



Research Administration Forum

September 9, 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*
- **Contract and Grant Administration Hot Topics**
 - NIH eRA Systems: Requirement for Two-Factor Authentication to Login – *Cindy Gilbert*
 - Other Support – *Travis Dadigian*
- **Human Research Protection Program Hot Topics** – *Moore Rhys*
 - webIRB Training
 - Reminder: Monitoring
- **Extramural Fund Management Hot Topics**
 - Impact of Fiscal Closing Schedule on Sponsored Projects – *Yoon Lee*
 - Single Audit for FY2020–2021 – *Yoon Lee*
 - Effort Reporting Certification – *Robert De Jesus*
- **Open Forum – Questions, Discussion** – *All*



Research Administration
Contract & Grant Administration

Multi-Factor Authentication for NIH eRA Systems

Research Administration Forum
September 9, 2021

Cindy Gilbert
Assistant Director – eRA and Records Management

Introduction

- NIH launched a phased implementation of multi-factor authentication (MFA) for eRA systems access in December 2020.
- Enhances the security of sensitive information that is stored in NIH eRA modules such as Commons and ASSIST.

Implementation Timeline

December 2020

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

September 15, 2021

- Required for all Scientific Roles
- Login.gov or UCLA Single Sign-On

Early 2022

- Administrative Roles
- Login.gov or UCLA Single Sign-On

Scientific Roles

| Scientific Roles for Research | Scientific Roles for Reporting | |
|--------------------------------|--------------------------------|-------------------|
| Principal Investigator (PD/PI) | Undergraduate | Scientist |
| Trainee | Graduate Student | Project Personnel |
| Sponsor | Postdoc | |
| Assistant (ASST) | | |

Options for MFA

- Login.gov Account
 - Managed by General Services Administration.
 - Allows access to various government systems as well as MyNCBI, SciENcv, and MyBibliography.
- InCommon Federated Account
 - UCLA Single Sign-On.
 - Access to S2S Grants, TRS, ERS, BruinBuy, etc.

Login with Login.gov ?



Login with eRA Credentials ?

Username:

Password:



Login

Clear

(For External Users Only)

[Forgot Password/Unlock Account?](#)

Login with Federated Account ?

Select..

Login

Associate NIH with MFA

- Requires one-time set-up to associate with either UCLA SSO or Login.gov.
- Takes less than five minutes.
- Make sure you know both your NIH user ID and password before beginning the process.
- Detailed instructions:
 - UCLA SSO – ORA News dated September 7, 2021
 - Login.gov – [NIH two-factor authentication flyer](#)
- IARs who previously associated with Login.gov can now add UCLA SSO.

From: ora-news@lists.ucla.edu on behalf of ORA News
To: ora-news@lists.ucla.edu
Subject: NIH eRA Systems: Requirement for Two-Factor Authentication to Login
Date: Tuesday, September 7, 2021 3:50:30 PM



September 7, 2021

Dear Colleagues,

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

| Scientific roles for research | Scientific roles used for reporting | |
|---------------------------------------------------------------------------------------------------|-------------------------------------|-------------------|
| Principal Investigator (PD/PI) | Undergraduate | Scientist |
| Trainee | Graduate_Student | Project_Personnel |
| Sponsor | Postdoc | |
| Assistant (ASST) – used in conjunction with specific delegations to assist PIs with various tasks | | |

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

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

A screenshot of the "Login with eRA Credentials" form. It includes fields for "Username:" and "Password:" with "Enter Username" and "Enter Password" placeholder text. There are "Login" and "Clear" buttons. Below the fields, it says "(For External Users Only)" and "Forgot Password/Unlock Account?".

