named in the NoA

The recipient is required to submit a prior approval request to the GMO if:

- There is a significant change in the status of the PD/PI or other Senior/Key Personnel specifically named in the NoA including but not limited to:
  - withdrawing from the project entirely,
  - being absent from the project during any continuous period of 3 months or more, or
  - reducing time devoted to the project by 25 percent or more from the level that was approved at the time of initial competing year award (for example, a proposed change from 40 percent effort to 30 percent or less effort or in calendar months a change from 4.8 to 3.6 calendar months)

- NOT-OD-18-172
- NOT-OD-20-124
VII Grant administration

B. 2. a. Long-Term Disengagement of PI/PD or co-PI/co-PD

In the event the PI/PD or co-PI/co-PD will be disengaged from the project for a period greater than three months (e.g., sabbatical leave) but intends to return, arrangements for oversight of the project must be signed and submitted by the AOR via use of NSF's electronic systems.

This request must be submitted at least 30 days before departure or as soon as practicable after the prospective disengagement is known.

The cognizant NSF Program Officer will provide written approval to the grantee if the arrangements are satisfactory, but no formal amendment to the grant will be made. If the arrangements are not satisfactory to NSF, the grant may be terminated.
Temporarily Teleworking from Overseas

• Need to inform sponsors and/or request prior approval if personnel working on contracts and grants are temporarily working abroad

• APO and Grad Office have implemented review processes that include OCGA if C&G are involved

• Sponsor approval should be obtained prior to commencement of overseas activities
Temporary Overseas Telework Exceptions

UCOP Academic Personnel and Programs

The following academic appointees are permitted to temporarily telework from overseas if they are, by exception, approved to do so by a central campus office and the appointee’s supervisor/department head, and in accordance with their campus approval protocols and procedures.

1. Academic appointees (including student employees) who have a visa but are subject to a travel restriction and cannot enter the U.S;

2. Newly appointed academic appointees (including student employees) who have been unable to obtain their visa to enter the U.S; and

3. Current academic appointees (including student employees) who have been unable to renew their visa to enter the U.S.
DoD recently implemented additional IT security requirements and reporting to comply with the National Institute of Standards and Technology, NIST 800-171 in the protection of unclassified federal information in nonfederal systems and organizations.

Before any new DoD award, task order, modification or no cost extension can be issued, each project is required to develop a system security plan (SSP), perform a detailed self-assessment and create a plan of action (PoAM) to implement any missing controls.
Initially we are only required to develop a plan and submit a score, but eventually (by 2025) all recipients of DoD contract funding must demonstrate that they have achieved an acceptable score.

David Shaw, UCLA’s Chief Information Security Officer is working with consultants to support SSP development and self-assessments, and PoAMs for PIs with DoD contracts/subcontracts.

A heads up has been sent to all PIs with active DoD contracts & subcontracts.
Any Questions?
Other Support and Current and Pending Support Website

August 12, 2021
OCGA Other Support and Current and Pending Support Website

https://ocga.research.ucla.edu/other-support/

For important updates on Other Support and Current and Pending Support, see: https://ocga.research.ucla.edu/other-support

For important updates and information on COVID-19 impacts related to sponsored research, see: https://ocga.research.ucla.edu/covid-19
Current Content

- NIH Other Support
- NSF Current and Pending Support
- DOD Previous/Current/Pending Support
- NASA Current and Pending Support
- DOE (Energy) Current and Pending Support
- Other Support FAQs
- Additional Resources
What is Other Support?

Other Support

Sometimes referred to as "current and pending support" or "active and pending 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. Funding entities use this information in the identification and resolution of potential overlap of support.

Overlap

Whether scientific, budgetary, or commitment of an individual's effort greater than 100 percent, is not permitted. The goals in identifying and eliminating overlap are to ensure that sufficient and appropriate levels of effort are committed to the project; that there is no duplication of funding for scientific aims, specific budgetary items, or an individual's level of effort; and only funds necessary to the conduct of the approved project are included in the award.
Effective May 25, 2021, the NIH expects applicants and recipients to use the updated biosketch and other support formats for applications, Research Performance Progress Reports (RPPR), and Just-in-Time (JIT) Reports. Immediate use of the updated formats is preferred but not required until January 25, 2022.

