



Research Administration Forum

February 11, 2021

Welcome and Reminders

- This is NOT being recorded
- We will answer questions at the end of each segment as time permits
- Submit questions via Zoom Q&A window
- Use the “raise hand” option to ask a question verbally. You will be allowed to unmute.
- Slides will be posted on ORA website following the meeting

Agenda

- **Welcome & Announcements** – *Marcia Smith*
 - Introduction to OCGA Director Tracey Fraser
- **Human Research Protection Program**
 - Updates – *Kristin Craun*
- **Contract and Grant Administration**
 - E-EPASS Updates – *Harveen Kukreja*
 - Grant Updates – *Kathy Kawamura*
- **Research Policy and Compliance**
 - Export Control: Considerations for overseas remote work during the pandemic – *Ann Pham*
- **Extramural Fund Management** – *Yoon Lee*
 - Effort Report Certification
 - Expired Funds to Close
 - NIH FFR submissions to PMS
 - PAMS Accounts Receivable
- **Q&A** – *Open Forum*



OHRPP Updates

February 11, 2021

OHRPP Updates

Introducing New MIRB 2 Administrator



Reminder - CITI Updates



New BRUIN IRB – Phase I



New IRB Administrator Melissa Nowicki to lead MIRB 2



- **Melissa Nowicki – MIRB 2 Administrator**
- melissa.nowicki@research.ucla.edu

Updates to OHRPP's CITI training for Human Subjects:

- OHRPP will now accept either GCP or HS training courses to fulfil the requirement for human subjects protection training.
 - o GCP training is required for key personnel conducting NIH-funded research that meets the NIH definition of a clinical trial.

Updates to OHRPP's CITI training for Human Subjects:

- The HS training course in CITI has been made more flexible:
 - o For initial training, researchers may select any 8 modules to complete the course. For refresher training, any 4 elective modules may be selected.
 - o The Biomedical and Social/Behavioral courses have been combined. The course includes both types of modules. Researchers may select any modules relevant to the type of research they conduct.

Updates to OHRPP's CITI training for Human Subjects:

- The path to select UCLA training in CITI under “add a course” now includes a skip pattern, so you’ll only see training relevant to the type of research you conduct.

Question 1

SECTION ONE: DETERMINING THE TRAINING REQUIRED In order to determine which course(s) you may need to take, please indicate which of the following categories apply to you (check all that apply)

This question is required. Choose all that apply.

- I conduct human subjects research/Realizo investigaciones con sujetos humanos ["OHRPP" \[SECTION TWO\]](#)
- I conduct animal research ([RSAWA](#)) [SECTION THREE]
- I conduct research that involves using hazardous biological material or recombinant or synthetic nucleic acids ([IBC](#)) [SECTION FOUR]
- I conduct research that meets the definition of [Dual Use Research of Concern \("DURC"\)](#). ([RSAWA](#)) [SECTION FIVE]
- I was instructed to take a course by [Research Policy and Compliance](#) in order to meet the Responsible Conduct of Research training requirements of the agency funding the research [SECTION SIX]
- I have a special role (OHRPP Staff, IRB member, IACUC member, IBC member, DURC committee member, Institutional Official) in the research enterprise at UCLA that requires me to take training. [SECTION SEVEN]

New BRUIN IRB – Phase I - My Inbox

» Dashboard IRB Home IRB Help

Create ▾

Study Expiration Dates

Enter search terms to

No pending items to do.

Recently Viewed

STUDY00000024: My First Study

My Inbox Assignments In Process

My Inbox

Filter by ID Enter text to search for + Add Filter x Clear All

ID	Name	Date Created	Date Modified	State	Coordinator
STUDY00000024	My First Study	2/3/2021 1:03 PM	2/3/2021 2:08 PM	Pre-Submission	

1 items page 1 of 1 25 / page

New BRUIN IRB – Phase I - Protocol Workspace

»
Dashboard
IRB Home
IRB

Submissions
Meetings
Reports
Library
Help Center

Pre-Submission

Last updated: 2/3/2021 2:08 PM

Next Steps

Edit Study

Printer Version

- [Submit](#)
- [Assign Primary Contact](#)
- [Assign PI Proxy](#)
- [Manage Ancillary Reviews](#)
- [Manage Guest List](#)
- [Add Related Grant](#)
- [Add Comment](#)
- [Copy Submission](#)
- [Discard](#)

(IRB - STUDY - In review)

STUDY00000024: My First Study

Principal investigator: Joe Bruin

Submission type: Initial Study

Primary contact: Joe Bruin

PI proxies:

IRB office: IRB

IRB coordinator:

```

graph LR
    A[Pre-Submission] --> B[Pre-Review]
    B --> C[IRB Review]
    B --> D[Clarification Requested]
    D --> B
    C --> E[Post-Review]
    C --> F[Clarification Requested]
    F --> C
    E --> G[Review Complete]
    E --> H[Modifications Required]
    H --> E
          
```

IRB office: IRB

IRB coordinator:

History
Funding
Contacts
Documents
Reviews
Snapshots

Filter by Activity Enter text to search for Q + Add Filter x Clear All

	Activity	Author	Activity Date
	Study Created	Bruin, Joe	2/3/2021 1:03 PM

New BRUIN IRB – Phase I - Basic Study Information Page

Validate Compare

Basic Study Information

Study Funding Sources

Local Study Team Members

Study Scope

Local Research Locations

Drugs

Devices

Local Site Documents

You Are Here: My First Study

Editing: STUDY00000024

Basic Study Information

- * Title of study:**
- * Short title: ?**
- * Brief description: ?**
- * What kind of study is this? ?**
 Multi-site or Collaborative study
 Single-site study
[Clear](#)
- * Will an external IRB act as the IRB of record for this study? ?**
 Yes No [Clear](#)
- * Local principal investigator: ?**
Joe Bruin

New BRUIN IRB – Phase I - Study Funding Sources

☰ Validate Compare <<

Basic Study Information

Study Funding Sources

Local Study Team Members

Study Scope

Local Research Locations

Drugs

Devices

Local Site Documents



You Are Here: 📁 My First Study

Editing: STUDY00000024

Study Funding Sources

1. Identify each organization supplying funding for the study:

+ Add

	Funding Source	Sponsor's Funding	Grants Office ID	Attachments
 Update	NIH - NATIONAL INSTITUTES OF HEALTH	1234		My Grant Application 

New BRUIN IRB – Phase I - Study Team Members

Validate
Compare

Go to forms menu
Print
Help

You Are Here: My First Study

Editing: STUDY00000024

Local Study Team Members

1. Identify each additional person involved in the design, conduct, or reporting of the research: ?

+ Add

	Name	Roles	Financial Interest Review Status	Involved in Consent	Training									
Update	Michael Yuan	Co-investigator	no	yes	<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 33%;">Good Clinical Practice (OPTIONAL)</td> <td style="width: 33%;">UCLA HIPAA</td> <td style="width: 33%;">Human Subject</td> </tr> <tr> <td>Completed: 10/18/2018 Expires: 10/17/2021</td> <td>Completed: 10/3/2018 Expires: -</td> <td>Completed: 10/3/2018 Expires: 10/2/2021</td> </tr> <tr> <td style="text-align: center;">✓</td> <td style="text-align: center;">✓</td> <td style="text-align: center;">✓</td> </tr> </table>	Good Clinical Practice (OPTIONAL)	UCLA HIPAA	Human Subject	Completed: 10/18/2018 Expires: 10/17/2021	Completed: 10/3/2018 Expires: -	Completed: 10/3/2018 Expires: 10/2/2021	✓	✓	✓
Good Clinical Practice (OPTIONAL)	UCLA HIPAA	Human Subject												
Completed: 10/18/2018 Expires: 10/17/2021	Completed: 10/3/2018 Expires: -	Completed: 10/3/2018 Expires: 10/2/2021												
✓	✓	✓												

2. PI Training:

Good Clinical Practice (OPTIONAL)	UCLA HIPAA	Human Subject
—	—	—

3. External team member information: ?

+ Add

Name	Training/Qualifications and Study role(s):
There are no items to display	

New BRUIN IRB – Phase I - Study Scope

Validate Compare <<

You Are Here: My First Study

Editing: STUDY00000024

Go to forms menu Print Help

Study Scope ?

- * Does the study specify the use of an approved drug or biologic, use an unapproved drug or biologic, or use a food or dietary supplement to diagnose, cure, treat, or mitigate a disease or condition?**
 Yes No [Clear](#)
- * Does the study evaluate the safety or effectiveness of a device or use a humanitarian use device (HUD)?**
 Yes No [Clear](#)
- Is your protocol one of the following?**
 Right to Try
 Emergency Use
 Expanded Access/Compassionate Use
[Clear](#)
- Is this a COVID-19 research proposal that falls under the following scope:**
 - Access to the suspected and confirmed UCLA Health COVID-19 patients.
 - Access to the electronic medical record chart or data of those patients.
 - Access to the remnant or research biospecimen collection of those patients.
 - Planning any clinical research interventional trial (drug/device) for those patients.
 - COVID Population-based studies that overlap the UCLA Health population or UCLA healthcare workers. Yes
 No
[Clear](#)

New BRUIN IRB – Phase I - Research Locations

☰ Validate Compare <<

- Basic Study Information
- Study Funding Sources
- Local Study Team Members
- Study Scope
- Local Research Locations**
- Drugs
- Devices
- Local Site Documents

You Are Here: 📄 My First Study

Editing: STUDY00000024

◀ Go to forms menu 🖨️ Print ▾ ? Help

Local Research Locations

1. * Indicate the locations where any research activities will be performed by the UCLA research team with participants and/or private information obtained.