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

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

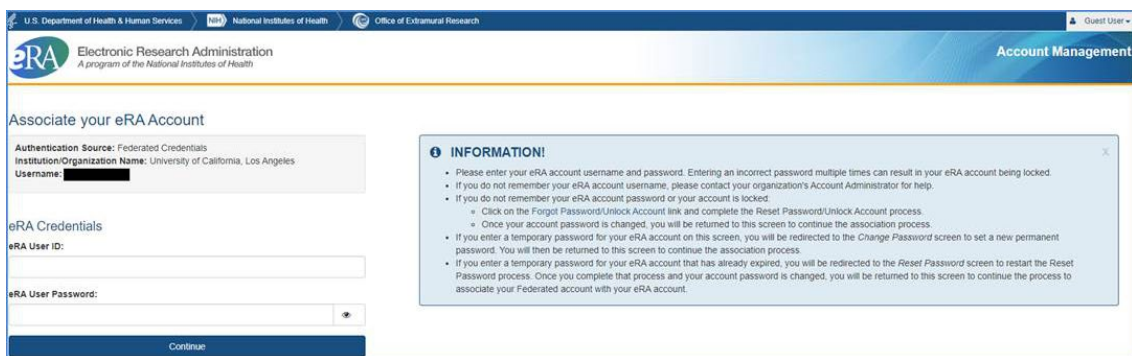
A screenshot of the "Login with Federated Account" form. It features a dropdown menu with "University of California, Los Angeles" selected and a "Login" button.

- Click **Login**.
- You will be taken to the UCLA SSO login page.



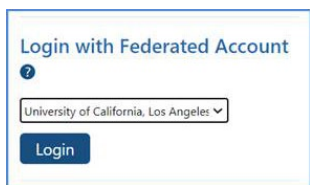
The image shows the UCLA sign-in page. At the top, the UCLA logo is displayed in white on a blue background. Below the logo, the heading "Sign In with your UCLA Logon ID" is centered. There are two input fields: "Your UCLA Logon ID" and "Your UCLA Logon Password". A blue "SIGN IN" button is positioned to the left of the password field. To the right of the button, there are two links: "Forgot your UCLA Logon ID or Password?" and "Need a UCLA Logon ID?". Below these fields, there is an "or" separator and a question "Are you a member of UCLA Health Sciences?" with a link "Sign in with your Mednet username and password".

- Continue with the UCLA log-in process as normal.
- Once authenticated by UCLA SSO, you will be redirected to the screen below.



The image shows the eRA Account Management page. The header includes the U.S. Department of Health & Human Services, NIH National Institutes of Health, and Office of Extramural Research logos. The main heading is "Electronic Research Administration" with the subtext "A program of the National Institutes of Health". The page title is "Associate your eRA Account". On the left, there is a form with the following fields: "Authentication Source: Federated Credentials", "Institution/Organization Name: University of California, Los Angeles", "Username: [redacted]", "eRA User ID:", and "eRA User Password:". A blue "Continue" button is at the bottom of the form. On the right, there is an "INFORMATION!" box with the following text: "Please enter your eRA account username and password. Entering an incorrect password multiple times can result in your eRA account being locked. If you do not remember your eRA account username, please contact your organization's Account Administrator for help. If you do not remember your eRA account password or your account is locked, Click on the Forgot Password/Unlock Account link and complete the Reset Password/Unlock Account process. Once your account password is changed, you will be returned to this screen to continue the association process. If you enter a temporary password for your eRA account on this screen, you will be redirected to the Change Password screen to set a new permanent password. You will then be returned to this screen to continue the association process. If you enter a temporary password for your eRA account that has already expired, you will be redirected to the Reset Password screen to restart the Reset Password process. Once you complete that process and your account password is changed, you will be returned to this screen to continue the process to associate your Federated account with your eRA account."

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



The image shows the "Login with Federated Account" screen. It features a blue header with the text "Login with Federated Account" and a question mark icon. Below the header, there is a dropdown menu showing "University of California, Los Angeles". A blue "Login" button is positioned below the dropdown menu.

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

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

How to Associate Login.gov with eRA Commons

Step-by-step instructions are available at: https://era.nih.gov/files/2FA_flyer.pdf.

Important Information for IARs (Internet Assisted Reviewers)

If you have a Commons account with both the IAR role *and* a scientific role, *and* have already associated your account with

Login.gov, you may now associate your account with UCLA single sign-on as well.

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

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

Sincerely,

Cindy A. Gilbert

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UCLA Office of Contract & Grant Administration
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Los Angeles, CA 90095-1406

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

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To unsubscribe from this group and stop receiving emails from it, send an email to ora-news+unsubscribe@lists.ucla.edu.

