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
Agenda

• Welcome & Announcements – Marcia Smith

• Contract and Grant Administration Hot Topics
  ◦ NIH eRA Systems: Requirement for Two-Factor Authentication to Login – Cindy Gilbert
  ◦ Other Support – Travis Dadigian

• Human Research Protection Program Hot Topics – Moore Rhys
  ◦ webIRB Training
  ◦ Reminder: Monitoring

• Extramural Fund Management Hot Topics
  ◦ Impact of Fiscal Closing Schedule on Sponsored Projects – Yoon Lee
  ◦ Single Audit for FY2020–2021 – Yoon Lee
  ◦ Effort Reporting Certification – Robert De Jesus

• Open Forum – Questions, Discussion – All
Multi-Factor Authentication for NIH eRA Systems

Research Administration Forum
September 9, 2021

Cindy Gilbert
Assistant Director – eRA and Records Management
Introduction

• NIH launched a phased implementation of multi-factor authentication (MFA) for eRA systems access in December 2020.

• Enhances the security of sensitive information that is stored in NIH eRA modules such as Commons and ASSIST.
## Implementation Timeline

### December 2020
- Required for Internet Assisted Reviewers (IARs)
- For meetings beginning February 2021
- Login.gov

### September 15, 2021
- Required for all Scientific Roles
- Login.gov or UCLA Single Sign-On

### Early 2022
- Administrative Roles
- Login.gov or UCLA Single Sign-On
<table>
<thead>
<tr>
<th>Scientific Roles for Research</th>
<th>Scientific Roles for Reporting</th>
</tr>
</thead>
<tbody>
<tr>
<td>Principal Investigator (PD/PI)</td>
<td>Undergraduate</td>
</tr>
<tr>
<td>Trainee</td>
<td>Graduate Student</td>
</tr>
<tr>
<td>Sponsor</td>
<td>Postdoc</td>
</tr>
<tr>
<td>Assistant (ASST)</td>
<td>Scientist</td>
</tr>
<tr>
<td></td>
<td>Project Personnel</td>
</tr>
</tbody>
</table>
Options for MFA

• Login.gov Account
  ▪ Managed by General Services Administration.
  ▪ Allows access to various government systems as well as MyNCBI, SciENcv, and MyBibliography.

• InCommon Federated Account
  ▪ UCLA Single Sign-On.
  ▪ Access to S2S Grants, TRS, ERS, BruinBuy, etc.
Associate NIH with MFA

• Requires one-time set-up to associate with either UCLA SSO or Login.gov.

• Takes less than five minutes.

• Make sure you know both your NIH user ID and password before beginning the process.

• Detailed instructions:
  - UCLA SSO – ORA News dated September 7, 2021
  - Login.gov – NIH two-factor authentication flyer

• IARs who previously associated with Login.gov can now add UCLA SSO.
September 7, 2021

Dear Colleagues,

On August 6, 2021, NIH released NOT-OD-21-172 which outlines an adjusted timeline and guidelines for requiring two-factor authentication when logging in to NIH eRA modules. **Effective September 15, 2021** users with scientific eRA roles will be required to use either a Login.gov account or InCommon Federated account (UCLA single sign-on) to log-in to Commons modules instead of their NIH username and password. Scientific roles include the following:

<table>
<thead>
<tr>
<th>Scientific roles for research</th>
<th>Scientific roles used for reporting</th>
</tr>
</thead>
<tbody>
<tr>
<td>Principal Investigator (PD/PI)</td>
<td>Undergraduate</td>
</tr>
<tr>
<td>Trainee</td>
<td>Graduate_ Student</td>
</tr>
<tr>
<td>Sponsor</td>
<td>Postdoc</td>
</tr>
<tr>
<td>Assistant (ASST) – used in conjunction with specific delegations to assist PIs with various tasks</td>
<td></td>
</tr>
</tbody>
</table>

Scientific users who have not done so already will need to associate their eRA Commons account with either Login.gov or UCLA single sign-on.

**Important note:** Prior to associating your account, make sure your eRA Commons account is active and you know your account password; if you are unsure of either, use the Forgot Password/Unlock Account link located below the username and password fields on the eRA Commons home screen to change your password (see screenshot below). The Reset Password screen will ask for your User ID (your eRA Commons username that you use to log-in to Commons) and email address. You will receive an email with a temporary password and instructions. If you have problems resetting your password, contact us at erahelp@research.ucla.edu.

