



Research Administration Forum

August 13, 2020

FY2020 Research Counts

- FY2020 Proposals: 5,900 requesting \$4,257,001,878
- FY2020 Awards: 6,730 award transactions \$1,426,986,822
- FY2020 Expenditures: \$1,104,185,397

Reminders

- PI and Other Key Personnel leaves of absence, sabbaticals and other leaves require sponsor notification and/or prior approval
- Collaborations with investigators outside of the US may require reporting and/or prior approval

Agenda

- **Welcome & Announcements – *Marcia Smith***
 - FY2020 Highlights
 - PI and Other Key Personnel Leaves of Absence, Sabbaticals and Other Leaves Require Sponsor Notification and/or Prior Approval
- **OHRPP Updates – *Moore Rhys***
- **EFM Closing Funds Expired in August 2018 or Prior, UCPath Funding Roll Over and Fund End Date, Fiscal Year Journal Correction Related to UCPath Issues, Thresholds for Revised COP and PI's Re-certification– *Yoon Lee, Andrew Merki, Monida Hean***
- **Questions and Discussion**



OHRPP Updates

August 13, 2020

OHRPP Updates

Guidance Updates/New
Guidance



Post Approval Monitoring -
update



Learn at Lunch



OHRPP Office
Hours



Human Research
News



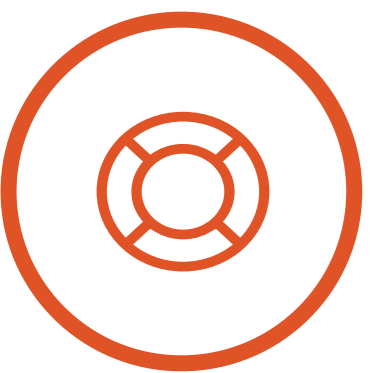
Guidance Updates/New Guidance

Certificates of Confidentiality:

- [Tip Sheet: Certificates of Confidentiality](#)
- [Quick Guide: Certificate of Confidentiality \(CoC\) Applications for Non-Federally Funded Research](#)

Right to Try:

- [Right to Try Policy and Guidance](#)
- [Right to Try Consent Form template](#)



Guidance Updates/New Guidance

Reliance:

- [Consent Form Checklist for Reliance on External IRBs](#)
- [Steps to Rely on Another IRB – Flow Chart](#)
- [Relying Investigator Responsibility Checklist](#)
- [When UCLA Relies](#) information on ancillary reviews, amendments, and continuing reviews
- [Steps to serve as the Reviewing IRB – Flow Chart](#)
- [Reviewing Investigator Responsibility Checklist](#)
- [NCI CIRB reliance](#) information on ancillary reviews, amendments, and continuing reviews
- [NCI CIRB Boilerplate Consent Language Checklist](#)

Guidance Updates/New Guidance

Consent:

- [Deception or Incomplete Disclosure](#)
- [Obtaining and Documenting Informed Consent](#) Added table on types of informed consent allowable under FDA and DHHS regulations.

IRB submission and review:

- [Brief Overview of webIRB Submission Procedures](#)
- [Communication of Results of IRB Review](#)
- [List of Exemption Categories – 2018 Rule](#) Added information on exemption category 4(iii).
- [Tip Sheet: Minimal Risk](#)

Guidance Updates/New Guidance

Misc:

- [Funding Considerations for Federally-Funded and Industry Sponsored Human Research](#)
- [Genetics Research](#)
- [Use of Devices in Clinical Research and Treatment](#)
- [Family Educational Rights and Privacy Act \(FERPA\)](#)
- [Closure of Human Subjects Research studies](#)
- [Investigator Responsibilities](#)
- [Research Supported by the Department of Defense](#) Removed the requirement for medical monitors on greater than minimal risk research as it is no longer required.
- [DOD Checklist](#) Removed the requirement for medical monitors on greater than minimal risk research as it is no longer required.