Known Issues with the User Interface – UCLA SSO

Logging-in with UCLA Single Sign-On

The screenshot displays the eRA Commons website header and main content area. The header is a blue bar containing the eRA logo, the text "Electronic Research Administration", the NIH logo, and the text "National Institutes of Health Office of Extramural Research". On the right side of the header are icons for help and contact. Below the header is a light gray navigation bar with the word "Home" and a vertical line. The main content area is divided into several sections. On the left, there are two large buttons: a blue one with a heart icon and the word "Status", and a purple one with a person icon and the word "ASSIST". To the right of these buttons is a large white box with the text "eRA Commons" and a question mark icon. Below this text is the subtitle "Track your application; manage and report on your federally funded award". To the right of the "eRA Commons" box is a section titled "Commons Help/Service Desk" with a phone icon, followed by the phone numbers "866-504-9552" and "301-402-7469". Below the phone numbers is a section titled "Hours" with a clock icon, followed by the text "Monday-Friday, 7am-8pm EST". At the bottom of the main content area is a blue bar with a bell icon and the text "Recent News".

Known Issues with the User Interface – UCLA SSO

Logging-in with NIH credentials *or* Login.gov

The screenshot shows the top navigation bar of the eRA Commons website. On the left, there is a grid icon and the 'eRA' logo, followed by the text 'Electronic Research Administration'. In the center, there is the NIH logo and the text 'National Institutes of Health Office of Extramural Research'. On the right, there are icons for help (a question mark), a phone, and a user profile. The user profile icon is circled in yellow. Below the navigation bar is a light grey bar with the text 'Home'.

A blue rectangular button with a white heart icon containing a pulse line. Below the icon, the word 'Status' is written in white.

A purple rectangular button with a white icon of a person with arms raised.

The main content area features the text 'eRA Commons' in a large blue font, followed by a question mark icon. Below this, it says 'Track your application; manage and report on your federally funded award'. To the right, there is a section for 'Commons Help/Service Desk' with two phone numbers: 866-504-9552 and 301-402-7469. Below that, it lists 'Hours' as 'Monday-Friday 7am-8pm EST'.

Known Issues with the User Interface – UCLA SSO

Logging-in with UCLA Single Sign-On

The screenshot shows the eRA Commons website interface. At the top, there is a blue header with the eRA logo and 'Electronic Research Administration' on the left, and the NIH logo and 'National Institutes of Health Office of Extramural Research' on the right. Below the header is a navigation bar with 'Home' and a search icon. The main content area features a large blue button labeled 'Status' with a heart icon, a purple button labeled 'ASSIST' with a person icon, and a central white box titled 'eRA Commons' with a question mark icon. To the right of the 'eRA Commons' box is a 'Commons Help/Service Desk' section with contact information: 866-504-9552 and 301-402-7469, and 'Hours: Monday-Friday, 7am-8pm EST'. A blue bar at the bottom contains a 'Recent News' section with a bell icon. A yellow arrow points from the text 'Click "Status"' to the 'Status' button.

Help/Resources

- [NIH MFA website](#)
- [NOT-OD-21-172](#)
- Contact us at: erahelp@research.ucla.edu

QUESTIONS





Research Administration
Contract & Grant Administration

Other Support Updates

Presenter: Travis Dadigian

September 9, 2021

- **Foreign Engagement: Disclosures to UCLA and Research Sponsors**
 - <https://ora.research.ucla.edu/wp-content/uploads/RAF-2021-03-foreign-engagement-disclosures.pdf>
 - Presented March 2021
- **Agency Updates:**
 - National Institute of Health (NIH)
 - National Science Foundation (NSF)
 - Department of Defense (DOD)
 - Department of Energy (DOE)
 - National Aeronautics and Space Administration (NASA)
- **An Evolving Issue**

- **NOT-OD-21-110 (April 2021)**
 - <https://grants.nih.gov/grants/guide/notice-files/NOT-OD-21-110.html>
- **Key Changes:**
 1. Timeline and Implementation of updated Other Support and Biosketch format pages instructions as outlined in NOT-OD-21-073
 2. *Expected* to use new format as of May 25, 2021
 3. **Required** to use new format by January 25, 2022
 4. Applicants and recipients remain responsible for disclosing **all research endeavors** regardless of the version of the forms used
- **REMINDER**
 1. Review NOT-OD-21-073 (March 2021)
 - <https://grants.nih.gov/grants/guide/notice-files/NOT-OD-21-073.html>
 - *Presented April 2021*

National Science Foundation (NSF)

