



Research Administration Forum

April 14, 2022

Welcome and Reminders

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

Agenda

- **Welcome & Announcements** – *Marcia Smith*
- **Contract and Grant Administration**
 - OCGA Updates – *Tracey Fraser*
- **UCLA Ethics and Compliance**
 - UC Ethics and Compliance Training for Researchers – *Johnny Kidd*
- **Human Research Protection Program**
 - AAHRPP Site Visit – *Kristin Craun*
- **Extramural Fund Management**
 - UCPath-Salary Cost Transfer Redesign Project – *Yoon Lee*
 - New Effort Report Search on the ORA Portal and Upcoming Release Plan – *Val Gomez*
- **Open Forum – Questions, Discussion** – *All*

UCLA

***UC Ethics and
Compliance Briefing
for Researchers***

Ethics and Compliance Briefing for Researchers

- Mandatory training course for all extramurally funded UC researchers, including faculty, staff, and postdoctoral scholars.
- Intended to raise awareness of the University of California Statement of Ethical Values & Standards of Ethical Conduct and communicate essential information when accepting extramural research funds.
- Recently updated in response to recommendations following a systemwide foreign influence review and assessment.

Foreign Influence Review and Assessment

- The overall objective was to evaluate the internal controls in place to manage foreign influence risks identified by the federal government.
- Areas of review included the following:
 - ❖ Conflicts of Interest
 - ❖ Conflicts of Commitment
 - ❖ Export Controls
 - ❖ Foreign Collaborations
 - ❖ Intellectual Property
 - ❖ Policy
 - ❖ Sponsored Programs
 - ❖ **Training**
 - ❖ Visas

Systemwide Training Assessment and Recommendation

Finding: UC lacks consistent and formal training to ensure researchers are aware of foreign influence-related regulations and procedures.

Recommendation: UC Training should be enhanced to clarify and reinforce awareness of foreign influence risk and researchers' financial disclosure requirements.

Menu

1. Ethics and Compliance Briefing for Researchers
2. Autoplay Option
3. Ethical Standards
4. UC Whistleblower Policies
5. Making a Whistleblower Report
6. Whistleblower Protection Policy
7. Misuse of University Resources
8. Export Controls
9. Export Controls: Restricted Parties
10. Export Controls Examples
11. Disclosure Requirements
12. The Importance of Disclosure
13. UC Conflict of Commitment Policies
14. UC Conflict of Interest Policies
15. California Political Reform Act
16. Form 700-U

Ethics and Compliance Briefing for Researchers

Resources



Ethics and Compliance Briefing for Researchers

Topics:

- Ethical standards and values
- Whistleblower policies and procedures
- Research compliance
- Financial conflict of interest and related disclosure requirements



Ethical Standards

- Ethical, honest conduct, with integrity in all dealings
- Accountable to UC community and stakeholders (sponsors and public)
- Be familiar with and comply with applicable laws and regulations
- Adhere to policies regarding COI and COC; seek official guidance; disclose potential conflicts and other affiliations as required to maintain full transparency
- Use University resources only for activities on behalf of the University
- Financial reporting must be accurate, clear, complete and compliant with all applicable standards
- Report known or suspected improper governmental activities

UC Whistleblower Policies

Whistleblower Policy

***Whistleblower*
Protection Policy**

University Resources

- University resources may be used only for activities on behalf of the University
- University resources may not be used for personal, commercial, political or religious purposes.

Examples of Misuse of University Resources

- Mismanagement of grants
- Using University lab space for private company's research

Export Control

Contact the Export Control Office if your research involves

- International travel
- Shipping or hand carrying items internationally
- Citizenship restrictions
- Purchasing equipment that is, or may be, controlled under export control laws
- Collaborating with foreign colleagues in foreign countries
- Working with foreign military
- Undertaking activities in sanctioned countries

Disclosure Requirements

- COI (PHS/NIH, NSF, 700-U, etc)
- COC (Category I, II, III activities)
- Other Support
- Affiliations
- Collaborations
- Foreign components

Err on the side of disclosure

UCLA Resources and Contacts

Links to useful information

[Foreign Engagement - RPC](#)