Check all that apply: ?

- UCLA Sites or UCLA Health System Sites (Does not include Harbor-UCLA Medical Center, Olive View-UCLA Medical Center, or Orthopaedic Institute for Children)
- Off Campus (in California)
- Outside California (in the U.S.)
- Outside the United States
- Internet

New BRUIN IRB – Phase I - Drug Information

Validate Compare

Basic Study Information

Study Funding Sources

Local Study Team Members

Study Scope

Local Research Locations

Drugs

Devices

Local Site Documents

You Are Here: My First Study

Editing: STUDY00000024

Drugs ?

1. * List all drugs, biologics, foods, and dietary supplements to be used in the study:

+ Add

Generic Name	Brand Name	Attachment Name
<input type="text"/>	<input type="text"/>	<input type="text"/>

Update Drug Name Drug Brand Name

2. * Will the study be conducted under any IND numbers? ?

Yes No [Clear](#)

3. * Identify each IND:

+ Add

IND Number	IND Holder	Other Holder
IND1234	Sponsor	<input type="text"/>

4. Attach files: (such as IND or other information that was not attached for a specific drug) ?

+ Add

Document	Category	Date Modified	Document History
There are no items to display			

New BRUIN IRB – Phase I - Device Information

Validate Compare

Basic Study Information

Study Funding Sources

Local Study Team Members

Study Scope

Local Research Locations

Drugs

Devices

Local Site Documents

You Are Here: My First Study

Editing: STUDY00000024

Devices ?

1. * Select each device the study will use as an HUD or evaluate for safety or effectiveness:

+ Add

Device	Humanitarian Use Device	Attachment Name
<input type="checkbox"/> Update Device Name	no	<input type="checkbox"/>

2. * Device exemptions applicable to this study: ?

- IDE number
- HDE number
- Claim of abbreviated IDE (nonsignificant risk device)
- Exempt from IDE requirements

[Clear](#)

3. Attach files: (such as IDE, HDE, or other information that was not attached for a specific device) ?

+ Add

Document	Category	Date Modified	Document History
There are no items to display			

New BRUIN IRB – Phase I - Local Site Documents

Validate Compare

Basic Study Information

Study Funding Sources

Local Study Team Members

Study Scope

Local Research Locations

Drugs

Devices

Local Site Documents

You Are Here: My First Study

Editing: STUDY00000024

Local Site Documents

- 1. Consent forms:** (include an HHS-approved sample consent document, if applicable) ?

+ Add

Document	Category	Date Modified	Document History
There are no items to display			
- 2. Recruitment materials:** (add all material to be seen or heard by subjects, including ads) ?

+ Add

Document	Category	Date Modified	Document History
There are no items to display			
- 3. Other attachments:**

+ Add

Document	Category	Date Modified	Document History
There are no items to display			

i Suggested attachments:

- If applicable, provide the PI exception letter.
- Completed checklist of meeting Department of Energy requirements, if applicable
- Other site-related documents not attached on previous forms



Learn at Lunch – upcoming session

February 24, 2021, noon-1pm

***“Obtaining consent under special circumstances:
Bill of Rights, Short Form, and Surrogate
Consent”***

presented by Moore Rhys, OHRPP

➤ [Register](#) for this event on zoom



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, February 16, 2021 8:30am
 - Tuesday, March 2, 2021 8:30am

Register once and you can join any session.



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

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

Kristin Craun, OHRPP Director

Phone: x33150

Email:

kristin.craun@research.ucla.edu

EPASS System – Updates

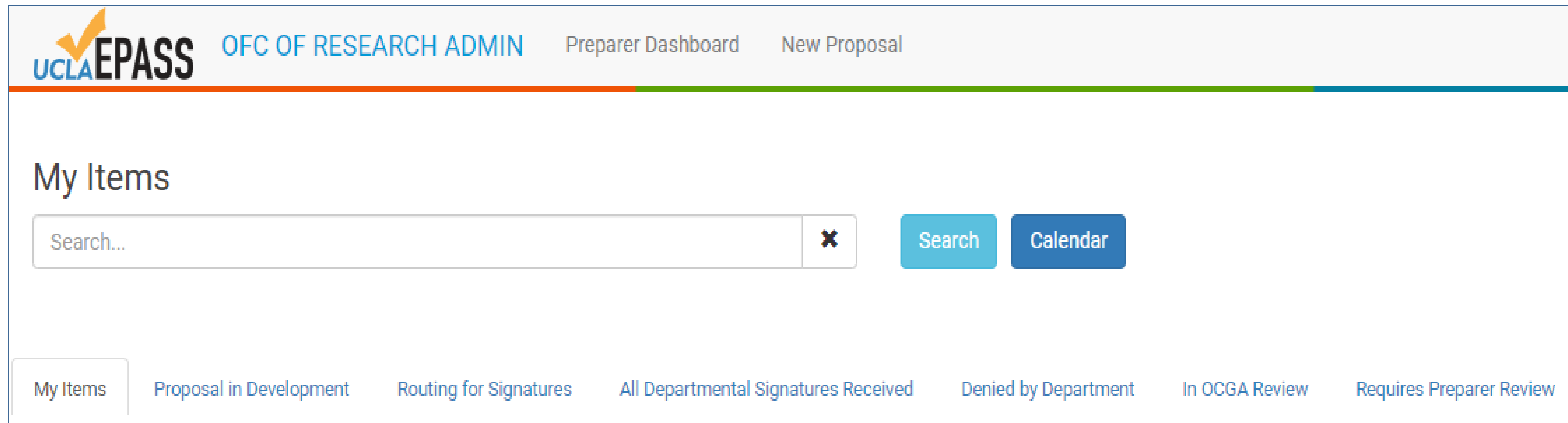
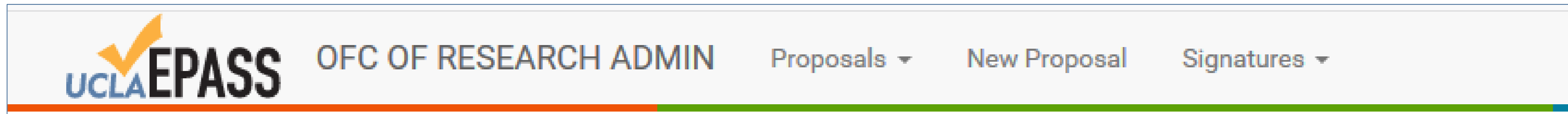
Research Administration Forum
February 2021

EPASS System – History

- EPASS System was created and used by the department of Neurology; eventually transferred to ORA for further enhancements and campus roll out
- Major enhancements since transfer:
 - Validations on required fields and responses
 - Electronic routing for signatures
 - Electronic proposal submission to OCGA Proposal Intake Team for review and assignment
 - Automated data transmission from EPASS System to PATS (vs. manual data entry)
 - Ability for Proposal Intake to return EPASS records for correction/edits prior to assignment
- Officially released into production in November 2019, after both internal (OCGA) and external (campus users) testing was completed
- We have estimated 6 waves for full campus department onboarding
 - Wave 1 roll out was completed on 11/18/2019
 - Waves 2-4 have been completed as of 12/22/2020

EPASS – Major Enhancements Since Nov 2019

- Upgraded dashboard view for preparers



EPASS Enhancement – Updated Document Upload Requirements

- Updated document upload requirements
 - Single PDF proposal upload vs individually uploaded documents (budget, budget justification and scope of work)
 - Note: the minimum document requirement has not changed

Attachments Minimum Proposal Requirements
No files have been uploaded.

Upload Other Documents

File Type: .csv,.xls,.xlsx,.doc,.docx,.ppt,.pptx,.pdf,.txt.
The individual file sizes cannot exceed 25 MB.

Click the button below to attach a new file.

Final Budget

File	Description
<input type="button" value="Choose File"/> No file chosen	

Final Budget Justification

File	Description
<input type="button" value="Choose File"/> No file chosen	

Statement of Work

File	Description
<input type="button" value="Choose File"/> No file chosen	

Other Documents



Upload Documents

File Type: .csv,.xls,.xlsx,.doc,.docx,.ppt,.pptx,.pdf,.txt.
The individual file sizes cannot exceed 25MB.

Click the button below to attach a new file.

Proposal

(Note: The Proposal, at minimum, must include the Final Budget, Final Budget Justification, and a Statement of Work as a single, combined, PDF document)

File	Description
<input type="button" value="Browse..."/> No file selected.	

Other Documents

EPASS Enhancement – DRA Submissions

- Departmental Research Associate buttons
 - Allows for OCGA to track whether this is a DRA reviewed proposal; should be sent to OCGA within five (5) business days after submission
 - Email notification to acknowledge receipt of proposal with assigned PATS number

Investigators Department Proposal Types Sponsor Checklist Forms Funds Attachments Review Log

Will this proposal be submitted by a Departmental Research Associate (DRA)?

