UCLA Research Administration

Research Administration Forum

August 8, 2024

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 orally. You will be allowed to unmute.
- Slides will be posted on the ORA website following the meeting

Agenda

- **Welcome & Announcements** – *Marcia Smith*
- **Human Research Protection Program**
  - BruinIRB Updates – *Rebecca Flores Stella*
- **Contract and Grant Administration**
  - OCGA Updates – *Tracey Fraser and Kathy Kawamura*
- **Extramural Fund Management**
  - EFM: Looking back FY24 and Looking forward FY25 – *Yoon Lee*
  - ERS certification status and due date – *Val Gomez*
  - ERS replacement project – *Val Gomez*
  - UCPath Direct Retro Sunset Schedule – *Val Gomez*
  - Updated RAPID tool – *Val Gomez*

OHRPP UPDATES

AUGUST 8, 2024

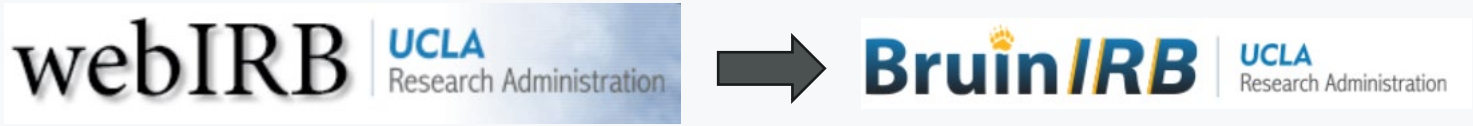
UCLA Research Administration

OHRPP UPDATES

BruinIRB | UCLA Research Administration

GO LIVE CONFIRMED:

Monday, September 9, 2024



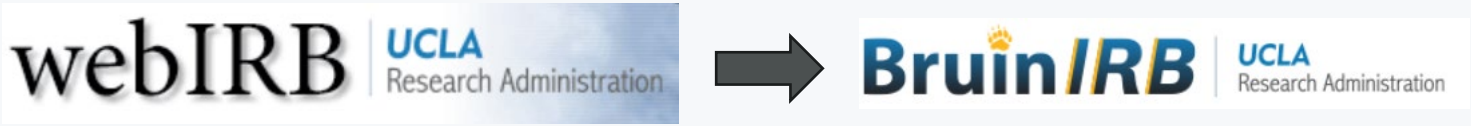
As a reminder, UCLA is transitioning from webIRB to BruinIRB as our IRB submission system.

Why is this transition necessary:

- webIRB is a highly customized application that requires significant IT resources to manage.
  - webIRB application version is no longer supported by the vendor.
- BruinIRB utilizes a streamlined application and workflow.
  - Simplifies submissions by focusing on the upload of a scientific protocol and/or Human Subject protocol templates designed to obtain the information required for the IRB to make regulatory determinations.
- BruinIRB offers a streamlined user interface.

webIRB | UCLA Research Administration → BruinIRB | UCLA Research Administration

DATE	Key Event
August 9, 2024	**Updated OHRPP Website** Launched to include BruinIRB Resource Library
September 7, 2024 8:00 am – September 9, 2024 8:00 am ***webIRB and BruinIRB unavailable for use***	**Migration of legacy studies** (approved studies with no pending submissions). - All Full Board studies - Begin expedited studies - Migration to continue weekly until all legacy and in-flight studies established in BruinIRB - Migration of all legacy studies anticipated to be completed by September 30, 2024.
September 9, 2024 – BruinIRB Go Live	All **New studies must be submitted in BruinIRB**. webIRB closed to creation of new studies. **Follow on submissions (amendment, continuing review, PARs) for migrated studies** must submitted in BruinIRB. Submissions "in flight" will be finalized in webIRB before being migrated to BruinIRB.
January 6, 2025	BruinIRB used for majority of IRB submissions.



MAJOR DIFFERENCES

- Protocol Requirement
- Agree to Participate Requirement

IRB PROTOCOL TEMPLATES

- Every new study submission will require the upload of a study protocol
  - Industry-sponsor protocol
  - Scientific protocol submitted to funding source
  - Upload of grant alone will not address protocol requirement
- New OHRP Protocol Templates
  - Biomedical Research Template
  - Behavioral Research Template
  - Secondary Analysis Template
- IRB Supplements to Address Special Populations and other Regulatory Requirements
  - Adults Not Able to Consent
  - Children
  - Pregnancy and Neonates
  - Prisoners
  - Wards
  - Waivers/alterations to the requirement for informed consent
  - HIPAA-covered Research

BruinIRB Resource Library

BruinIRB Protocol Templates and IRB Supplements

BruinIRB relies on the upload of a protocol document to address much of the information required by the IRB to address criteria for IRB review. To assist in the new protocol requirement, OHRPP has created protocol templates that can be used for each submission.

Print | Expand All | Collapse All

Protocol Templates

- Biomedical research
- Socio-behavioral/educational research – subject contact
- No human subject contact research (records, data, specimen analysis)
- Reliance studies – please submit the protocol that is being used at all sites
- Emergency Use
- Humanitarian Use Device
- Right to Try
- Expanded Access – Please see OHRPP Guidance and Procedures: Use of Drugs and Biologics in Clinical Research and Treatment or OHRPP Guidance and Procedures: Use of Devices in Clinical Research and Treatment for required sponsor or FDA documents that will serve as a protocol.

Note: These protocol templates are also available within BruinIRB Library.

IRB Protocol Supplements

In some cases, the protocol may not address issues specific to human subject protections and so it may be necessary to complete an IRB protocol supplement. Supplements address specific research scenarios or address protections specific to certain populations.

- Adults Not Able to Consent
- Children
- HIPAA-Covered Research
- Pregnancy and Neonates
- Prisoners
- Waivers
- Wards

BruinIRB Quick Guides

Investigator and Research Team Quick Guides

- Assign Primary Contact
- Change in PI
- Document Management
- Expanded Access Protocol
- Migrated webIRB Applications
- Obtain a BruinIRB Account
- Update Study Details
- Updating Your Contact Information and Profile in BruinIRB

