



Research Administration Forum

November 14, 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**
 - OHRPP BruinIRB Update and Overview of Phase Out of webIRB – *Rebecca Flores Stella*
- **Contract and Grant Administration** – *Tracey Fraser*
 - F&A Rate Exceptions
 - EPASS: Community Engagement
 - Upcoming Training Opportunities
 - Outgoing Subawards Update – *Kristin Lund*
- **Extramural Fund Management** – *Yoon Lee*
 - BruinBuy Plus: Unallowable Object codes
 - Delayed Posting of TIF in August 2024
 - The New Procedure for Financial Closeout of Sponsored Projects
 - UC Path DR Tool Update – *Val Gomez*

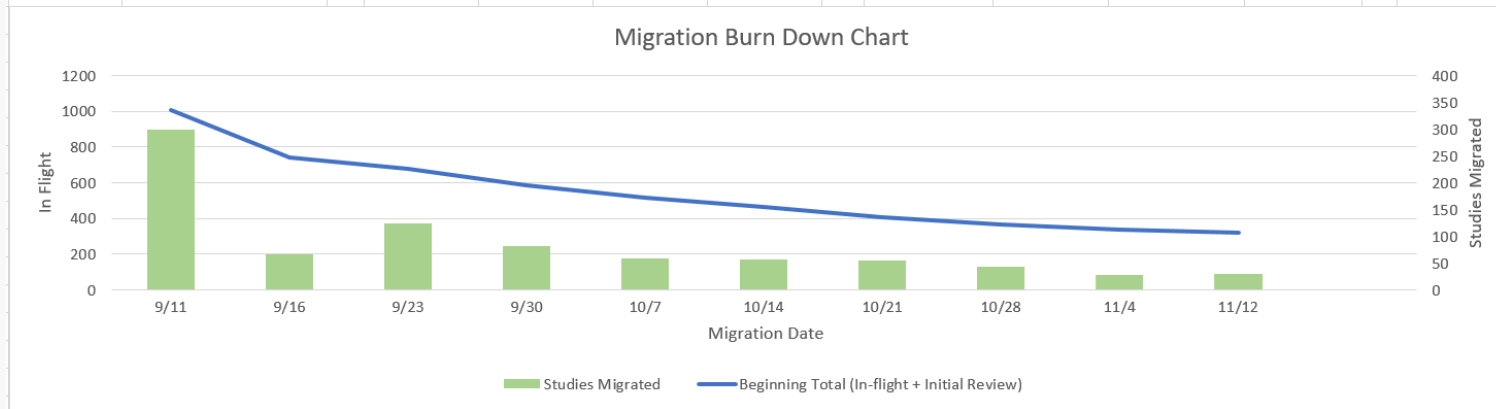
The background features a complex network of glowing blue lines, resembling a neural network or a data mesh, set against a dark blue gradient. A large, semi-transparent sphere is centered in the image, with a smaller, solid dark blue circle inside it. A bright white light source is positioned to the right of the central sphere, creating a lens flare effect that illuminates the network lines.

OHRPP UPDATE

NOVEMBER 2024

BRUINIRB MIGRATION UPDATE

Date	Beginning Total (In-flight + Initial Review)	Studies Migrated	Full Board	Expedited	Certified Exempt	Studies in Flight	Full board (In-flight)	Expedited (In-flight)	Initial Review	Pre-submission
9/11/2024	1008	299	165	91	43	752	272	220	260	3196
9/16/2024	744	66	33	20	13	691	235	200	256	3188
9/23/2024	677	124	38	35	51	604	191	172	241	3182
9/30/2024	584	82	40	17	25	527	151	158	218	3180
10/7/2024	519	59	28	18	13	473	123	150	200	3174
10/14/2024	463	57	25	22	10	416	98	134	184	3172
10/21/2024	405	54	24	11	19	370	77	131	162	3167
10/28/2024	366	44	15	8	21	343	65	126	152	3158
11/4/2024	338	28	11	5	12	322	55	124	143	3143
11/12/2024	322	30	9	8	13	305	47	118	140	3137



REVIEW REMAINING SCHEDULE FOR STUDY MIGRTATION

Submissions in Pre-Submission State (MS, AM, CR)

10/25/2024 – Done!

- Sent out reminder notification to take action (for studies entered pre-submission as of 11/1/2023)

11/15/2024 & 12/2/2024

- Send out reminder notification to take action

12/19/2024 5:00 PM

- Withdraw all remaining submissions in pre-submission state (excluding PARs)

Administratively Withdrawn Submissions

10/25/2024 – Done!

- Sent out reminder notification to take action (for studies withdrawn as of 11/1/2023)

12/2/2024

- Disable ability to reactivate withdrawn submissions in webIRB

Studies in Expired – CIP State

10/25/2024 – Done!