Yes No

Review Proposal

Title

PI	KUKREJA, HARVEEN Kaur
----	-----------------------

Has the proposal been submitted to Sponsor? Yes No

Send to OCGA

Edit EPASS

EPASS Enhancement – Award Received Without Proposal

- Awards Received Without Proposal Submission to OCGA. Features include:
 - Ability to attach award documents in the same screen
 - Section to note existing PATS number, if applicable

Is this EPASS being created for an award that has already been received?

Yes No

Is there an associated PATS number?

Yes No

PATS Number:

Upload Award Documents

File Type: .csv,.xls,.xlsx,.doc,.docx,.ppt,.pptx,.pdf,.txt.
The individual file sizes cannot exceed 25 MB.

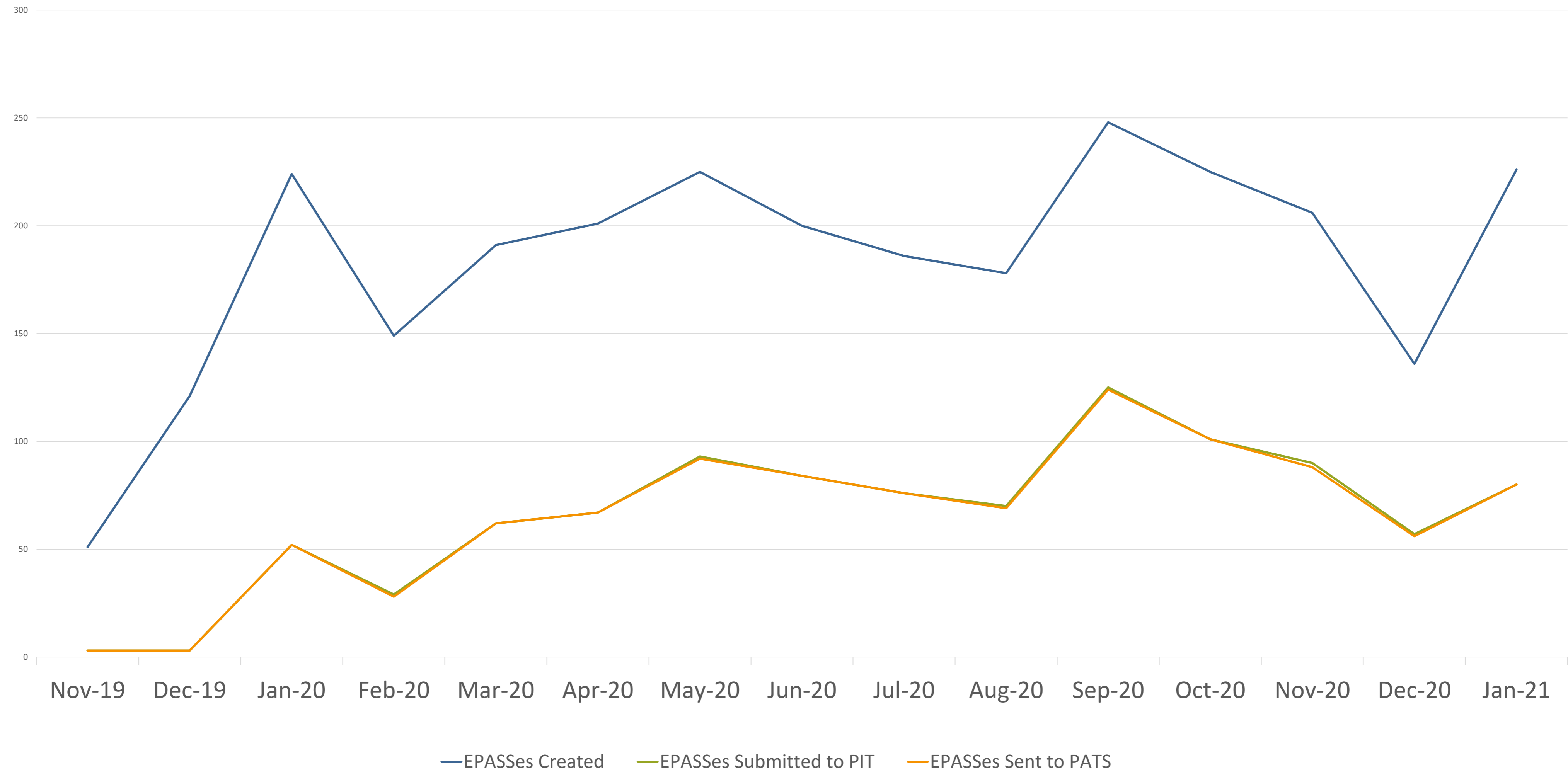
File	Description
<input type="button" value="Browse..."/> No file selected.	<input type="text"/>

EPASS System – By The Numbers

- Current number of onboarded departments: 103
- Number of EPASS records created since production deployment: 2,767 (Including CTC&SR and TDG)
 - CTC&SR: 545 records created
 - TDG: 109 records created
- Number of proposal records sent to OCGA Proposal Intake via EPASS System: 992
- Number of proposal records created from EPASS system: 985

EPASS System Updates

EPASS Trends: November 2019 through January 2021



EPASS – Where Are We Going?

- Seek to continue with onboarding during remote working
 - Reaching out to Wave 5 participants this week. Targeted for completion by April 2, 2021
 - If you are interested in onboarding sooner, please contact EPASSHelp@research.ucla.edu
- Wave 6 is expected to begin April 5, 2021
- Once campus onboarding is complete, our goal is to put in place a requirement for ALL proposal submissions to OCGA be via the EPASS system
- We currently require all onboarded departments to submit exclusively via the EPASS system

EPASS – Future Enhancements

- Enhanced process to upload signatures for those individuals who have not yet started at UCLA (those with future appointments) (Target 3/2021)
- Ability to add more than two Co-PIs (Target 3/2021):
 - System currently limited to just two Co-PIs;
 - Increase to 20 Co-PIs
- Automated reminders for proposals not yet submitted to OCGA or still in preparer queue
- Ability for departments to archive proposals not going through with submission
- Integration with CITI Look-up and eDGE Gateway
- Pared down validations/fields to meet pre-proposal/LOI submission requirements to OCGA
- Enhanced validations to streamline EPASS creation process

EPASS System: Sending Proposals to OCGA Proposal Intake Team

- For departments that have been onboarded, Proposals must be submitted via the EPASS system

Dear EPASS Online System Users,

Expectations for EPASS Users after Onboarding:

1. In order to avoid confusion and potential creation of duplicate records, all proposals must be submitted to OCGA via the EPASS System. Onboarded departments should no longer send proposal materials via email to proposals@research.ucla.edu.

- Benefits to using the EPASS System:
 - Electronic routing for signature from PI to Chair/Dean
 - Validation of EPASS questions to ensure no missing responses
 - Ability to attach internal/compliance documents to the EPASS record and send to OCGA
 - Proposal Intake team can still retrieve the S2S documents
 - Faster PATS record creation and acknowledgement of receipt. Electronic record creation vs. manual data entry

Questions?

For questions, feedback, or suggestions regarding the EPASS System, please contact
EPASSHelp@research.ucla.edu

We're happy to assist!



Grant Updates

February 11, 2021

Federal Updates

Uniform Guidance (2 CFR 200)

