



# Research Administration Forum

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January 13, 2022

# Welcome and Reminders

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

# Agenda

- **Welcome & Announcements** – *Marcia Smith*
- **Human Research Protection Program Hot Topics**
  - AAHRPP Reaccreditation Site Visit – *Moore Rhys*
- **Research Policy and Compliance Hot Topics**
  - Electronically Signed 700-U Forms – *Claudia Modlin*
- **Contract and Grant Administration Hot Topics**
  - OCGA Updates – *Tracey Fraser*
  - NIH FORMS-G Update – *Cindy Gilbert*
- **Extramural Fund Management Hot Topics**
  - UCPath Look Back at 2021 – *Yoon Lee*
  - Effort Reporting – *Yoon Lee*
- **Open Forum – Questions, Discussion** – *All*



# OHRPP Updates

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January 13, 2022

# OHRPP Updates

**AAHRPP Site Visit** 

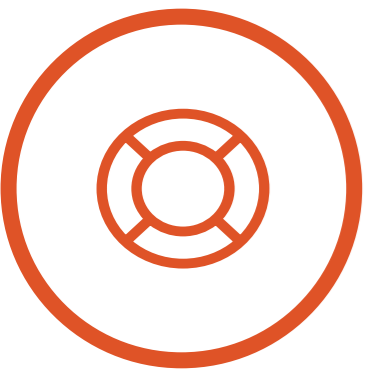
**OHRPP Office Hours** 

**Human Research News** 

## AAHRPP Site Visit

*“As the “gold seal,” AAHRPP accreditation offers assurances—to research participants, researchers, sponsors, government regulators, and the general public—that an HRPP is focused first and foremost on excellence.”*

- UCLA submitted for and received initial accreditation in 2009
- Re-accreditation cycles are every 3-5 years

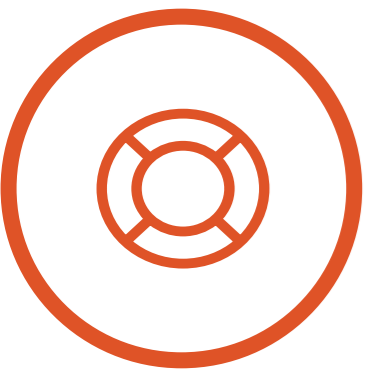


## AAHRPP Site Visit

- ***We are currently scheduling individual stakeholder interviews*** for the site visit portion of our current re-accreditation application
  - These interviews will take place March 2-4, 2022
  - If you have been invited, please respond.
  - If you cannot participate in the interview, OHRPP will recommend a replacement.
  - The site visit interviews will be virtual (on zoom)

# AAHRPP Site Visit

- AAHRPP site visitors will interview stakeholders during the visit, including:
  - OHRPP staff
  - IRB members and Chairs
  - Investigators and research staff
  - CIRC, MRSC, IBC, investigational pharmacy representatives
  - Representatives of the ISPRC, CTSI, & Broad Stem Cell Research Ctr.
  - Research Administration representatives (CTC&SR, OCGA, TDG, legal counsel, RP&C)
  - Institutional Official



## AAHRPP Site Visit

- ***OHRPP will be providing preparation materials (by the end of January)*** to all of those who are selected for interviews for the site visit
- ***OHRPP is available for questions*** about the accreditation process from stakeholders



## 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, January 18, 2022 8:30am
  - Tuesday, February 1, 2022 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](#)



# Contact

**Presenter:** [moore.rhys@research.ucla.edu](mailto:moore.rhys@research.ucla.edu)

January 13, 2022

**UCLA** Research Policy & Compliance

# 700U & Electronic Signatures



Claudia Modlin  
Associate Director RPC

# Form 700u



Campus: \_\_\_\_\_

ID No: \_\_\_\_\_

Please type or print in ink.

NAME (LAST)	(FIRST)	(MIDDLE)	TELEPHONE NUMBER
ACADEMIC UNIT OR DEPARTMENT		MAIL CODE	E-MAIL ADDRESS
TITLE OF RESEARCH PROJECT			

### 1. Information Regarding Funding Entity

(Use a separate Form 700-U for each funding entity.)

Name of Entity: \_\_\_\_\_

Address of Entity: \_\_\_\_\_

Principal Business of Entity: \_\_\_\_\_

Amount of Funding: \$ \_\_\_\_\_

Estimated  Actual

### 2. Type of Statement (Check at least one box)

Initial (for new funding)

Date of initial funding: \_\_\_\_/\_\_\_\_/\_\_\_\_

Interim (for renewed funding)

Funding was renewed on: \_\_\_\_/\_\_\_\_/\_\_\_\_

### 3. Filer Information

A. Are you a director, officer, partner, trustee, consultant, employee, or do you hold a position of management in the entity listed in Part 1? No  Yes

Title: \_\_\_\_\_

B. Do you, your spouse or registered domestic partner, or your dependent children have an investment of \$2,000 or more in the entity listed in Part 1 above? No  Yes  - value is:

\$2,000 - \$10,000     \$10,001 - \$100,000

\$100,001 - \$1,000,000     Exceeds \$1,000,000

Date Disposed: \_\_\_\_/\_\_\_\_/\_\_\_\_, if applicable

C. Have you received income of \$500 or more from the entity listed in Part 1 during the reporting period? No  Yes  - amount is:

\$500 - \$1,000     \$1,001 - \$10,000

\$10,001 - \$100,000     Exceeds \$100,000

Was this income received through your spouse or registered domestic partner?  No  Yes

### 3. Filer Information - Cont.

D. Have you received loans from the entity in Part 1 for which the balance exceeded \$500 during the reporting period? No  Yes  - highest balance:

\$500 - \$1,000     \$1,001 - \$10,000

\$10,001 - \$100,000     Exceeded \$100,000

If you checked "yes," was the loan:

Secured     Unsecured    Interest rate: \_\_\_\_\_%

Was the loan entirely repaid within the last 12 months?  No  Yes

E. Have you received gifts from the entity listed in Part 1 within the last 12 months valued at \$50 or more? No  Yes  - describe below.

Description: \_\_\_\_\_

Value: \$\_\_\_\_\_ Date Received: \_\_\_\_/\_\_\_\_/\_\_\_\_

F. Has the entity in Part 1 paid for your travel during the reporting period? No  Yes  - describe below.

Type of Payment: (check one)  Gift     Income

Amt: \$\_\_\_\_\_ date(s): \_\_\_\_/\_\_\_\_/\_\_\_\_ (if gift)

Description and, if Gift, Travel Destination: \_\_\_\_\_

### 4. Verification

I have used all reasonable diligence in preparing this statement. I have reviewed this statement and to the best of my knowledge the information contained herein and in any attached schedules is true and complete. I certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Date Signed \_\_\_\_\_ (month, day, year)

Signature \_\_\_\_\_ (File the originally signed statement with your university.)

The Form 700-U is for university use only.  
This statement is a public record under Gov. Code Section 81008(a).