**How to Associate UCLA Single Sign-On (SSO) with eRA Commons**

- Navigate to the eRA Commons Login screen [https://public.era.nih.gov/commonsplus](https://public.era.nih.gov/commonsplus).
- Select *University of California, Los Angeles*, from the pick-list under Login with Federated Account.

  ![Login with Federated Account](image)

- Click **Login**.
- You will be taken to the UCLA SSO login page.
Continue with the UCLA log-in process as normal. Once authenticated by UCLA SSO, you will be redirected to the screen below.

- Enter your Commons User ID and password.
- Click Continue.
- If successfully associated, you will be taken back to the Commons login screen and can log-in using Login with Federated Account.

- If the association is not successful, you will receive an error message:

   Either the information entered is invalid or you are not enrolled in the eRA Commons. To keep your information secure, we may lock your account if you continue to enter incorrect login information. Please see your organization's account administrator for assistance (ID: 200523).

How to Associate Login.gov with eRA Commons


Important Information for IARs (Internet Assisted Reviewers)

If you have a Commons account with both the IAR role and a scientific role, and have already associated your account with
Login.gov, you may now associate your account with UCLA single sign-on as well.

If you have problems associating your account or have other questions related to your NIH eRA Commons account, contact us at erahelp@research.ucla.edu.

Please share this information with NIH investigators, postdocs, students, and research administrators in your department.

Sincerely,

Cindy A. Gilbert  
Assistant Director – eRA and Records Management  
UCLA Office of Contract & Grant Administration  
10889 Wilshire Boulevard, Suite 700  
Los Angeles, CA 90095-1406  
T: (310) 267-4814 | E: cgilbert@research.ucla.edu  
https://ocga.research.ucla.edu/

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To unsubscribe from this group and stop receiving emails from it, send an email to ora-news+unsubscribe@lists.ucla.edu.
Known Issues with the User Interface – UCLA SSO

Logging-in with UCLA Single Sign-On
Known Issues with the User Interface – UCLA SSO

Logging-in with NIH credentials or Login.gov
Known Issues with the User Interface – UCLA SSO

Logging-in with UCLA Single Sign-On

Click “Status”
Help/Resources

• NIH MFA website

• NOT-OD-21-172

• Contact us at: erahelp@research.ucla.edu
Other Support Updates

Presenter: Travis Dadigian

September 9, 2021
Updated Guidance, Notices, and Memos

• **Foreign Engagement: Disclosures to UCLA and Research Sponsors**
  ◦ *Presented March 2021*

• **Agency Updates:**
  ◦ National Institute of Health (NIH)
  ◦ National Science Foundation (NSF)
  ◦ Department of Defense (DOD)
  ◦ Department of Energy (DOE)
  ◦ National Aeronautics and Space Administration (NASA)

• An Evolving Issue
• **NOT-OD-21-110 (April 2021)**

• **Key Changes:**
  1. Timeline and Implementation of updated Other Support and Biosketch format pages instructions as outlined in NOT-OD-21-073
  2. *Expected* to use new format as of May 25, 2021
  3. *Required* to use new format by January 25, 2022
  4. Applicants and recipients remain responsible for disclosing **all research endeavors** regardless of the version of the forms used

• **REMEMBER**
  1. Review NOT-OD-21-073 (March 2021)
     ○ *Presented April 2021*
• Released Proposal and Award Policies and Procedures Guide (PAPPG) - NSF 22-1

• Key Changes:
  1. List In-Kind Support
     ◦ Office/laboratory space, equipment, supplies, employees, students
  2. Must include a brief statement of the overall objectives of the project/proposal being proposed or in-kind contribution
     ◦ Summarize potential overlap with any active or pending proposal or in-kind contribution and this proposal in terms of scope, budget, or person-months planned or committed to the project by the individual
  3. New NSF Fillable PDF for proposals and project reports due on or after October 4th, 2021

REMINDER:
  1. Requires the use of NSF Approved Format (PDF)
     ◦ https://www.nsf.gov/bfa/dias/policy/cps.jsp
  2. Current and Pending FAQs:
  3. NSF Disclosures Matrix
Released General Application Instructions for FY 21 (Version 604)