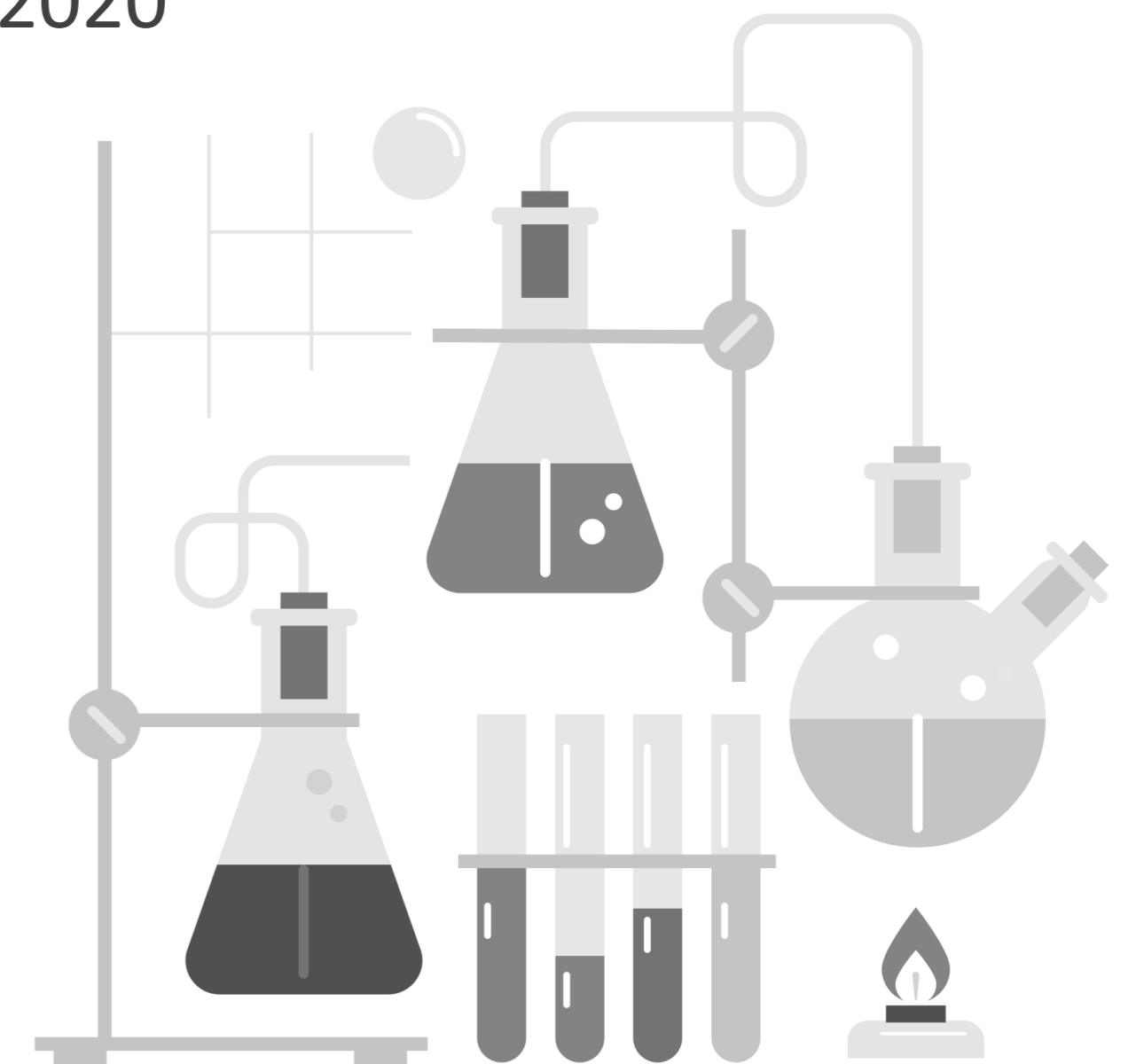
- Updated August 2020
- Updated November 2020

Pending updated Grants Policy Statements from Federal Sponsors

- NASA Grant & Cooperative Agreement Manual (GCAM) – revised November 12, 2020
- NSF – pending
- NIH – pending

Research Terms and Conditions Matrix

- Updated November 12, 2020
 - DHS – GFAD & DHS – FEMA added Sponsors
 - NASA will require prior approval for new Subawards



NIH

NIH Budget

- NIH Budget for FY2021 increased 3% above FY2020 to \$42.93 billion
 - NIH Budget for FY2020 increased 6.65% to \$41.68 billion
 - NIH Institutes received at least 1.5% increase to each Institute & Center
 - \$404 million from the *21st Century Cures Act*
 - Cancer Research, Brain Initiative, All of Us Precision Medicine Initiative, Common Fund, Type 1 – Diabetes Program (\$150 m)
 - Prioritization for meritorious Early Stage Investigators (ESI)

[Information on Early Stage Investigators](#)

NIH Salary Cap

- **NOT-OD-21-057** NIH Salary Cap based upon Executive Level II
 - Effective 1/3/2021
 - Executive Level II raised from \$197,300 to \$199,300
 - [NIH Salary Cap Summary](#)

NIH- NRSA

NOT-OD-21-049

NRSA Stipend Levels FY2021

Career Level	Years of Experience	Stipend for FY 2020
Predoc	All	25,320

Postdoctoral	0	\$53,760
	1	\$54,144
	2	\$54,540
	3	\$56,712
	4	\$58,608
	5	\$60,780
	6	\$63,036
	7 or More	\$65,292



Tuition & Fees

- 60% of actual tuition up to \$16,000
- or if dual degree, 60% of actual tuition up to \$21,000

Training Related Expenses (Institutional Training Grants)

- Predoc: \$4,200
- Postdoc: \$11,850

Institutional Allowance (Individual Fellows)

- Predoc: \$4,200
- Postdoc: \$11,850

NIH

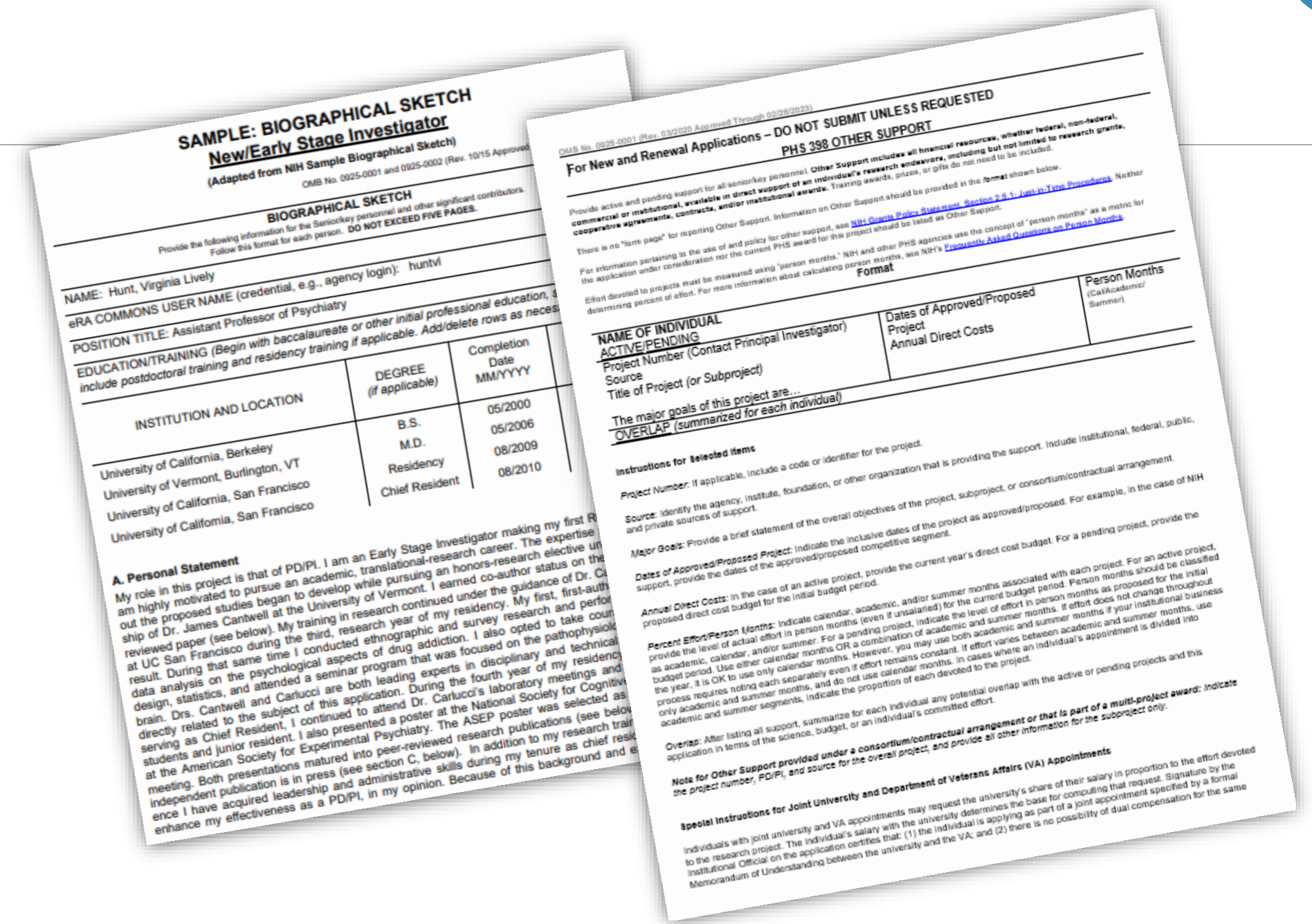
NIH Biographical Sketch & Other Support

- ~Spring 2021 updated forms and guidance to be provided

REMINDERS:

Hyperlinks (urls)

- Can only be used if FOA specifically allows the inclusion of hyperlinks
- hyperlinks cannot be hidden through linked words/phrases.
- Could circumvent page limitations
- Applications maybe withdrawn from review for violations



EXAMPLE



[NOT-OD-20-174](#)



<https://grants.nih.gov/grants/guide/notice-files/NOT-OD-20-174.html>

NSF

Proposal & Award Policies & Procedures Guide (PAPPG; NSF 22-1)