TPPC Form 700 (08/20/2023)  
advice@fppc.ca.gov • 866-275-3772 • www.fppc.ca.gov



# Good News!



On November 18, 2021, the State of California Fair Political Practices Commission (FPPC) regulations were modified to permit agencies like the University of California to accept Statement of Economic Interests for Principal Investigators, Form 700-U, with electronic signatures. The changes went into effect on November 22, 2021.



1 Adopt 2 Cal. Code Regs. Section 18104 as follows:

2 **18104. Secure Electronic Signatures.**

3 (a) Except as otherwise provided by law, an agency responsible for maintaining original  
4 reports, statements, forms, and other documents required under the Act may receive such filings:

5 (1) In paper format with the filer's handwritten signature; or

6 (2) In electronic format with the filer's secure electronic signature, if permitted by the  
7 agency.

8 (b) A "secure electronic signature" means an electronic signature, as defined in  
9 subdivision (h) of Section 1633.2 of the California Civil Code, that:

10 (1) Is submitted through an electronic filing system established and operated in  
11 accordance with the Act; or

12 (2) Is submitted via the official's agency email address and conforms to the definition and  
13 attributes of a "digital signature" as set forth in Section 16.5, specifically it is:

14 (A) Unique to the person using it;

15 (B) Capable of verification;

16 (C) Under the sole control of the person using it;

17 (D) Linked to data in such a manner that if the data are changed, the digital signature is  
18 invalidated; and

19 (E) Conforming with Title 2, Division 7, Chapter 10 of the California Code of  
20 Regulations, as applicable.

21 Note: Authority cited: Section 83112, Government Code. Reference: Sections 81004,

22 Government Code.

# Previously:



The FPPC would not allow electronic signatures unless the University had a system in place that the FPPC had specifically approved

# Now:



**700u forms signed with secure electronic signatures will be accepted if the signature meets the standards specified within the Fair Political Practices Regulations**



## UCLA will use DocuSign.

- DocuSign meets the criteria specified by the FPPC
- DocuSign is licensed by UCLA and is free to UCLA faculty and staff
- Contact UCLA ITS for more information

## Principal Investigators who complete Form 700-U in conjunction with:



- proposals for research support from a non-governmental entity (i.e. for-profit and not-for profit sponsors)
- contract or grants
- Material Transfer Agreements (MTA)
- in connection with gifts for a specific research project or for a specific researcher

should complete Form 700-U using DocuSign.



In order to meet FPPC requirements, the Form 700-U that is completed via DocuSign must be submitted from a UCLA email address

## Will a “wet” signature 700u still be accepted?



- There will be a transition period during which “wet” signature 700Us will be accepted
- We expect that everyone can transition to DocuSign by March 1, 2022
- After that time, “wet” signature forms will not be accepted.

Forms should be submitted to the UCLA office that handles the proposal/award transaction, MTA, and/or gift.



- TO OCGA: [PROPOSALS@RESEARCH.UCLA.EDU](mailto:PROPOSALS@RESEARCH.UCLA.EDU)
- TO TDG FOR INDUSTRY CONTRACTS - to the officer who is assigned to your department: [HTTPS://TDG.UCLA.EDU/UCLA-RESEARCHERS-INNOVATORS/INDUSTRY-SPONSORED-RESEARCH/DEPARTMENT-ASSIGNMENTS](https://tdg.ucla.edu/ucla-researchers-innovators/industry-sponsored-research/department-assignments)
- TO TDG FOR MTAS: [UCLAMTA@TDG.UCLA.EDU](mailto:UCLAMTA@TDG.UCLA.EDU)
- TO CLINICAL TRIALS: [CLINICALTRIALS@MEDNET.UCLA.EDU](mailto:CLINICALTRIALS@MEDNET.UCLA.EDU)
- TO GIFT ADMINISTRATION: [GIFTPOLICY@SUPPORT.UCLA.EDU](mailto:GIFTPOLICY@SUPPORT.UCLA.EDU)

# Questions?



We are working with UCLA stakeholders to develop and provide more process specific guidance. Our intent is to inform campus of the new rules that were implemented in November. Please bear with us.

# Contact Information



**ANN POLLACK, ASSOCIATE VICE CHANCELLOR-RESEARCH**  
[APOLLACK@RESEARCH.UCLA.EDU](mailto:APOLLACK@RESEARCH.UCLA.EDU)

**CLAUDIA MODLIN, ASSOCIATE DIRECTOR, RPC**  
[CMODLIN@RESEARCH.UCLA.EDU](mailto:CMODLIN@RESEARCH.UCLA.EDU)

**GENERAL INQUIRIES**  
[CIRCADMIN@RESEARCH.UCLA.EDU](mailto:CIRCADMIN@RESEARCH.UCLA.EDU)



Thank you



# OCGA UPDATES

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Tracey Fraser  
OCGA Senior Director  
Research Administration Forum  
January 13, 2022

# OCGA Updates

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- 700-U submissions to OCGA
- NSF Current & Pending and NIH Other Support Updates

# OCGA 700-U Submissions

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- Effective immediately use DocuSign to collect signatures for 700-U submissions to OCGA
- Scanned copy of a wet signature will not be accepted

# OCGA 700-U Submissions

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- A “secure electronic signature” means an electronic signature that *“Is submitted via the official’s agency email address and conforms to the definition and attributes of a “digital signature” as set forth in Section 16.5, specifically it is:*
  - *(A) Unique to the person using it;*
  - *(B) Capable of verification;*
  - *(C) Under the sole control of the person using it”\**

\* Source: [State of California Fair Political Practices Commission \(FPCC\) regulations](#)

# OCGA 700-U Submissions

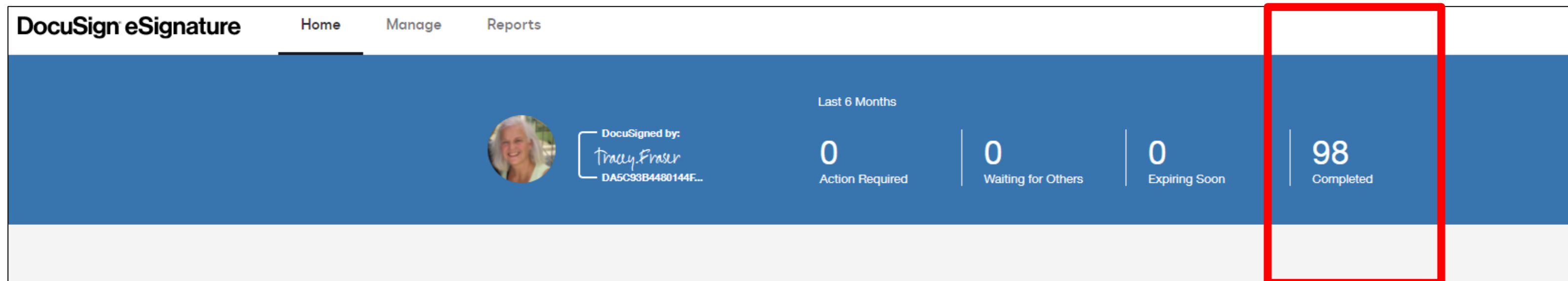
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- To meet the States requirements for electronic signature both the PDF of the electronically signed document and the PDF DocuSign Certificate of Completion (Summary) should be submitted to OCGA
  - PDFs must be submitted with the EPASS

# Certificate of Completion

Both the Signer and the Router can access the certificate of Completion.