Key Changes:
1. List all positions and scientific appointments, both domestic and foreign
   - Includes titled academic, professional, or institutional appointments whether or not the individual receives money, and whether full-time, part-time, or voluntary (including adjunct, visiting, or honorary).
2. List In-Kind Support
   - Office/laboratory space, equipment, supplies, employees, students
3. List foreign financial support, research or laboratory personnel, lab space, scientific materials, selection to a foreign “talents” or similar-type program, or other foreign or domestic support
4. Note: 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 (biologics, chemical, model systems, technology, etc.).
Recent FOAs have said Other Support information may be provided on the Approved NSF Current and Pending PDF

Released Order 486.1A (September 4, 2020)

Key Changes:
1. Defines Foreign Government-Sponsored Talent Recruitment Program:
   - An effort to recruit science and technology professionals or students
   - An attempt to acquire proprietary technology or software, unpublished data and methods, and intellectual property to further the military modernization goals and/or economic goals
   - Aim to incentivize the targeted individual to physically relocate to the foreign state for these purposes
   - Encourage continued employment at U.S. research facilities or receipt of Federal research funds
   - Aim to compensate individuals for participation
2. Defines Other Foreign Government Sponsored or Affiliated Activity:
   - Employment, Other Support (contractual or otherwise), Participation in programs sponsored by foreign governments, Positions and appointments, and In-Kind Support
• Released Guidebook for Proposers Responding to a NASA Notice of Funding Opportunity (NOFO) (February 15, 2021)

• Still Required to Provide:
  ◦ Project Title, Name of PI, Sponsoring Agency, Performance Period, Total Amount Proposed, Time Commitment

• Key Changes:
  1. Required to list current and pending support with Chinese Universities and other similar institutions or a Chinese-owned company
  2. Defines "China or Chinese-owned Company":
     ◦ The People's Republic of China (PRC), any company owned by the PRC, or any company incorporated under the laws of the PRC
     ◦ Includes Chinese Universities
Closing Thoughts

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

- Other Support Email:
  - othersuporthelp@research.ucla.edu

- Stay Tuned

- Integrity
Thank You
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) with our other webIRB video tutorials:
Edit Study Personnel & Auto Training Checks

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)"
Edit Study Personnel & Auto Training Checks

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**
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](#)
• Impact of fiscal closing schedule to sponsored projects
• Single Audit for FY20-21
• Effort Reporting Certification
Impact of Fiscal Closing to Sponsored projects

Yoon Lee
[Subject: July to September 2021 Ledgers]
sent to CAO/CFO and Financial System Users

• UCOP requires UCLA to maintain its local June ledger open until September 10\textsuperscript{th} to accommodate adjustment journal entries that may arise during the financial statement audit period (August 3\textsuperscript{rd} to September 10\textsuperscript{th}).

• September 14\textsuperscript{th}: July ledger closes. The July 1\textsuperscript{st} beginning unexpended balance, the July 1\textsuperscript{st} re-appropriation, and the July 1\textsuperscript{st} reversal of accruals will post to the July ledger.

• September 15\textsuperscript{th}: August and September OFSR summary reports (Fund Summary, Account Summary, Sub-Object Code Summary) will be available.
  - OFSR summary reports point to a table that only gets updated for 2 active ledgers at a time.
  - All GL transactions for July, August and September ledgers are available for users to view and report in two ways: (1) via the Online Financial System Reports (OFSR) in a report titled “Detail General Ledger” or (2) via the campus data warehouse (CDW).

IT service website: https://www.it.ucla.edu/enterprise-data-warehouse

* BFS communicated the timeline left as a planned timeline.
* The balance is available in QDB/CDW the next day after ledger closes. For more detail timeline of August ledger balance, see the next slide.
### Timeline for the August Ledger Balance

<table>
<thead>
<tr>
<th>What are available</th>
<th>Date of data availability</th>
<th>Dependency</th>
</tr>
</thead>
<tbody>
<tr>
<td>August balance is available in the OFSR fund and account summary reports &amp; CDW/QDB (This excludes beginning balances)</td>
<td>9/13/21</td>
<td>June ledger to close</td>
</tr>
<tr>
<td>August beginning balance is posted.</td>
<td>9/15/21</td>
<td>July ledger to close</td>
</tr>
<tr>
<td>August ending balance is posted and available on all reporting tools.</td>
<td>9/18/21</td>
<td>August ledger to close</td>
</tr>
</tbody>
</table>
Impact to Sponsored Projects

• Numerous operational and management reports and systems pull the data from the GL balance table. Not having the balance data available for July and August impacted EFM’s operation and research administrators and PIs on campus.