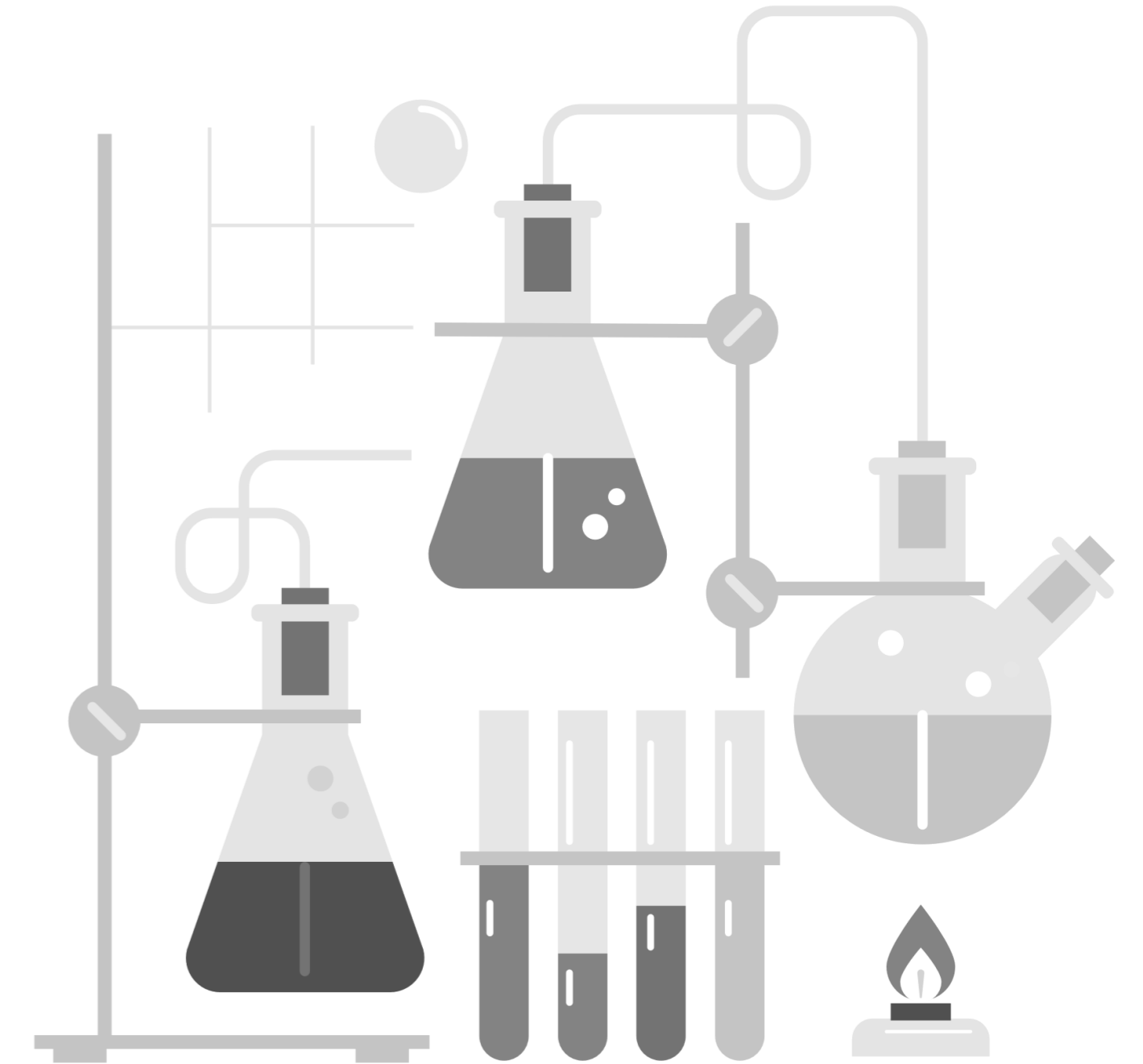
Release Date: Spring 2021

Effective: ~October 2021

- Integrating changes from 2 CFR 200 revisions & NSF policy/procedural updates
- Includes clarification on Pending & Other Support

Research.gov

- 2022 all proposal preparation & submission
 - Demo Site available to mimic PI role available to all with Research.gov logins
<https://web.demo.research.gov/proposalprep/#/proposal-prep>
 - RAPID, EAGER, RAISE proposals all active



RESEARCH.GOV

Removal of Font Size and Font Type from Error Check

- Error check in line with proposals submitted under Fastlane

“The Research.gov Proposal Submission System modernizes proposal preparation and submission capabilities by improving the user experience while also reducing administrative burden through an intuitive interface and expanded automated proposal compliance checking”

What is an “Error”?

Proposals cannot be submitted if Errors exist

Proposal will not progress through the review process



NSF Proposal Error Checks

Research.gov Error Checklist

Fastlane Error Check

COMPLIANCE CHECK	FUNDING OPPORTUNITY TYPE	ERROR/WARNING	TYPE OF PROPOSAL			
			Research	RAPID	EAGER	RAISE
76. Proposal Duration must not exceed 2 years (24 months) for an EAGER proposal.	Program Solicitations (Some) PAPPG	Error	N/A	N/A	✓	N/A
77. Proposal Duration must not exceed 5 years (60 months) for a RAISE proposal.	Program Solicitations (Some) PAPPG	Error	N/A	N/A	N/A	✓
78. Vertebrate Animals is selected but the animal-use protocol radio button is not selected.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
79. Vertebrate Animals and Approved are selected but required fields are missing: IACUC Approval Date, PHS Animal Welfare Assurance Number.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
80. Human Subjects is selected but the radio button is not selected: Has the human subjects research for the project been approved by an Institutional Review Board (IRB).	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
81. Human Subjects and Approved are selected but the required field is missing: IRB Approval Date.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
82. Human Subjects and Exempt are selected but a required field is missing: Exemption Number.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
83. International Activities is selected but Country is missing.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
84. Funding of an international branch campus of a U.S. institution of higher education (IHE) is selected but a country name is not selected.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
85. Funding of a foreign organization is selected but a country name is not selected.	Program Solicitations (Some) PAPPG	Error	✓	✓	✓	✓
86. The International Activities checkbox must be checked on the						



MASTER TRAINING

<https://ocga.research.ucla.edu/training-calendar/>

FEBRUARY

S2S Grants Basics

Wednesday, February 17, 2021

9:00am-11:30 am

This session will provide information to get new users started with the S2S Grants (Cayuse) system for preparation and submission of proposals.

Topics include: how to get access to the system, best practices, user resources, and hints and tips. This session is appropriate for individuals responsible for preparation or review of proposals in S2S Grants.

Any Questions?

Contact Information

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

Export Control & Overseas Remote Work

Ann Pham
Export Control Officer

Overview - Export Controls

The **federal laws and regulations** that have been established by the U.S. government to control:

- The export of sensitive equipment, software, and technology
- Trade and financial transactions

These controls are in place to promote national security interests and foreign policy objectives.

Overview - Regulating Agencies



Export of goods, services, and related technical information to individuals located in foreign countries or foreign nationals in the U.S.



U.S. economic and trade sanctions programs

The Impact on UCLA



- Criminal and civil penalties for the University AND individual for violations
- Up to \$1M in fines
- Imprisonment
- Jeopardize federal funding
- Reputational risk

The Situation

Increased number of overseas contract or telework employment arrangements due to the following reasons:

- Highly unprecedented nature of the pandemic
- Work authorization delays
- Travel restrictions

The Export Control Issues

The following aspects of overseas contract or telework require (at minimum*) a license determination:

- Tangible exports (laptops, research equipment, software)
- Export-controlled research or services
- U.S. government restricted individuals or entities
- Transactions with sanctioned/embargoed countries – **Cuba, Crimea region of the Ukraine, Iran, North Korea, Syria**

*Depending on the details, UCLA may need to obtain authorization from the U.S. government.

The Other Issues

Non-exhaustive list of the other risks for overseas contract or telework:

- UC tax liability or penalties
- Subject to host country's laws and regulations
- Legal action and the associated costs of litigation

**!!!PLEASE CONSULT AREAS LIKE CHR, APO, DASHEW CENTER,
AND GLOBAL OPERATIONS SUPPORT FOR HELP PRIOR TO
MOVING FORWARD!!!**

The Request

In addition to the other areas, please contact the Export Control team *prior to* permitting overseas contract or telework.

Components of Review

- Exports – physical and electronic
- Restricted Party Screening
- License Determination
- Referral to additional areas

Thank You!

Please contact the Export Control team at

export.controls@research.ucla.edu

Joanna Arias

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Extramural Fund Management

February 11, 2021

Agenda

- **Effort Report Certification**
- **PAMS: Accounts Receivable**
- **Expired Funds to Close**
- **NIH FFR Submission to PMS**

Effort Report Certification

Yoon Lee

Effort Report Status

- **Effort Report Certification Progress as of February 11, 2021 (released on September 24th)**

Reporting Period	Summer 2018	Fall 2018 (Modified)	Winter 2019	Total
Certified	333	4,527	3,894	8,754
Open	101	1,532	1,236	2,869
Total	434	6,059	5,130	11,623
Certification Rate	76.73%	74.72%	75.91%	75.32%

- <https://portal.research.ucla.edu/EffortReportingCertification>

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

Issue description	Number of reports with errors
Incorrect percent of effort for effort bearing payroll line	269
Pending mass leave correction	518
Missing payroll records	386
Missing Y-OTC or N-OTC lines	231
Total effort reports with errors	1,404
Total number of effort reports	11,623

- **Thank you for certifying 8,754 effort reports! Please continue to certify open effort reports not affected by UCPath issues.**

Effort Report Status

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

Issue description in Comment	Status
Incorrect percent of effort for effort bearing payroll line—review supplemental Excel file and job aid provided by EFM before certification	Departments are required to make manual adjustments. The training webinar was held on 10/26/20.
Pending Mass Leave Correction (MLC) entry—do not certify until further instruction is provided by EFM	Mass Leave Corrections have been processed and posted to Labor Ledger and General Ledger but not loaded to ERS yet due to earn date errors discovered.
Missing payroll record(s) in effort report—do not certify until further instruction is provided by EFM”	UCLA is working with UCPath Center to find a solution.
Y-OTC or N-OTC indicator is missing—do not certify until further instruction is provided by EFM	UCLA is working with UCPath Center to find a solution.