Sign into DocuSign and click on the completed box on the Home page

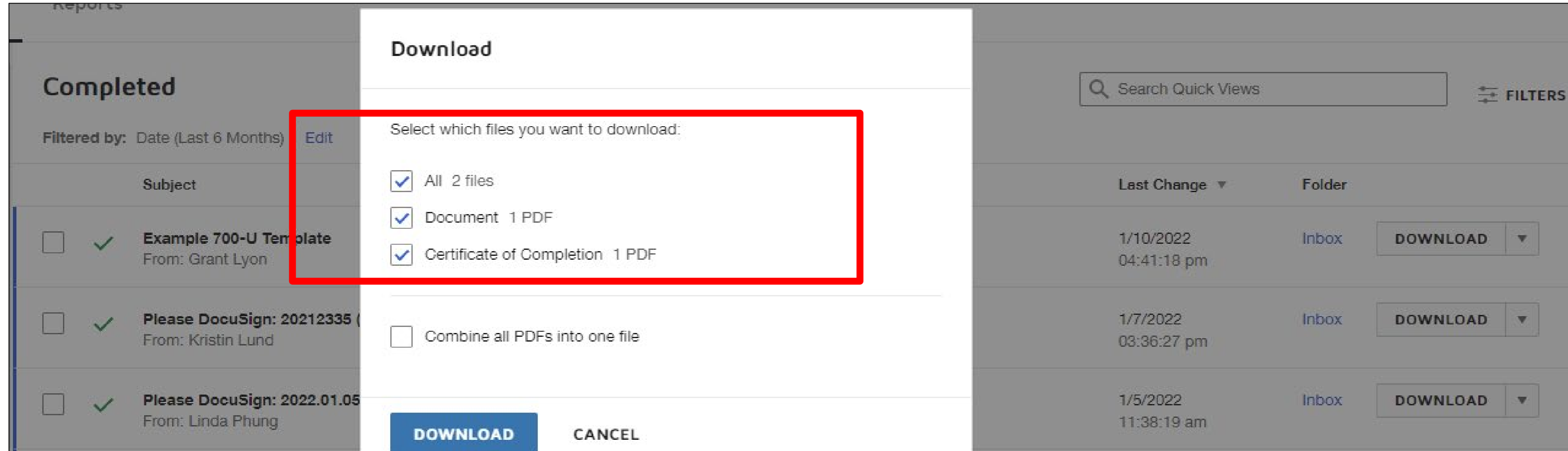




Identify the relevant 700 U in the queue and click on the download button



# Certificate of Completion

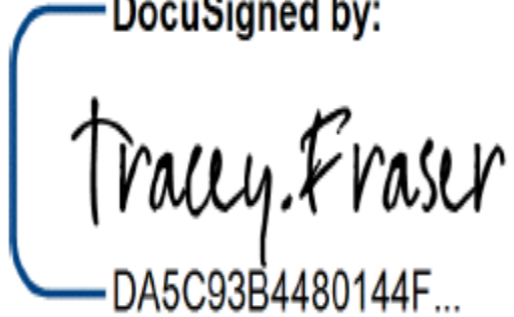
Confirm the Certificate of Completion PDF box is checked



Name	Type	Compressed size	Password protected	Size
 Form_700-U	Adobe Acrobat Document	318 KB	No	
 Summary	Adobe Acrobat Document	293 KB	No	

The Summary PDF is the Certificate of Completion. Submit both documents to OCGA.

# Certificate of Completion

Signer Events	Signature	Timestamp
Tracey.Fraser	DocuSigned by:  DA5C93B4480144F...	Sent: 1/10/2022 3:14:22 PM
Tracey.Fraser@research.ucla.edu		Viewed: 1/10/2022 4:37:35 PM
Senior Director OCGA		Signed: 1/10/2022 4:41:18 PM
Security Level: Email, Account Authentication (None) Login with SSO	Signature Adoption: Pre-selected Style	

# NSF Update

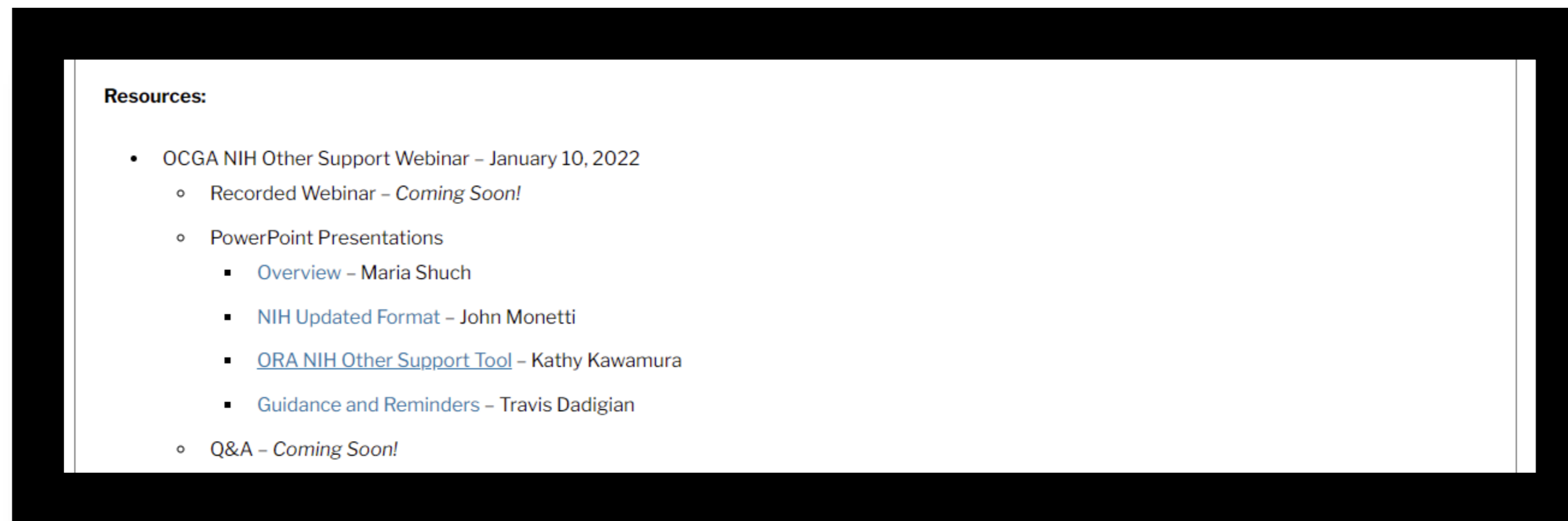
[NSF Pre-award and Post-award Disclosures table Updated](#)

NSF Pre-award and Post-award Disclosures  
 Relating to the Biographical Sketch and Current and Pending Support  
 January 10, 2022