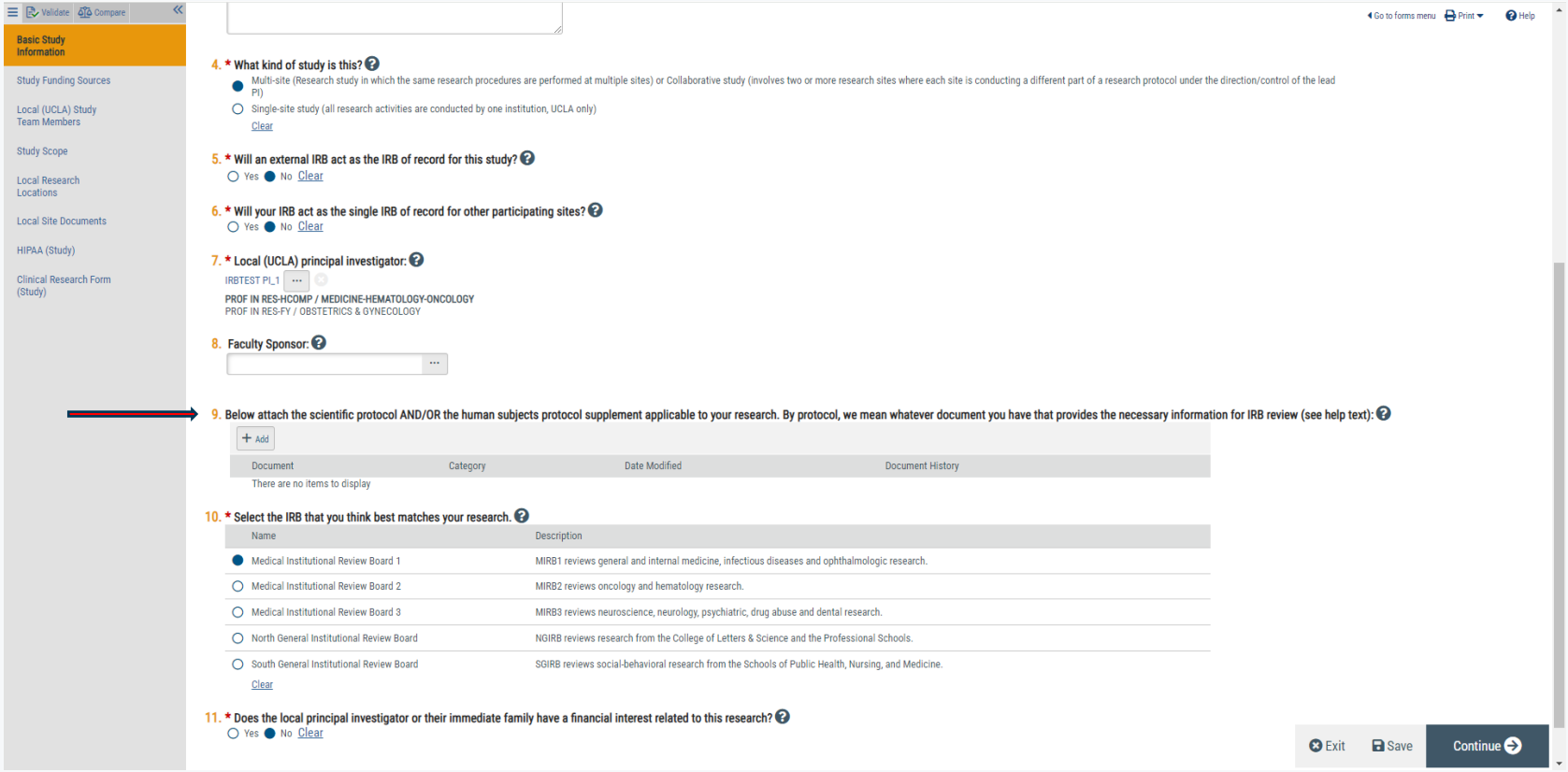
IRB Members Quick Guides

Coming soon

OHRPP IRB Staff Quick Guides

- Assign Designated Reviewer (Non-Committee Review)
- Assign to Committee Review
- Assigning an Owner to a Submission
- Tip Sheet: BruinIRB "Edit Study" Activity for OHRPP Staff
- Updating Members and Committee Personnel

Page Last Updated: August 7, 2024


Validate
Compare
Basic Study Information
Study Funding Sources
Local (UCLA) Study Team Members
Study Scope
Local Research Locations
Local Site Documents
HIPAA (Study)
Clinical Research Form (Study)
Go to forms menu
Print
Help
4. * What kind of study is this?
Multi-site (Research study in which the same research procedures are performed at multiple sites) or Collaborative study (involves two or more research sites where each site is conducting a different part of a research protocol under the direction/control of the lead PI)
Single-site study (all research activities are conducted by one institution, UCLA only)
Clear
5. * Will an external IRB act as the IRB of record for this study?
Yes No Clear
6. * Will your IRB act as the single IRB of record for other participating sites?
Yes No Clear
7. * Local (UCLA) principal investigator:
IRBTEST PI_1
PROF IN RES-HCOMP / MEDICINE-HEMATOLOGY-ONCOLOGY
PROF IN RES-FY / OBSTETRICS & GYNECOLOGY
8. Faculty Sponsor:
9. Below attach the scientific protocol AND/OR the human subjects protocol supplement applicable to your research. By protocol, we mean whatever document you have that provides the necessary information for IRB review (see help text):
Add
Document
Category
Date Modified
Document History
There are no items to display
10. * Select the IRB that you think best matches your research.
Name
Description
Medical Institutional Review Board 1
MIRB1 reviews general and internal medicine, infectious diseases and ophthalmologic research.
Medical Institutional Review Board 2
MIRB2 reviews oncology and hematology research.
Medical Institutional Review Board 3
MIRB3 reviews neuroscience, neurology, psychiatric, drug abuse and dental research.
North General Institutional Review Board
NGIRB reviews research from the College of Letters & Science and the Professional Schools.
South General Institutional Review Board
SGIRB reviews social-behavioral research from the Schools of Public Health, Nursing, and Medicine.
Clear
11. * Does the local principal investigator or their immediate family have a financial interest related to this research?
Yes No Clear
Exit
Save
Continue

AGREE TO PARTICIPATE

- Every new study submission will require the agreement of each listed co-investigator and/or Faculty Sponsor before the PI may submit the protocol

- AGREE TO PARTICIPATE advises listed study co-investigators and/or Faculty Sponsors to:
  - Review and accept their proposed involvement
  - Disclose any potential conflicts of interests

- AGREEMENT must be received from all listed co-investigators and/or Faculty Sponsor before the PI may "Submit"

Email notification sent to study team member when added to a study:

Sign Off Required - Agree to Participate

Link:	IRB-24-0171
PI:	Joe Bruin
FS:	Test Faculty Sponsor
Primary Contact:	Joe Bruin
Title:	Test Study
Short Title:	Agree to Participate Test Study

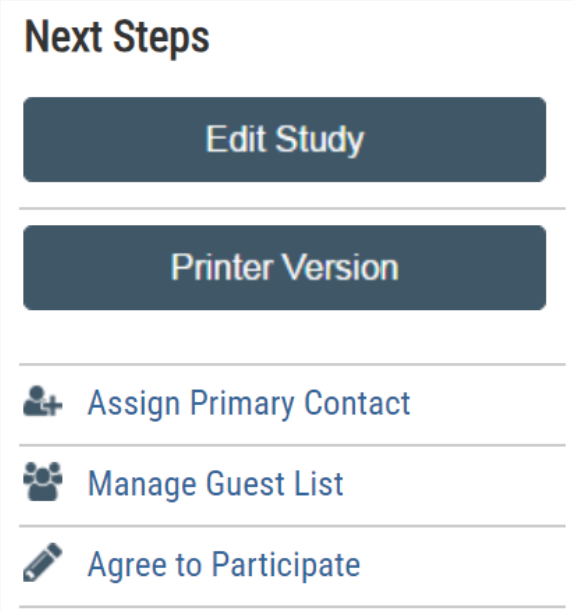
The above-referenced application has been drafted in BruinIRB and requires you to agree to participate before it can be submitted to the IRB. Please use the above link to go to the study workspace or use the below button to provide your decision:

Please contact the Principal Investigator (PI) or Primary Contact if you have any questions about your proposed involvement in this project (include email addresses). You may also decline to participate by selecting "No" in the Agree to Participate activity.

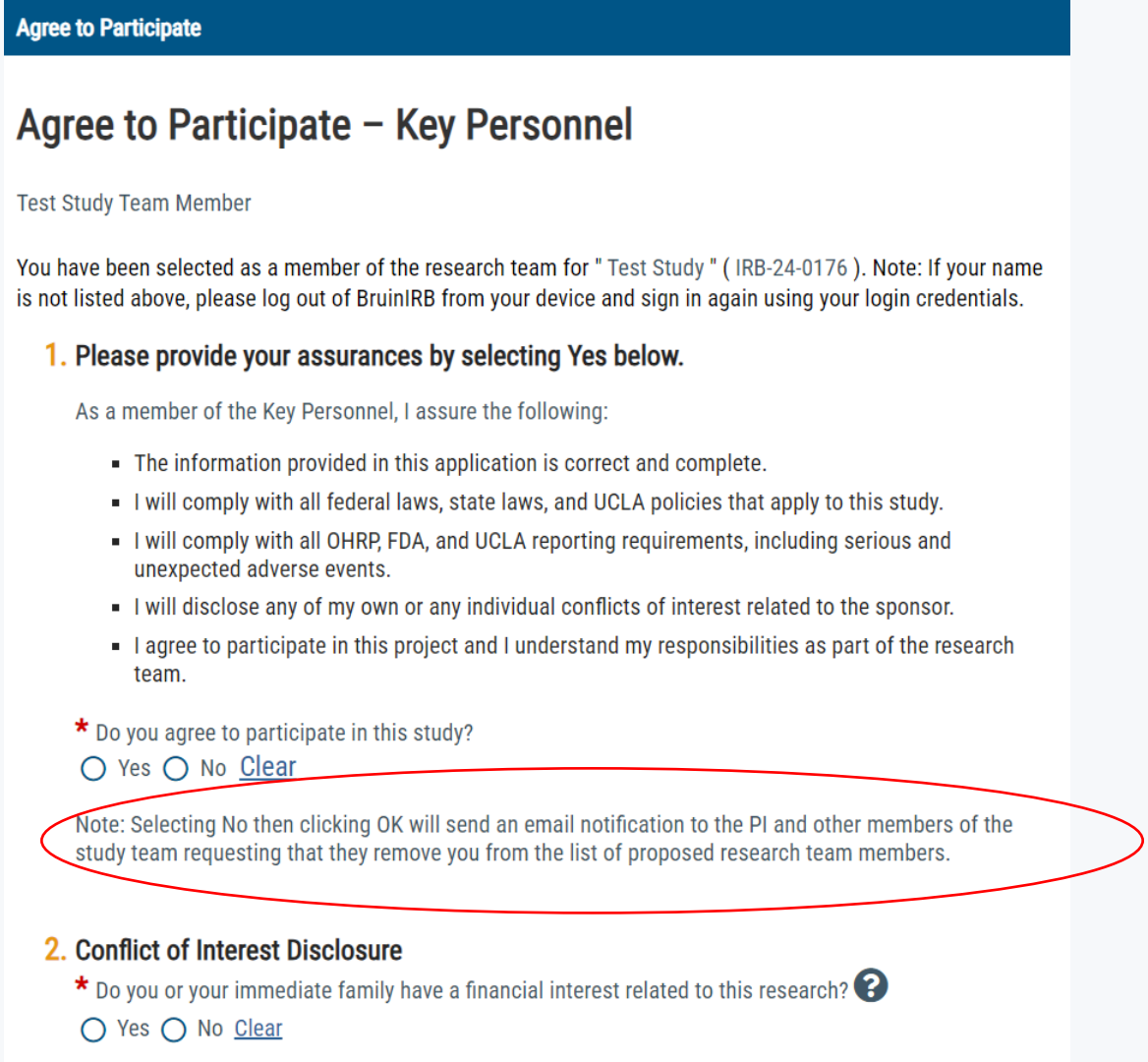
Please note, delays to signing off will cause delays for the study submission.