- **More detailed special instructions can be found on EFM website including**
 - ERS master exception list
 - Presentation and recording of the ERS webinar for UCPath defects
 - Job aid – recalculated effort reports
 - <https://efm.research.ucla.edu/special-instructions-ers-release/>

PAMS: Accounts Receivable

Yoon Lee

PAMS: Accounts Receivable

- Accounts Receivable (AR) pages in PAMS are now available to campus!

PAMS | UCLA Research Administration
Post Award Management System

Worklist | Award Overview | Financial Deliverables | Billing and Reporting | **Accounts Receivable** | Closeout | Management Reports | Administration | Support

AR Aging Summary | AR Aging Detail | AR Assignments

AR Aging Summary

Fund Number:

PI Name:

Department Name (Code):

Aging Group:

Program Type:

Sponsor Name:

High Risk?:

Reason Code:

Sponsor Type:

AR Accounts:

CM Accountant:

Search AR by fund number, PI, sponsor, department, and more....

PAMS: Accounts Receivable

- Accounts Receivable Aging Detail page

Worklist | Award Overview | Financial Deliverables | Billing and Reporting | **Accounts Receivable** | Closeout | Management Reports | Administration | Support

AR Aging Summary | **AR Aging Detail** | AR Assignments

AR Aging Detail Fund Number: 12345 Ledger Month/Year: 02/2021

Institution Number: [Redacted] PI: [Redacted] Dunning Site: [No Associated Dunning Site](#)
Award Snapshot: [Icon] Sponsor: GEORGIA INSTITUTE OF TECHNOLOGY CM Contact: [Kathleen Ford](#)
Fund Number: [Redacted] Dept Title (Code): [Redacted] EFM Contact: [Jeffrey Ronald Alonzo](#)
Sponsor Award: [Redacted] Project Period: 08/01/17 - 07/31/21 Dept Contact: [Redacted]
Outstanding A/R: \$94,067.08 Payment Basis: Cost Reimb
High Risk: No Method of Pay: 10

Aging Summary for fund: as of 02/09/2021

Account	0-90 Days	91-120 Days	121-180 Days	181-270 Days	271 Days - 1 Year	Over 1 Year
112678	\$7,819.20	\$0.00	\$0.00	\$86,247.88	\$0.00	\$0.00

Cash Management Follow-up

Page 1 of 1 (3 items) [1]

	Follow-up Date	Staff	High Risk	Reason Code	Action Owner	Comment	Document	History
☆	01/04/2021 02:22 PM	Kathleen Ford	No	Payment: Approved and Forthcoming	CM Team	1/4/21, Madelyn (sponsor) was asked to provide their banking information so that their payment can be located.		
☆	01/04/2021 02:21 PM	Kathleen Ford	No	Payment: Approved and Forthcoming	CM Team	12/18/20, Madelyn (sponsor) noted that invoice #'s 14 for 81,300.50 was paid, and invoice # 16, has been re-entered in their system for payment processing.		
☆	12/16/2020 04:59 PM	Kathleen Ford	No	Sponsor Unresponsive	CM Team	12/16/20, emailed Allyson (sponsor) for a payment update for invoice # 14 at 81,300.50 & invoice # 16 at 4,947.38.		

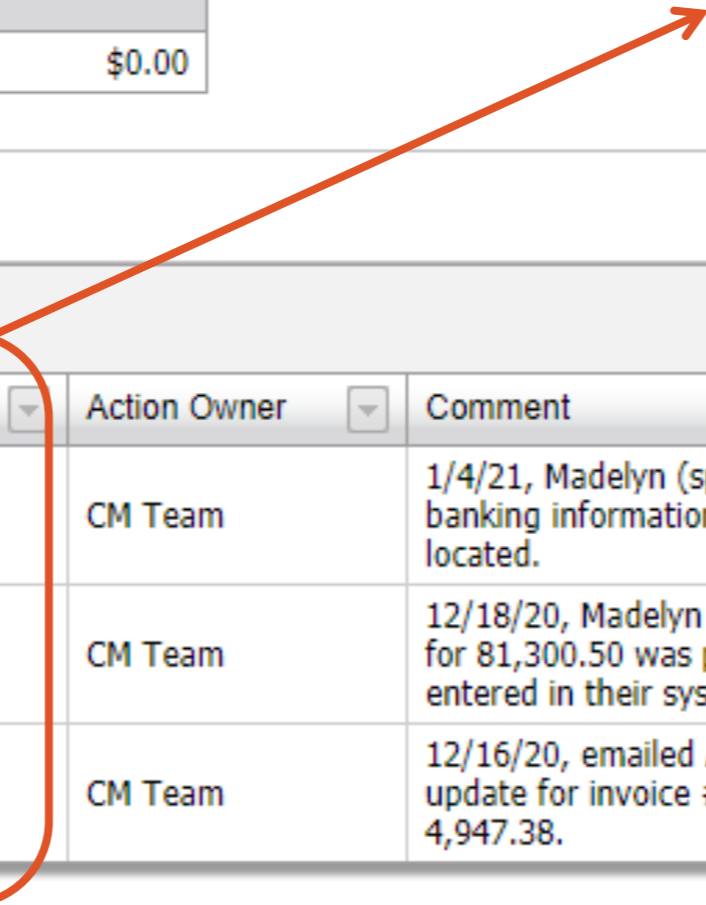
Total AR



AR by aging



For a complete list of reason codes, refer to December 2020 RAF presentation



EFM's follow up history



PAMS: Accounts Receivable

- **Benefits of the PAMS AR pages.**
 - User friendly interface
 - Powerful search ability
 - Latest updates on the AR
- **PAMS is reading Accounts Receivable balance in General ledger in UCLA financial system.**
- **There is no change to the current business process of following up on outstanding accounts receivable.**
 - When AR is aged to 90 days, EFM sends a standard AR follow up email to the sponsor.
 - When AR is aged to 120 days, EFM follows up with the sponsor to find out a reason for a delay in payment.
 - EFM will document the AR follow up status in PAMS to promote transparency.
 - Depending on the reasons, department's involvement may be required to collect the payment (e.g. progress report needs to be submitted, a dispute over non financial deliverables, etc.)
- **We welcome and appreciate your feedback!**
 - Jonathan Wong at jonathanjason.wong@research.ucla.edu or Yoon Lee at yoony.lee@research.ucla.edu
- **Refer to December 2020 RAF slides for more details about AR pages.**
 - <https://ora.research.ucla.edu/wp-content/uploads/RAF-2020-12-EFM.pdf>

Expired Funds to Close

Yoon Lee

Expired Fund to Close: Report



Worklist | Award Overview | Financial Deliverables | Billing and Reporting | Accounts Receivable | Closeout | **Management Reports** | Administration

Overview | F&A Reconciliation | Reports | ORA Only Reports

click here!

Overview

F&A Reconciliation

[F&A Reconciliation](#)

This link directs you to the Billing and Reporting tab to review the reconciliation of a fund's indirect costs.

Reports

[Expired Funds to Close](#)

This report contains funds that expired 120 days ago or earlier, and have not been closed. This report updates nightly.

[Funds Pending UCPATH Resolution](#)

This report details which funds cannot be fiscally closed due to UCPATH issues, and what issues are impacting each fund.

click here!

“Expired Funds to Close” Report

- It contains funds that expired 120 days ago or earlier and have not been closed in the Financial System.
- It is updated nightly.
- It shows the information relevant to closing funds (e.g. fund end date, the final financial deliverable status, AR balance, operating balance, etc.)
- All PAMS users can run the report for the cluster they have access to.

Expired Fund to Close

Common reasons for the fund to stay open in Financial System after 120 days

- **A delay in submitting the final financial deliverables.**
 - Status of the final financial deliverable is available in the report as well as in the deliverable page in PAMS.
 - If it says “pending department action”, EFM needs assistance in completing the final financial deliverables.
- **Outstanding Account Receivable (AR)**
 - It is not uncommon to have outstanding AR for 120 days or more. EFM CM team includes the department in following up on AR > 120 days.
 - The total AR balance, the latest action EFM has taken, the reason for a delayed payment, and more information are available in Accounts Receivable page in PAMS.
 - When a delayed payment is due to a dispute on the non-financial deliverables, EFM needs department assistance in resolving the issue closely working with OCGA.
- **Expenses in GL not matching to the final expenses reported to the sponsor**
 - The final financial deliverables may have excluded unallowable expenses recorded in GL and/or included applicable expenses that have not been recorded in GL when adequate supporting documentation is provided.
 - In either scenario, expenses in GL need to be reconciled to the final expenses reported to the sponsor to close the fund. Complete necessary cost transfers.
- **Encumbrance and/or memo-lien to clear in GL**
 - The fund has expired 120 days ago or earlier. There should not be any expenses incurred after the project period ended. All encumbrance and memo-lien should be cleared from the expired fund.