Type of Activity	Biographical Sketch	Current & Pending Support	Facilities, Equipment & Other Resources	Project Reports	Post-Award Information Term & Condition	Disclosure Not Required
In-kind contributions not intended for use on the project/proposal being proposed to NSF and have an associated time commitment		✓		✓*	✓◆	
Consulting that is permitted by an individual's appointment and consistent with the proposing organization's "Outside Activities" policies and procedures						✓
Consulting that falls outside of an individual's appointment		✓		✓*	✓◆	
Travel supported/paid by an external entity to attend a conference or workshop						✓
Travel supported/paid by an external entity to perform research activities with an associated time commitment		✓		✓*	✓◆	
Honoraria						✓
Teaching commitments						✓
Startup company based on organization-licensed Intellectual Property (IP)						✓
Startup company based on non-organization-licensed IP		✓		✓*	✓◆	
Organizational startup packages provided to the individual from the proposing organization						✓
Startup packages from other than the proposing organization		✓		✓*	✓◆	

# NIH Other Support

- **OCGA Other Support Webinar January 11, 2022**
  - Slides now available on [OCGA Other Support](#) website



The screenshot shows a slide with the following content:

**Resources:**

- OCGA NIH Other Support Webinar – January 10, 2022
  - Recorded Webinar – *Coming Soon!*
  - PowerPoint Presentations
    - [Overview](#) – Maria Shuch
    - [NIH Updated Format](#) – John Monetti
    - [ORA NIH Other Support Tool](#) – Kathy Kawamura
    - [Guidance and Reminders](#) – Travis Dadigian
  - Q&A – *Coming Soon!*

- **Anecdotal NIH Updates**
  - [OS FAQs](#) will be updated this week
  - [SciENcv](#) may not be implemented until next (Federal) fiscal year
  - Plans to add a certification to the Bio sketch too

# Reminder: Reporting Person Months In C&P and OS

- Don't confuse money (salary) and time (effort)
- NSF and NIH want researchers to report on the time a researcher has spent / will need to spend to bring their part of a project to completion

Example

PI committing 1.2 cal months effort  
 PI requesting \$0 salary

*\*This must be included in Other Support, noting 1.2 cal months effort*

Project/Proposal Title	HIV Studies			
Major Goals				
Status of Support	Pending			
Project Number	20221254			
Name of PD/PI	Bruin, Joe			
Source of Support	NIH - National Institutes of Health			
Primary Place of Performance	University of California, Los Angeles			
Project/Proposal Support Start Date	4/1/2022			
Project/Proposal Support End Date	3/31/2024			
Total Project Award Amount (including Indirect Costs)	\$429,000			
Person Months Per Budget Period	Year	Cal	Acad	Sum
	2023	1.2	0	0
	2024	1.2	0	0

- (Reminder: Salary charged to the project should not exceed effort expended)

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# Any Questions?



# Using FORMS-G in S2S Grants

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Cindy A. Gilbert  
Assistant Director - eRA and Records Management  
Research Administration Forum  
January 13, 2022

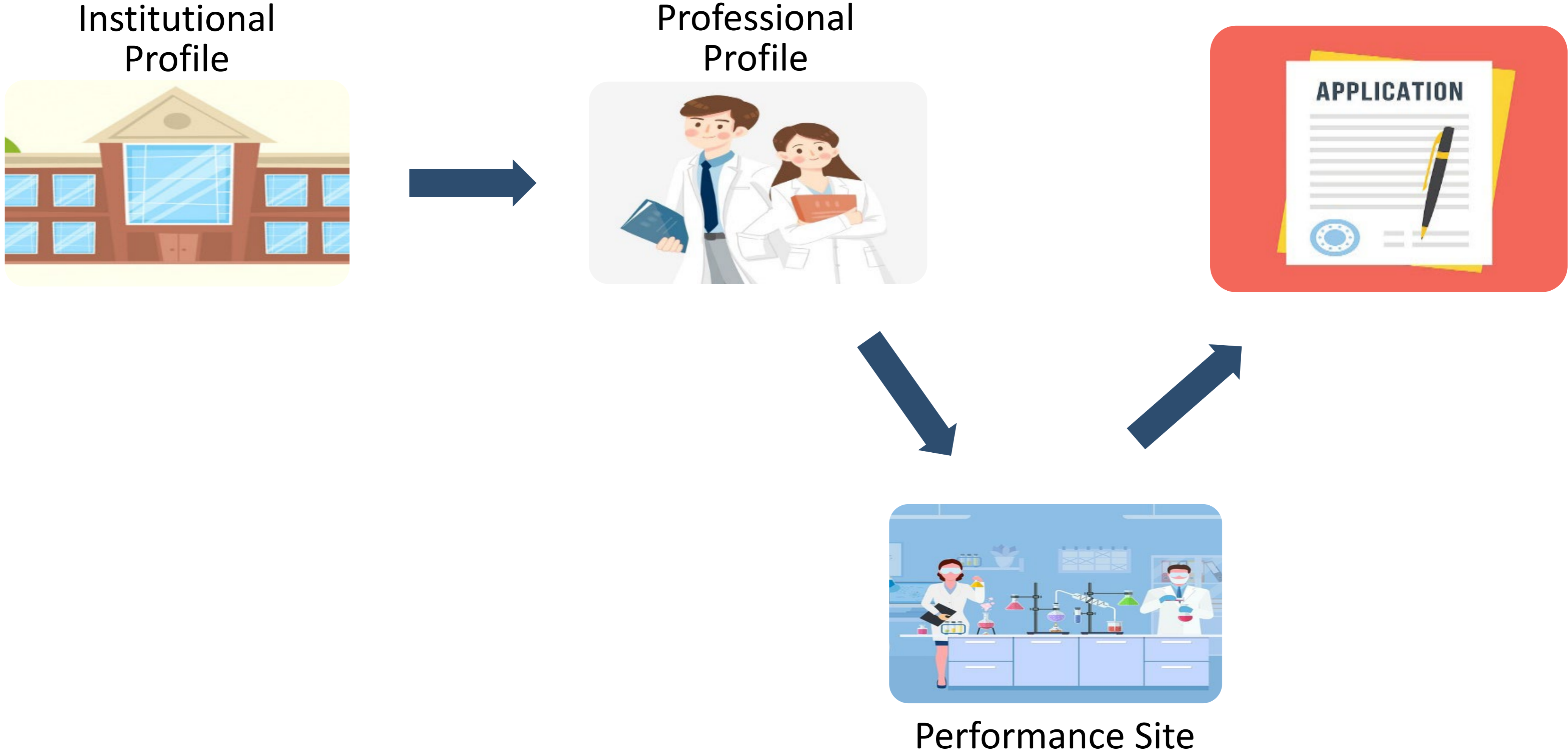
# FORMS-G Available are Now Available in S2S Grants

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In addition to the updates here, refer to:

- December 2021 [RAF Presentation](#)
- January 3, 2022 [ORA News](#) on the [OCGA website](#)

# Replacing the DUNS with the UEI



# Replacing the DUNS with the UEI

## BUT WHAT ABOUT EXISTING PROFESSIONAL PROFILES?

- There are currently hundreds of Professional Profiles for UCLA researchers with blank UEIs in S2S Grants.
- We are in discussions with the vendor to see if these can be updated automatically.
  - NOTE: This update would only be applied to Professional Profiles that are linked to UCLA **and** the Performance Site screen is *Active*.
- Professional Profiles that are linked to other institutions require manual update.
- *Users are welcome to manually update UCLA Professional Profiles while we wait to hear back from the vendor.*

UCLA (Alumni Association)

Performance Site  Active Fill from Contact/Org Info

Organization Name:

Street 1:

Street 2:

City:

State/Province:

Zip/Postal Code:

County:

Country:

Organization UEI:

Organization DUNS:

Congressional District:

# Replacing the DUNS with the UEI

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## BUT WHAT ABOUT EXISTING INSTITUTIONAL PROFILES?