- Sent out reminder notification to take action

11/15/2024 & 12/2/2024

- Send out reminder notification to take action

12/19/2024 5:00 PM

- Withdraw all CRs in pre-submission and close the expired studies

Submissions in Review (Initial Review and In-flight)

11/15/2024 & 12/2/2024

- Send out reminder notification for submissions in states where the study team needs to take action

12/19/2024 5:00 PM

- Prevent submissions from being submitted for review

AFTER DECEMBER 20, 2024 – NO NEW SUBMISSIONS:

- Investigators will no longer be able to **submit** a submission in “**Pre-Submission**” in webIRB.
 - The “Submit” button will be removed from webIRB.
- Submissions **WITHDRAWN (Auto) due to non-response to correspondence**, will no longer be able to be re-activated in webIRB.
 - The “Reactivate” button will be removed from webIRB.
- Continuations in state, **EXPIRED- CONTINUATION IN PROGRESS**, will be moved to state **EXPIRED**.
 - All research activity must discontinue. There will be no ability to re-activate the study in webIRB. A new submission will be required.
 - The “Submit” button will be removed from webIRB.

IN-FLIGHT POST APPROVAL REPORTS (PAR)

- PARs CANNOT BE AUTOMATICALLY WITHDRAWN
 - Processing will have to be completed in webIRB
- OHRPP is working to resolve outstanding PARs submitted in webirb
- Investigators' assistance in responding to IRB is necessary and greatly appreciated

SUBMISSIONS TAKING ACTION BY DECEMBER 19, 2024

- Submissions that:
 - “Submit” an application in Presubmission
 - “Submit Response” to IRB correspondence
 - “Submit” a continuation in progress
- Will complete processing in webIRB.
- Will be migrated upon completion of the review of the pending submission.

RESOURCES

- Quick guides, recorded trainings, template protocols and protocol supplements, visit the [BruinIRB Resource Library](#)
- Be sure to check your BruinIRB [profile](#) to and edit your contact information as needed to ensure you receive correspondence when you submit in the system.
- For any questions, please email bruinirb@research.ucla.edu

THANK YOU FOR YOUR PATIENCE DURING THIS TRANSITION!

We appreciate your feedback



OFFICE OF CONTRACT & GRANT ADMINISTRATION UPDATES

NOVEMBER 14, 2024

RESEARCH ADMINISTRATION FORUM

TRACEY FRASER, SENIOR DIRECTOR, OCGA

UCLA Research
Administration

OCGA TOPICS

01

F&A RATE WAIVERS

02

EPASS
Community Engagement
Question

03

UPCOMING
TRAINING
OPPORTUNITIES

03

OUTGOING
SUBAWARD
UPDATES

F&A Rate Waivers

Policies and Process

F&A GENERAL PRINCIPLES: UC C&G MANUAL

Facilities and administrative (F&A) costs are the indirect costs of conducting research, instruction, or other sponsored activities that cannot be easily attributed to a specific sponsored project. When seeking the reimbursement of indirect costs on a sponsored project, the University is recovering for costs already spent to support these activities.

FULL COST RECOVERY

Full cost recovery is necessary to support the University's physical and administrative capacity to perform research.

UNRECOVERED INDIRECT COSTS

When indirect costs are not fully recovered, maintaining the University's research capabilities and infrastructure is compromised.

COST OF RESEARCH

All sponsored agreements should share the burden of the cost of research.

F&A GENERAL PRINCIPLES: UC C&G MANUAL

FULL COST RECOVERY

Principal Investigators and Administrators have a duty to ensure that sponsored projects are performed on a full cost recovery basis. Principal Investigators and Administrators are obligated to seek full recovery of indirect costs from all sponsors when applying for an extramural award.

DELEGATED AUTHORITY

Only those administrators who have been delegated authority to approve an indirect cost exception may authorize less-than-full indirect cost recovery. Principal Investigators are not delegated this authority. **This means that Principal Investigators are not authorized to negotiate with, or to accept reduced indirect cost rates from, any sponsor.**

UCLA F&A COST RECOVERY



LONG-TERM SUSTAINABILITY

F&A cost recovery is vital to the long-term sustainability of UCLA's research enterprise and its scholarly and creative programs



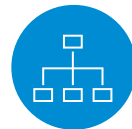
PHYSICAL AND ADMINISTRATIVE INFRASTRUCTURE

F&A funds help to sustain UCLA's physical and administrative infrastructure



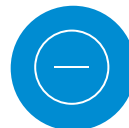
OTHER FUNDING SOURCES

Accepting an award that restricts or prohibits full cost recovery means that the campus must use other funding sources to cover the physical and administrative infrastructure costs associated with the sponsored activity



STEWARDSHIP OF PUBLIC RESOURCES

Because UCLA is a public, state-supported university, it is obligated to conduct and manage its operations and finances in a manner that fosters the responsible stewardship of public resources



LESS THAN FULL F&A RECOVERY

In certain cases, less than full F&A recovery may be considered:

- Sponsor policy
- Campus Determination
- Exceptions must be submitted through OCGA

SPONSOR POLICY

REDUCTION/WAIVER

UCLA will reduce or waive F&A cost recovery if a non-profit sponsor (for example, non-profit foundations, charitable trusts, domestic governmental agencies, and international non-profit organizations) has a policy that limits or prohibits the recovery of F&A costs. However, the sponsor's policy must be:

- Published and consistently applied to all grantees, or
- Conveyed in writing (for example, letter or e-mail) by an official empowered to legally act on the sponsor's behalf and include the official's confirmation that the policy is not applied in an ad hoc or grant-by-grant manner.