[UCLA Research Related Policies and Procedures](#)

Mark Krause, Associate Vice Chancellor and Chief Compliance and Audit Officer, Locally Designated Official

Johnny Kidd, Ethics and Compliance Coordinator

compliance@ucla.edu



OHRPP Updates

April 14, 2022

OHRPP Updates

AAHRPP Site Visit 

OHRPP Office Hours 

Human Research News 

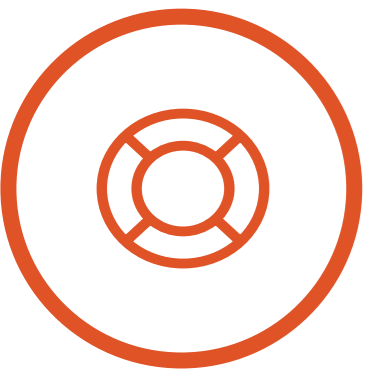
AAHRPP Site Visit



“The Association for the Accreditation of Human Research Protection Programs, Inc. (AAHRPP) promotes high-quality research through an accreditation process that helps organizations worldwide strengthen their human research protection programs (HRPPs).

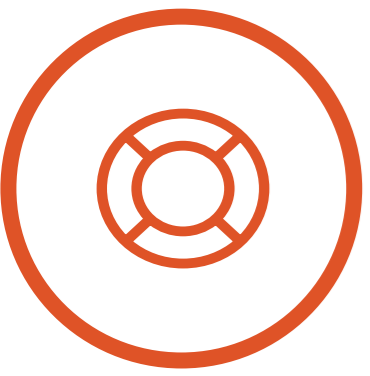
An independent, non-profit accrediting body, AAHRPP uses a voluntary, peer-driven, educational model to ensure that HRPPs meet rigorous standards for quality and protection. To earn accreditation, organizations must provide tangible evidence—through policies, procedures, and practices—of their commitment to scientifically and ethically sound research and to continuous improvement.

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.”



AAHRPP Site Visit

- UCLA submitted for and received initial accreditation in 2009
- Re-accreditation cycles are every 5 years
- Site visit took place March 2-4, 2022
- The site visit was virtual (on zoom)



AAHRPP Site Visit Process

Pre-visit:

- *OHRPP provided materials (policies, guidance documents, templates, etc....) to the site visitors*
- *The site visitors asked questions about some of the documents*
- *OHRPP responded to the questions*



AAHRPP Site Visit Process

During the visit:

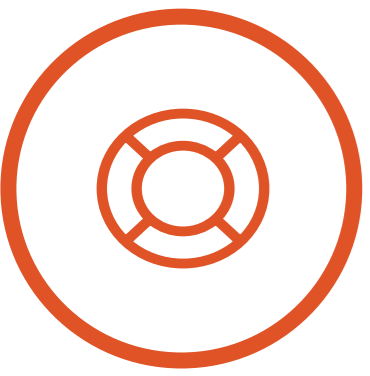
- *OHRPP staff, researchers, research staff, other stakeholders met with the site visitors*
- *At the end of the last day, the site visitors provided a rough summary of their findings*
- *Thank you to all of the stakeholders who participated in interviews.*



AAHRPP Site Visit Process

After the visit:

- *A draft site visit report was sent to OHRPP about a month after the site visit.*
- *OHRPP has a month to respond to the issues identified*



AAHRPP Site Visit Report

Our Draft Site Visit Report:

- *Complimented UCLA on the collegial relationship between OHRPP/IRB and investigators. The channels of communication are open and OHRPP and the IRBs are ready and willing to assist investigators in the process*
- *Indicated that there was confusion among stakeholders of the process for IRB review of researcher conflict of interest*
- *Indicated that waivers of consent required additional documentation*
- *Indicated that documentation of which IRB members were recused vs. out of the room during review of agenda items was not consistent in the minutes*



AAHRPP Site Visit Next Steps

Response to AAHRPP draft site visit report:

- *OHRPP's plan for revising guidance documents/checklists and providing training to stakeholders will be submitted later this month*

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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, April 26, 2022 8:30am
 - Tuesday, May 10, 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: Kristin.Craun@research.ucla.edu