- There are currently over 750 Institutional Profiles in the system that are used to create subaward proposals.
- Many were used once or twice and never used again.
- Updating all of these would be an exhaustive effort.
- We need help from our preparers – if you use an Institutional Profile and find that the UEI is missing and/or other information is outdated, send email to [erahelp@research.ucla.edu](mailto:erahelp@research.ucla.edu) and we will update the requested profile.

*\*eRA Help Team is already adding the UEI to new Institutional Profiles as we create them.*

# System Bug – Screen Not Rendering Properly


Opportunities   Proposals   **People**   Institutions   Reports   More


People » **Gilbert, Cindy A** Cindy A Gilbert  
Permissions

Professional Profile: **Gilbert, Cindy A** 

**General Personal Information**

- Name ▶
- Degrees
- Demographics
- Biosketches

**1 Institutional Association** 

-  **UCLA (Office of Contract & Grant Adm)**
- Contact Info
- eRA Role
- Dept / Division / Title
- Salary and Fringe Worksheet
- Performance Site

**Name** Rename

Prefix:

First: Cindy

Middle: A

Last: Gilbert

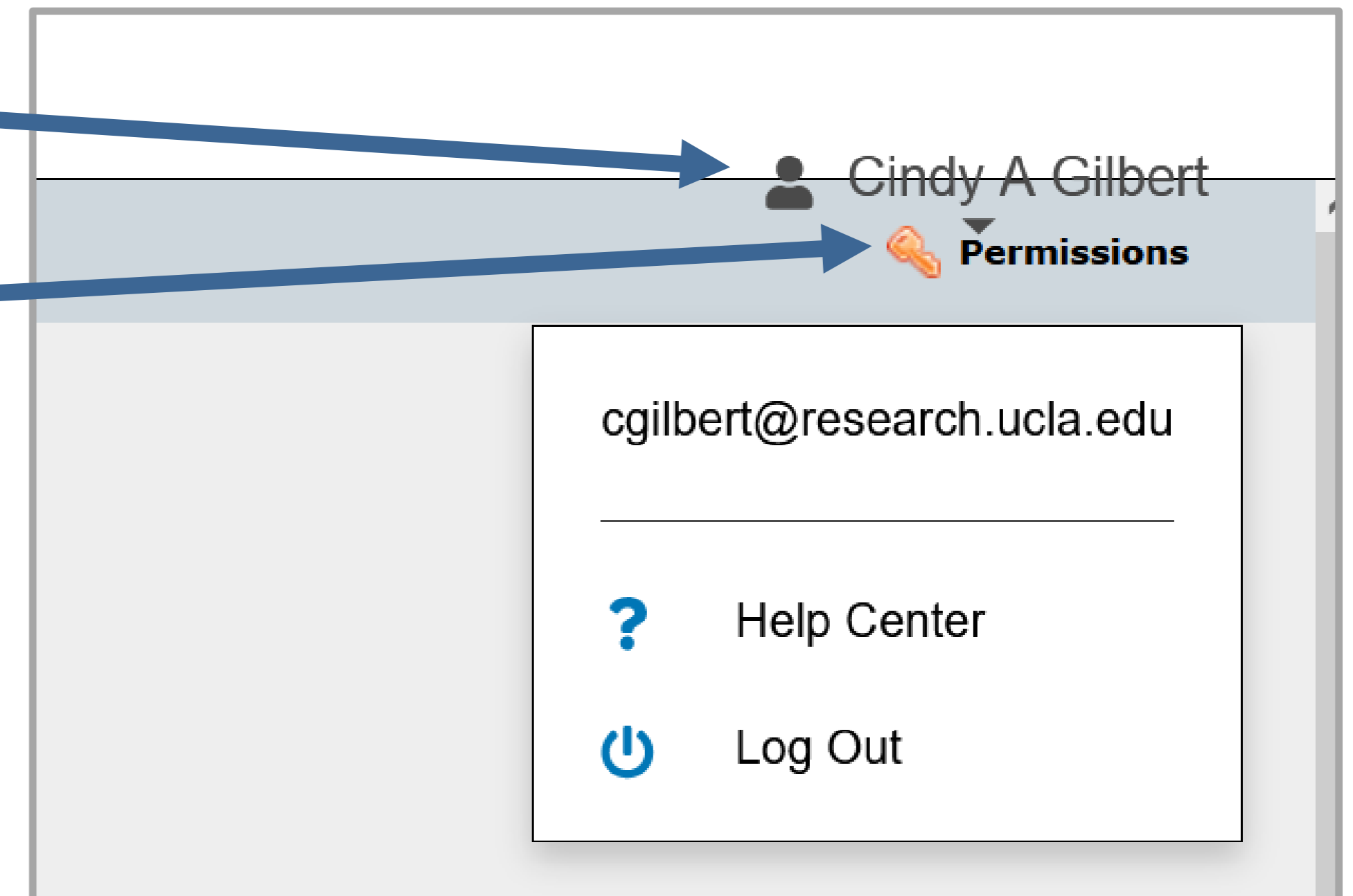
Suffix:

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NIH Commons ID:

# System Bug – Screen Not Rendering Properly

- User information icon misaligned
- Appears in all screens within the system
- May interfere when clicking adjacent icons
- Appears in most operating systems and browsers
- Reported to vendor
- No ETA on a fix at this time



If you need assistance to accomplish a particular task contact [erahelp@research.ucla.edu](mailto:erahelp@research.ucla.edu).

# Upcoming OCGA Master Training Sessions

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## Budgets 101

Thursday, January 20, 2022

9:30 – 11:00 AM

## S2S Grants Basics

Wednesday, February 16, 2022

9:00 – 11:30 AM

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

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# Any Questions?