Post Approval Monitoring

- Updated Post Approval Monitoring guidance will be posted early next week
- Routing monitoring now includes a tiered system and begins with an investigator self-assessment
- The focus of the monitoring is to provide investigators and their teams with the tools they need to meet their compliance responsibilities

OHRPP's "Learn at Lunch"

Topic: "Post Approval Monitoring"

Presenter: Moore Rhys, Asst. Director, OHRPP

Date: August 17, 2020, noon-1pm

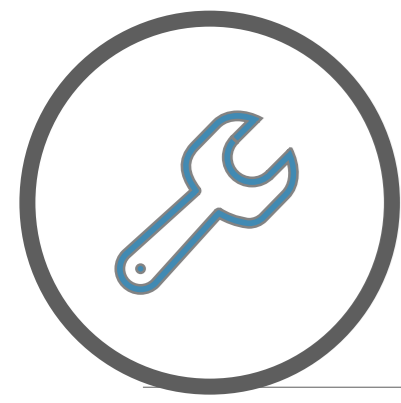
[Register in advance](#)



OHRPP's "Office Hours"

- OHRPP Quality Improvement Unit staff are hosting *half-hour open Q/A sessions every other week* to answer your questions
- *Upcoming sessions*
 - Tuesday, August 18, 2020 8:30am
 - Tuesday, September 1, 2020 8:30am

Register once and you can join any session.



Reminder - Subscribe to Human Research News

To be in the know when OHRPP releases updated guidance and offers training opportunities, please subscribe to Human Research News

➤ ***To subscribe, visit [ORA news subscription](#)***

Any Questions?

Contact Information

OHRPP Website

<http://ohrpp.research.ucla.edu/>

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Extramural Fund Management

August 13, 2020

Agenda

- **Closing Funds Expired in August 2018 or prior**
- **UCPath Funding Roll Over and Fund End date**
- **Fiscal Year Journal Correction Related to UCPath Issues**
- **Threshold for Revised COP and PI's re-certification**

Closing Funds expired in August 2018 or prior

Yoon Lee

Closing Funds expired in August 2018 or prior

- **Why August 2018?**
 - August 2018: Last month payroll was processed in PPS before UCPATH go-live.
 - Effective July 1, 2019, PPS support including WebPET discontinued. To transfer incorrect PPS payroll, it needs to be processed through financial journals bypassing payroll sub-ledger.
 - One of items that need to be addressed to close expired funds is pending payroll transfers.
- **Effective August 1, 2020, EFM will remove unallowable or inapplicable PPS payroll expenses from the project funds to department unrestricted funding sources via financial journal.**
 - Effective July 1, 2019, EFM does not accept PPS payroll expense transfers debiting to sponsored project funds.
 - Unallowable or inapplicable PPS payroll expenses on the project funds must be removed. When you identify such cases, contact your EFM accountant.
 - To expedite progress on closing expired funds, EFM may initiate removal of PPS payroll expenses on funds expired in August 2018 or prior.
 - EFM will email the department a draft of financial journals including an unrestricted FAU of the department for the confirmation.
 - The department can provide an alternative FAU if desired. If a response is not received in 3 business days, EFM will proceed to submit the journal and close the fund.

Removing PPS Payroll via Financial Journal

- Effective August 1, 2020, EFM will remove unallowable or inapplicable PPS payroll expenses from the project funds to department unrestricted funding sources via financial journal.
 - EFM vetted the procedure with Corporate Financial Services, Central Resource Unit, and Academic Planning and Budget.
 - Unallowable payroll expenses that were excluded from the final financial deliverable will be removed.
 - Financial journals will be prepared summarizing detailed unallowable transactions in the PPS payroll expense distribution report at the sub-code level in General Ledger. The following object codes will be used for each sub.

Sub code	Object Code	Title
00	1000	Salaries & Wages - Academic
01	1100	Salaries & Wages – Staff
02	1130	S&W-Casual Staff
06	8914	Other Employee Benefits Adjustment

- Other expenses related to payroll will be removed as well (e.g. TIF, GAEL, etc.)
- For these journal entries, “**PPS-CG**” will be entered in the “project” field in FAU to distinguish these adjusting journals in the GL from actual payroll expenses coming from UCPath.
- PPS payroll expense distribution report highlighting detailed unallowable transactions will be retained to support the financial journal and to explain a discrepancy between payroll reports and General ledger.