FOREIGN GOVERNMENT SPONSOR

When submitting to a foreign governmental sponsor, a foreign governmental sponsor's policy will not be accepted, rather a campus determination must be submitted for the VCR's consideration

UCLA **CAMPUS DETERMINATION CRITERIA**

NO SPONSOR POLICY

Occasionally, in the absence of sponsor policy, the VCR may determine that the development of campus research, training or public service programs or infrastructure may best be served by accepting a sponsored award at less than the indirect cost rate normally paid by the sponsor.

SIGNIFICANT AND VITAL

In such cases, it must be clearly demonstrated that campus interests are sufficiently significant and vital that performing the awarded activity at a loss is more important to UCLA's mission than recovering the full costs of the project.

APPROVAL BEFORE PROPOSAL DEADLINE

For a proposal to be submitted with a reduced F&A rate a campus determination request must be submitted and approved prior to the proposal deadline

CAMPUS DETERMINATION F&A WAIVERS

Campus Determination Letters should

Be addressed to the Vice Chancellor for Research & Creative Activities

Be Signed by the Dean (or Vice Dean for Research)

Include the following information:

- The PI & administrating dept
- Sponsor (& prime sponsor if applicable)
- Project title
- Project period
- Total costs requested
- The sponsors F&A rate and base
- The requested F&A rate and base
- A short summary of the project
- An explanation for why UCLA is best served by accepting the award at less than the indirect cost rate normally paid by the sponsor (see the next slide for guidance)
- The impact to the project and UCLA if a campus determination is not granted

CAMPUS DETERMINATION LETTER

POTENTIAL JUSTIFICATIONS MAY* INCLUDE, BUT ARE NOT LIMITED TO:

- Small seed grants which may attract future larger awards with full F&A
- Awards vital to the campus mission (for example for community relations interests)
- Other types of funding for an established campus program such as for library holdings, performances, or exhibits
- Cases of hardship for a new investigator

**Approval is not guaranteed*

Do not use a check box. A full explanation must be provided.

UNACCEPTABLE JUSTIFICATIONS

- The PI does not want to include F&A
- The sponsor is putting pressure on the PI to not include full F&A
- The PI already submitted the proposal without including the full F&A rate
- The PI is working from home
- The PI is not using all of UCLA facilities therefore they should not have to include F&A (the size of space and usage of administrative services do not determine the appropriate F&A rate)
- F&A was waived on a smaller award so it should be waived now that we have a larger award from the same sponsor

UCLA **CAMPUS DETERMINATION** PROCESS

THE SIGNED LETTER SHOULD BE SUBMITTED TO OCGA FOR REVIEW

OCGA reviews then submits to the AVC for Research Administration; the AVC then makes a recommendation to the VCR.
Recommend submitting request letters well in advance of the proposal deadline

INTERNAL DEPARTMENT OR SCHOOL FORMS

Do not submit or attach any internal department or school forms or documentation with the letter

FEDERAL & STATE SPONSORS

If the funding is Federal or State the request will also need to be submitted (by OCGA) to UCOP for approval

Applicability and Duration of Approved Exceptions (C&G Manual)

Campus Determinations apply to the period of performance of the underlying award, provided there is no material change in the project that affects the basis on which the exception was approved.

A new exception must be requested for each competitive period of the project. Since an exception addresses the amount of funding the campus is willing to forego in indirect cost recovery at the time of the submission, a new assessment of that campus' position on the basis of additional funding in the new application must be considered

NEW EPASS QUESTION: COMMUNITY ENGAGEMENT

Does your proposed research and / or creative activity intentionally engage a community organization / partner for mutual benefit in your work? Yes / No

- Considerations:
 - UCLA has a “public mandate.” As such the University needs to demonstrate and catalog its contributions to the community and how we integrate with the City.
 - For example, demonstrating that the new building downtown includes educational and outreach programs there that will support residents and extend city/local service programs.
 - UCLA’s Strategic Plan #1 goal is to “Deepen our engagement with Los Angeles”
 - “The City of Los Angeles and UCLA have a symbiotic relationship. Los Angeles is a wonderfully diverse and dynamic city, and UCLA contributes to that dynamism by partnering with the city’s communities, supporting its economies, enriching its arts scene and much more. Our ties to this global city are what make our university unique as a public research university. We can better weave UCLA into the fabric of Los Angeles if we work alongside communities to address local challenges like health disparities, sustainability and economic inequality. This will help us more fully meet our public mandate – and will provide learning, research and community engagement opportunities for Bruins. It is a mutually beneficial endeavor, and one that will drive positive change and create a better future for all Angelenos.”
 - Does the project specifically seek to work with a community organization(s) (as opposed to a business, the federal government, or doing it ourselves) because it is important that there are local participants, and/or because they are best qualified to do the work, and/or because they know the people, the neighborhood, the culture, AND because we share interest in their mission and want to support their success in supporting the community.