Effective January 25, 2022, the NIH will require the use of the updated formats for any submissions on or after January 25, 2022 (or anything with a due date on or after that date). Failure to follow the appropriate formats on or after January 25, 2022 may cause the NIH to withdraw applications from or delay consideration of funding.

The format page has been re-organized to separate funded projects from in-kind contributions.

Signature block added for PD/PI or Other Senior/Key Personnel to certify the accuracy of the information submitted. Each PD/PI or senior/key personnel must electronically sign their respective Other Support form as a PDF prior to submission.
Additional information can be found in NIH Other Support FAQs. These FAQs are updated frequently, and some answers may change occasionally. Bookmarking this page and reviewing it periodically for the latest information is recommended.

Some questions addressed include:

- Is the researcher’s signature now required on Other Support submissions?
- What does NIH evaluate when reviewing Other Support submissions?
- Do outside consulting activities have to be reported in Other Support?
- Do in-kind contributions that will be used for the project being proposed need to be included in Other Support?
- How should researchers list materials (e.g., data, samples, etc.) received from external collaborators on Other Support?
- What types of foreign contracts are applicants and recipients required to submit with Other Support?
Who is required to report other support?
- Reporting of Other Support is required for all individuals designated in an application as senior/key personnel—those devoting measurable effort to a project.

What must be reported as Other Support?
- 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.

What does not need to be reported as Other Support?
- Institutional resources, such as core facilities or shared equipment that are made broadly available, Training awards, Prizes and Gifts

What are some examples of a "significant element of a project" when making determinations regarding a foreign component?
- Some examples of activities that may be considered a significant element of the project include, but are not limited to:
  - collaborations with investigators at a foreign site anticipated to result in co-authorship
  - use of facilities or instrumentation at a foreign site
  - receipt of financial support or resources from a foreign entity

Does a Foreign Component need to be included in Other Support?
- The Foreign component should be part of the proposal, not the Other Support document. The addition of a foreign component to an ongoing NIH grant continues to require NIH prior approval, as outlined in the NIHGPS, Section 8.1.2, Prior Approval Requirements. Principal Investigators should work with their OCGA Team to submit the prior approval request.
- If an activity does not meet the definition of foreign component because all research is being conducted within the United States, but there is a non-U.S. resource that supports the research of an investigator and/or researcher, it must be reported as other support.
NIH Resources

- NIH NOT-03-029 – Reminder to Applicants about Requirement to Submit Complete and Up-to-Date Other Support Information
- NIH NOT-OD-21-073 – Upcoming Changes to the Biographical Sketch and Other Support Format Page for Due Dates on or after May 25, 2021
- NOT-OD-21-110 – Implementation of Changes to the Biographical Sketch and Other Support Format Page
- NIH Other Support FAQs
- NIH COVID-19 FAQs
- NIH Grants Policy Statement – Prior Approvals
- NIH 424 Guide – Other Project Information Form
- NIH Other Support Grants.gov Page
- NIH Protecting U.S. Biomedical Intellectual Innovation
All proposed and ongoing projects from all sources (federal, state, local, foreign, public or private foundation, non-profit, industry or commercial, or internal funds), whether provided through the proposing organization or provided directly to the individual.

Includes:

- All resources made available to an individual in support of and/or related to their research efforts, regardless of whether or not they have monetary value
- All in-kind contributions (e.g. office/laboratory space, equipment, supplies, employees, students) or items or services, whether intended/not intended for use on the project/proposal, and with the expectation of an associated time commitment
  - If the time commitment or dollar value is not readily ascertainable, reasonable estimates should be provided
  - In-kind contributions intended for use on the project with no associated time commitment are included in the Facilities, Equipment, and Other Resources section of the proposal and are not replicated in the current and pending support
  - In-kind contributions not intended for use on the project with no associated time commitment are not reported
  - Startup packages from any organization other than the proposing organization
  - If the project or any part of the project was funded previously by a source other than NSF, information must be provided regarding the last period of funding

NSF Current and pending Support is a required for each individual designated as senior personnel as part of the proposal.
NSF has published a helpful quick reference for [Pre-award and Post-award Disclosures Relating to the Biographical Sketch and Current and Pending Support](#), which outlines additional disclosure requirements for personnel on NSF grants and proposals.