If there are any additional questions, please contact OHRPP at ohrpp@research.ucla.edu or 310-825-5344.

Within the study workspace, study personnel will click on the Agree to Participate button to complete the required action:



Agree to Participate pop-up:



Agree to Participate

Agree to Participate – Key Personnel

Test Study Team Member

You have been selected as a member of the research team for " Test Study " (IRB-24-0176). Note: If your name is not listed above, please log out of BruinIRB from your device and sign in again using your login credentials.

1. Please provide your assurances by selecting Yes below.

As a member of the Key Personnel, I assure the following:

- The information provided in this application is correct and complete.
- I will comply with all federal laws, state laws, and UCLA policies that apply to this study.
- I will comply with all OHRP, FDA, and UCLA reporting requirements, including serious and unexpected adverse events.
- I will disclose any of my own or any individual conflicts of interest related to the sponsor.
- I agree to participate in this project and I understand my responsibilities as part of the research team.

* Do you agree to participate in this study?

◯ Yes ◯ No Clear

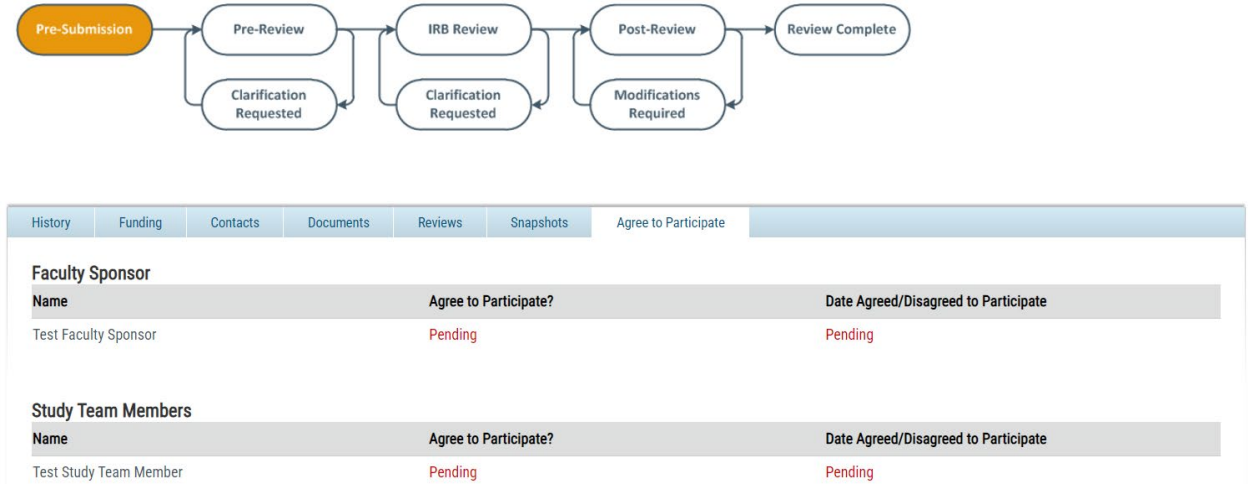
Note: Selecting No then clicking OK will send an email notification to the PI and other members of the study team requesting that they remove you from the list of proposed research team members.

2. Conflict of Interest Disclosure

* Do you or your immediate family have a financial interest related to this research?

◯ Yes ◯ No Clear

A tab in the study workspace, will provide up to date status on each team member's Agree to Participate activity, Pending (no responses to Agree to Participate yet):



Once all team members have addressed the requirement, the PI is free to submit the study:

History | Funding | Contacts | Documents | Reviews | Agree to Participate | ...

Faculty Sponsor

Name	Agree to Participate?	Date Agreed/Disagreed to Participate
Test Faculty Sponsor	Yes	8/7/2024

Study Team Members

Name	Agree to Participate?	Date Agreed/Disagreed to Participate
Test Study Team Member	Yes	8/7/2024

Upon completion of all required agreements, the PI, Primary contact and Proxy will be notified by email.

BruinIRB | UCLA Research Administration

University of California Los Angeles
10889 Wilshire Blvd, Suite 830
Los Angeles, CA 90095-1406
https://ohrpp.research.ucla.edu/

(310) 825-5344
ohrpp@research.ucla.edu

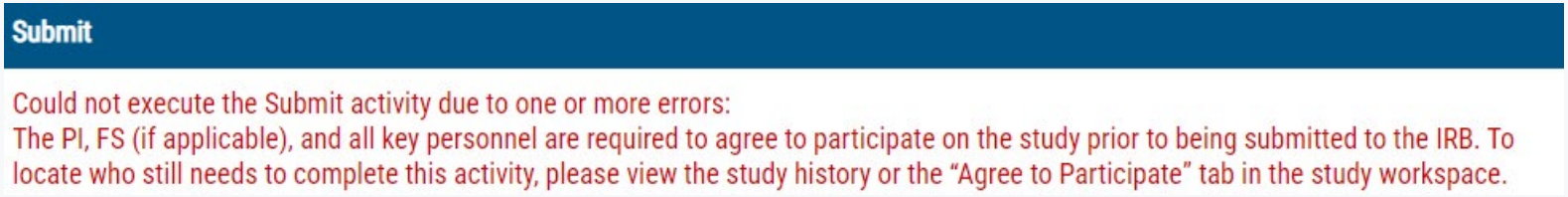
All Listed Co-Investigators Have Agreed to Participate

Link:	IRB-24-0171
PI:	Joe Bruin
FS:	Test Faculty Sponsor
Primary Contact:	Joe Bruin
Title:	Test Study
Short Title:	Agree to Participate Test Study

The above-referenced application has been updated in BruinIRB to reflect that all listed co-investigators have agreed to participate. Please use the above link to go to the study workspace and review the updated information and SUBMIT the application for IRB review.

Should the PI attempt to submit before all study team members have agreed, the following error message will display when clicking on the “Submit” activity.

This message will also display if someone indicated “No” to agreeing:



OHRPP LEARN AT LUNCH

BruinIRB's "Agree to Participate" function

Presented by Rebecca Flores Stella, OHRPP

This session will cover a new function for key personnel rolling out with the transition to BruinIRB.

Date: **Thursday, August 22, 2024**

Time: **Noon-1pm**

Location: **Zoom** (Register for this meeting)

OHRPP LEARN AT LUNCH

"How to Submit New Studies in BruinIRB" (live repeat)

Presented by OHRPP BruinIRB Transition Team

This session will discuss how to submit a new application for IRB/OHRPP review in BruinIRB.

Date: **Wednesday August 21, 2024**

Time: **Noon-1pm**

Location: **Zoom** (Register for this meeting)

OHRPP LEARN AT LUNCH – RECORDINGS AVAILABLE

Date Presented	Presentation	YouTube Link
Wednesday May 22, 2024	Learn at Lunch: BruinIRB Phase 2 Roll-out Timeline	Recording Available
Thursday June 6, 2024	Learn at Lunch: BruinIRB Protocol Uploads	Recording Available
Tuesday June 25, 2024	Learn at Lunch: Migration of Existing Studies from webIRB to BruinIRB	Recording Available
Tuesday July 9, 2024	Learn at Lunch: CRAMs and AMs in BruinIRB	Recording Available
Wednesday July 24, 2024	Learn at Lunch: How to Submit New Studies in BruinIRB	Recording Available

OHRPP ZOOM DROP-IN

Quality Improvement Unit staff hosts half-hour open Q/A sessions every other week to answer your OHRPP-related questions

Register once to join any session

Upcoming Office Hours:

- August 15, 2024, at 2pm
- August 29, 2024, at 2pm

OHRPP CONTACT INFORMATION

Presenter Rebecca Flores Stella: rebecca.stella@research.ucla.edu

Requests for trainings: ohrppeqi@research.ucla.edu

Technical assistance for BruinIRB: BruinIRB@research.ucla.edu

Requests for specific study consultations:

- For studies already submitted: the OHRPP staff assigned to your protocol or the administrator for the committee to which your study has been assigned
- For studies not yet submitted: https://ohrpp.research.ucla.edu/ohrpp-staff-consults/

OFFICE OF CONTRACT & GRANT ADMINISTRATION UPDATES

AUGUST 8TH, 2024 RESEARCH ADMINISTRATION FORUM

TRACEY FRASER, SENIOR DIRECTOR, OCGA

KATHY KAWAMURA, ASST. DIRECTOR, OCGA

UCLA Research Administration

OCGA UPDATE TOPICS

01

CLOSE OUTS

Escalation Process

02

UNIFORM GUIDANCE

Equipment and Subaward Threshold Update

03

SPONSOR UPDATES

NIH Common Forms Implementation

UCLA Research Administration

CLOSEOUTS

ESCALATION PROCESS

Reminder for NIH Closeout Reporting Requirements and Closeout Email Notifications

Notice Number:

NOT-OD-24-047

Key Dates

Release Date: December 21, 2023

Related Announcements

- **November 30, 2017** - NIH Enforcement of Closeout Policies. See NOT-OD-18-107

Issued by

NATIONAL INSTITUTES OF HEALTH (NIH)

Purpose

This notice serves as a reminder for existing closeout reporting requirements and an update to reminder closeout email notifications to promote compliance in the area of timely closeout for our recipient community.