Expired Fund to Close and UCPATH

What if I cannot close the fund because of erroneous transactions on the fund caused by UCPATH defects and a solution to clear the errors is not available?

- Submit a ticket to CRU to report the error.
 - Submission Process for UCPATH Inquires to CRU is available at <https://centralresourceunit.ucla.edu/s/article/Update-on-Submission-Process-for-UCPATH-Inquiries-to-CRU>
 - A recording of CRU case handling information session is available at the same link above.
- Inform your EFM accountant of the errors preventing funds from being closed.
- EFM will update “UCPATH flag” to “Yes” in PAMS on the deliverable page.
 - EFM will indicate which issues are applicable and if it’s a new issue reported, EFM will add it to the UCPATH issue table in PAMS.
 - When erroneous transactions are resolved, EFM will update the UCPATH flag to “No” and work with the department to close the fund.
- EFM will enhance the “Expired Fund to Close” report to include this flag. The enhanced version is anticipated to be available later this month. The announcement will be made when available.
- EFM can explain how the error is affecting invoicing, financial reporting, and fund closeout and what EFM’s plan is to mitigate financial and compliance risk while waiting for a resolution.
- EFM is not involved in resolving individual cases submitted to CRU but advocates which issues are affecting contract and grant funds and recommends priority of issues.

UCPath Issue Log in PAMS

- “UCPath issues” flag was added to PAMS in June 2020.
 - Announced at June 2020 RAF and via email titled, “Sponsored Research Funds Pending UCPath Resolutions” on June 19, 2020.
 - The goal is to identify sponsored research funds that cannot be fiscally closed due to pending UCPath resolutions so we can easily locate all affected funds to close when errors are fixed.

Where can I find “UCPath Issues” Flag in PAMS?

Worklist | Award Overview | **Financial Deliverables** | Billing and Reporting | Accounts Receivable | Closeout | Management Reports | Administration | Support

Deliverables List | Basic Deliverables Search | **Advanced Deliverables Search**

Deliverables List

Institution Number:	Sponsor:	California Institute for Regenerative Medicine(CIRM)	Dept Title (Code):
Award Snapshot:	Sponsor Award:		Dept Contact:
Award Status: Expired - Closeout Required	Project Period: 04/01/18 - 03/31/20		EFM Contact: Tiffani S Wong
Payment Basis: Cost Reimb	PI:		Billing Site: https://grants.cirm.ca.gov/login/login
Restricted CF: No	Prime Sponsor: N/A		Dunning Site: Associate Dunning Site
Federal Advance: No	Notes: None		UCPath Issues: Yes

← Back to Basic Search + Add Edit - Delete Award Sequence Status

Expand All

Fund:	Budget Period(s): 04/01/18 - 03/31/20	Pending UCPath: Yes
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click here!

<input type="checkbox"/>	Category	Type	Frequency	Due Date	Assigned To	Reassigned To	EFM Reviewer	Status	Status Updated	Document	Comments	
<input type="checkbox"/>	Financial Report-Detail	Final	Once	06/01/2020	Tiffani S. Wong		Ruth S. Hwang	Submitted to Sponsor	06/23/2020			Edit
<input type="checkbox"/>	Financial Report	Interim	Annual	06/05/2019	Tiffani S. Wong			Submitted to Sponsor	06/05/2019			Edit Delete

UCPath Issue Log in PAMS

- When you click “Yes” to UCPath Issues on the deliverable page, the following window opens up to show a brief description of the issue and its status.

UCPath Issues Institution Number Fund Number

Update the status of Issues "Identified on this fund", by selecting the appropriate drop-down.
Here is the list of known UCPath issues. Please note that there may be additional issues beyond those listed.

Identified on this fund Indicates a UCPath issue impeding fiscal closure that has been identified on this fund
Resolved in UCPath System Indicates if the issue has been resolved by UCPath going forward, and will thus not impact funds in the future
Historical Data Corrected Indicates if a fix has been implemented to correct the data on funds impacted by this issue

UCPath Issues

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Issue #	Issue Title	Identified on this Fund?	Resolved in UCPath System?	Historical Data Corrected?
1	Exception Earn Codes (e.g., VAC, SKL) charging incorrectly	No	No	No
2	Vacation Leave Accrual (VLA) incorrectly being assessed for recall and limited employees.	No	Yes	Yes
3	Benefits are lumped together by person, by FAU when pay period includes multiple earn periods	No	No	No
4	Composite Benefit Rate (CBR) charging incorrectly	No	Yes	Yes
5	Direct Retro page does not show separate rows by earn period for salary expenses on the same FAU and earn code	No	No	No
6	Approved Direct Retros not recorded to Labor Ledger or General Ledger	Yes - Not Resolved	No	No
7	Employees who are eligible for vacation are being assessed VLA at the incorrect rate	No	Yes	No

Comment:

History

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Date	User Name	Change
10/20/20 05:33 PM	Duy D. Dang	Issue Number 6: Identified on this Fund changed from "No" to "Yes - Not Resolved"
10/20/20 11:47 AM	Duy D. Dang	Comment added: "Transactions caused Direct Retro process to run to error due to being out of balance by UCPath. UCPath defect tickets: UCP-75541, UCP-76511 and UCP-85683"

Currently 7 issues are tracked in PAMS. If you have an issue not on the list, inform your EFM accountant.

History and more descriptions of the issue.

Expired Fund to Close: Status and Summary

Number of Funds Expired in by School as of 2/10/21	2015 or prior	2016	2017	2018	2019	2020	Total
ADMINISTRATIVE VICE CHANCELLOR					3	3	6
ANDERSON SCHOOL OF MANAGEMENT	1				1	3	5
BASIC BIOMEDICAL SCIENCES					7	5	12
BROAD STEM CELL RESEARCH CENTER	3	1				2	6
CALIFORNIA NANOSYSTEMS INSTITUTE	3	2	2		3	9	19
DAVID GEFLEN SCHOOL OF MEDICINE	143	53	48	112	316	390	1,062
DENTISTRY	13		8	6	12	13	52
EDUCATION & INFO STUDIES	4		2	6	16	39	67
HENRY SAMUELI SCHOOL ENGR & APPL SCIENCE	19	4	26	36	64	94	243
HERB ALPERT SCHOOL OF MUSIC				1			1
INSTITUTE OF AMERICAN CULTURES	2	1	1	1	2		7
INTERNATIONAL INSTITUTE	1		1	2	7	2	13
LETTERS AND SCIENCE	29	11	24	67	146	190	467
LUSKIN SCHOOL OF PUBLIC AFFAIRS	7	5	3	12	19	14	60
MEDICAL CENTER	3		1	1	4	4	13
OFFICE OF INFORMATION TECHNOLOGY					1		1
SCHOOL OF ARTS AND ARCHITECTURE	2	2	3	2	3		12
SCHOOL OF LAW				4	9	6	19
SCHOOL OF NURSING	2	2	1	3	8	6	22
SCHOOL OF THEATER, FILM & TELEVISION	2					1	3
SEMEL INSTITUTE	15	8	19	30	62	101	235
UCLA FIELDING SCHOOL OF PUBLIC HEALTH	4	1	4	8	28	31	76
UNIVERSITY LIBRARY	3	1		2	1	3	10
VC RESEARCH	1			1			2
VC STUDENT AFFAIRS	4		1	2	1	5	13
Grand Total	261	91	144	296	713	921	2,426

- Review expenses, encumbrance, and memo-lien on expired funds to reconcile and clean up GL.
- If GL cannot be cleaned up due to UCPATH issues, inform EFM accountant to flag the fund in PAMS.
- EFM will add UCPATH flag in the “Expired Fund to Close” report so fund managers can easily identify and work on closing funds not affected by UCPATH issues.

660 Funds expired prior to UCPATH go-live in September 2018 (261+91+144+164 in 2018)

NIH FFR Submission to PMS

Yoon Lee

NIH FFR Submission to PMS

- **Effective January 1, 2021, NIH requires the recipients to submit Federal Financial Report (FFR) SF-425 to PMS instead of eRA common/FFR Module**
 - PMS is Payment Management System where UCLA goes to draw cash on the Letter of Credit for grants from certain federal agencies including NIH.
 - This change does not impact the FFR due dates. NIH Grants Policy Statement [8.4.1.5.2: Financial Expenditure Reports] and [8.6.1: Final Federal Financial Report] remain unchanged.
- **This change directly impacts EFM's business processes and EFM adjusted processes to make successful transition with the new requirement.**
- **What does Campus need to know?**
 - More strict enforcement of 120 day closeout:
 - Award status in PMS seems to be updated in real time. i.e. The award goes to “expired status” on the 121st day after the project end date. Drawing cash on the expired fund requires the explanation for a delay and approval of GMO at NIH.
 - At the point of submission of the FFR, system validation control runs to check if cash receipts, cash disbursements, and the final expenditures in the final FFR agree. If not, it does not allow submission of the final FFR.
 - **Submit a closeout packet on time.**
 - The final draw amount is determined by the final expenditures. Late cash draw may not be approved by GMO. Then expense can be reported only up to the latest draw amount.
 - **Submit an accurate and complete closeout packet. Please do not rely on EFM's final analysis.**
 - EFM's final analysis in absence of a closeout packet excludes all questioned costs that cannot be substantiated without additional documentation. EFM will likely report the final expenses less than expenses recorded in GL.
 - In order to submit a revised FFR, NIH's approval is needed in advance to draw additional cash or return cash on expired fund. NIH's approval may not be obtained to recover additional cost not included in the original final FFR.
 - Department will be financially responsible for expenses that could not be included in the final financial deliverable due to that a closeout packet was submitted late or incomplete.