- **Released Proposal and Award Policies and Procedures Guide (PAPPG) - NSF 22-1**
 - https://www.nsf.gov/pubs/policydocs/pappg22_1/nsf22_1.pdf
- **Key Changes:**
 1. List In-Kind Support
 - Office/laboratory space, equipment, supplies, employees, students
 2. Must include a brief statement of the overall objectives of the project/proposal being proposed or in-kind contribution
 - Summarize potential overlap with any active or pending proposal or in-kind contribution and this proposal in terms of scope, budget, or person-months planned or committed to the project by the individual
 3. New NSF Fillable PDF for proposals and project reports due **on or after October 4th, 2021**

REMINDER:

1. Requires the use of NSF Approved Format (PDF)
 - <https://www.nsf.gov/bfa/dias/policy/cps.jsp>
2. Current and Pending FAQs:
 - https://www.nsf.gov/bfa/dias/policy/cps_faqs/currentandpendingfaqs_june2021.pdf
3. NSF Disclosures Matrix
 - https://www.nsf.gov/bfa/dias/policy/disclosures_table/june2021.pdf

Department of Defense (DOD)

- **Released General Application Instructions for FY 21 (Version 604)**
 - <https://cdmrp.army.mil/funding/pa/FY21-BCRP-GAI.pdf>
- **Key Changes:**
 1. List all positions and scientific appointments, both domestic and foreign
 - Includes titled academic, professional, or institutional appointments whether or not the individual receives money, and whether full-time, part-time, or voluntary (including adjunct, visiting, or honorary).
 2. List In-Kind Support
 - Office/laboratory space, equipment, supplies, employees, students
 3. List foreign financial support, research or laboratory personnel, lab space, scientific materials, selection to a foreign “talents” or similar-type program, or other foreign or domestic support
 4. Note: *Other support includes all resources made available to a researcher in support of and/or related to all of their research endeavors, regardless of whether or not they have monetary value and regardless of whether they are based at the institution the researcher identifies for the current grant. This includes resource and/or financial support from all foreign and domestic entities, including but not limited to, financial support for laboratory personnel, and provision of high-value materials that are not freely available (biologics, chemical, model systems, technology, etc.).*

Department of Energy (DOE)

- Recent FOAs have said Other Support information may be provided on the Approved NSF Current and Pending PDF
- Released Order 486.1A (September 4, 2020)
 - <https://www.directives.doe.gov/directives-documents/400-series/0486.1-BOrder-a/@@images/file>
- Key Changes:
 1. Defines Foreign Government-Sponsored Talent Recruitment Program:
 - An effort to recruit science and technology professionals or students
 - An attempt to acquire proprietary technology or software, unpublished data and methods, and intellectual property to further the military modernization goals and/or economic goals
 - Aim to incentivize the targeted individual to physically relocate to the foreign state for these purposes
 - Encourage continued employment at U.S. research facilities or receipt of Federal research funds
 - Aim to compensate individuals for participation
 2. Defines Other Foreign Government Sponsored or Affiliated Activity:
 - Employment, Other Support (contractual or otherwise), Participation in programs sponsored by foreign governments, Positions and appointments, and In-Kind Support

National Aeronautics and Space Administration (NASA)

- **Released Guidebook for Proposers Responding to a NASA Notice of Funding Opportunity (NOFO) (February 15, 2021)**
 - https://www.nasa.gov/sites/default/files/atoms/files/2021_ed_nasa_guidebook_for_proposers.pdf
- **Still Required to Provide:**
 - Project Title, Name of PI, Sponsoring Agency, Performance Period, Total Amount Proposed, Time Commitment
- **Key Changes:**
 1. Required to list current and pending support with Chinese Universities and other similar institutions or a Chinese-owned company
 2. Defines "China or Chinese-owned Company":
 - The People's Republic of China (PRC), any company owned by the PRC, or any company incorporated under the laws of the PRC
 - Includes Chinese Universities

Closing Thoughts

- **Website:**
 - <https://ocga.research.ucla.edu/other-support/>
- **Other Support Email:**
 - othersupporthelp@research.ucla.edu
- **Stay Tuned**
- **Integrity**



Thank You

A decorative footer bar at the bottom of the slide, consisting of a thin yellow horizontal line above a thicker blue horizontal bar.