As a long-standing policy, NIH recipients must submit a Final Federal Financial Report (FFR), Final Research Performance Progress Report (F-RPPR), and Final Invention Statement and Certification (FIS) within 120 calendar days of the end of the period of performance (project period), as required in section 8.6 of the NIH Grants Policy Statement. The reports become overdue the day after the 120-calendar day period ends. It is the recipient's responsibility to accurately reconcile their FFRs that are submitted to the Payment Management System (PMS) and to ensure that all required closeout documents are submitted in a timely manner.

NIH currently sends reminder emails to recipients 10, 120, and 150 days after the project period end date. To increase outreach efforts to recipients prior to final reports becoming delinquent, starting in January 2024 NIH will begin to send an additional reminder closeout email notification 90 days after the project period end date. As with the 120- and 150-days reminders, recipients will only receive this notification if there is at least one required closeout report that has not been submitted as of the date of the notification.

NIH Enforcement of Unilateral Closeout Reporting in the System for Award Management Responsibility/Qualification (formerly Federal Awardee Performance and Integrity Information System (FAPIIS)

Notice Number:
NOT-OD-24-055

Key Dates

Release Date: January 23, 2024

Purpose

The purpose of this Notice is to alert the NIH extramural community that NIH is strengthening enforcement of longstanding closeout requirements, outlined in the NIH Grants Policy Statement (NIH GPS) Section 8.6, Closeout. NIH has consistently reminded recipients of their responsibility to submit timely, accurate final grant expenditure, progress and invention reports. In order to fulfill agency requirements under the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards at 2 CFR 200, NIH will report all unilateral closeouts of NIH awards as a Responsibility/Qualification (formerly FAPIIS) record in the entity's information in the System for Award Management (SAM.gov). Please be reminded that without prior approval from the awarding institute or center for a delay in closeout NIH will initiate unilateral closeout for all awards that fail to meet closeout requirements within 120 days as required by Section 8.6 of the NIH GPS. **See below for details**.

NIH Actions

NIH is committed to addressing and reducing grant closeout delays and to enhance compliance with Federal regulations and NIH policies. Therefore, NIH will strictly enforce its closeout policies. When recipients fail to submit timely reports, NIH will initiate unilateral closeout. If a recipient does not submit all required closeout reports within a year of the period of performance end date, NIH will unilaterally close the award and report the recipient's failure to comply with the terms and conditions of award in SAM.gov. In addition, failure to correct recurring reporting problems may cause NIH to take one or more actions that may include, but are not limited to, corrective actions, withholding of further awards, suspension or termination per Section 8.5.2 of the NIH GPS.

Effective Date

In an effort to comply with the regulations, NIH will report unilateral closeout actions in SAM.gov retroactively, beginning with all unilateral closeout actions taken since January 1, 2023.

OCGA CLOSEOUT ESCALATION PROCESS

PAST DUE FINAL REPORT EMAIL ESCALATION				
	When	**Sent by**	**To**	**cc'd**
First Request	Day after due date of **final report** or within 2 days of assignment if not previously assigned.	Analyst	PI	Dept Fund Mgr Dept Closeout
Second Request	7 business days after first request	Analyst	PI	Dept Fund Mgr Dept Closeout
Third Request	7 business days after second request	Asst. Director	Chair	PI Dept. Fund Mgr Dept Closeout
Fourth Request	7 business days after third request	Sr. Director	Dean	Chair PI OCGA Asst. Director Dept Fund Mgr Dept Closeout
All Subsequent Requests	Every 5 business days	Sr. Director	Dean	VCR AVC ORA Chair PI OCGA Asst. Director Dept. Fund Mgr Dept. Closeout

NIH GRANT CLOSEOUT PROCESS: ADMINISTRATIVE AND FINANCIAL ESSENTIALS

SEPTEMBER 17, 2024

10:00 am

REGISTER

AGENDA

- Closeout Requirements: An Overview of standard and financial closeout from both sides of the same coin!
- Administrative Requirements
- Financial Requirements

CLOSING OUT AN NIH GRANT INVOLVES BOTH ADMINISTRATIVE AND FINANCIAL RESPONSIBILITIES TO ENSURE COMPLIANCE WITH NIH POLICIES. AMONG THESE ARE THE SUBMISSION OF THE FINAL PROGRESS REPORTS, INVENTION STATEMENTS, PROPERTY REPORTS, AND PREPARING THE FEDERAL FINANCIAL REPORT (FFR), AND MORE. MAINTAINING THOROUGH RECORDS AND DOCUMENTATION THROUGHOUT THE LIFE OF THE GRANT IS CRUCIAL FOR A SMOOTH CLOSEOUT PROCESS.

2024 REVISIONS TO 2 CFR

UNIFORM GUIDANCE

THRESHOLD FOR PROPOSALS

OMB Guidance for Federal Financial assistance released on April 22, 2024 goes lives on October 1, 2024.

INCREASED THRESHOLD REQUIRE CHANGES TO APPROVED INDIRECT COST RATE (PER HHS)

Equipment Capitalization Threshold ($5k up to $10k) and / or MTDC for subawards (first $25k to $50k)

UC POLICIES IN REVIEW

UC is in the process of reviewing current UC policies and working with our Federal negotiators on timelines for Indirect Cost Rate submissions