Removing PPS Payroll via Financial Journal

- **Adjusting PPS payroll expenses via financial journal directly in General Ledger bypassing Labor Ledger will impact effort reports.**
- **When payroll expenses are removed from a federal or federal flow through fund:**
 - This payroll adjustment will not be reflected in the effort report and manual adjustments are required. Keep the journals and the supporting payroll reports as reference to make the necessary adjustment to the effort report for the corresponding period.
- **When payroll expenses are removed from a project fund other than a federal or federal flow through:**
 - If any of these individual's salary was partially funded by other federal or federal flow through fund(s), provide EFM with a list of those individuals. This payroll adjustment will not be reflected in the effort report and manual adjustments to the effort report(s) of these individuals are required.
- **Effort reporting period:**
 - The standard period can be found at <https://efm.research.ucla.edu/ers-overview/>
 - The modified periods for UCPATH was shared at June 2020 RAF, which can be found at <https://ora.research.ucla.edu/wp-content/uploads/RAF-2020-06-EFM.pdf>

Report of Expired Funds to Close in PAMS

School	GL Clean up	Final PDA
ADMINISTRATIVE VICE CHANCELLOR	1	
ANDERSON SCHOOL OF MANAGEMENT	1	
BASIC BIOMEDICAL SCIENCES	1	
BROAD STEM CELL RESEARCH CENTER	4	
CALIFORNIA NANOSYSTEMS INSTITUTE	6	
CONTINUING EDUCATION	1	
DAVID GEFLEN SCHOOL OF MEDICINE	293	52
DENTISTRY	33	9
EDUCATION & INFO STUDIES	6	
HENRY SAMUELI SCHOOL ENGR & APPL SCIENCE	70	6
HERB ALPERT SCHOOL OF MUSIC		1
INSTITUTE OF AMERICAN CULTURES	5	
INTERNATIONAL INSTITUTE	3	
LETTERS AND SCIENCE	105	5
LUSKIN SCHOOL OF PUBLIC AFFAIRS	19	
MEDICAL CENTER	2	
SCHOOL OF ARTS AND ARCHITECTURE	9	
SCHOOL OF NURSING	5	1
SCHOOL OF THEATER, FILM & TELEVISION	1	1
SEMEL INSTITUTE	78	6
UCLA FIELDING SCHOOL OF PUBLIC HEALTH	13	6
UNIVERSITY LIBRARY	5	
VC RESEARCH	2	
VC STUDENT AFFAIRS	4	2
Grand Total	667	89

- **As of August 12, 2020, 756 funds with the fund end date in August 2018 or prior include:**
 - **667** funds: The final invoice or report was submitted but expenses in the general ledger do not reconcile to the final expenditure reported to the sponsor (GL Clean-up).
 - **89** funds: The final has not been submitted Pending Department Action (Final PDA).
- **Review “Expired Funds to Close” report in PAMS to find your funds that require actions; either GL clean up or PDA for the final financial deliverable.**
 - For more details, refer to May 2020 RAF EFM presentation.
- **Review financial deliverables with the status of “Pending Department Action” in your worklist in PAMS.**
- **Effective May 1, 2020, 7 accountants in EFM are working full time on closing all expired funds with the final financial deliverables due in February 2020 or prior.**

UCPath Funding Roll Over and Fund End date

Yoon Lee

UCPath: Fiscal Year-End Funding Rollover Process

- **What is “funding rollover” process in UCPath?**
 - This process basically copies the funding distributions of employees (technically FAUs associated to a position) in UCPath from one fiscal year to the upcoming fiscal year so the user does not have to re-enter all labor distributions every fiscal year unless a change is required.
 - It runs later in June every year.
 - If funding is not roll over and the department has not add funding into the next fiscal year, prior to the first payroll in July, payroll will be charged to the department’s suspense FAU.
- **Scenarios where the funding will NOT roll over include;**
 - If the fund code in Oasis has a fund end date that is in the current fiscal year or prior, funding is not roll over.
 - This affected funding roll over for contract and grant funds.
- **June 19th: CRU sent the announcement for FYE Funding Roll Over Process in UCPath**
 - To CAOs, CFOs, and UCPath GL initiators and approvers.
 - You can find more information about funding roll over including additional scenarios here.
<https://centralresourceunit.ucla.edu/s/article/Funding-Rollover-Process-in-UCPath>