<table>
<thead>
<tr>
<th>Type of Activity</th>
<th>Biographical Sketch</th>
<th>Current &amp; Pending Support</th>
<th>Facilities, Equipment &amp; Other Resources</th>
<th>Project Reports</th>
<th>Post-Award Information Term &amp; Condition</th>
<th>Disclosure Not Required</th>
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<td>Undergraduate, graduate, and postdoctoral training, including location, major/area and degree and year</td>
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<td>Academic, professional or institutional appointments, whether or not remuneration is received, and, whether full-time, part-time, or voluntary</td>
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<td>All projects (including this project) currently under consideration from whatever source, and all ongoing projects, irrespective of whether support is provided through the proposing organization, another organization or directly to the individual</td>
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<td>In-kind contributions that support the research activity for use on the project/proposal being proposed</td>
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<td>Type of Activity</td>
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<td>In-kind contributions not intended for use on the project/proposal being proposed to NSF and have an associated time commitment</td>
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<td>Consulting that is permitted by an individual’s appointment and consistent with the proposing organization’s “Outside Activities” policies and procedures</td>
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<td>Consulting that falls outside of an individual’s appointment</td>
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<td>Travel supported/paid by an external entity to attend a conference or workshop</td>
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<td>Travel supported/paid by an external entity to perform research activities with an associated time commitment</td>
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<td>Startup company based on organization-licensed Intellectual Property (IP)</td>
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<td>Graduate and postdoctoral researchers time on project</td>
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NSF Resources

- NSF PAPPG 20-1 Current and Pending Support
- NSF PAPPG (NSF 20-1) webinar (recorded February 6, 2020)
- FAQs regarding Current and Pending Support (updated June 28, 2021)
- NSF-Approved Formats for Current and Pending Support website
- SciENcv Guidance on Creating an NSF Current and Pending Support document, including step-by-step instructions and screenshots for the two required sections (This is a subsection of the guidance at SciENcv Help.)
- FAQs on using NSF Fillable PDF
- NSF Electronic Research Administration Forums website
On March 20, 2019, the Department of Defense (DOD) released the Actions for the Protection of Intellectual Property, Controlled Information, Key Personnel and Critical Technologies memo, stating Current and Pending Support for all key personnel (regardless of source) will be used to "support protection of intellectual property, controlled information, key personnel, and information about critical technologies relevant to national security. Additionally, this information will be used to limit undue influence, including foreign talent programs, by countries that desire to exploit United States' technology with the DOD research, science and technology, and innovation enterprise."

For all previous (award period of performance ending within the past 5 years), current, and pending research support, include the title, time commitments, supporting agency, name and address of the funding agency's procuring Contracting/Grants officer, performance period, level of funding, brief description of the projects goals, and list of the specific aims. If applicable, identify where the proposed project overlaps with other existing and pending research projects. Clearly state if there is no overlap.

DOD Resources:

- DOD Memo - Actions for Protection of Intellectual Property, Controlled Information, Key Personnel and Critical Technologies
- CDMRP General Instructions; Version 604
In Section 2.16 Current and Pending Support of the National Aeronautics and Space Administration (NASA) Guidebook for Proposers Responding to a Notice of Funding Opportunity (NOFO), effective February 15, 2021, it states:

2.16 Current and Pending Support

PIs and Co-PIs shall provide all ongoing and pending projects and proposals (regardless of salary support) in which they are performing or will perform any part of the work. Co-Is proposing to spend 10% or more of their time in any given year to the proposed effort shall provide a list of ongoing and pending projects and proposals (regardless of salary support) that require more than 10% of their time in any given year. Proposals do not need to include the current proposal on the list of pending proposals unless it has been submitted in response to another funding opportunity (i.e., NASA or another sponsor).

PIs and Co-PIs also shall list their current and pending support with Chinese universities and other similar institutions or a Chinese-owned company at the prime recipient level and at all subrecipient levels, whether the bilateral involvement is funded or performed under a no exchange of funds arrangement\(^3\). (See paragraph 2.2.1) For those investigators for whom it is required (see above), the proposal shall provide the following information for each current and pending project:

### NASA Resources:

- National Aeronautics and Space Administration (NASA) Guidebook for Proposers Responding to a Notice of Funding Opportunity (NOFO)

\(^3\) “China or Chinese-owned Company” means the People’s Republic of China (PRC), any company owned by the PRC, or any company incorporated under the laws of the PRC. Chinese universities and other similar institutions are considered to be incorporated under the laws of the PRC and, therefore, the funding restrictions apply to grants and cooperative agreements that include bilateral participation, collaboration, or coordination with Chinese universities.
DOE (Energy) Current and Pending Support