CONTINUE TO USE CURRENT GUIDELINES

Until we receive UC confirmation to use the new thresholds

UPCOMING MONTHLY TRAINING

OCGA Monthly Training Calendar

AWARD PROCESSING
August 21, 2024

COMPLETING THE EPASS
October 16, 2024

S2S BASICS
September 18, 2024

POST-SUBMISSION REQUIREMENTS
November 20, 2024

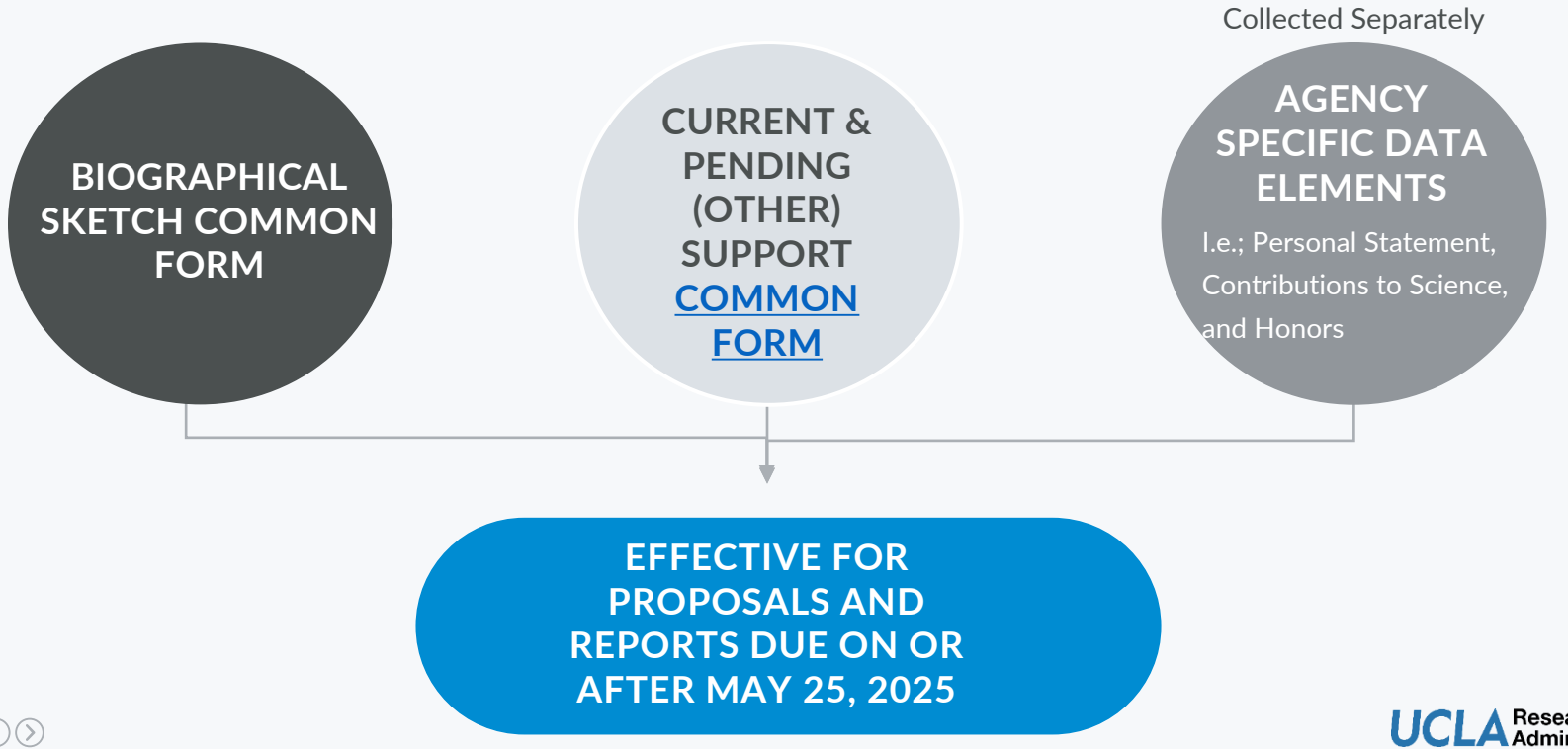
Register for each session individually

SPONSOR UPDATES

NIH COMMON FORMS IMPLEMENTATION

NOT -OD-24-163

NIH: COMMON FORMS FOR BIOGRAPHICAL SKETCH AND CURRENT AND PENDING (OTHER) SUPPORT



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NOT -OD-24-163

NIH: COMMON FORMS FOR BIOGRAPHICAL SKETCH AND CURRENT AND PENDING (OTHER) SUPPORT

NIH will require:

- ✓ The use of Science Experts Network Curriculum Vitae (SciENcv) to complete Common Forms (i.e., Biographical Sketch, Current and Pending (Other) Support) and the NIH Biographical Sketch Supplement to produce digitally certified PDF(s) for use in application submission
- ✓ All Senior/Key Personnel to enter their ORCID ID into SciENcv in the Persistent Identifier (PID) section of the Common Forms.
- ✓ All Senior/Key Personnel to link their ORCID ID to their eRA Commons Personal Profile.
- ✓ For information on linking an ORCID ID to the eRA Commons Personal Profile see the ORCID ID topic in the eRA Commons online help.

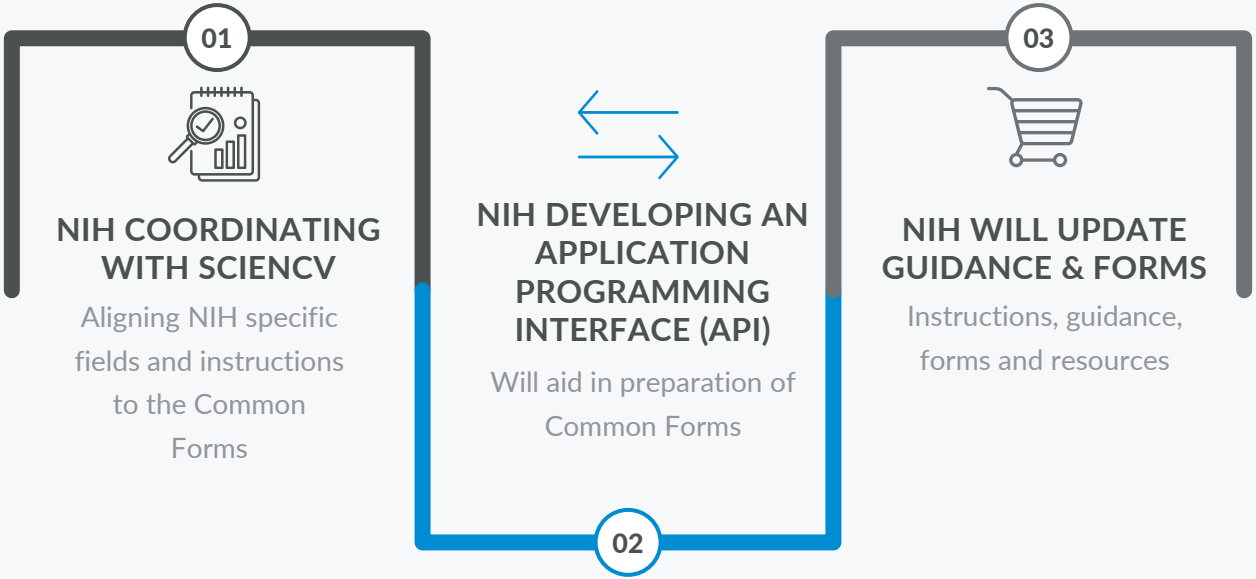
NOT -OD-24-163

NIH COMMON FORMS TIMELINE

If your intended application due date or RPPR submission is?	You must...
On or before May 24, 2025, including: • Applications submitted for due dates on or before May 24, 2025. • Applications submitted under NIH Late Policy 2-week window of consideration for intended due dates on or before May 24, 2025. • Applications submitted by June 1, 2025, under NIH Continuous Submission Policy for the May 7, 2025, AIDS intended due date.	Continue using the current NIH Biosketch and Other Support format pages for applications, Just-in-Time (JIT) and RPPRs.
On or after May 25, 2025, including: • Applications submitted for due dates on or after May 25, 2025. • All application types (New, Resubmission, Renewal, Revision). • Applications submitted early for intended due dates on or after May 25, 2025.	Use the Common Forms (i.e., Biographical Sketch, Current and Pending (Other) Support) and NIH Biographical Sketch Supplement along with the updated instructions for applications, JIT and RPPRs.

NIH: COMMON FORMS FOR BIOGRAPHICAL SKETCH AND CURRENT AND PENDING (OTHER) SUPPORT

NOT-OD-24-163



Look for additional guidance later this year

UCLA Research Administration

Questions About Today's Topics?

EXTRAMURAL FUND MANAGEMENT

AUGUST 8, 2024

UCLA Research Administration

AGENDA

EFM Looking back FY24 and Looking forward FY25

ERS certification status and due date

ECC Implementation Project

UCPath Direct Retro Sunset Schedule

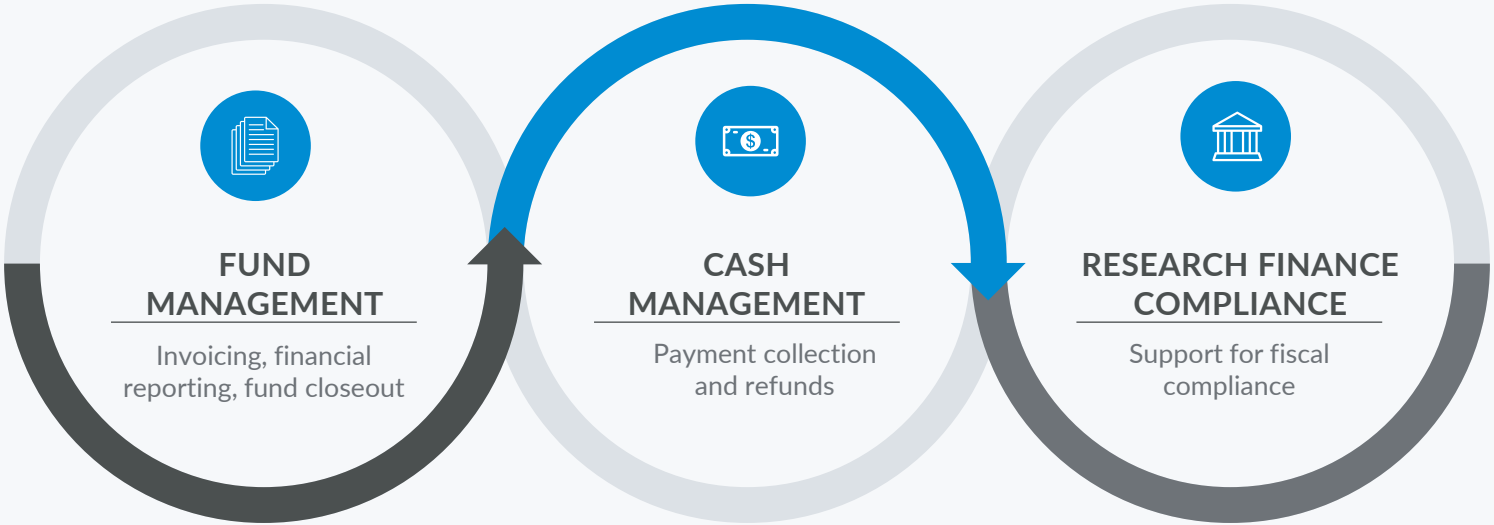
Updated RAPID tool

LOOKING BACK FY24 AND LOOKING FORWARD FY25

Yoon Lee

EFM SERVICES

Extramural Fund Management (EFM) provides **financial management support of sponsored projects** for the UCLA research community. EFM is composed of three following service areas.