OHRPP Updates

August 12, 2021

OHRPP Updates

Edit Study Personnel & automated training check functions



Upcoming planned webIRB *temporary* shutdown

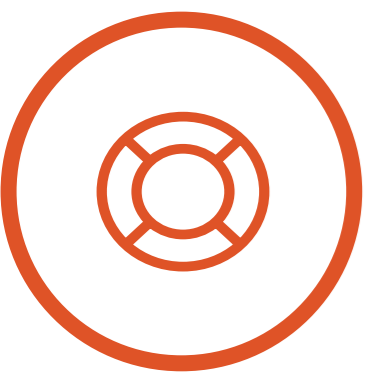


OHRPP Office Hours



Human Research News





Edit Study Personnel & Auto Training Checks

- As of July 1, 2021, webIRB has a new function that allows the PI, PI proxy, and study contact person to add or remove certain members of the study team ***without submitting an amendment.***
- As the same time (and to make the edit study personnel function possible) we launched ***automated training checks*** for key personnel with roles that require human subjects training.
 - These checks will be done for initial submissions, AMs, CRs, and with the “edit study personnel” function
 - If training isn’t complete, you’ll get an error message preventing submission

Edit Study Personnel & Auto Training Checks

➤ We have a recorded training available for anyone who missed the Learn at Lunch presentation in July. You can find the training [here](#) (slide deck is [here](#)) with our other webIRB video tutorials:

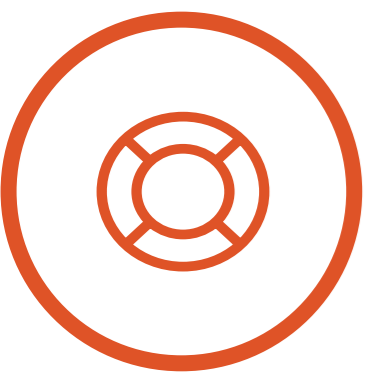
The screenshot shows the webIRB website interface. At the top left is the 'webIRB' logo and 'UCLA Research Administration'. Below the logo is a navigation menu with 'webIRB Home' selected. A breadcrumb trail reads 'webIRB Home > Quick Reference Guides & Training Materials > Investigators & Research Staff'. On the left side, there is a sidebar menu with items: 'Login', 'Training Information', 'webIRB Accounts', 'Schedule of System Maintenance and Upgrades', 'Quick Reference Guides & Training Materials' (with sub-items 'Investigators & Research Staff' and 'IRB Committee Members'), and 'Forms to Upload in webIRB'. The main content area is titled 'For Investigators & Research Staff' and contains an 'IMPORTANT NOTE' box stating: 'Be sure to click the Submit button if you want any activity to be reviewed or approved by the IRB. This button is located on the left hand side of the webIRB screen under "My Activities."' Below this is a 'Video Tutorials *New' section with the text 'Follow the link to access short instructional videos on:' and a bulleted list: 'Accessing Approval Notices and Other Study Documents', 'Completing PI Assurances for a New Study', and 'New webIRB Functions Automatic Training Checks and Edit Study Personnel *New'. A green arrow points to the last item in the list. At the bottom of the main content area, it says 'Additional videos coming soon'.



Edit Study Personnel & Auto Training Checks

How to prevent submission delays under the new functions:

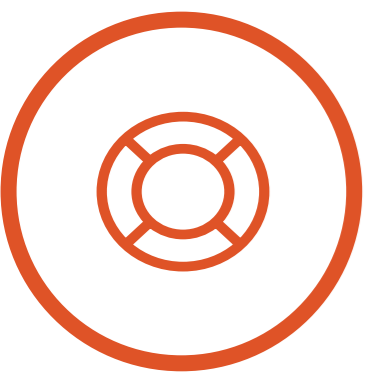
1. Use the new “edit study personnel” function to ***remove any key personnel no longer working on the project***
2. Ensure that key personnel have their **CITI account linked to their SSO**
3. Ensure that key personnel with multiple CITI account **merge them into a single account**
4. Ensure that key personnel working on the project **maintain current required training**



Edit Study Personnel & Auto Training Checks

FAQ:

- Does the automatic CITI check run for the study contact person listed in section 1.1/item 4.0? **No, but the CITI check is used for the PI, FS, and Key Personnel**
- Can the Study Contact Person use the Edit Study Personnel Activity even if they do not have the PI Proxy privileges? **Yes**
- Will CITI training be required for people who have the role "Fund Manager (CITI not required if only serving in this role)"? **No, CITI training is not required for the following roles:**
 - "Regulatory Coordinator (CITI not required if only serving in this role)"
 - "Fund Manager (CITI not required if only serving in this role)"