An update to the January 31, 2019 guidance was issued October 1, 2020, FY 2021 Continuation of Solicitation for the Office of Science Financial Assistant Program. It states:

The PI and each senior/key person at the prime applicant and any proposed subaward must provide a list of all sponsored activities, awards, and appointments, whether paid or unpaid; provided as a gift with terms or conditions or provided as a gift without terms or conditions; full-time, part-time, or voluntary; faculty, visiting, adjunct, or honorary; cash or in-kind; foreign or domestic; governmental or private-sector; directly supporting the individual's research or indirectly supporting the individual by supporting students, research staff, space, equipment, or other research expenses. All foreign government sponsored talent recruitment programs must be identified in current and pending support.

APPENDIX 2: CURRENT AND PENDING SUPPORT
Provide a list of all current and pending support for the PI and senior/key personnel, including subawardees, regardless of funding source. Provide the Current and Pending Support as an appendix to your project narrative. Concurrent submission of an application to other organizations for simultaneous consideration will not prejudice its review.

DOE Resources:

- Department of Energy Policy on Foreign Government Talent Recruitment Program Memo
- DOE O 486.1A
- FAQs for DOE O 486.1
- FY 2021 Continuation of Solicitation for the Office of Science Financial Assistant Program
## Other Support FAQs and Additional Resources

### Other Support FAQs

- **Who is the point of contact for questions? (8/5/21)** [New](#)
- **Does UCLA have any additional resources regarding Foreign Influence? (6/23/21)**
- **Where and to whom should I send the change of PI or other key personnel requests? (8/5/21)** [New](#)
- **What are different types of overlap? (6/23/21)**
- **There has been emphasis on federal sponsors, but what about any requirements by State of California agencies? (8/5/21)** [New](#)

### Additional Resources

- COGR – Commentary on Disclosing Other Support and Other Resource in Research Funded by the National Institute of Health
- UCLA Foreign Engagement website
- Foreign Engagement: Disclosures to UCLA and Research Sponsors, presentation by Ann Pollack and Marcia Smith, June 2021
- April 2021 Research Administration Forum (RAF) – “Grant Updates,” presentation by Kathy Kawamura
What should you do if Other Support information changes?

Please contact your OCGA Team:

NIH:

- When a recipient organization discovers that a PI or other Senior/Key personnel on an active NIH grant failed to disclose Other Support information outside of Just-in-Time or the RPPR, as applicable, the recipient must submit updated Other Support to the Grants Management Specialist named in the Notice of Award as soon as it becomes known.

NSF:

- If it is discovered that a PI or a co-PI on an active NSF grant failed to disclose current support or in-kind contribution information as part of the proposal submission process (see PAPPG Chapter II.C.2.h), the AOR must submit the Current Support information within 30 calendar days of the identification of the undisclosed current support or in-kind contribution through use of the "Other Request" category in the Notification and Request Module in Research.gov. Please work with your OCGA Team to follow the instructions in the NSF Award Terms and Conditions - Article 38: Post-Award Disclosure of Current Support and In-Kind Contribution Information.
Any Questions?

OtherSupportHelp@research.ucla.edu
Agenda

• PAMS Advanced Deliverable Search (ADS)
• Effort Reporting Certification
PAMS Advance Deliverable Search

Jennifer Iglesias
Post Award Management System (PAMS)

- PAMS houses post award information for contract and grant awards, including financial deliverables (invoices/financial reports) that are due to the sponsor.
- Department administrators have access to a worklist which shows closeout packets and financial deliverables that require their action.
- Financial deliverables that require department fund managers action have a status of “Pending Department Action”.
  - Timely action by the department is important for the Principal Investigator’s compliance with award terms and conditions and cost recovery.
  - For final deliverables, it is important for departments to submit closeout packets to EFM on time so that EFM can prepare the final financial deliverable invoicing/reporting for as many expenses as possible.

Log into PAMS https://pams.research.ucla.edu/pamsmvc/
The advanced deliverable search page was available for campus use on Friday, 6/11/21.

In the Financial Deliverables tab, select “Advance Deliverable Search”.