Contract and Grant Fund End Date: Issue

Procedure prior to July 20, 2020

- **The fund end date in the fund table in Financial System represents the last day of the latest budget period executed. For example,**
 - 5 year award with the project period of 7/01/2020 - 6/30/2025 is received. Only budget year 1 was executed and the fund 12345 was set up in 2020. the remaining 4 years are anticipated and committed but not yet executed.
 - Then following dates will be populated in the Fund table in Financial system,
 - Project period: 7/01/2020 - **6/30/2025**
 - Budget period: 7/01/2020 - **6/30/2021**
 - Fund end date: **6/30/2021**
- **Issue with this procedure:**
 - If a continuing year is not executed (in this case the budget year 2) prior to the UCPATH funding roll over date (later in June), the fund end date will remain as 6/30/21.
 - UCPATH looks at the fund end date, 6/30/21, and funding will not roll over to the next fiscal year
 - Funding distribution of all positions that will continue to work on the project will need to be re-entered.

Contract and Grant Fund End Date: Remedy

Procedure effective July 20, 2020

- **The fund end date in the fund table in Financial System represents the last day of the project end date. For example,**
 - 5 year award with the project period of 7/01/2020 - 6/30/2025 is received. Only budget year 1 is executed and the fund 12345 is set up in 2020. The remaining 4 years are anticipated and committed but not yet executed.
 - Then following dates will be populated in the Fund table in Financial system,
 - Project period: 7/01/2020 - **6/30/2025**
 - Budget period: 7/01/2020 - **6/30/2021**
 - Fund end date: **6/30/2025**
- **Exception for MFNOA:**
 - The fund end date will be the last day of the budget period assigned to the fund as is today.
- **For new awards processed on July 20, 2020 or onward:** Fund end date = Project end date
- **For awards processed prior to July 20, 2020:** As a continuing year is executed, the fund end date will be updated to “Project end date”.
- **ORA will run an exception report in May to catch cases where the fund end date is not the “project end date” and update those records before UCPath funding roll over date.**

Fiscal Year Journal Correction related to UCPath Issues

Andrew Merki

Agenda

UCPath Defect Financial Journal Report

- Background on Report
- List of UCPATH Defects and Associated Journals
- Sample Journal in General Ledger
- Report Sample
- Incorrect CBR Journal Posted for Summer Salary Earn Codes
- Questions

Background on Report

- **Corporate Financial Services (CFS) posted financial journals to the June 2020 ledger to correct various UCPATH defects – CFS announcement can be found here:**
 - <https://centralresourceunit.ucla.edu/s/article/FYE-Close-Correcting-Entries-for-UCPATH-Defects>
- **The financial journals will not show up in the DOPE Report or UCPATH Employee Sum Report since they are not labor ledger transactions**
- **CFS created a separate reporting tool in coordination with GL Stabilization Workgroup that provides a detailed breakdown of these transactions by employee**
 - The reporting tool can be accessed at <https://ga.accounting.ucla.edu/JournalCorrections/Report>
 - Campus Users can access data by entering different search parameters on the reporting webpage (e.g., Emp ID, Fund #, Trans ID, etc.)
 - Report security was set up/granted based on UCPATH DACSS functions
 - Users with UCPATH Funding Entry/Inquiry and Direct Retro Entry/Inquiry access can view transactions **only** for departments they have been assigned to by their DSA

List of UCPath Defects and Associated Journals

- **List of financial journals posted by CFS in June ledger for UCPath defects:**
 - First two characters of Trans ID represent the fiscal posting month of the transaction (e.g., 12 = June, 01 = July)
 - **Unresolved** issues will have additional journals posted in July and subsequent months until the issue is resolved