FALL 2024 NSF VIRTUAL GRANTS CONFERENCE

Save the date for the Fall 2024 NSF Virtual Grants Conference on December 9 – 12.
Registration will open on Wednesday, November 13, at 12 PM ET.

GET NOTIFIED

Why You Should Attend

The NSF Grants Conference is a must-attend for new faculty, researchers, and administrators.

Attendees will:

- Learn about new NSF programs and initiatives
- Understand how to write a successful proposal
- Learn about NSF's Merit Review Process and conflict of interest policies
- Participate in NSF directorate sessions
- Understand award management policies and procedures

[NSF Policy Office Outreach](#)



Upcoming OCGA Monthly Training

Post-Submission Requirements

November 20, 2024

“Common post-submission/pre-award requirements, such as NIH Just-in-Time (JIT) requests, Current and Pending (Other) Support and other NSF and DOD pre-award requests.”

[Register for OCGA Monthly Training](#)

Separate registration for each session is required

2025 OCGA MONTHLY TRAINING

January	Preparing and Submitting a Proposal for OCGA Review
February	S2S Grants Basics
March	Preparing an NIH Multiproject Application in NIH ASSIST
April	Budgets 101
May	Completing the EPASS
June	NSF Research.gov Basics
July	Post-Submission/Pre-Award Requirements
August	Award Processing
September	S2S Grants Basics
October	Requesting New and Amendment Subawards
November	Completing the EPASS

[Details and Registration](#)

Separate registration for each session is required

OCGA WINTER CLOSURE TIMELINES

- In observance of the [UCLA Winter Holiday Closure](#), the Office of Contract and Grant Administration will close at 5:00 PM on Friday, December 20, 2024, and will reopen at 8:00 AM on Thursday, January 2, 2025.
- Please note that in the weeks immediately prior to curtailment, OCGA usually has an increased volume of proposal submissions and other transaction requests. We will review proposals and transactions in order of date received. Please be advised of the following deadlines to ensure review prior to the winter closure:
 - Proposals with submission deadlines between Friday, December 20th, 2024 and Thursday, January 2nd, 2025 must be submitted to OCGA by **Friday, December 13, 2024** to ensure submission.
 - All other transactions should be submitted by **Monday, December 16, 2024** to allow for review prior to winter closure.



OCGA's Outgoing Subawards Team (OST): Upcoming Changes

Research Administration Forum

November 14, 2024

OST: *Upcoming Changes*

Upcoming Outgoing Subawards Team (OST) changes, to take effect **November 25th**:

- **Forms**
 - *Consolidation of OST request forms*
- **Automated Notification**
 - *New e-mail following setup of new awards with proposed subawards*

OST: Subaward & MCA Request Form

The OST Subaward and MCA Checklists

UCLA Research Administration
Contract & Grant Administration

UCLA OCGA SUBAWARD CHECKLIST

ONCE COMPLETED, EMAIL THIS FORM WITH ALL REQUIRED BACKUP DOCUMENTATION NOTED BELOW TO: OCGAsubawards@research.ucla.edu
Please include the Requisition (New Subaward) or PO (Amendment) number in the e-mail submission subject line.

This form is to be used to request the issuance of any new or amended subaward from the OCGA Outgoing Subawards Team (OCGA - OST). The OST is responsible for outgoing subaward agreements under grants or cooperative agreements that are handled by OCGA. To request the issuance of a new or amended subcontract from UCLA Purchasing, please use the Subcontract Checklist found at: <https://www.purchasing.ucla.edu/purchasing/Purchasing-forms>.

NEW SUBAWARD
Under Requisition # _____
(Complete all sections below except IV.)

AMENDMENT and/or CHANGE ORDER TO CURRENT SUBAWARD
Under Purchase Order # _____ Amendment # _____
(Complete all sections below.)

I. UCLA INFORMATION

1. UCLA Full Accounting Unit (FAU): _____

2. UCLA Grant/Cooperative Agreement Award Number and Date: _____
(Full award number & date of award that this action is funded under.)

3. UCLA PI: _____ UCLA PI Email: _____

UCLA Research Administration
Contract & Grant Administration

UCLA OCGA Multi-Campus Award (MCA) CHECKLIST

ONCE COMPLETED, EMAIL THIS FORM WITH ALL REQUIRED BACKUP DOCUMENTATION, NOTED IN SECTION VII, TO:
ocgasubawards@research.ucla.edu

This form is to be used to request the issuance of any new or amended MCA from UCLA's OCGA Outgoing Subaward Team (OCGA - OST). The OST is responsible for outgoing MCA agreements under all incoming Agreements (including Contracts) that are handled by OCGA.