Edit Study Personnel & Auto Training Checks

FAQ:

- When does the CITI training information sync to webIRB? Is this done on an ongoing basis, hourly, or once a day (if so, what time)? **Once a day (a midnight feed from CITI is converted into webIRB format and synced at 8am)**
- Can I use the Edit Study Personnel activity when an amendment is open? **No**
- Can I use the Edit Study Personnel activity when a study is in an “expired” state? **Yes, but only to remove personnel.**
- Can I use the Edit Study Personnel activity to change the P.I. or Co-P.I.? **No**
- Can I use the Edit Study Personnel activity to change the Co-Investigator? **Yes**

Planned temporary webIRB shutdown

Reminder: There will be a planned shutdown of webIRB (related to SafetyNet Integration) scheduled for

Friday, August 20 5pm

through

Saturday, August 21 5pm

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OHRPP 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 17, 2021 8:30am
 - Tuesday, August 31, 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](#)



Extramural Fund Management

September 9, 2021

Agenda

- **Impact of fiscal closing schedule to sponsored projects**
- **Single Audit for FY20-21**
- **Effort Reporting Certification**

Impact of Fiscal Closing to Sponsored projects

Yoon Lee

Controller's Message on August 12, 2021

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

- UCOP requires UCLA to maintain its local June ledger open until **September 10th** to accommodate adjustment journal entries that may arise during the financial statement audit period (August 3rd to September 10th).
- **September 14th**: July ledger closes. The July 1st beginning unexpended balance, the July 1st re-appropriation, and the July 1st reversal of accruals will post to the July ledger.
- **September 15th**: August and September OFSR summary reports (Fund Summary, Account Summary, Sub-Object Code Summary) will be available.
 - OFSR summary reports point to a table that only gets updated for 2 active ledgers at a time.
 - All GL transactions for July, August and September ledgers are available for users to view and report in two ways: (1) via the Online Financial System Reports (OFSR) in a report titled "Detail General Ledger" or (2) via the campus data warehouse (CDW).

IT service website:

<https://www.it.ucla.edu/enterprise-data-warehouse>

2020-21 Fiscal Year-End Closing Dates

07/14/21: FS Prelim Ledger data available in QDB/CDW
07/17/21: FS Interim Ledger data available in QDB/CDW
09/11/21: FS June Final Ledger data available in QDB/CDW
09/13/21: FS Post Final data available in QDB/CDW
09/15/21: FS July Ledger data available in QDB/CDW
09/18/21: FS August Ledger data available in QDB/CDW

** BFS communicated the timeline left as a planned timeline.*

** The balance is available in QDB/CDW the next day after ledger closes. For more detail timeline of August ledger balance, see the next slide.*

Timeline for the August Ledger Balance

| What are available? | Date of data availability | Dependency |
|-----------------------------------------------------------------------------------------------------------------------|---------------------------|------------------------|
| August balance is available in the OFSR fund and account summary reports & CDW/QDB (This excludes beginning balances) | 9/13/21 | June ledger to close |
| August beginning balance is posted. | 9/15/21 | July ledger to close |
| August ending balance is posted and available on all reporting tools. | 9/18/21 | August ledger to close |

Impact to Sponsored Projects

- **Numerous operational and management reports and systems pull the data from the GL balance table. Not having the balance data available for July and August impacted EFM's operation and research administrators and PIs on campus.**
- **EFM developed workarounds to continue to support EFM's key operation to bill the sponsor and collect payment.**
 - Modifying worksheets to pull the data from the GL detail table (e.g. a letter of credit draw worksheet, a worksheet to process appropriation for clinical trial funds, etc.) and using different ORA tools to prepare financial deliverables other than PAMS Billing and Reporting tool.
- **Key systems and reports impacted for the campus use:**
 - *Online Financial System Reports:* Transaction details are available but the summary balance is not available.
 - *Fund Expiration Notices (FEN):* FENs are sent on schedule (90 days, 30 days prior to the fund expiration and on the day of fund expiration). The balance included in the FEN is as of July 2021.
 - *PAMS Report of Expired Funds to Close:* A list of expired funds is current as of the report run date but the balance shown for each fund is as of July 2021. The summary of expired funds by category is inaccurate.
 - *PAMS Billing and Reporting/F&A reconciliation:* Financial data for August and September are not available.
 - *PI portal:* Financial data available in the PI portal is based on July ledger.
 - ORA systems and reports impacted by this clearly indicates that the balance is as of July 31, 2021.