Trans ID	Defect	UCPath Defect Resolved Going Forward?	UCPath Defect #
12PJ01	GAEL charges hitting Federal and Federal Flow Through funds	Resolved	UCP-74646
12PJ02	RPNI expenses hitting Federal Flow Through funds	Resolved	UCP-75288
12PJ04	Employees who are not eligible for vacation (e.g., recall and limited) are incorrectly having VLA assessed	Resolved	UCP-73470, UCP-73290
12PJ05	Unallowable fringe benefits hitting Work Study Funds	Unresolved	UCP-78052
12PJ06	Composite Benefit Rate (CBR) charging incorrectly when processing Direct Retros. Includes multiple sub issues: (1) Direct Retro is applying the current CBR rate not the CBR rate in the original pay transaction (2) CBR is not moving with the salary after processing Direct Retros (3) CBR charges are not calculated correctly during Direct Retro process when position number is changed or one of CBR characteristics is changed	(1) Resolved (2) Resolved (3) Unresolved	(1) UCP-89834 (2) UCP-84171 (3) UCP-71166
12PJ07	CBR rates not applied correctly when split funded across Med Center and Campus	Resolved	UCP-74887

Sample Journal in General Ledger

- Sample Journal for Trans ID 12PJ04 – Incorrect Vacation Leave Assessment

Detail General Ledger

For the period from June 1, 2020 to June 30, 2020 -- Up to Final

Location : 4
Account/CC : 442561/AM ENGR/MANE-FAC RES & SUP/ABDOU,A
Fund : 22420 FDP-USDOEN 86ER52123 ABDOU 07/19 54%
Department : 0205 MECHANICAL AND AEROSPACE ENGINEERING

Sub Object	Source	Project	TE	Effective Date	Trans No	Doc Date	Description	Reference	Appropriation ()=DEBIT	Expenditure ()=CREDIT	Encumbrance ()=DECREASE	Memo-Lien ()=DECREASE
068930			53	6/30/2020	12PJ04	071320	VAC ASSESMENT ADJ	UCP-73470		(1,190.68)		
06 **									0.00	(1,190.68)	0.00	0.00
9H3810			70	6/30/2020	13D41	063020	OVERHEAD CHARGES			(642.97)		
9H **									0.00	(642.97)	0.00	0.00
Total									0.00	(1,833.65)	0.00	0.00

Journal includes brief description of the defect and Reference for UCPATH defect number, except when the journal is covering multiple defect numbers in which case no defect number is provided in the reference field.

Report Sample

- Report home page after logging in via Single Sign On:
 - <https://ga.accounting.ucla.edu/JournalCorrections/Report>

The screenshot shows the 'UCLA UCPATH Journal Corrections' report page. The header includes the UCLA logo and the user name 'De Jesus, Robert'. A left sidebar contains 'Home' and 'Report' navigation options. The main content area is titled 'Welcome' and contains the following text:

Welcome to the UCLA UCPATH Journal Repository. Click on the 'Reports' menu item on left to search and report on the data from repository. This repository will provide detail for the following General Ledger Journals that were posted to the Departments General Ledger. The details include, Employee Information, Pay Period impacted, Position ID and the dollar amount charged. Click [here](#) for additional details relating to each of the Journals.

The Trans ID of the journals that are posted all begin with the period followed by a unique identifier. For Example Trans ID of 12PJ01 indicates a journal was posted to the June Ledger for GAEL charges. A Trans ID of 01PJ05 indicates a journal was posted to the July Ledger for Work Study issues.

The Journals posted are as follows:

Trans ID	Description
12PJ01	GAEL charges hitting Federal and Federal Flow-Through
12PJ02	RPNI expenses hitting Federal Flow Through, Expenses
12PJ04	VLA for employees who do not accrue Vacation
12PJ05	Unallowable fringe hitting Work Study funds
12PJ06	Includes the following 3 defects:
	<ul style="list-style-type: none">• Direct Retro is applying the current CBR rate not the CBR rate in the original pay transaction• CBR is not moving with the salary after processing direct retros• CBR charges are not calculated correctly during Direct Retro process when position number is changed or one of CBR characteristics is change
12PJ07	CBR Rates not applied correctly when split funded across Med Center and Campus

Should you have any additional questions that cannot be answered with the data provide in the tool then please log a Salesforce case with the UCLA CRU.