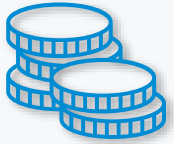
For more detailed explanation of services, visit https://efm.research.ucla.edu/services/

EFM BY NUMBERS FOR FY24

+ 2,500 expired funds

5,500+

Active sponsored funds on average



$1,526,573,772

Expenses Incurred
(per June preliminary ledger)

92% on time submission

16,423

Invoices and Financial reports

$1,530,774,986

Cash collected

+ 558 cash draws on LOC

12,728

Checks processed

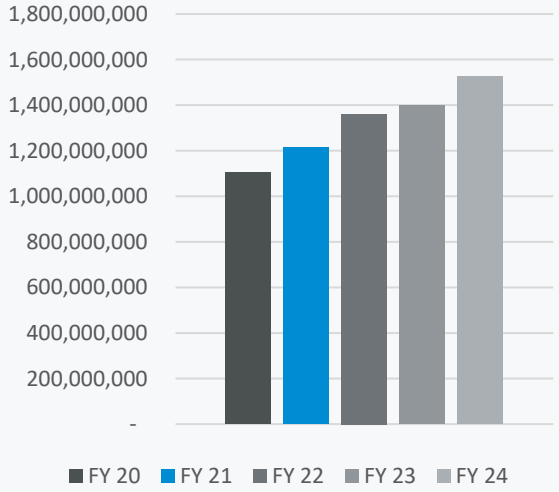
2,084

Expired funds closed

UCLA Research Administration

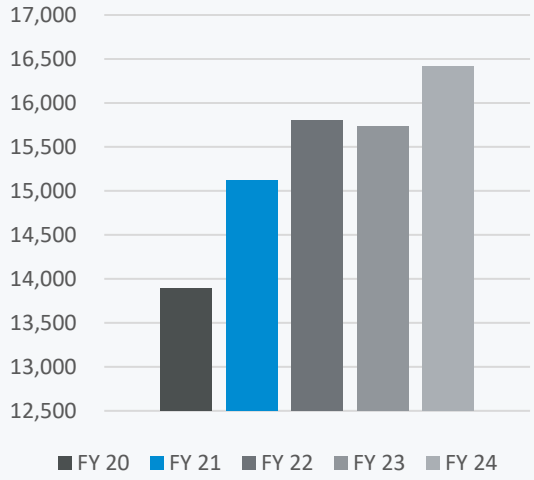
LAST 5-FISCAL YEAR TREND

Expense incurred
($)



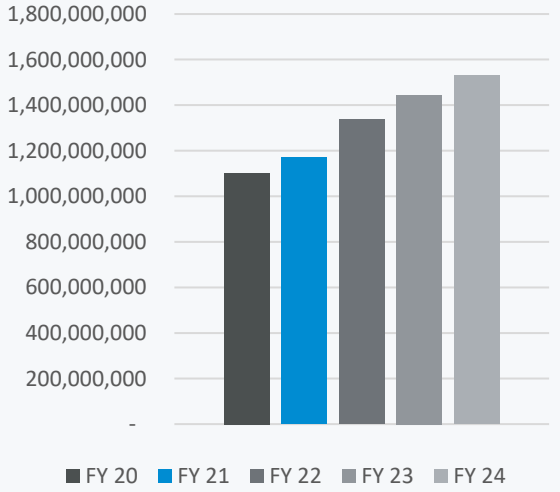
38% INCREASE ($422 MILLION)

Invoices and Financial Reports (count)



18% INCREASE (2,528)

Cash Collected
($)



39% INCREASE ($428 MILLION)

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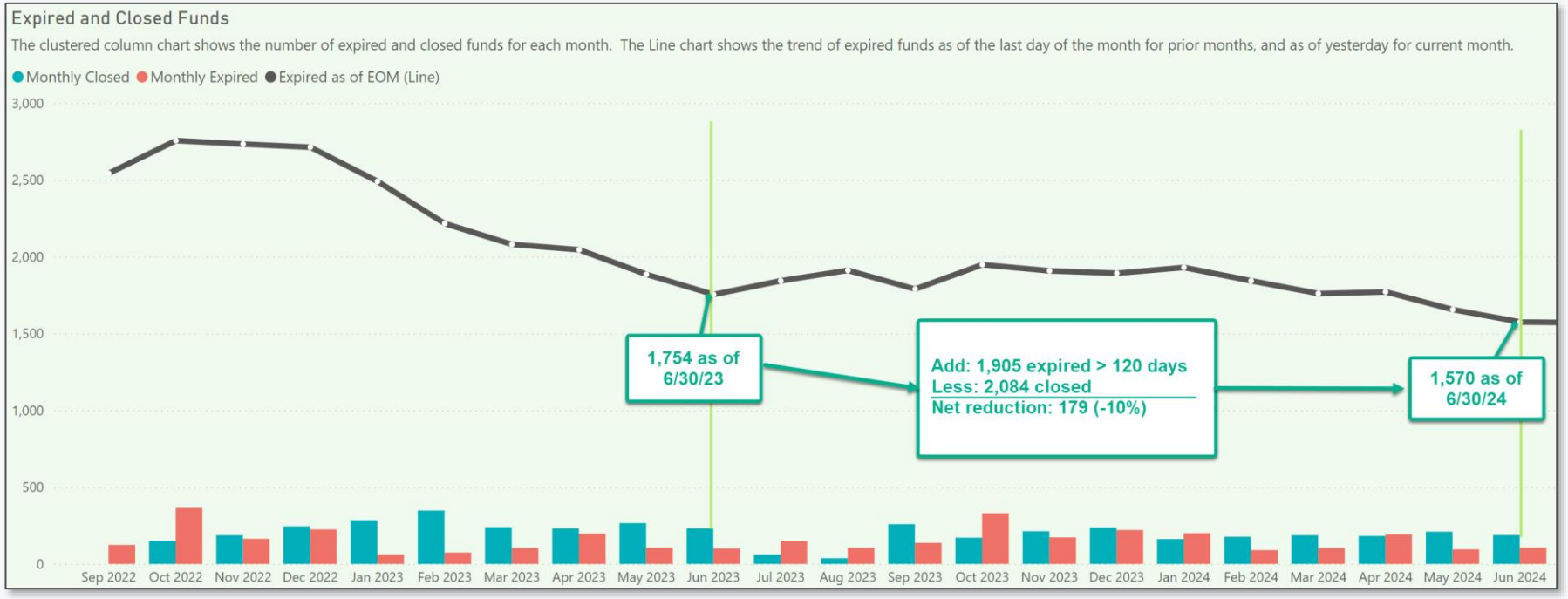
MAJOR EVENTS IN FY24

- **Ascend 2.0 continued and paused**
  - BruinBuy plus (BB+) launch in January 2024: BB+ changed the subaward/subcontract invoice approval process and affected timely posting of expenses to C&G funds and refund checks.
  - Ascend 2.0 paused in June 2024: The design and building phase was completed and testing was in process. The program executive sponsors announced the pause to stabilize BB+ and to assess the current financial operating model at UCLA and Ascend 2.0 path forward.
- **Single Audit for FY23: UCLA R&D selected for testing**
  - UC received an unmodified opinion and was qualified as a low-risk auditee.
- **Employee Compensation Compliance (ECC) implementation**
  - EFM-ORIS started the project to replace the Effort Reporting System (ERS) in October 2023 with ORA sponsorship. ECC is a Huron product and Huron is the implementation partner.
- **UCPath Salary Cost Transfer (SCT) tool**
  - UCPath released the new SCT tool in November 2023 to replace the Direct Retro (DR) tool.
  - EFM reviewed the design and participated in testing collaborating with Business and Finance Solutions (BFS).

FY24: EFM'S FOCUS WAS TO CLOSE EXPIRED FUNDS



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THANK YOU FOR

- Preparing a detailed breakdown of expenses not available in Financial system
- Supporting payment collection process
- Submitting closeout packets on time
- Processing cost transfers and releasing encumbrance to close the fund
- Assisting the PIs to certify effort reports
- Providing supporting documents for audits
- Communicating department business scenarios and feedback to the design of future business processes throughout Ascend

"Without your support, EFM could have not achieved these.