NEW MCA
(Complete all sections below except IV.)

AMENDMENT TO CURRENT MCA: Amendment # _____
(Complete all sections below.)

I. UCLA INFORMATION

1. UCLA Account & Fund No.: _____

2. UCLA Agreement Award Number and Date: _____
(Full award number & date of award that this action is funded under.)

3. UCLA PI: _____ UCLA PI Email: _____

The **NEW** OST Outgoing Subaward & MCA Request Form

UCLA Research Administration
Contract & Grant Administration

UCLA OCGA OUTGOING SUBAWARD & MCA REQUEST FORM

ONCE COMPLETED, EMAIL THIS FORM WITH ALL REQUIRED BACKUP DOCUMENTATION TO: OCGAsubawards@research.ucla.edu
Use this form to request issuance of new or amended subawards or MCAs from OCGA's Outgoing Subawards Team (OST). The OST is responsible for:
1) outgoing subawards under grants/cooperative agreements handled by OCGA; and 2) outgoing MCAs under grants/cooperative agreements and contracts handled by OCGA. For information on outgoing subcontracts handled through Purchasing, visit: <https://purchasing.ucla.edu/bruinbuy-plus-hub>.

This is a request for:

NEW SUBAWARD
Req or PO# _____

AMENDMENT to SUBAWARD
PO# _____ AMD# _____

NEW MCA
(OST will generate MCA #)

AMENDMENT to MCA
MCA# _____ AMD# _____

UCLA Fund #: _____ UCLA Award #: _____ **REMINDER:** Fund must be active for the requested subaward period.

UCLA PI: _____ E-mail: _____

- Form name change – from ‘Checklist’ to ‘Request Form.’
- Consolidation – the MCA and Subaward forms have been combined.

OST: Subaward & MCA Request Form

The **NEW** OST Outgoing Subaward & MCA Request Form


- Form name change – from ‘Checklist’ to ‘Request Form.’
- Consolidation – the MCA and Subaward forms have been combined.
- Streamlined – questions and requested information have been streamlined into 1 main form page, and a second page for comments and clinical trial questions.
- Conditional sections have been added to help tailor the form based on the requested action.
 - When the form is first opened, all of the questions in the form will be available to you. Then, by filling in the form, you can remove any ‘non-relevant’ sections (ex. when you check the box for ‘New Subaward’, amendment questions will be removed).
- A new documentation section.

OST: Automated Notification

OST Automated Notification: *Initiate Outgoing Agreements*

For Grants, Cooperative Agreements and incoming Subgrants:

OCGA Reminder: Initiate Outgoing Agreements [**Project Title**], [**PATS Number**]

 UCLA Research Admin <DoNotReply@research.ucla.edu>
To: Lyon, Grant; ORA OCGA-SUBAWARDS

DISPLAY FOR TEST ONLY
From: DoNotReply@research.ucla.edu
Sent: 2024-11-08 01:02:08.9313643
To: [Project Principal Investigator](#)
CC: [Department Contact](#); [PAMS Contact](#)
Subject: OCGA Reminder: Initiate Outgoing Agreements [**Project Title**], [**PATS Number**]

Principal Investigator: ****Principal Investigator****

UCLA Project Title: ****Project Title****
UCLA Sponsor Name: ****Project Sponsor****

Fund Number: ****Fund Number****
Award Type: ****Grant/Cooperative Agreement****

Now that the above award has been setup, we encourage you to submit the necessary [paperwork](#) to initiate establishment of outgoing subawards or MCAs. If you have already submitted this paperwork, please ignore this email.

Instructions on how to [initiate an outgoing subaward or MCA](#) can be found here: [Request or Add a New Outgoing Subaward or MCA](#)


There are several regulatory steps that we must complete before a subaward can be drafted and we work on a first-in first-out basis. Our average processing time, from receipt of a complete subaward request to the time a subaward is drafted, is approximately 4-6 weeks. As a reminder, subaward agreements must be in place before subawardees can submit invoices.

Thank you,

UCLA OCGA OST

[Outgoing Subawards](#)

[**PATS Number**]

 **UCLA Research Administration**
Contract & Grant Administration

For Contracts and Subcontracts:

OCGA Reminder: Initiate Outgoing Agreements [**Project Title**], [**PATS Number**]

 UCLA Research Admin <DoNotReply@research.ucla.edu>
To: Lyon, Grant; ORA OCGA-SUBAWARDS

DISPLAY FOR TEST ONLY
From: DoNotReply@research.ucla.edu
Sent: 2024-11-08 01:02:08.9313643
To: [Project Principal Investigator](#)
CC: [Department Contact](#); [PAMS Contact](#)
Subject: OCGA Reminder: Initiate Outgoing Agreements [**Project Title**], [**PATS Number**]

Principal Investigator: ****Principal Investigator****

UCLA Project Title: ****Project Title****
UCLA Sponsor Name: ****Project Sponsor****

Fund Number: ****Fund Number****
Award Type: ****Grant/Cooperative Agreement****

Now that the above award has been setup, we encourage you to submit the necessary [paperwork](#) to initiate establishment of outgoing subcontracts or MCAs. If you have already submitted this paperwork, please ignore this email.