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Report Sample

- Report search criteria interface:

Journal Correction Report Search Criteria

Please select appropriate Fiscal Year and enter at least one more search parameter:

Fiscal Year:	<input type="text" value="2020"/>	
Trans ID:	<input type="text" value="Trans ID"/>	
Employee ID:	<input type="text" value="Employee ID"/>	
Pay End Date From:	<input type="text" value="Select From Date"/>	To: <input type="text" value="Select To Date"/>
Dept Code:	<input type="text" value="Dept Code"/>	
Account Number:	<input type="text" value="Account Number"/>	
Cost Center:	<input type="text" value="Cost Center"/>	
Fund Number:	<input type="text" value="Fund Number"/>	
Sub Code:	<input type="text" value="Sub Code"/>	
Object Code:	<input type="text" value="Object Code"/>	
Report Type:	<input checked="" type="radio"/> Web Report <input type="radio"/> Excel Report	
	<input type="button" value="Go"/>	

Report Sample

- Sample results from report:

A	B	C	D	E	F	G	H	I	J	K	L	M
#	Trans ID	Fiscal Year	EMPLID	Employee Name	Empl Record	EFFDT	EFFSEQ	Pay Run IC	Paycheck	Position N	Expense Description	Pay End Date
1	12PJ05	2020	10088000	Bruin, Joe	1	11/25/2019	0	200111B2	10214373	40273100	CBR Assessment - Expense	01/11/2020
2	12PJ05	2020	10088000	Bruin, Joe	0	12/17/2019	1	200125B1	52766032	40272001	CBR Assessment - Expense	01/25/2020
3	12PJ05	2020	10088000	Bruin, Joe	1	04/13/2020	1	200418B3	10271127	40273100	CBR Assessment - Expense	04/18/2020
4	12PJ05	2020	10088000	Bruin, Joe	0	11/25/2019	0	200125B1	52766042	40273878	CBR Assessment - Expense	01/25/2020
5	12PJ05	2020	10088000	Bruin, Joe	1	04/13/2020	1	200418B3	10271127	40273100	User Account 000269867	04/18/2020
6	12PJ05	2020	10088000	Bruin, Joe	2	01/22/2020	0	200125B1	52766037	40330973	CBR Assessment - Expense	01/25/2020
7	12PJ05	2020	10088000	Bruin, Joe	0	12/17/2019	1	200222B1	53013420	40272001	CBR Assessment - Expense	02/22/2020
8	12PJ05	2020	10088000	Bruin, Joe	0	12/17/2019	1	200222B1	53013420	40272001	User Account 000269994	02/22/2020
9	12PJ05	2020	10088000	Bruin, Joe	0	12/17/2019	1	200111B2	52612858	40270358	CBR Assessment - Expense	01/11/2020
10	12PJ05	2020	10088000	Bruin, Joe	0	05/14/2020	1	200530B1	53848411	40334685	CBR Assessment - Expense	05/30/2020
11	12PJ05	2020	10088000	Bruin, Joe	2	01/22/2020	0	200125B1	52766037	40330973	CBR Assessment - Expense	01/25/2020
12	12PJ05	2020	10088000	Bruin, Joe	0	09/05/2019	0	190921B1	51885620	40180203	CBR Assessment - Expense	09/21/2019
13	12PJ05	2020	10088000	Bruin, Joe	0	09/05/2019	0	190921B1	51885620	40180203	User Account 000222712	09/21/2019
14	12PJ05	2020	10088000	Bruin, Joe	0	11/12/2019	0	191130B1	52339928	40270358	CBR Assessment - Expense	11/30/2019

Report Sample

- Sample results from report (continued):