Single Audit for FY20-21

Yoon Lee

Overview

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

Financial Statement Audit

- Independent, objective evaluation of financial reports and financial reporting processes to obtain reasonable assurance that financial statements are free from material misstatement.
- In accordance with Generally Accepted Accounting Principles (GAAP) and standards established by Governmental Accounting Standards Board (GASB).

Single Audit (Uniform Guidance Audit)

- Independent examination of an entity that expends \$750,000 or more of federal assistance to ensure that appropriate internal controls over compliance are in place and that federal funds are spent in compliance with the federal program's requirements in accordance with Uniform Guidance.
- Single audit is conducted in accordance with Uniform Guidance (2 CFR 200. 501 Audit Requirements)

Singe Audit (UG Audit)

- **PwC conducts FY20-21 Single Audit for UC Regents**
- **Timeline:**
 - Due date to submit single audit report with Federal Audit Clearinghouse: September 30, 2022 (original: March 31, 2022)
 - OMB Memo M-21-20 dated March 19, 2021: A six-month extension to the Single Audit submission was granted to all recipients and subrecipients with fiscal year-ends through June 30, 2021.
 - PwC aims to complete fieldwork testing by September 30, 2021 with a goal of completing the audit by the calendar year end.
- **Major compliance testing areas**
 - Allowability/allocability of costs including cost transfers, Subrecipient monitoring, Key personnel, Equipment, Procurement, suspension and debarment, Service centers, etc.
- **EFM supports Single Audit coordinating with other ORA units and other central offices mainly Business & Finance Solutions.**

Singe Audit: Research and Development Cluster

- UCLA is selected for full scope testing for FY20-21 R&D cluster along with UCD. PwC selected samples for testing and EFM is coordinating with multiple offices and the department to provide the requested supporting documentation.
- Research Development: Campus selection for full scope testing.

| | FY21 | FY20 | FY19 | FY18 | FY17 | |
|------|------------|------------|------------------|------|------------|------------|
| UCLA | Full scope | | R&D out of scope | | Full Scope | |
| UCB | | Full scope | | | | |
| UCSF | | Full Scope | | | | |
| UCD | Full scope | | | | | |
| UCSD | | | | | | Full Scope |
| UCSB | | | | | | |
| UCSC | | | | | | |
| UCI | | | | | | |
| UCR | | | | | | |
| UCM | | | | | | |

- EFM will share updates on audit progress and results when available.
- If you are contacted by PwC auditors directly, please contact Yoon Lee in EFM. EFM will coordinate with you to provide answers to auditor’s questions.

Effort Report Certification

Robert De Jesus

Effort Report Status

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

| Reporting Period | Summer 2018 | Fall 2018 (Modified) | Winter 2019 | Spring 2019 | Total |
|--------------------|---------------|----------------------|---------------|---------------|---------------|
| Certified | 399 | 5,247 | 4,464 | 3,589 | 13,699 |
| Open | 35 | 823 | 676 | 1,822 | 3,356 |
| Total | 434 | 6,070 | 5,140 | 5,411 | 17,055 |
| Certification Rate | 91.94% | 86.44% | 86.85% | 66.33% | 80.32% |

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

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

| Effort Report with Under Prelim Review Flag Breakdown | Number of reports |
|-------------------------------------------------------|-------------------|
| Open Effort Report for FY18-19 | 3,356 |
| Total Open Effort Reports with errors | 823 |
| Open Error Reports with no issue | 2,533 |
| Total number of effort reports | 17,055 |
| Error Rate | 4.83% |

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

Effort Report Status

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

| Reporting Period | Summer 2019 | Fall 2019 | Winter 2020 | Spring 2020 | Total |
|--------------------|---------------|---------------|---------------|---------------|---------------|
| Certified | 3,715 | 3,359 | 3,322 | 3,193 | 13,589 |
| Open | 2,043 | 1,858 | 1,956 | 1,935 | 7,792 |
| Total | 5,758 | 5,217 | 5,278 | 5,128 | 21,381 |
| Certification Rate | 64.52% | 64.39% | 62.94% | 62.27% | 63.56% |