MCA Requests: [Click here for instructions on how to initiate an outgoing MCA.](#)

Outgoing Subcontract requests are submitted via: [Bruin Buy Plus](#) (under the **Research Subcontract tab on the BB+ Home Shopping Dashboard**)

- Items that you'll need for your subcontract request package: BB+ Requisition Number; Campus Purchasing Subcontract Checklist; OCGA Award Snapshot and Prime Sponsor agreement (ex. scope of work, approved budget and justification or milestone payment schedule, deliverables (including submittal dates or submittal frequency). Further details regarding the subcontract request package can be found in the [Subcontract Request Package](#).

Thank you,

UCLA OCGA OST

[Outgoing Subawards](#)

[**PATS Number**]

 **UCLA Research Administration**
Contract & Grant Administration

Questions?

- For questions regarding specific subawards or MCAs, contact the OCGA Outgoing Subawards Team member named in your subaward or MCA agreement or send an email to ocgasubawards@research.ucla.edu. Your question will be forwarded to the Subaward Team member assigned to that Subaward or MCA.
- The e-mail address ocgasubawards@research.ucla.edu is only for communications regarding outgoing subawards and MCAs (awards in which funding will flow from UCLA to a subrecipient or participating sister-campus)
- All Outgoing Subaward Forms can be found at: <https://ocga.research.ucla.edu/forms/#outgoing-subaward>
- And our FAQ's are available at: <https://ocga.research.ucla.edu/faq/#outgoing-subawards>

Thank you!



EXTRAMURAL FUND MANAGEMENT

NOVEMBER 14, 2024

AGENDA

- BruinBuy Plus: Unallowable Object codes
- Delayed posting of TIF in August-September 2024
- New Procedure for Financial Closeout of Sponsored Projects
- UCPath DR Tool Update



BRUINBUY PLUS: UNALLOWABLE OBJECT CODES

Yoon Lee

BRUINBUY PLUS: UNALLOWABLE OBJECT CODES

- Question during October RAF: *Is there a validation of unallowable object codes in BruinBuy Plus (BB+)?*
- EFM took two following actions to check “*Did it happen?*” and “*Can it happen?*”
 - EFM reviewed all expenses charged to C&G funds since BB+ go-live in January 2024 and confirmed that *there was no expense from BB+ with unallowable object code.*
 - EFM inquired of the P2P team about validation of unallowable object codes.
 - P2P and ITS explained that BB+ is calling FS API web validation or FSOEDIT, which is *preventing unallowable object codes from being charged to C&G funds.*
 - ITS re-tested these controls with sample object codes and confirmed that the *controls are effectively working* as designed.
- During this investigation, EFM discovered that there is one object code “7350: Subagreement for UCOP only” that used to be used for UCOP ledger (Location M) but not deactivated when UCOP went live with their own Financial System separating from UCLA Financial system.
 - EFM requested BFS/ITS to deactivate this object code.

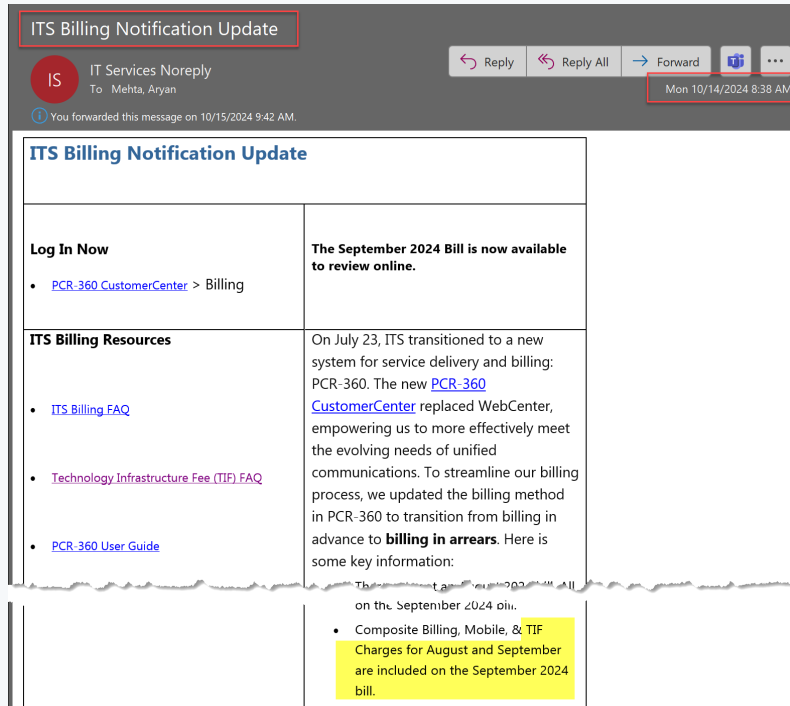


DELAYED POSTING OF TIF IN AUGUST – SEPTEMBER 2024

Yoon Lee

DELAYED POSTING OF TIF FOR AUGUST-SEPTEMBER

- Question during October RAF: Delayed posting of TIF for August and September 2024 payroll. How to address its impact to the closeout packets due to EFM?