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**PAMS Advance Deliverable Search - New Feature!**

![Advanced Deliverables Search](Image)
PAMS Advance Deliverable Search

- Access to various data parameters to help with monthly reconciliation.
PAMS Advance Deliverable Search Features

- Access to real-time financial deliverable data and documents.
- Search grid has predictive text, and most fields allow multiple selections.
- Search results are exportable to Excel.
- Hyperlinked fund numbers take users directly to the Deliverable List for all financial deliverables associated with that fund (e.g., invoices/financial reports, comments, deliverable history).
- The “Due Dates” are dates when the financial deliverables are due to the sponsor.
- Latest comment is included in the results grid, displaying the last action taken for the financial deliverable.
Financial Deliverables Requiring Department Action

- Search for deliverables by Department Fund Manager Joe Bruin with a status of “Pending Department Action”.

Advanced Deliverables Search
Financial Deliverables Requiring Department Action

- EFM will contact the department fund manager when their assistance is required to complete the deliverable. The deliverable status will be updated to “Pending Department Action” and a reason code with comments will be added to identify the information needed to complete the financial deliverable.
# Financial Deliverable Reason Codes

<table>
<thead>
<tr>
<th>Reason Code</th>
<th>What this means</th>
<th>Action for Department to take</th>
</tr>
</thead>
<tbody>
<tr>
<td>Continuation or No Cost Extension Pending</td>
<td>The final financial deliverable cannot be completed as the awards is pending continuation funds or a no cost extension.</td>
<td>Department to ensure the award action is processed. EFM creates an interim deliverable for expenses recorded to the ledger up through the end of the original performance period. Once the award action is processed, EFM will complete subsequent financial deliverables through the additional funding/time period.</td>
</tr>
<tr>
<td>Pending PI Confirmation</td>
<td>PI's confirmation is needed to complete the financial deliverable (e.g., milestone invoice)</td>
<td>Department to obtain PI’s confirmation of milestone. EFM will invoice the sponsor when the PI’s confirmation is received.</td>
</tr>
<tr>
<td>Policy 913 Documents</td>
<td>The final deliverable cannot be completed as the award is subject to UCLA Policy 913 and EFM is missing documents.</td>
<td>Department to provide a closeout packet with Policy 913 assurances including the PI's justification for the unspent balance, as applicable. EFM will review and closeout the fund, transferring balances to PI’s discretionary account.</td>
</tr>
<tr>
<td>Sponsor Templates</td>
<td>Detailed financial sponsor template that requires department assistance to complete.</td>
<td>Department to complete the sponsor’s financial template and submit to EFM. EFM will review and submit to the sponsor.</td>
</tr>
<tr>
<td>Supporting Documentation</td>
<td>Documents to be submitted with the financial deliverable (e.g., cost share report).</td>
<td>Department to provide EFM with the required supporting documentation. EFM will review and submit to the sponsor.</td>
</tr>
<tr>
<td>Other</td>
<td>Used to explain all other cases where a financial deliverable cannot be completed.</td>
<td>Department to act on information identified by EFM to complete the deliverable.</td>
</tr>
</tbody>
</table>
Effort Reporting Certification

Robert De Jesus
Effort Report Status


  Reporting Period | Summer 2018 | Fall 2018 (Modified) | Winter 2019 | Spring 2019 | Total  
  --- | --- | --- | --- | --- | ---  
  Certified | 397 | 5,233 | 4,445 | 3,396 | 13,471  
  Open | 37 | 838 | 696 | 2,014 | 3,585  
  Total | 434 | 6,071 | 5,141 | 5,410 | 17,056  
  Certification Rate | 91.47% | 86.20% | 86.46% | 62.77% | 78.98%  
  - [https://portal.research.ucla.edu/ERS/Year.aspx](https://portal.research.ucla.edu/ERS/Year.aspx)

- **Reports flagged as “Under Prelim Review” in ERS due to unresolved UCPath defects when released.**

  Effort Report with Under Prelim Review Flag Breakdown | Number of reports with errors  
  --- | ---  
  Open Effort Report for FY18-19 | 3,585  
  Total Open Effort Reports with errors | 722  
  Open Error Reports with no issue | 2,863  
  Total number of effort reports | 17,056  
  Error Rate | 4.23%  
  - Certify reports that are not flagged as “Under Prelim Review” which means we have 2,863 Effort Reports left available for certification! Great Progress!
Effort Report Status

- Effort Report Certification Progress as of August 10, 2021 (FY19-20: July 2019 – June 2020)