THANK YOU FOR YOUR PARTNERSHIP!"

LOOKING FORWARD FY25

With the Ascend 2.0 pause, EFM will refocus our effort on gaining operational efficiency to maximize the output while improving the quality of work.

01 PROCEDURE IMPROVEMENT
Evaluate value of business processes that are costly to maintain in relation to financial and compliance risk.

02 SYSTEM ENHANCEMENT
Automate labor intensive processes to minimize manual work to save time and reduce errors.

03 EFFECTIVE COMMUNICATION
Keep interested parties informed of the project financial status and escalate the issue to the responsible individual timely.

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01 PROCEDURE IMPROVEMENT

- **Planning to adapt to the UG 2024 Revisions**
  - EFM will collaborate with BFS to develop a plan to adapt to the Uniform Guidance (UG) 2024 revisions.

- **Preparing the Final Financial Deliverables**
  - EFM will develop a more efficient procedure to prepare the final financial deliverables engaging campus department research administrators, balancing and managing financial and compliance risks.

- **Updating the UCLA Policy 913**
  - EFM will work with ORA leadership to update policy 913 to support a timely closeout of funds subject to UCLA policy 913.

02 SYSTEM ENHANCEMENT: ECC AND PAMS

- EFM is implementing the Huron ECC system to reduce administrative burden of documenting payroll while meeting the federal requirements and certain non-federal sponsor's payroll documentation requirements.

- EFM is switching from the maintenance mode to active development for PAMS to add enhanced features to support operational efficiency and to increase transparency of the status for effective communication between EFM and the campus partners.

- EFM identified key PAMS enhancements that will automate labor intensive procedures, support a more effective compliance monitoring, and/or provide additional features based on the campus feedback.
  - A feature allowing an individual closeout packet or a financial deliverable to be reassigned.
  - A feature allowing the user to look up a fund manager for other departments/PIs to facilitate communication between home and linked departments.

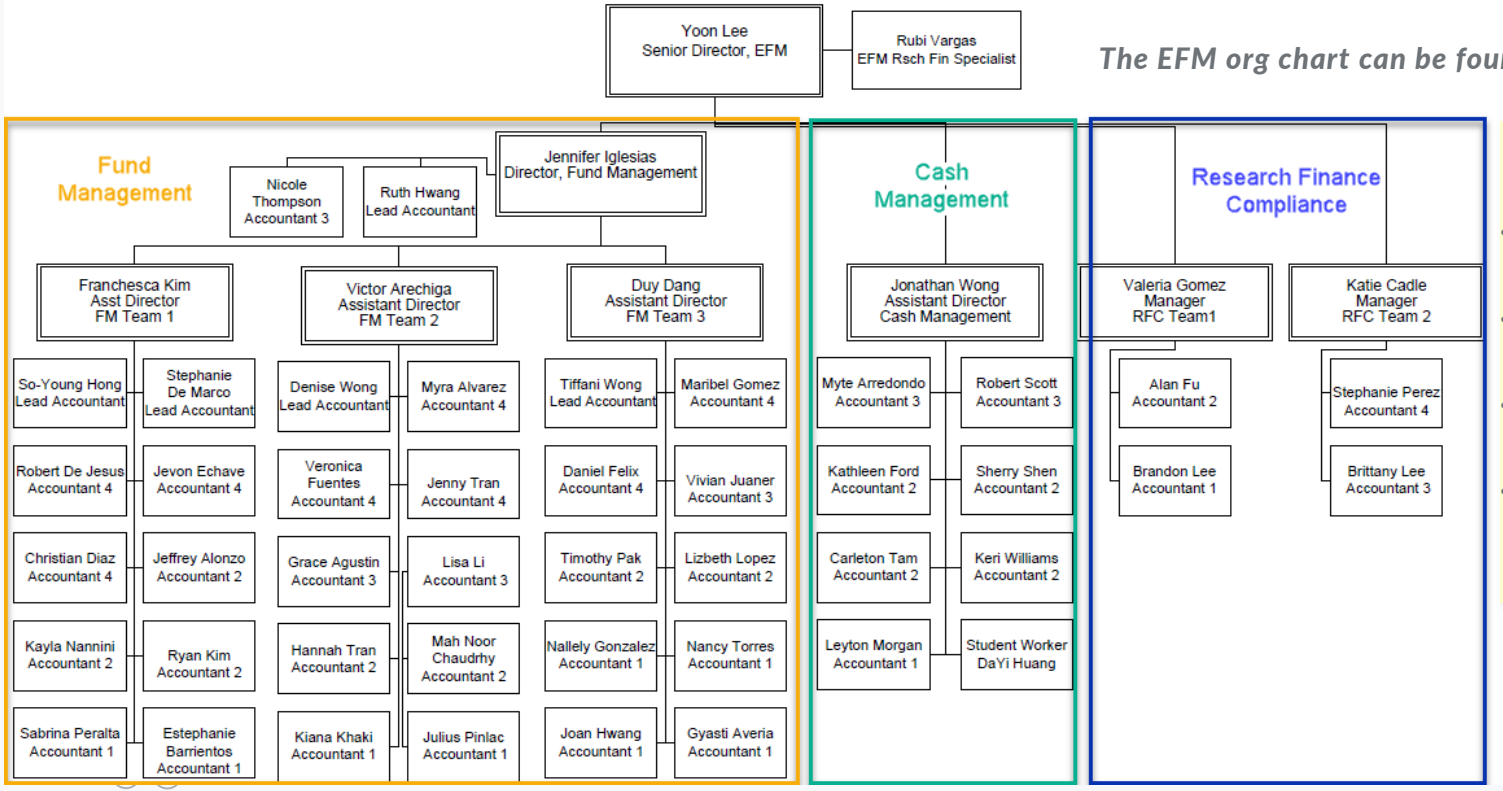
03 EFFECTIVE COMMUNICATION

EFM will continue

- To focus on effectively communicating the issue and next steps to solve the problem until it is completely resolved.
- To actively listen to the customers to obtain an accurate understanding of the problem to solve.
- To arrange recurring or ad-hoc meetings instead of just relying on emails when meetings will lead us to address the matters more quickly.
- To make the purpose and desired outcome of each email or the meeting clear.
- To keep the PI informed of financial and compliance risk.
- To timely escalate the matter to the right individual.

EFM will appreciate your active and timely engagement in managing sponsored project funds.

EFM ORGANIZATION CHART EFFECTIVE 8/1/24



The EFM org chart can be found on EFM website here.

No change to your contact in EFM

- Find your EFM accountant by department here
- For PAMS, Help PAMS pamshelp@research.ucla.edu
- For ERS, ORA ERS Support ershelp@research.ucla.edu
- For Audit, EFM RFC Help RFCHelp@research.ucla.edu

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EFFORT REPORTING

Val Gomez

CERTIFICATION METRICS

Effort Report Certification Rates can be found in the [ORA Online Resource Center]

- As of August 8th, there are **21,005 open effort reports that are out of compliance**
- ERS Helpdesk will continue to actively engage with ERS Coordinators to address growing population of open effort reports

Goal to increase on-time certification rates

Due 7/29/24

	Fall			Winter			Spring			Summer		
Academic Year	Cert. %	Certified	**Open**	Cert. %	Certified	**Open**	Cert. %	Certified	**Open**	Cert. %	Certified	**Open**
2023-2024	45%	2,546	3,060	44%	2,550	3,162						
2022-2023	79%	4,374	1,139	79%	4,503	1,187	64%	3,782	2,097	64%	3,966	2,160
2021-2022	87%	4,858	691	87%	4,783	688	83%	4,730	915	82%	4,831	1,002
2020-2021	92%	4,770	387	92%	4,819	397	88%	4,933	610	88%	5,339	724
2019-2020	93%	4,874	352	93%	4,965	342	93%	4,818	350	92%	5,260	406
2018-2019	95%	5,803	274	95%	4,905	242	92%	5,045	386	93%	5,388	384
2017-2018	99%	5,187	3	99%	5,124	2	99%	6,319	15	98%	427	7
2016-2017	100%	5,127	0	99%	5,182	1	99%	5,268	3	99%	5,796	4
2015-2016	99%	5,224	3	99%	5,266	1	99%	5,390	2	99%	5,703	1
2014-2015	100%	5,268	0	99%	5,343	1	99%	5,346	2	99%	5,862	2
2013-2014	99%	5,372	1	100%	5,337	0	100%	5,502	0	100%	5,898	0
2012-2013	100%	5,777	0	100%	5,845	0	100%	5,814	0	99%	6,119	1
2011-2012	100%	6,212	0	99%	6,286	1	100%	6,279	0	100%	6,609	0
Total Open			**5,910**			**6,024**			**4,380**			**4,691**

UCLA Research Administration

ERS COMPLIANCE REQUIREMENTS

- Federal regulation, Uniform Guidance requires that an entity receiving federal funding to have **adequate documentation to support that compensation** charged to federal grants is reasonable for the work performed (2 CFR.§200.430 Compensation - personal services).