N	O	P	Q	R	S	T	U	V	W	X	Y	Z
Date Original Posted to GL	Business I	Departme	Account	Cost Cent	Fund	Sub	Object	Project	Direct Retro ID	Amount	Journal Reference	Original or Reversal
01/31/2020	LACMP	1000	404024	5B	69460	6	8850			\$3.55	UCP-78052	OFFSET
01/31/2020	LACMP	1000	403999	2E		6	8850	WKSTDY		\$11.72	UCP-78052	OFFSET
04/30/2020	LACMP	1000	404024	5B		6	8850			(\$5.68)	UCP-78052	OFFSET
01/31/2020	LACMP	1000	403999	2E		6	8850	WKSTDY		\$2.84	UCP-78052	OFFSET
04/18/2020	LACMP	1000	404024	5B		6	8940			(\$5.11)	UCP-78052	OFFSET
01/31/2020	LACMP	1000	404024	5B	69460	6	8850	WKSTDY		\$1.33	UCP-78052	OFFSET
02/29/2020	LACMP	1000	404024	2A	22657	6	8850	WKSTDY		(\$9.95)	UCP-78052	ORIGINAL - REVERSAL
02/22/2020	LACMP	1000	404024	2A	22657	6	8940	WKSTDY		(\$4.98)	UCP-78052	ORIGINAL - REVERSAL
01/31/2020	LACMP	1000	404024	5B		6	8850			(\$6.31)	UCP-78052	OFFSET
05/31/2020	LACMP	1000	403999	2E		6	8850	WKSTDY		\$3.49	UCP-78052	OFFSET
01/31/2020	LACMP	1000	403999	2E		6	8850	WKSTDY		\$1.33	UCP-78052	OFFSET
09/30/2019	LACMP	1000	404024	5B	69460	6	8850	FUNDNG		\$16.41	UCP-78052	OFFSET
09/21/2019	LACMP	1000	404024	5B	69460	6	8940	FUNDNG		\$9.85	UCP-78052	OFFSET
11/30/2019	LACMP	1000	404024	5B		6	8850			(\$9.41)	UCP-78052	OFFSET

Incorrect CBR Posted for Summer Salary Earn Codes

- **12PJ06 – Incorrect CBR Rate Assessed** – issue discovered with financial journal that was posted for summer salary earn codes
 - Journal posted for Trans ID 12PJ06 used an incorrect CBR rate for summer salary earn codes (e.g., ACR)
 - A subsequent correcting journal will be posted by CFS to July ledger to correct these cases

Threshold for Revised Closeout Packet and PI's Re-Certification

Monida Hean

Overview

- **Currently, when the variance between the final expenditure of the revised closeout packet and that of the original closeout packet is greater than \$100, a revised closeout packet is required. When the variance is greater than \$500, PI's recertification is required.**
- **The current threshold has been in place for over 10 years. It was established by a committee representing various areas on campus that aim to improve the research administration process.**
- **Given that it has been more than 10 years, EFM is revisiting this topic for the benefit of campus and EFM.**
- **EFM conducted a survey to collect feedback from campus in order to determine a reasonable threshold for a revised closeout packet (COP) and PI's re-certification**
 - **Total responses received = 159**

Survey Responses

Answer Choices	Percentage	Count
\$100 for revised COP; \$500 for PI's re-certification (as is)	15.09%	24
\$500 for revised COP; \$1,000 for PI's re-certification	32.08%	51
\$1,000 for revised COP; \$1,000 for PI's re-certification	19.05%	31
\$1,000 for revised COP; \$2,000 for PI's re-certification	8.81%	14
\$1,500 for revised COP; \$3,000 for PI's re-certification	15.72%	25
Other	8.81%	14
TOTAL		159

Responses Received by School/College

Answer Choices	Percentage	Count
College of Letters and Science	18.71%	29
David Geffen School of Medicine	50.97%	79
Education and Information Studies	2.58%	4
Fielding School of Public Health	4.52%	7
Henry Samueli School of Engineering and Applied Science	4.52%	7
Semel Institute	7.10%	11
Other	11.16%	18
TOTAL		155*

*4 responders did not indicate school/college

New Threshold for Revised COP and PI's Re-Certification

- **Effective August 13, 2020, the new threshold is:**
 - \$500 for revised COP; \$1,000 for PI's re-certification
- **The EFM website has been updated to reflect this change:**
 - <https://efm.research.ucla.edu/closeout-packet/>

Any Questions?

Contact Information

EFM Website

<http://ora.research.ucla.edu/efm/>

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