**Contact Us:** [erahelp@research.ucla.edu](mailto:erahelp@research.ucla.edu)

**Visit our Website:** <https://ocga.research.ucla.edu/s2s-grants/>



# Extramural Fund Management

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January 13, 2022

# Agenda

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- **UCPath Look Back at 2021**
- **Effort Reporting**

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# UCPath Look Back at 2021

Yoon Lee

# Overview of Major Errors and Mass Corrections (FY20-21)

System Design Defects / Incidental Mass Errors	Corrections of historical data processed in	For the period of	Go forward fix implemented in UCPath	Pending correction of historical data?
Leave Allocation Defect Leave in Arrear Defect	October 2020 Mass Leave Correction #1 (LL and GL)	September 2018 – June 2020	Leave Allocation: Yes, in January 2021	Yes Corrections for the period of July 2021 and onward planned by UCPC in February and March 2022
	June 2021 Mass Leave Correction #2 (LL and GL)	July 2020 – December 2020	Leave in Arrear: Not yet	
	June 2021 Mass Leave Correction #3 (LL and GL)	January 2021 – June 2021		
FAU Override Errors	January 2021 Mass GL Correction (LL and GL)	September 2020	Yes, in September 2020	No
Incorrect Vacation Leave Accrual (VLA) % charged to eligible employees	June 2021 VLA Correction (GL only)	April 2020 – January 2021	Yes, in January 2021	No
GAEL incorrectly charged to Federal and FFT funds	June 2021 GAEL Correction 2021 (GL only)	April 2021 – May 2021	Yes, in May 2021	No
VLA, CBR, GAEL, RPNi	June 2021 FYE corrections (GL only)	July 2020 – June 2021	Will be a part of fiscal closing process to catch all errors	No

- For details of UCPath GL defects, visit the following CRU website communication pages
  - For communication in 2020 or prior: <https://centralresourceunit.ucla.edu/s/article/GL-Communication-Archive>
  - For communication in 2021: <https://www.cru.ucla.edu/ucpath-general-ledger-communications>

# Impact to Contract and Grant (C&G) Funds

- **UCPath mass corrections processed during FY20-21 affected 4,228 open and closed contract and grant funds.**
  - \$2.8 million of additional expenses were posted to 995 funds
  - \$5.7 million of expenses were moved off from 3,253 funds
- **Many of 4,228 funds were affected by more than one mass correction (MLC, MGC, VLA, GAEL, etc.)**
- **Each time when a mass correction was processed, EFM evaluated the impact of UCPath mass corrections to all C&G funds to decide the next steps.**
  - Does correction result in debit or credit to the fund?
  - Is an award active or expired?
  - Is the final financial deliverable submitted to the sponsor or not?
  - Is a fund open or closed in the financial system?
- **The same fund can have different answers to the questions above at different times.**
  - A fund could have been open when MLC 1 was processed but closed when MLC 2 was processed.
  - EFM evaluated the impact of each mass correction to each fund considering its situation at that point of time and re-evaluated the total net impact of all mass corrections to the fund at the fiscal year end.

# Impact to Contract and Grant (C&G) Funds

EFM took the following approaches to address UCPATH mass corrections posted to C&G funds, considering compliance risk, financial loss, and administrative burden.

***As each mass correction was posted;***

Scenario	What EFM did	As a result, if the net impact of mass corrections was
If the fund was open and the final was <u>not</u> submitted	Adjustments were posted to the fund. EFM included adjustments in the next invoice/ financial report subsequent to the correction.	- Debit, then UCLA invoiced/reported expenses. - Credit, then UCLA invoiced/reported expenses, net of the credit, in the subsequent period.
If the fund was open and the final was submitted	EFM decided not to revise the final invoice/ financial report. Adjustments were initially posted to the fund but EFM transferred these adjustments to the holding fund (*).	- Debit, then UCLA lost the opportunity to recover these additional costs. Chancellor’s funding was provided to cover these costs. - Credit, then UCLA needs to refund the sponsor if it’s a cost reimbursable award. For the fund subject to P913, EFM transfer the balance to the PI’s discretionary account.
If the fund was closed	EFM decided not to reopen the fund (**) as each mass correction was processed. Adjustments were posted to the holding fund.	

(\*) EFM established the holding fund to record UCPATH mass corrections impacting closed funds or open funds with the final submitted during the year. The fund is to be closed as a part of fiscal closing.

(\*\*) EFM reopened funds with net credit adjustments to process refunds to the sponsor when the first UCPATH mass correction was processed (funds with net debit adjustment were not re-opened. Chancellor’s funding was provided to cover these costs) with understanding that it was going to be the only mass correction. As more mass corrections were scheduled, EFM decided not to re-open the funds with credit adjustment each time as the next mass correction may change the net impact to the fund to be debit.

***At the fiscal year end;***

EFM reviewed all adjustments posted to the holding fund (for the scenarios #2 and #3 above). The analysis showed that 202 funds had additional expenses that could not be recovered and 648 funds had net credit adjustments resulting in cash received in excess of expenses. EFM reopened these 648 funds to true down expenses and to address the excess cash balance.

# Impact to Contract and Grant (C&G) Funds

- **What’s happening in EFM now and what actions are needed from the department?**

Scenario	EFM	Department
Award is active <i>or</i> Award has expired but the final has not been submitted	Business as usual. Preparing invoices and financial reports following the standard procedure (including UCPATH corrections if any).	Business as usual.
Award has expired and the final has been submitted but the fund is open.	EFM transferred UCPATH adjustments to the holding fund → EFM is unflagging funds previously flagged with UCPATH issues preventing from closing when corresponding issues are resolved for both historical data and for go-forward (*). GL clean up needs to be completed and/or AR needs to be collected (if any) to close the fund.	Business as usual. Take actions to move unallowable /inapplicable expenses, release encumbrance, etc.
The fund was previously closed (award expired & the final submitted) but re-opened: 648 funds	For cost reimbursable awards, EFM is processing a refund and a revision to the final.  For the fund subject to P913, EFM is transferring the balance to the PI’s discretionary fund based on the P913 assurance and documentation previously submitted when the fund was closed.	No action needs to be initiated. EFM will send a courtesy email to the fund manager and the PI, including the revised final expenses and the revised balance either to refund to the sponsor or to transfer to the PI’s discretionary fund. No need to submit a revision request or P913 assurance and documentation.

*(\*) Even if a go-forward fix is not implemented, if the fund has expired and all historical errors on the fund have been corrected, there is no UCPATH errors preventing the fund from being closed; therefore, UCPATH flag will be removed.*

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# Effort Reporting

Yoon Lee

# Effort Report Certification Status

- The following quarters include UCPATH payroll data
  - <https://portal.research.ucla.edu/EffortReportingCertification>

*As of January 13, 2022*

Reporting period	Released	Certified	Open (no issue)	Open (flagged)	Total	Certification %
2018 Summer	09/24/20	404	11	18	433	93%
2018 Fall (modified)	09/24/20	5258	394	429	6081	86%
2019 Winter	09/24/20	4527	332	296	5155	88%
2019 Spring	05/26/21	4113	946	359	5418	76%
2019 Summer	05/26/21	4258	1072	441	5771	74%
2019 Fall	05/26/21	3862	1054	304	5220	74%
2020 Winter	05/26/21	3912	1072	302	5286	74%
2020 Spring	05/26/21	3794	951	392	5137	74%
2020 Summer	05/26/21	4124	1233	362	5719	72%
2020 Fall	05/26/21	3586	1354	232	5172	69%
2021 Winter	05/26/21	3475	1705	72	5252	66%
2021 Spring	11/09/21	807	4653	361	5821	14%
<b>Total</b>		<b>42120</b>	<b>14777</b>	<b>3568</b>	<b>60465</b>	<b>70%</b>

*“Let’s Certify 14,777 effort reports that are not flagged as “Under Prelim Review”.*