- **Effort reporting** is UCLA's current method of complying with the requirement and certifying to granting agencies that the effort required as a condition of the award has been met.

- In order to be compliant with federal regulation and university effort reporting certification requirements, please review and work with the Principal Investigators (PIs) to certify open effort reports by the due date.

ERS BEST PRACTICES

Certifying effort reports accurately is crucial for compliance and financial management. Incomplete or improper reporting of effort is a compliance violation that could result in audit findings, disallowances and/or withholding of federal research funding.

- **Certify on time**
  - At release, EFM announces certification due dates and sends reminders leading up to the due
  - On the 15th of every month, EFM sends ERS Coordinators a list of open effort reports listing the days left till certification or the number of days a report has been outstanding.
- **Have the report certified by the correct individual**
  - The Certifier must have first-hand knowledge of the work performed.
    - A **PI must certify their own effort** and should also certify for employees they have primary oversight over, as they possess first-hand knowledge of the work performed.
    - A **fund managers should not certify effort reports**, as they may not have the first-hand scientific knowledge that the compensation charged to an award is reasonable for the work performed.
- **Ensure effort commitments are met**
  - Review effort and ensure effort commitments are met as listed in proposal
  - For key personnel, prior approval is required for any reduction of effort of 25% or more
  - Cost share is to be reported as applicable
- **Avoid certifying the same report multiple time**
  - Certifying the same report multiple times and processing late adjustments can raise questions and indicate a weakness in internal controls and oversight.

If you need any assistance or have any follow-up questions, please contact ERS Support or visit ERS Frequently Asked Questions

ERS REPLACEMENT PROJECT

Val Gomez

ERS REPLACEMENT PROJECT

- As announced at the February 2024 RAF, a project to replace ERS is underway.
  - The goal is to reduce the administrative burden for both the faculty and the institution while remaining in compliance with UG. Aiming to design a new system that works for campus users.

- ORA will invite PIs and Department Administrators with a high volume of effort reports today to the new system demo sessions to get their feedback on certification methods.
  - If interested in participating in this workgroup, please send an email to ORA ERS Support
  - EFM will review all submissions carefully to ensure a well-balanced and effective team integrating volunteers into the project.

- EFM will share the project implementation timeline with more detailed information in the future.

UCPATH PLANS TO RETIRE DIRECT RETRO (DR) TOOL

Val Gomez

RETIRING DIRECT RETRO (DR) TOOL

- The Direct Retro functionality is being phased out by UCPath in order to be fully replaced by the Salary Cost Transfer (SCT) tool.

Link to training video →

When to use the direct retro tool vs. the salary cost transfer tool

Tool	Use Direct Retro (DR)	Use Salary Cost Transfer (SCT)
UCPath earnings paid on or before 10/3/21	x	
UCPath earnings paid on or after 10/4/21 and did not previously have a DR processed		x
Has had a DR performed in the past	x	

- **Sunset of direct retro is tentatively being set for June 2025**
  - Starting January 2025, direct retro processing will be done every two months instead of once a month
  - Reduced processing frequency will reduce the frequency of ledger postings for additional reconciliation.
- **Campus Action – Please don't wait and act now!**
  - Review payroll expenses on projects through October 2021 now
  - Process payroll expense transfers as soon as error is discovered

RETIRING DIRECT RETRO (DR) TOOL

- **Once the DR tool is retired**, users will no longer be able to process payroll adjustments in UCPath for earnings older than October 3, 2021, or for earnings that have had a direct retro completed in the past.

- **If payroll expense transfer is needed, it needs to be processed through a financial journal bypassing payroll sub-ledger**

- **Downstream impact of moving payroll via financial journal**
  - Discrepancies between payroll subledger and general ledger
  - Inaccurate information will be reflected in applications consuming payroll sub-ledger data (e.g. Effort Reporting System).
  - Related benefits, GAEL, TIF, etc. needs to be manually calculated to be included in a financial journal.
  - No clear audit trails for payroll expense transfers.
  - Manual reconciliation and off-system documentation will be required.

EFM PROCEDURE – AFTER DR TOOL HAS RETIRED

- If a payroll adjustment is needed to **debit a sponsored** project once the DR tool has retired, the **department will be responsible for finding an unrestricted funding source for these payroll expenses**.
  - EFM standard procedure will be to not accept payroll expense transfers debiting sponsored project funds after DR support discontinues as 2 years would have passed since the SCT tool went live.

- If a payroll adjustment is needed to **credit a sponsored** project once the DR tool has retired, EFM will accept these request as we are unable to overcharge our sponsor or allow unallowable expenses to remain on the fund.
- **EFM will require the department to follow the same process for moving PPS Payroll:**
  1. Fill out a separate journal request for each individual needing an adjustment, manually calculating for any benefits, GAEL, or TIF
  2. If an effort report is impacted, department is to update ERS to account for the manual adjustments and submit certified effort report with journal to EFM
  3. Due to the lateness of the request, the department's CFO, CAO, director, or someone in an equivalent position must endorse the certification statement for the financial journal request.

UPDATED RAPID TOOL

Val Gomez

UPDATED RAPID TOOL: FY24-25 CBR RATES

- Per the NIH Grant Policy Statement Section 11 Ruth L. Kirschstein National Research Service Awards, costs normally associated with employee benefits (such as FICA, workman's compensation, life insurance, union dues, and unemployment insurance) are unallowable.

- **On August 9th, 2024, ORA will release a new version of the RAPID Tool that incorporates the FY24–25 CBR rates.**
  - These updated unallowable benefit rates will be included in the UCPath Training Grant Post Doc Allowable/Unallowable Benefit worksheet in the RAPID Tool along with prior year rates.

Group #	Employee Group	Approved FY24-25 CBR	Unallowable Benefit Costs
4	Other Academics	45.6%	21.20%
5	Post Docs	22.3%	11.50%
8	Employees & Students with Limited Benefits	3.8%	65.20%

- **Resources:**
  - Please download the latest version of the tool, available in the ORA Online Resource Center.
  - FAQ 2.31 on the EFM website lists historical unallowable CBR rates and
  - The process for transferring off the unallowable benefits from grants following the Benefit Cost Transfer process as presented during the July 2022 RAF.

QUESTIONS?

Contact Information

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

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Email: yoon.lee@research.ucla.edu

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Email: ershelp@research.ucla.edu

Val Gomez
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August 2024 Research Administration Forum Q&A

Contents

Human Research Protection Program

Q1: If the team members agreed to participate, will PI/proxy receive a notification as well?

A1: The system will not send an individual notice after each team member completes the required agreement. An individual notice will only be sent should a listed team member decline to participate to advise the PI/Study Contact/Proxy to take action to remove the study team member who has declined.

The PI/Study Contact/proxy will receive a summary email at the time all listed team members have completed the required agree to participate. Additionally, in the study workspace the PI/Study Contact/proxy have access to an AGREE TO PARTICIPATE tab that will display the status for each listed team member.

Extramural Fund Management

Q1: At this time, the QDB payroll reports we run to compare paid effort to what shows up in ERS is unreliable, and often times reports calculate percentages based on TNS instead of NIH cap rates and give us skewed numbers to report. Are there any efforts to fix these issues to make the process more streamlined to review effort reports? Or are we going to have to continue manually calculating every line of effort?

A1: Since the launch of UCPath, EFM has been collaborating with UCPC to clean up data for accurate effort reporting. While we have addressed most cases, some may still require a manual calculation. The ERS Help Desk will plan to connect with you to gather more details on the case you have reported and provide additional guidance.

Q2: Are there any planned trainings for using ERS?

A2: EFM typically offers ERS LMS courses in November and May. As courses are scheduled, additional communication is sent to campus through the ORA listserv and RAF.

Q3: For fund numbers that have changed F&A rate effective 7/1/24, who is responsible for adjusting the rate associated with the FAU? Do departments need to send requests for all FAUs that need to be adjusted?

A3: No, the departments do not need to make a request to update the new F&A rate. ORA will work with ITS to process a mass update to applicable funds. We are in the process of identifying funds that should be excluded from this mass update. More information will be shared soon.

Q4: Is there training available for PIs?

A4: EFM hosts the ERS LMS course, which covers UCLA's effort reporting requirements and ERS application navigation. PIs are welcome to join the course if interested.

Q5: In the UCPath Salary Cost Transfer tool, the system still uses the "direct retro" label under a couple of SCT sections. Will UCPath replace these labels with the SCT term when the Direct Retro tool is decommissioned?

A5: Thank you for sharing your observation. We will connect with you to review the labeling locations and assist in communicating this to UCPath for correction.