• EFM developed workarounds to continue to support EFM’s key operation to bill the sponsor and collect payment.
  ◦ Modifying worksheets to pull the data from the GL detail table (e.g. a letter of credit draw worksheet, a worksheet to process appropriation for clinical trial funds, etc.) and using different ORA tools to prepare financial deliverables other than PAMS Billing and Reporting tool.

• Key systems and reports impacted for the campus use:
  ◦ Online Financial System Reports: Transaction details are available but the summary balance is not available.
  ◦ Fund Expiration Notices (FEN): FENs are sent on schedule (90 days, 30 days prior to the fund expiration and on the day of fund expiration). The balance included in the FEN is as of July 2021.
  ◦ PAMS Report of Expired Funds to Close: A list of expired funds is current as of the report run date but the balance shown for each fund is as of July 2021. The summary of expired funds by category is inaccurate.
  ◦ PAMS Billing and Reporting/F&A reconciliation: Financial data for August and September are not available.
  ◦ PI portal: Financial data available in the PI portal is based on July ledger.
  ◦ ORA systems and reports impacted by this clearly indicates that the balance is as of July 31, 2021.
Single Audit for FY20-21

Yoon Lee
Overview

UC receives two audits every year by independent auditors besides numerous audits by sponsoring agencies. These two audits are conducted on parallel leveraging certain audit procedures for both.

Financial Statement Audit

• Independent, objective evaluation of financial reports and financial reporting processes to obtain reasonable assurance that financial statements are free from material misstatement.

• In accordance with Generally Accepted Accounting Principles (GAAP) and standards established by Governmental Accounting Standards Board (GASB).

Single Audit (Uniform Guidance Audit)

• Independent examination of an entity that expends $750,000 or more of federal assistance to ensure that appropriate internal controls over compliance are in place and that federal funds are spent in compliance with the federal program’s requirements in accordance with Uniform Guidance.

• Single audit is conducted in accordance with Uniform Guidance (2 CFR 200. 501 Audit Requirements)
Singe Audit (UG Audit)

• PwC conducts FY20-21 Single Audit for UC Regents

• Timeline:
  ◦ Due date to submit single audit report with Federal Audit Clearinghouse: September 30, 2022 (original: March 31, 2022)
  ◦ OMB Memo M-21-20 dated March 19, 2021: A six-month extension to the Single Audit submission was granted to all recipients and subrecipients with fiscal year-ends through June 30, 2021.
  ◦ PwC aims to complete fieldwork testing by September 30, 2021 with a goal of completing the audit by the calendar year end.

• Major compliance testing areas
  ◦ Allowability/allocability of costs including cost transfers, Subrecipient monitoring, Key personnel, Equipment, Procurement, suspension and debarment, Service centers, etc.

• EFM supports Single Audit coordinating with other ORA units and other central offices mainly Business & Finance Solutions.
UCLA is selected for full scope testing for FY20-21 R&D cluster along with UCD. PwC selected samples for testing and EFM is coordinating with multiple offices and the department to provide the requested supporting documentation.

Research Development: Campus selection for full scope testing.

<table>
<thead>
<tr>
<th></th>
<th>FY21</th>
<th>FY20</th>
<th>FY19</th>
<th>FY18</th>
<th>FY17</th>
</tr>
</thead>
<tbody>
<tr>
<td>UCLA</td>
<td>Full scope</td>
<td></td>
<td></td>
<td></td>
<td>Full Scope</td>
</tr>
<tr>
<td>UCB</td>
<td>Full scope</td>
<td></td>
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<tr>
<td>UCSF</td>
<td>Full Scope</td>
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</tr>
<tr>
<td>UCD</td>
<td>Full scope</td>
<td></td>
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<td></td>
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</tr>
<tr>
<td>UCSD</td>
<td></td>
<td></td>
<td>R&amp;D out of scope</td>
<td></td>
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</tr>
<tr>
<td>UCSB</td>
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<td>UCSC</td>
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<td>UCI</td>
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<tr>
<td>UCR</td>
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<tr>
<td>UCM</td>
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</tbody>
</table>

EFM will share updates on audit progress and results when available.