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

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

| Effort Reports with Under Prelim Review Flag Breakdown | Number of reports |
|--------------------------------------------------------|-------------------|
| Open Effort Report for FY19-20 | 7,792 |
| Total Open Effort Reports with errors | 1,268 |
| Open Error Reports with no issue | 6,524 |
| Total number of effort reports | 21,381 |
| Error Rate | 5.93% |

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

Effort Report Status

- Effort Report Certification Progress as of September 8, 2021 (FY20-21: July 2020 – March 2021)

| Reporting Period | Summer 2020 | Fall 2020 | Winter 2021 | Total |
|--------------------|---------------|---------------|---------------|---------------|
| Certified | 3,537 | 3,128 | 3,210 | 9,875 |
| Open | 2,058 | 1,885 | 1,778 | 5,721 |
| Total | 5,595 | 5,013 | 4,988 | 15,596 |
| Certification Rate | 63.22% | 62.40% | 64.35% | 63.32% |

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

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

| Effort Reports with Under Prelim Review Flag Breakdown | Number of reports |
|--------------------------------------------------------|-------------------|
| Open Effort Report for FY20-21 | 5,721 |
| Total Open Effort Reports with errors | 600 |
| Open Error Reports with no issue | 5,121 |
| Total number of effort reports | 15,596 |
| Error Rate | 3.85% |

- Certify reports that are not flagged as “Under Prelim Review” which means we have 5,121 Effort Reports left available for certification! Great Progress!

Effort Report Status

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

| 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 | EFM is working to resolve Missing Payroll Records before releasing the Excel Supplemental File. |
| Pending Mass Leave Correction (MLC) entry—do not certify until further instruction is provided by EFM | EFM will be working to unflag Effort Reports with Mass Leave Corrections that have been processed and posted to Labor Ledger and General Ledger. |
| 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/>

Effort Report Status

- **UCLA is in the middle of receiving audit selections for the FY20-21 Single Audit**
 - The Single Audit will cover Sponsored funds with expenditures from July 01, 2020 – June 30, 2021
 - Payroll Expense is the biggest component of federally funded expenses. This means we should prioritize certifying the 5,216 Effort Reports that are eligible for certification (5,121 Open Reports with no Error and 95 Open Reports that can be certified by correcting the Percent of Effort) FY20-21 which have a chance of being selected for the audit.
 - Departments have certified an additional 640 Effort Reports for FY20-21 since the August 2021 RAF
 - Uncertified Effort Reports expose UCLA to be out of compliance and to the risk of having an audit finding
 - We must continue to address the past due Effort Reports so we can protect our Institution, our PIs and our Departments from any compliance and financial risks

Any Questions?

Contact Information

EFM Website

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

ERS Help Desk

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September 2021 Research Administration Forum Q&A

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Associate Vice Chancellor

Q1: As some of our colleagues are returning back to campus, will future RAF meetings continue to be held in this remote format?

A1: Personally, I am excited about the possibility of returning to live meetings, though I don't know when. It is better when we can see the audience! Still, we have had expanded attendance with the on-line meetings (274 attendees today!), and we know some staff will continue to work remotely, so we will look to continue to offer remote access to RAF even when we return to in-person meetings.

Contract and Grant Administration

Q1: Is it ok to submit a mix of formats, where one Key Person uses the new format, and another the old one?

A1: Currently, yes a mix of formats is fine, however starting 01/25/2022 only the new format will be allowed. Just a reminder that regardless of the format, all research endeavors must be reported.

Q2: Travis, you mentioned a key change in NIH OS is that completed support no longer goes into the OS, it's only "required" in the Biosketch. The latest directions I've seen for the Biosketch state that completed projects aren't required in the Biosketch; rather, their inclusion is optional, based on what the PI would like to highlight. Has that changed?

A2: From NIH Grants & Funding website, [Biosketch FAQs #4](#):

The biosketch format announced in NOT-OD-21-073 no longer has 'Research Support' in section D. Can applicants still provide information on their ongoing and recently completed projects for reviewers to consider?

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

Q3: Is UCLA requiring the use of the January 2022 NIH format before the NIH implementation date?

A3: Yes, but we are waiting to get past the upcoming busy sponsor deadlines. We will give time for PIs to get ready. More info coming soon.

Q4: While we are waiting for the NIH release of the OS template as part of SciENCv, will UCLA offer an interim tool during this time?

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

Human Research Protection Program

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

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

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

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

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

Extramural Fund Management

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

A1: Here are the [list of contacts](#) based on the fund number range.