NIH FFR Submission to PMS

If you are interested in learning more about this change...

- **Related announcements and document from NIH**
 - NOT-OD-20-127 (released 6/23/20): Upcoming Mandatory Submission of the Federal Financial Report (FFR) in the Payment Management System Beginning January 1, 2021
 - NOT-OD-21-046 (released 12/30/20): Reminder: Mandatory Submission of the Federal Financial Report (FFR) in the Payment Management System Beginning January 1, 2021
 - NOT-OD-21-060 (released 02/04/21): UPDATE – Implementation of Requirement to Submit the Federal Financial Report (FFR) in the Payment Management System
 - Updated NIH's user guide for FFRs at eRA common (updated 1/04/21)
https://era.nih.gov/files/ffr_user_guide.pdf
- **What figures in the final FFR must match for submission to PMS?**
 - PMS requires 10.a = 10.b = 10.e for submission of the final FFR
 - 10.a. Cash receipts: It is not editable and auto-populated based on the cumulative cash EFM has drawn for the award in the PMS subaccount
 - 10.b. Cash Disbursement: It is not editable and auto-populated based on the expenses reported in the latest quarterly FCTR EFM submitted in PMS
 - 10.e. Federal Share of Expenditures: Final expenses for the award EFM reports based on the closeout packet review.

Any Questions?

Contact Information

EFM Website

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

ERS Help Desk

Email: ershelf@research.ucla.edu

PMAS Help Desk

Email: pamshelp@research.ucla.edu

Yoon Lee

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February 2021 Research Administration Forum Q&A

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Human Research Protection Program

Q1: Please describe emergency use

A1: Please see our link to OHRPP guidance on Emergency Use: <https://ohrpp.research.ucla.edu/emergency-use/>

Contract and Grant Administration

Q1: EPASS: Is there any way to upload all documents at once, and then add the descriptions to each one? That would be much faster than uploading each one individually?

A1: Not at this time, but we can look into adding this functionality. Currently only attachments that are classified as 'Other' require a description to be added; it is optional for all other attachments.

Q2: Sorry if you said this, but I didn't hear if you clarified: Will there be a way to upload more than one attachment or can we ONLY upload one document?

A2: Only a single file is required to be uploaded to the EPASS (the Proposal, which should include the Budget, Budget Justification, and Statement of Work), but you have the ability to upload additional documents in addition to the Proposal.

Q3: If we use the electronic EPASS system and send to OCGA for review, do we still need to send an email to proposal intake team letting them know a proposal has been submitted?

A3: No email is required to proposal intake. The system auto-generates an email to proposal intake to notify them of a proposal in the EPASS system

Q4: Does the Cayuse proposal have to be uploaded as a PDF through this EPASS system? Or does OCGA just go into Cayuse?

A4: OCGA has the ability to go into Cayuse to review the proposal. We have a section to note the electronic submission information which helps us locate the proposal.

No PDF is required to be uploaded; however, you can still upload the compliance documents.

Just as a note, for the reviewers of the EPASS in the department routing, you may want to consider attaching the PDF copy of the proposal so they can review the proposal prior to approving the EPASS. Not a requirement, but a suggestion so they are aware of what they are certifying for.

Q5: Would it be possible to allow the ability to edit the EPASS (i.e. add documents) once it has been submitted for signatures?

A5: Once it has been routed to OCGA, the ability for changes are then locked. If Proposal Intake routes it back to the preparer, then changes may be made. If there are changes after PIT accepts and assigns it, the changes can be sent to the OCGA assignee (analyst or officer).

To clarify, Proposal Intake uses the routing function to return proposals that require correction or may be missing the min document requirements, such as if a blank page is uploaded for a SOW or Budget. Since it would not meet the requirements, PIT can route it back to the preparer to meet the requirements.

Q6: Is this function new? Being able to route the EPASS back to the department from OCGA?

A6: This function has been in place since we rolled out the EPASS system in Nov 2019.

Q7: If the person you route the e EPASS to is out of the office, are there work-arounds for that?

A7: There is the ability for Departmental Admins to assign Proxy signers for a given user. A Proxy can sign for any person in the approval flow for a given EPASS except for the PI.

Q8: Currently proposals that go through TDG need to be emailed instead of sent via the system. Will we eventually be able to push the button to automatically be sent to them?

A8: Yes, we plan to work with TDG to allow submission of the EPASS and other attachments directly to TDG and not require submission to be done outside of the system.

Q9: When we do fellowship applications, the system doesn't route it to the students/postdocs to sign. It only goes to the PIs and chairs. Will the system eventually route it to them instead of us having to get their signature?

A9: One of the enhancements that will be deployed soon will allow Fellows to be selected just like PIs, so if the Fellow is a user in EPASS they can be included in the routing. If the Fellow is not in the EPASS system, their signature will be able to be manually uploaded into the EPASS by the Preparer.

Q10: I'm confused by two of the answers about the EPASS. One says "only a single file is required to be uploaded to the EPASS (the Proposal, which should include the Budget, Budget Justification, and Statement of Work)". But another says the proposal file is not required: "OCGA has the ability to go into cayuse to review the proposal...No PDF is required to be uploaded." And it also says that the OCGA needs more than just that single file ("the compliance documents.")

A10: Apologies for the confusion. If you are submitting via an electronic system (S2S Grants, Grants.gov, Research.gov, etc.) the upload of the Proposal is not required. If you are NOT submitting via an electronic system, uploading the Proposal is required as there is nowhere else for OCGA to go to obtain that document. The system has logic that will enforce this.

The document(s) required by the EPASS system are the minimum required for the EPASS to be submitted to OCGA and assigned to an Officer/Analyst which are different than those required for submission to the sponsor.

Q11: EPASS question: When we assemble a Cayuse package, we include all the internal UCLA documents (the ones not sent to NIH) under the “Supporting Info.” section (PI Exception Letter, Subrecipient Commitment form, etc.). Then, when we submit the EPASS to OCGA, we have to attach all these documents. Does OCGA’s access to the Cayuse package include the ability to see the Supporting Info section and, if so, why do we need to attach all these to the EPASS?

A11: If the additional documents are in Cayuse, no need to re-attach in the EPASS system. We can retrieve them from Cayuse itself.

Extramural Fund Management

Q1: If we are not the main recipient department on the awarded fund, can we view the full info of the AR? For example, if the main P.I. is from ECE, and Co-P.I. from Education, and we are co-managing the funding, can our assigned fund manager (on Co-PI) get access to see all info?

A1: The user has access to view AR of the funds in their cluster in PAMS. This means the fund manager of the linked department is not able to see AR of the fund administered by the home department unless the home and linked departments happen to be in the same cluster in PAMS.

Q2: Basic question: who is really chasing the money after the invoice is sent?

A2: EFM continues to take the lead in following up on the outstanding AR. Depending on the reason for a delay in payment, we reach out to the department contact for assistance to collect the payment. For example, if the payment is not made due to that a progress report is not submitted, we will need help from the PI and the department to fulfill this requirement for payment collection. AR features in PAMS are not to expect the department fund managers to take the lead in collecting the payment but making the outstanding AR and its status transparent to everyone involved in financial management of the project so all are well informed of the overall financial health of the project.

Q3: What should the department do if our EFM accountant is unresponsive in regards to expired funds? We are very eager to close them!

A3: Sorry to hear that you experienced a delay in getting responses from the EFM team. There may be some hurdles that EFM accountant experience. Nonetheless, if you experience any challenge in working with the EFM team or have feedback to share, please feel free to contact me at any time [Yoon Lee, Senior Director, yoony.lee@research.ucla.edu]. I will look into the situation and work on resolving the issue.

Q4: How should those funds that can't close because of the mass leave corrections be coded? Should EFM automatically code them as UCPATH issue related?

A4: A very good question. EFM is in fact in the process of updating all funds affected not only by MLC but VLA correction recently posted to January ledger. PAMS UCPATH issue flag was added to the “Expired Funds to Close” report as well so the fund manager can easily see which funds are not affected by UCPATH issues and can start working on those to close first.

Q5: Can we have a CRU representative be present in one of the RAF meeting to discuss to the whole community any updates/changes they have about answering all of our inquiries, as well as their structure. It seems that they are the only department that is invisible to the whole community but are very crucial to what is going on especially when contracts and grants are affected.

A5: Understood. I have reached out to one of the CRU team lead to extend an invitation and am waiting to hear back.

Q6: Is AP aware of this push? I struggle with getting things cleared so we can close. It can take months.

A6: The effort to close expired fund is not new to the campus and AP has been aware of it. I suggest that you may escalate it in the AP office when you do not receive a timely response.