<table>
<thead>
<tr>
<th>Reporting Period</th>
<th>Summer 2019</th>
<th>Fall 2020</th>
<th>Winter 2020</th>
<th>Spring 2020</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Certified</td>
<td>3,489</td>
<td>3,075</td>
<td>3,057</td>
<td>2,997</td>
<td>12,618</td>
</tr>
<tr>
<td>Open</td>
<td>2,271</td>
<td>2,142</td>
<td>2,220</td>
<td>2,129</td>
<td>8,762</td>
</tr>
<tr>
<td>Total</td>
<td>5,760</td>
<td>5,217</td>
<td>5,277</td>
<td>5,126</td>
<td>21,380</td>
</tr>
<tr>
<td>Certification Rate</td>
<td>60.57%</td>
<td>58.94%</td>
<td>57.93%</td>
<td>58.47%</td>
<td>59.02%</td>
</tr>
</tbody>
</table>

- Reports flagged as “Under Prelim Review” in ERS due to unresolved UCPath defects when released.

<table>
<thead>
<tr>
<th>Effort Reports with Under Prelim Review Flag Breakdown</th>
<th>Number of reports with errors</th>
</tr>
</thead>
<tbody>
<tr>
<td>Open Effort Report for FY19-20</td>
<td>8,762</td>
</tr>
<tr>
<td>Total Open Effort Reports with errors</td>
<td>1,467</td>
</tr>
<tr>
<td>Open Error Reports with no issue</td>
<td>7,295</td>
</tr>
<tr>
<td>Total number of effort reports</td>
<td>21,380</td>
</tr>
<tr>
<td>Error Rate</td>
<td>6.86%</td>
</tr>
</tbody>
</table>

- Certify reports that are not flagged as “Under Prelim Review” which means we have 7,295 Effort Reports left available for certification! Great Progress!
Effort Report Status

Effort Report Certification Progress as of August 10, 2021 (FY20-21: July 2020 – March 2021)

<table>
<thead>
<tr>
<th>Reporting Period</th>
<th>Summer 2020</th>
<th>Fall 2020</th>
<th>Winter 2021</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Certified</td>
<td>3,338</td>
<td>2,919</td>
<td>2,978</td>
<td>9,235</td>
</tr>
<tr>
<td>Open</td>
<td>2,262</td>
<td>2,094</td>
<td>2,010</td>
<td>6,366</td>
</tr>
<tr>
<td>Total</td>
<td>5,600</td>
<td>5,013</td>
<td>4,988</td>
<td>15,601</td>
</tr>
<tr>
<td>Certification Rate</td>
<td>59.61%</td>
<td>58.23%</td>
<td>59.70%</td>
<td>59.19%</td>
</tr>
</tbody>
</table>

- [https://portal.research.ucla.edu/ERS/Year.aspx](https://portal.research.ucla.edu/ERS/Year.aspx)

- Reports flagged as “Under Prelim Review” in ERS due to unresolved UCPath defects when released.

<table>
<thead>
<tr>
<th>Effort Reports with Under Prelim Review Flag Breakdown</th>
<th>Number of reports with errors</th>
</tr>
</thead>
<tbody>
<tr>
<td>Open Effort Report for FY20-21</td>
<td>6,366</td>
</tr>
<tr>
<td>Total Open Effort Reports with errors</td>
<td>813</td>
</tr>
<tr>
<td>Open Error Reports with no issue</td>
<td>5,553</td>
</tr>
<tr>
<td>Total number of effort reports</td>
<td>15,601</td>
</tr>
<tr>
<td>Error Rate</td>
<td>5.21%</td>
</tr>
</tbody>
</table>

- Certify reports that are not flagged as “Under Prelim Review” which means we have 5,553 Effort Reports left available for certification! Great Progress!
Effort Report Status

• Reports flagged as “Under Prelim Review” in ERS due to unresolved UCPath defects.