If you are contacted by PwC auditors directly, please contact Yoon Lee in EFM. EFM will coordinate with you to provide answers to auditor’s questions.
Effort Report Certification

Robert De Jesus
Effort Report Status

- Effort Report Certification Progress as of September 8, 2021 (FY18-19: July 2018 – June 2019)

<table>
<thead>
<tr>
<th>Reporting Period</th>
<th>Summer 2018</th>
<th>Fall 2018 (Modified)</th>
<th>Winter 2019</th>
<th>Spring 2019</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Certified</td>
<td>399</td>
<td>5,247</td>
<td>4,464</td>
<td>3,589</td>
<td>13,699</td>
</tr>
<tr>
<td>Open</td>
<td>35</td>
<td>823</td>
<td>676</td>
<td>1,822</td>
<td>3,356</td>
</tr>
<tr>
<td>Total</td>
<td>434</td>
<td>6,070</td>
<td>5,140</td>
<td>5,411</td>
<td>17,055</td>
</tr>
<tr>
<td>Certification Rate</td>
<td><strong>91.94%</strong></td>
<td><strong>86.44%</strong></td>
<td><strong>86.85%</strong></td>
<td><strong>66.33%</strong></td>
<td><strong>80.32%</strong></td>
</tr>
</tbody>
</table>

- [https://portal.research.ucla.edu/EffortReportingCertification](https://portal.research.ucla.edu/EffortReportingCertification)

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

<table>
<thead>
<tr>
<th>Effort Report with Under Prelim Review Flag Breakdown</th>
<th>Number of reports</th>
</tr>
</thead>
<tbody>
<tr>
<td>Open Effort Report for FY18-19</td>
<td>3,356</td>
</tr>
<tr>
<td>Total Open Effort Reports with errors</td>
<td>823</td>
</tr>
<tr>
<td>Open Error Reports with no issue</td>
<td>2,533</td>
</tr>
<tr>
<td>Total number of effort reports</td>
<td>17,055</td>
</tr>
<tr>
<td>Error Rate</td>
<td>4.83%</td>
</tr>
</tbody>
</table>

- Certify reports that are not flagged as “Under Prelim Review” which means we have 2,533 Effort Reports left available for certification! Great Progress!
Effort Report Status

- Effort Report Certification Progress as of September 8, 2021 (FY19-20: July 2019 – June 2020)

<table>
<thead>
<tr>
<th>Reporting Period</th>
<th>Summer 2019</th>
<th>Fall 2019</th>
<th>Winter 2020</th>
<th>Spring 2020</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Certified</td>
<td>3,715</td>
<td>3,359</td>
<td>3,322</td>
<td>3,193</td>
<td>13,589</td>
</tr>
<tr>
<td>Open</td>
<td>2,043</td>
<td>1,858</td>
<td>1,956</td>
<td>1,935</td>
<td>7,792</td>
</tr>
<tr>
<td>Total</td>
<td>5,758</td>
<td>5,217</td>
<td>5,278</td>
<td>5,128</td>
<td>21,381</td>
</tr>
</tbody>
</table>

Certification Rate: 64.52% 64.39% 62.94% 62.27% 63.56%

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

Effort Reports with Under Prelim Review Flag Breakdown

<table>
<thead>
<tr>
<th>Effort Reports with Under Prelim Review Flag Breakdown</th>
<th>Number of reports</th>
</tr>
</thead>
<tbody>
<tr>
<td>Open Effort Report for FY19-20</td>
<td>7,792</td>
</tr>
<tr>
<td>Total Open Effort Reports with errors</td>
<td>1,268</td>
</tr>
<tr>
<td>Open Error Reports with no issue</td>
<td>6,524</td>
</tr>
<tr>
<td>Total number of effort reports</td>
<td>21,381</td>
</tr>
<tr>
<td>Error Rate</td>
<td>5.93%</td>
</tr>
</tbody>
</table>

Certify reports that are not flagged as “Under Prelim Review” which means we have 6,524 Effort Reports left available for certification! Great Progress!