# 2021 Summer Effort Report Release

- **Reasons for the delay of releasing 2021 Summer effort reports**
  - In July 2021, GAEL was charged as though it were salary instead of being proportion of salary. For example, if an employee makes \$5,000/month, each line of GAEL was recorded for \$5,000 rather than a rate applied to that amount. Those defective GAEL lines were charged to salary sub/object codes.
  - The UCPATH Center has fixed GAEL configurations to assess at the correct rates and charge to the correct GAEL sub/object codes in August 2021; however, additional corrections needed to be made to the interface files (I-129R) that load payroll data to ERS.
  - For more details of this issue and resolution, visit CRU page; <https://www.cru.ucla.edu/news/defect-status-update-gael-assessment>
- **Timeline to release 2021 Summer Effort Reports**
  - EFM received the correct I-129 files from UCPATH Center and is coordinating with ITS to load the data to ERS, to test the data before generating effort reports.
  - Target to release reports during the 1<sup>st</sup> or 2<sup>nd</sup> week of February. During the testing period, ERS production site will not be available. ERS downtime will be announced via ERS listserv
- **Reminder: 2021 Spring Effort Report Certification Due Date is 2/28/22**
  - Certify Effort reports that are not flagged “Under Preliminary Review”.
  - Plan for the 1 week of ERS downtime for the 2021 summer release.

# 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 is waiting for missing payroll records to confirm Effort Reports currently flagged with MLC are not affected by missing lines before unflagging these reports.
Missing payroll record(s) in effort report—do not certify until further instruction is provided by EFM	UCLA confirmed that UCPATH Center (UCPC)’s solution for go-forward fix to generate I-129 files used to load the payroll data to ERS without missing files is valid. UCPC is planning to execute the solution in the next month. For the historical data, a list of missing lines provided by UCPC is not complete. EFM is working with UCPATH Center to refine and validate UCPC’s queries to identify missing lines.
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/>

# Any Questions?

## Contact Information

**EFM Website**

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

**ERS Help Desk**

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# January 2022 Research Administration Forum Q&A

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## Research Policy and Compliance

### **Q1: How will 700 forms be generated with DocuSign?**

A1: Just pull them from the RPC website: [Form 700-U](#)

### **Q2: Will we need to re-do 700U's that were signed with other electronic signatures, or scanned copies during the past two years?**

A2: RPC is working on this project.

### **Q3: Will ORA reach out to Departments to collect DocuSigned 700s for forms that could not be wet signed during lockdowns? To clarify, will we be given a list?**

A3: RPC is working on this project.

### **Q4: Will there be a deadline to submit already collected "wet ink" signatures that may await handling on unattended on-campus desks? Can we have assurances that this will broadcast widely?**

A4: Don't know yet, but you will be informed in a timely manner.

### **Q5: Will OCGA be working to create a campus-wide Form 700U? Most departments are not tech savvy and will struggle with building out their own form, so there should just be a centralized form similar to the P-card office form.**

A5: You do not need to build out a form. Just pull it from the RPC website: [Form 700-U](#)

### **Q6: Will Adobe digital signatures be allowed, like on the 740s? I reached out to [circadmin@research.ucla.edu](mailto:circadmin@research.ucla.edu) but have not heard back.**

A6: Adobe digital signature will NOT be allowed. It is not verified.

### **Q7: Is this simply the new process to replace the PDF signing process?**

A7: No.

**Q8: Any chance we can get a copy of the form that needs the wet signature and we can just ask for the appropriate wet signatures on the same form?**

A8: We are still working on our process for this.

**Q9: How can the department administrator fill out 700U first then forward it to PI for signature in DocuSign?**

A9: If the department administrator has the DocuSign account, then the completed form can be uploaded through DocuSign and the administrator can create an "Envelope", prepare the form, and then send the form to recipients for signature. However, the administrator should only fill out the top portion of the form. Not the financial interests part.

## Contract and Grant Administration

**Q1: Would it be beneficial to check "combine all PDFs into one file" instead if OCGA will require the certificate so we don't need to have 2 separate files?**

A1: This check box is misleading as it doesn't actually include the Summary/Certificate of Completion form.

**Q2: Are other electronic digital signature services like SignNow acceptable?**

A2: No. UCLA is requiring use of the DocuSign system that is available to all faculty and staff.

**Q3: If a DocuSign PDF is flattened, does it become invalid because it loses needed metadata?**

A3: That is why we are asking for the certificate as well as the signed form.

**Q4: Can you please provide some additional guidance regarding the supporting documentation requirement for foreign activities? Is this documentation submitted separately?**

A4: It is attached to the Other Support Report submitted to NIH.

**Q5: Will the certification to the biosketch make it unable to be exported to Word and edited?**

A5: We have no additional info about the proposed NIH requirement to sign the biosketch at this time. Hopefully it won't be rolled out until after SciENCv is up and running and the signatures can be captured there.

**Q6: Can you please provide some additional guidance regarding the supporting documentation requirement for foreign activities? Is this documentation submitted separately? To clarify...I'm referring to the Other Support Documentation requirements.**

A6: The NIH policy requires, for each foreign appointment or foreign funding source reported, a copy of the grant, contract or other agreement that governs that foreign appointment or funding. If the agreement is not in English, NIH requires an English translation of the agreement. The copies of these agreements must be attached to the Other Support Report at the time it is submitted to NIH.

**Q7: Doesn't reporting effort without salary = cost share?**

A7: Yes, effort without salary is cost share. If such effort was committed in the proposal, it must be provided and reported.

**Q8: Since project periods often don't align with UCLA fiscal year period, should reported C&P effort be prorated to fiscal year?**

A8: Yes, if the effort is expected to change year-over-year. However, if the PI expects to expend the same effort every year then it shouldn't matter if it's project year or calendar year.

**Q9: The Other Support tool generates the OS report with the Calibri font. Should we convert to Arial or Times New Roman?**

A9: We checked and Calibri font is ok so no need to convert.

**Q10: If we submit other support with a DocuSign signature to our reviewers and the reviewers come back with comments, do administrators have to make the changes to the original unsigned document and resend to the PI for signature again? Can we submit the other support without a signature to reviewers and obtain the signature after it is confirmed that everything looks good? This will keep PIs from needing to sign multiple times.**

A10: Yes - we can provide review comments before the electronic signature is applied.

**Q11: What is the UEI number we use on Professional Profiles?**

A11: UCLA employees = RN64EPNH8JC6. This information is also available on the OCGA website [UCLA Standard Information](#) page.

**Q12: Regarding Cayuse Professional Profile updating, over 90% of our department's Professional Profiles were created by former staff and we don't have permission to edit. Can we request bulk access?**

A12: Please feel free to contact us at [erahelp@research.ucla.edu](mailto:erahelp@research.ucla.edu) for assistance with obtaining permissions to Professional Profiles.

**Q13: Not all KP are users. Is that correct?**

A13: True. However, if a Key Person is a user we strongly recommend that they have access to their profile. Please feel free to contact us at [erahelp@research.ucla.edu](mailto:erahelp@research.ucla.edu) for assistance with obtaining permissions to Professional Profiles.

**Q14: I've found that changing the browser magnification can create an offset between the logout icon and the other icons, and thus serves as a workaround for the issue you mentioned (it's CMD + or - in Mac, so I assume CTRL + or - would work in Windows). Have you found that to be a workaround?**

A14: We have had some success with changing the magnification, but it doesn't seem to be consistent across all screens.