<table>
<thead>
<tr>
<th>Issue description in Comment</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>Incorrect percent of effort for effort bearing payroll line—review supplemental Excel file and job aid provided by EFM before certification</td>
<td>EFM is working to resolve Missing Payroll Records before releasing the Excel Supplemental File.</td>
</tr>
<tr>
<td>Pending Mass Leave Correction (MLC) entry—do not certify until further instruction is provided by EFM</td>
<td>EFM will be working to unflag Effort Reports with Mass Leave Corrections that have been processed and posted to Labor Ledger and General Ledger.</td>
</tr>
<tr>
<td>Missing payroll record(s) in effort report—do not certify until further instruction is provided by EFM</td>
<td>UCLA is working with UCPath Center to find a solution.</td>
</tr>
<tr>
<td>Y-OTC or N-OTC indicator is missing—do not certify until further instruction is provided by EFM</td>
<td>UCLA is working with UCPath Center to find a solution.</td>
</tr>
</tbody>
</table>

• More detailed special instructions can be found on EFM website including
  ◦ ERS master exception list
  ◦ Presentation and recording of the ERS webinar for UCPath defects
  ◦ Job aid – recalculated effort reports
  ◦ [https://efm.research.ucla.edu/special-instructions-ers-release/](https://efm.research.ucla.edu/special-instructions-ers-release/)
Effort Report Status

- **UCLA has been selected for the Full Scope of R&D Single Audit for FY20-21**
  - The Single Audit will cover Sponsored funds with expenditures from July 01, 2020 – June 30, 2021
  - PwC Auditors are currently in the process of identifying which Awards to test for the Single Audit
  - Payroll Expense is the biggest component of federally funded expenses, which means we should prioritize certifying the 5,553 Open Effort Reports for FY20-21 which have a chance of being selected for the audit.
  - Uncertified Effort Reports expose UCLA to be out of compliance and to the risk of having an audit finding
  - Departments have made great strides on certifying Effort Reports during the last two months considering it was fiscal close and so the effort is truly appreciated
  - We must continue our great momentum in addressing the past due Effort Reports so we can protect our Institution, our PIs and our Departments from any compliance and financial risks
Any Questions?

Contact Information

EFM Website
https://efm.research.ucla.edu/

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

PAMS Help Desk
Email: pamshelp@research.ucla.edu

Yoon Lee
Phone: (310) 794-0375
Email: yoon.lee@research.ucla.edu

Robert De Jesus
Phone: (310) 794-6997
Email: robert.dejesus@research.ucla.edu

Jennifer Iglesias
Phone: (310) 794-2846
Email: jennifer.iglesias@research.ucla.edu
Human Research Protection Program

Q1: If the PI would like to edit the role for key personnel currently listed in Web IRB from Study Coordinator to Co-Investigator, would they be able to submit this change via the new expedited process? Or does this change need to be done via an amendment?

A1: You can do a role change to “Co-Investigator” using the edit study personnel function. You can’t, however, change someone’s role to “Co-PI” using the function. To make someone a “Co-PI”, an amendment would need to be submitted.

Q2: What is the integration with SafetyNet going to provide?

A2: I’m not sure. As I understand it, the downtime is to make changes to SafetyNet and because webIRB is integrated with SafetyNet, webIRB will also need to be down for that time.

Contract and Grant Administration

Q1: Should all correspondence to the sponsor be from OCGA and not directly from the PI?

A1: All formal requests and approvals need to be submitted by the relevant Institutional Signing Official (OCGA).

Q2: If the project is an industry-sponsored project or subaward from industry, will TDG be the office to approve the remote telework request (rather than OCGA)?

A2: Please work with the appropriate central administrative office handling the award. If it is an award under TDG, please work with TDG.

Q3: Is that the CMMC scoring for level 1 assessment?

A3: There are 5 levels of CMMC certifications. Level 1 is for organizations receiving Federal Contract Information. My understanding is that the acceptable self-assessment score will be required for all level 1 contracts. A higher score will be required for the other levels - for example level 3 certification will be required if we receive Controlled Unclassified Information. The Information security team should be able to provide additional guidance.

Q4: Any chance a website/database or something else could be created to enter (or pull from ORA) the other support information and an option to select which Sponsor and have it generate the document in the appropriate format?

A4: We are weighing updating our current NIH and NSF formats against waiting for the SciENcv capabilities that are expected to be available in January 2022. In the meantime we are working on updating current reports to include data not previously required on other support pages (e.g. effort by budget period).
Q5: Could OCGA list the other support email address along with topic specific email address on their web page? Ex: awards, proposals, ERS help, etc.

A5: Thank you for your input. We will look into updating our "Contact Us" page to include topic specific email addresses.

All OCGA email addresses are listed by subject area (outgoing subaward, proposal, etc.) on our Staff Directory page. We can discuss having a more prominent listing. Side note: ERS help is owned by EFM and listed on their website.