ITS Billing Notification Update

IT Services Noreply
To: Mehta, Aryan
Mon 10/14/2024 8:38 AM

You forwarded this message on 10/15/2024 9:42 AM.

ITS Billing Notification Update

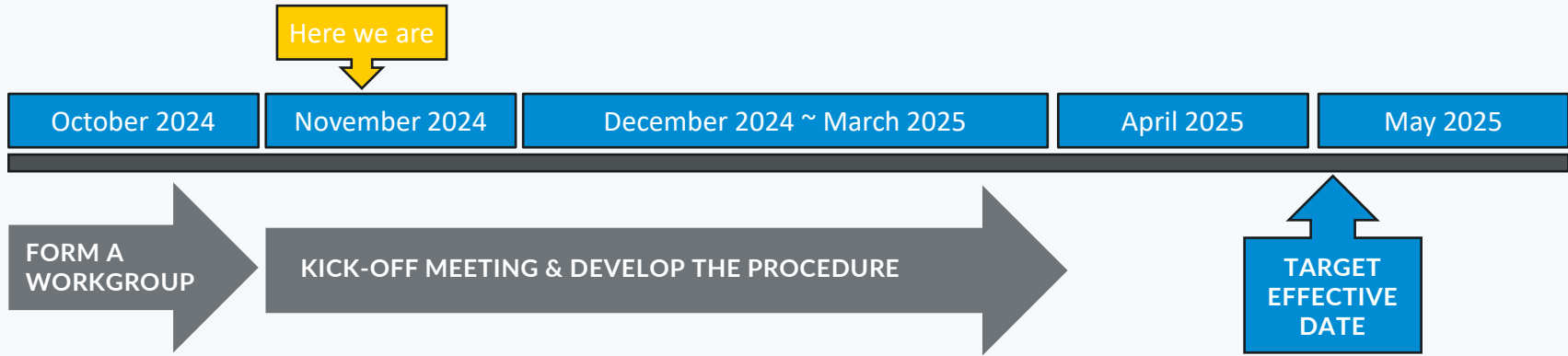
Log In Now <ul style="list-style-type: none">PCR-360 CustomerCenter > Billing	The September 2024 Bill is now available to review online.
ITS Billing Resources <ul style="list-style-type: none">ITS Billing FAQTechnology Infrastructure Fee (TIF) FAQPCR-360 User Guide	On July 23, ITS transitioned to a new system for service delivery and billing: PCR-360. The new PCR-360 CustomerCenter replaced WebCenter, empowering us to more effectively meet the evolving needs of unified communications. To streamline our billing process, we updated the billing method in PCR-360 to transition from billing in advance to billing in arrears . Here is some key information:
	on the September 2024 bill. <ul style="list-style-type: none">Composite Billing, Mobile, & TIF Charges for August and September are included on the September 2024 bill.

- EFM learned that ITS sent the following communication to campus on October 14th.
 - TIF charges for August and September were included on the September 2024 bill.
 - This was due to the ITS' transition to the new system, PCR-360, for service delivery and billing.
- As a delay was a month, most closeout packets should have not been impacted.
 - If this delay resulted in non-reimbursed TIF because of the timing of closeout packet due date, the due date of the final invoice/report to the sponsor, contact EFM accountant.

NEW PROCEDURE FOR FINANCIAL CLOSEOUT OF
SPONSORED PROJECTS

Yoon Lee

NEXT STEPS



EFM will form a workgroup including EFM accountants and department research administrators.

Confirm the areas for improvement, identify challenges, develop solutions working with other central offices as needed, and finalize the procedure. At the kick-off meeting, future meeting cadency will be determined.

Meetings scheduled:
11/21/24 & 12/09/24

For January ~ March 2025:
1.5 hr bi-weekly meetings to be scheduled

Keep the campus informed as key changes are confirmed and prepare and conduct trainings.

WORKGROUP PARTICIPANTS

“Thank you for participating in the initiative!”

- 20 participants from 8 Schools/Organizations and 5 participants representing EFM.
- These 8 organizations make up approximately 90% of the total final financial deliverables and 91% of total campus C&G expenses based on the FY24 data.