## Extramural Fund Management

**Q1: We should not expect any 'back-hand' UCPATH adjustment, e.g., whenever someone on campus decided to make adjustment for 'benefit' for 'vacation', we in the department would see effects on the ledger only After the Fact, which is not really helpful in managing accounts? Especially for those accounts which were closed long time ago.**

A1: I agree that there should not be UCPath adjustments centrally processed without appropriate communication to campus. I also understand the challenges untimely adjustments create in managing accounts because all EFM accountants experience the same challenges as the campus.

For managing sponsored contract and grant funds, it is our responsibilities to ensure that only allowable and applicable expenses are charged to the projects. When UCPath errors caused overcharging the sponsored projects (for example, higher benefit was charged inaccurately than actual benefit of the employee on the project, vacation credit was not charged to the correct project, etc.), we need to correct those errors and return overpayment if any to stay in compliance with terms and conditions of the awards.

I could not agree more with that these adjustments should not occur for those accounts that were closed a long time ago. Many mass corrections processed during FY20-21 were to address historical errors made since September 2018 when UCPath went live. Although UC campuses had raised concerns on erroneous transactions from the beginning, UCPath Center was unable to investigate the issues properly and developed adequate solutions for most issues until FY20-21. Based on my understanding, this delay was due to that UCPC had to address other higher priorities directly related to employees' payrolls and benefits to ensure all UC employees get paid correctly and receive benefits. The issues affecting contract and grant funds are accounting issues, which were rated lower in UCPath Center's priority compared to getting employees accurately and timely compensated.

As most historical data affected by major system design defects were corrected and more go-forward resolutions for various issues were implemented in UCPath, my educated guess is that the magnitude and frequency of these mass corrections will decrease. At least, corrections will not be delayed for 1-2 years like what happened in FY20-21.

**Q2: Is there a way that before they take any action, can we know in advance?**

A2: CRU is leading the mass correction on campus and managing campus communication. You can [subscribe to CRU newsletters](#) to stay informed of issues and resolutions. If you have feedback to share, here's the [CRU website](#) where you can submit the feedback online. When EFM becomes aware of the campus-wide issues and their resolutions, we relay the message to the campus via ORA listserv including all PAMS users.

**Q3: It is really a frustrating process to go back to make adjustment again when the funds were closed ago. Not an easy process, and who will cover the OD if department is in OD, campus?**

A3: I agree and understand that it is a frustrating process to go back and make adjustments to the funds previously closed. As shared in the presentation, if the UCPath mass correction results in debit to the closed funds, EFM does not re-open funds. These additional costs are centrally covered. So there is no action for the department to take. If the UCPath mass correction resulted in debit to an open fund and created the overdraft, please bring the case to the EFM Manager.

**Q4: Will there be or what are the fixes done to avoid GAEL charges on federal/federal flow through funds? Why is GAEL still getting assessed on the newer funding (we have this situation on the fund that was set up in 2021 - Oct.)**

A4: Based on the EFM's understanding, GAEL fix was placed during FY20-21 and it should not be charged to the federal or federal flow through fund set up in September 2021. It may be an incidental error rather than a systematic issue. For proper investigation, it needs to be reported to CRU. Can you please inform your EFM accountant of the fund number and submit a ticket to CRU to report the issue? Here is the [CRU link](#) to create a case.

**Q5: One question related to these 'back-hand' operation: ERS... would throw the 'completed' ERS into some kind of turmoil.**

A5: Effort reports are affected by UCPATH issues and this does create additional work for the department and EFM. To mitigate administrative burden of the department as much as possible, EFM flagged all effort reports affected by one or more of UCPATH mass corrections in the ERS and indicated applicable issues in the comment section of each affected effort report. And the instruction on how to review, adjust, and certify these affected effort reports is available on the [EFM website](#) including the recorded webinar as well as the ERS master exception list. If you have questions, please contact [ERS helpdesk](#).

**Q6: In the ERS system, do we expect those old flags "under review reports flags" to go away before we can review and certify? Will the system remove those flags when ready?**

A6: There are four major issues affecting effort reports.

1. Pending Mass Leave Correction (MLC) entry
2. Missing payroll record(s) in effort report
3. Y-OTC or N-OTC indicator missing
4. Incorrect percent of effort for effort bearing payroll line

For the issues #1, 2, and 3, EFM will remove flagging in ERS when the issues are resolved. Please do not certify reports until they are unflagged. For the issue #4, please review the supplementary Excel file, adjust effort percent, and certify the report. The Excel file is sent to the ERS coordinator who has effort reports affected by this issue. More detailed description of issues and instructions can be found at [EFM website](#).

**Q7: Talking about 'loss', during the normal operation cycle, we covered the OD at the end of project, using PI's unrestricted fund.**

A7: Yes it is correct. If the overdraft resulted from project operation (not as a result of UCPATH mass correction), EFM requests the department to provide an unrestricted FAU to clear the overdraft as part of the process to close the fund at the end of the project.

**Q8: When does UCLA expect UCPATH to stabilize? Because ASCEND is coming, it will run on the same 'platform' I guess.**

A8: Based on EFM's understanding, UCPATH center's focus is on the UCPATH stabilization working with local payroll partnering offices across all UC campuses. UCPATH will be integrated with Oracle when the project Ascend resumes.

**Q9: Some of our fund managers have reported that upon review of the mass corrections, the adjustments did not resolve the original defects, and further adjustments are required to now both reconcile the Path defect, and reconcile the erroneous mass correction posted (this has been observed for both the MLC Direct Retros, and the Path Defect Journals). Is EFM reviewing the adjustments and performing an independent reconciliation to ensure the mass correction was actually correct before moving forward with these net credit/debit adjustments? If so, how?**

A9: EFM participated in designing and testing solutions working with UCPATH Center and UCLA GL Stabilization team led by CRU. Executing the solution is led by CRU, working with UCPATH Center. Net credit/debit on the fund is the result of executing the mass corrections through Labor Ledger and/or General Ledger. UCPATH mass corrections affected over 4,200 contract and grant funds. EFM did not perform independent reconciliation to validate if corrections were done accurately on 4,200 funds. When EFM becomes aware of the case where UCPATH mass correction was not accurate, EFM facilitates a resolution working with the department and CRU.

**Q10: How can Chancellor's funding be requested to cover the costs? Will it be through EFM? Or is it department level?**

A10: There is no need for the department to request Chancellor's funding to cover the additional costs resulting from UCPATH mass correction for the closed funds as EFM has already handled these cases.

**Q11: The UCPATH Journal Corrections website for downloading backup data only allows data search for corrections through FY2021, and doesn't list out all of the "PJ##" defect codes that we see on our ledgers. Is there a timeline that we can expect this will be updated? This directly impacts our ability to reconcile these journals efficiently.**

A11: This is managed by Business and Finance Solutions (BFS). CRU-BFS communicates these updates through their newsletter and all announcements related to GL are available on the [CRU website](#). In the meantime, EFM will reach out to BFS to see if we can get an update.