- [https://portal.research.ucla.edu/EffortReportingCertification](https://portal.research.ucla.edu/EffortReportingCertification)
Effort Report Status

- Effort Report Certification Progress as of September 8, 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>3,537</td>
<td>3,128</td>
<td>3,210</td>
<td>9,875</td>
</tr>
<tr>
<td>Open</td>
<td>2,058</td>
<td>1,885</td>
<td>1,778</td>
<td>5,721</td>
</tr>
<tr>
<td>Total</td>
<td>5,595</td>
<td>5,013</td>
<td>4,988</td>
<td>15,596</td>
</tr>
<tr>
<td>Certification Rate</td>
<td>63.22%</td>
<td>62.40%</td>
<td>64.35%</td>
<td>63.32%</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</th>
</tr>
</thead>
<tbody>
<tr>
<td>Open Effort Report for FY20-21</td>
<td>5,721</td>
</tr>
<tr>
<td>Total Open Effort Reports with errors</td>
<td>600</td>
</tr>
<tr>
<td>Open Error Reports with no issue</td>
<td>5,121</td>
</tr>
<tr>
<td>Total number of effort reports</td>
<td>15,596</td>
</tr>
<tr>
<td>Error Rate</td>
<td>3.85%</td>
</tr>
</tbody>
</table>

- Certify reports that are not flagged as “Under Prelim Review” which means we have 5,121 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 is in the middle of receiving audit selections for the FY20-21 Single Audit
  - The Single Audit will cover Sponsored funds with expenditures from July 01, 2020 – June 30, 2021
  - Payroll Expense is the biggest component of federally funded expenses. This means we should prioritize certifying the 5,216 Effort Reports that are eligible for certification (5,121 Open Reports with no Error and 95 Open Reports that can be certified by correcting the Percent of Effort) FY20-21 which have a chance of being selected for the audit.
    - Departments have certified an additional 640 Effort Reports for FY20-21 since the August 2021 RAF
  - Uncertified Effort Reports expose UCLA to be out of compliance and to the risk of having an audit finding
  - We must continue to address 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/

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September 2021 Research Administration Forum Q&A

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Associate Vice Chancellor
Q1: As some of our colleagues are returning back to campus, will future RAF meetings continue to be held in this remote format?
A1: Personally, I am excited about the possibility of returning to live meetings, though I don’t know when. It is better when we can see the audience! Still, we have had expanded attendance with the on-line meetings (274 attendees today!), and we know some staff will continue to work remotely, so we will look to continue to offer remote access to RAF even when we return to in-person meetings.

Contract and Grant Administration
Q1: Is it ok to submit a mix of formats, where one Key Person uses the new format, and another the old one?
A1: Currently, yes a mix of formats is fine, however starting 01/25/2022 only the new format will be allowed. Just a reminder that regardless of the format, all research endeavors must be reported.

Q2: Travis, you mentioned a key change in NIH OS is that completed support no longer goes into the OS, it’s only “required” in the Biosketch. The latest directions I’ve seen for the Biosketch state that completed projects aren’t required in the Biosketch; rather, their inclusion is optional, based on what the PI would like to highlight. Has that changed?
A2: From NIH Grants & Funding website, Biosketch FAQs #4:
The biosketch format announced in NOT-OD-21-073 no longer has ‘Research Support’ in section D. Can applicants still provide information on their ongoing and recently completed projects for reviewers to consider?

While Section D: Research Support, has been removed from the biosketch format, applicants should provide details related to ongoing and recently completed projects that they want to draw attention to within the personal statement, Section A. This information is included in the updated Biosketch Instructions.

Q3: Is UCLA requiring the use of the January 2022 NIH format before the NIH implementation date?
A3: Yes, but we are waiting to get past the upcoming busy sponsor deadlines. We will give time for PIs to get ready. More info coming soon.
Q4: While we are waiting for the NIH release of the OS template as part of SciENCv, will UCLA offer an interim tool during this time?

A4: Yes it’s in development and will be released soon. We will work to share at the October RAF if not before.

Human Research Protection Program

Q1: Moore, did you say that an individual needs to either complete GCP or the basic Human Subjects training?

A1: Yes, to complete the human subjects training requirement, an individual could choose to either complete the Human Subjects course or a GCP course.

If key personnel complete GCP, they will be set for both the IRB requirement and the GCP training requirement.

Q2: Since there is a COVID-19 vaccine mandate for students, faculty, staff, and visitors to the hospital, is there a policy for research participants to be vaccinated prior to coming on campus?

A2: I believe they fall under the category of “campus visitors” in the COVID policy.

Extramural Fund Management

Q1: I've run into an issue of trying to NPEAR a recharge from an unrestricted fund where the OFSR system says that the unrestricted fund doesn't have sufficient funds. I am assuming this is related to the appropriation not occurring yet for the current FY.

A1: Here are the list of contacts based on the fund number range.