College of Letters and Science	School of Medicine	School of Public Health
Grace Leon (Atmospheric & Oceanic Sciences)	Carly Nguyen (Pathology & Lab Medicine)	Mark Almario (Center for Health Policy Research)
Helen Li (Life Sciences Administration)	Cathy Rujanuruks (Department of Medicine)	Uyen Ha (Community Health Services)
Jenny Huynh (Social Sciences Grant Support)	Emelie Lucas (Neurology)	Semel
Katherine Fang (Psychology)	James MacDonald (Biological Chemistry)	Hari Wijesekera
School of Education and Information Studies	Nubia Andrade (Neurobiology)	Thao Nguyen
Karla Breen (Business Office)	Pamela Hanson (Dean’s office)	Extramural Fund Management
School of Engineering and Applied Sciences	Tom Kaner (Pediatrics)	Denise Wong
Lee Yang (Dean’s Office)	School of Nursing	Duy Dang
Gio Gutierrez (HSSEAS-Dean's Office)	Angela Cortes	Jennifer Iglesias
	School of Public Affairs	Jevon Echave
	Marsha Blum	Yoon Lee



UCPATH DIRECT RETRO (DR) TOOL

Val Gomez

RETIRING DIRECT RETRO (DR) TOOL

Important Reminder: Direct Retro Tool will discontinue July 2025

- As shared at [August 2024 RAF](#), the Direct Retro functionality is being phased out by UCPath in order to be fully replaced by the [Salary Cost Transfer \(SCT\) tool](#).
- If you have payroll adjustments pending that require the use of the Direct Retro, [please do not wait and act now!](#) DR's will be processed with a limited frequency starting next year.
- After UCPath discontinues use of the DR Tool, EFM standard practice will be not to accept transfers for UCPath earnings paid on or before 10/3/21 or has had a DR performed in the past.
- Department will be responsible for finding unrestricted funding source for these payroll expense.

DIRECT RETRO (DR) 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	

- DR Processing Schedule:

Direct Retro must be approved by	Direct Retro will be visible on Labor Ledger and DOPE	Direct Retro will post to the General Ledger
11/21/2024	11/24/2024	11/25/2024
12/9/2024	12/12/2024	12/13/2024

- Starting January 2025, UCPath plans to process Direct Retro's every other month.
- For the detailed UCPath Salary Cost Transfer and Direct Retro Processing schedule, please visit the [CRU website](#)

QUESTIONS?

Contact Information

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<https://efm.research.ucla.edu/>

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November 2024 Research Administration Forum Q&A

Contents

Contract and Grant Administration 1

Contract and Grant Administration

Q1: Do waivers need to be requested for industry-sponsored Institutional Fellowships/Training awards if the Sponsor has a policy disallowing F&A on these fellowship awards? Example Bristol-Myers awards UCLA An Institutional Fellowship Award to a Mentor at UCLA and allows up to 3 appointees (fellows) for the award year. These are not individual fellowships made directly to the fellow.

A1: Yes, per the Contract & Grant Manual -- Under certain circumstances, an exception based on sponsor policy from a for-profit corporation or a foreign government may be considered for a legitimate, general University community service, scholars', or fellowship program sponsored by a for-profit corporation. The criteria for considering an exception for such a program would include: (1) the corporation has published an announcement calling for proposals under which grants would be awarded; (2) exceptions to University policies for the subject program, such as intellectual property language, are carefully considered and justified, specifically in light of the indirect cost rate exception, and approved by the appropriate University authority; and (3) the announcement does not require a specific deliverable to the corporation other than technical/final and financial reports. Such a program would have to be clearly distinguishable from research contracts which state anticipated outcomes in specific areas of corporate interest solicited by the corporation.

Q2: Can you please provide the link to the NSF Grants Training you mentioned?

A2: Here is the [NSF Grants Training link](#).

Q3: For departments that have separate pre- and post-award offices, is there a way for fund managers to see which backup documents were already submitted to OCGA at the proposal stage?

A3: The documents should be available to be viewed in the EPASS system. The proposal, EPASS and all documents included at the submission are there.

Q4: The new subaward form looks fantastic! When will it become available?

A4: The Outgoing Subawards Team's new *Outgoing Subaward & MCA Request Form* (which replaces the *OCGA Subaward Checklist* and *MCA Checklist*) is now available on [OCGA's Forms](#) page.

Q5: About the new sub request form: 1) Has the Javascript been tested on Mac as well as PC? 2) How much longer can we continue to use the old form (say we've got it filled and signed, and are just waiting for the sub to submit the rest of their docs)? And separately: Is the Subrecipient vs. Contractor Determination Checklist no longer needed? It's no longer listed on your website as a required form.

A5: 1) If you'd like to test on Mac, please email us at OCGAsubawards@research.ucla.edu; 2) In regards to item 2, we highly recommend using the new Form when submitting a request for new subawards and/or MCAs (and amendments on those thereafter). We do understand if departments would like to continue using the old form for established Subawards/MCAs that still need amendments.

Q6: Do subcontracts on CIRM awards still need to go through Purchasing instead of OST?

A6: Yes, these are outgoing subcontracts, so they go through Purchasing.

Q7: Question re Form 740 - co-investigator isn't able to Docusign form from remote work location. PI used Docusign. Can the co-investigator hand-sign the printed form and scan it back so that I can attach it to EPASS?

A7: Docusign is required for the 700-U. Electronic signature or scanned copy of a physical signature is acceptable for the 740.