Extramural Fund Management

April 14, 2022

Agenda

- **UCPath: Salary Cost Transfer Redesign Project**
- **Effort Reporting**
 - ORA portal: New Effort Report Search
 - Next Release Plan and Current Status of UCPath Issues and Solutions

UCPath: Salary Cost Transfer Redesign Project

Yoon Lee

Background

- **Direct Retros (DR) in UCPATH are Salary Cost Transfers (SCT), correcting payroll charges to a funding source A to a funding source B.**
 - It is an accounting entry not an actual payroll transaction processing a paycheck.
- **Current SCT process goes through upstream Salary Distribution processes as if they are original payroll transaction goes through (when people are getting paid).**
 - Salary distribution processes prior to Labor Ledger (LL) are important for the original payroll to be validated before a paycheck is processed; however, SCT does not have to go through these upstream processes because SCT is correcting an accounting entry in LL that flows to General Ledger (GL).
- **As a result, current SCT design is too complex and creates a number of unintended processing errors in the upstream processes prior to LL.**
 - Examples include approved DRs not appearing in LL, duplicate DRs in LL.
- **In addition, current SCT design is lacking certain controls and features to support efficient management of sponsored project funds.**

Key Requirements

- **New SCT process is to simplify the process by directly pulling a payroll transaction from Labor Ledger and posting a correction directly to Labor Ledger.**
 - This will address common and major SCT errors reported to UCPath Center
- **Multiple enhancements will be included in the project. Key requirements UCLA is requesting include,**
 - Ability to select and transfer all payroll transactions based on the earn date: Currently a SCT gets into the lumpsum amount with a regular payroll of that pay period. This new feature will allow a retransfer of payroll without losing the original earn date.
 - Ability to select only transaction lines that need to be redistributed (instead of including all lines in the “Old Data” to the “New Data”): This will require validation of FAUs only affected by SCTs and will eliminate the need to reopen closed funds included in the original distribution even though they are not affected by SCTs.
 - Ability to select net zero paycheck for SCTs: Even if all transaction lines add up to zero in the paycheck, certain transaction lines in the paycheck may need to be corrected. This will allow user to make such correction.
 - Validation control on Old Data FAU: Currently validation runs only on the New Data FAUs. This will allow the user to be aware of any inactive FAUs they are trying to move salary from.
 - Ability for an approver to push back SCTs to the preparer: This will allow users to modify the SCTs and resubmit instead of re-doing SCTs.

Solution Approach and Timeline

- **New SCT simplification project takes a modular design approach and will have separate processes for the followings:**
 - SCT involving only unrestricted funding
 - SCT involving restricted funding: All C&G funds will be subject to this process
 - SCT for Work-study
 - SCT involving Salary Cap / MCOP: All C&G funds with salary cap or MCOP will be subject to this process
- **Timeline:**
 - Currently campuses are reviewing requirements for “unrestricted funding” and “restricted funding”
 - May 2022: Location sign off on requirements for all 4 groups above
 - June 2022: System design review and new SCT approach demos
 - July 2022: System Integration Testing entrance criteria review
 - November 2022: Deliver the new SCT process
- **Communicate any Direct Retros related issues (if not covered in the previous slide) or desired enhancements to Katie Cadle, kcadle@research.ucla.edu**
 - It is not guaranteed that all UCLA requests will be include in the scope of the new SCT requirements, but this is our opportunity to contribute to correcting major errors and send our wish list.

New Effort Report Search on the ORA portal and the upcoming release plan

Val Gomez

ERS Management Report on ORA Portal

- Earlier this month, EFM announced release of tool to view Effort Report Certification status in a more dynamic way under the ORA Portal Compliance Tab
 - <http://portal.research.ucla.edu/index.aspx?Section=Compliance>
 - Report link to be renamed *Effort Reporting Certification Status*



- Live demo of new tabs and features



- Thank you, ORIS!

ERS Management Report on ORA Portal

Updated Effort Reporting Certification page will now include four tabs:

1. “Home” is the default landing page updated nightly, providing effort report certification rates by quarter by academic year.
2. Enhanced “Search” enables users to view and sort data through additional filters and to export the data.

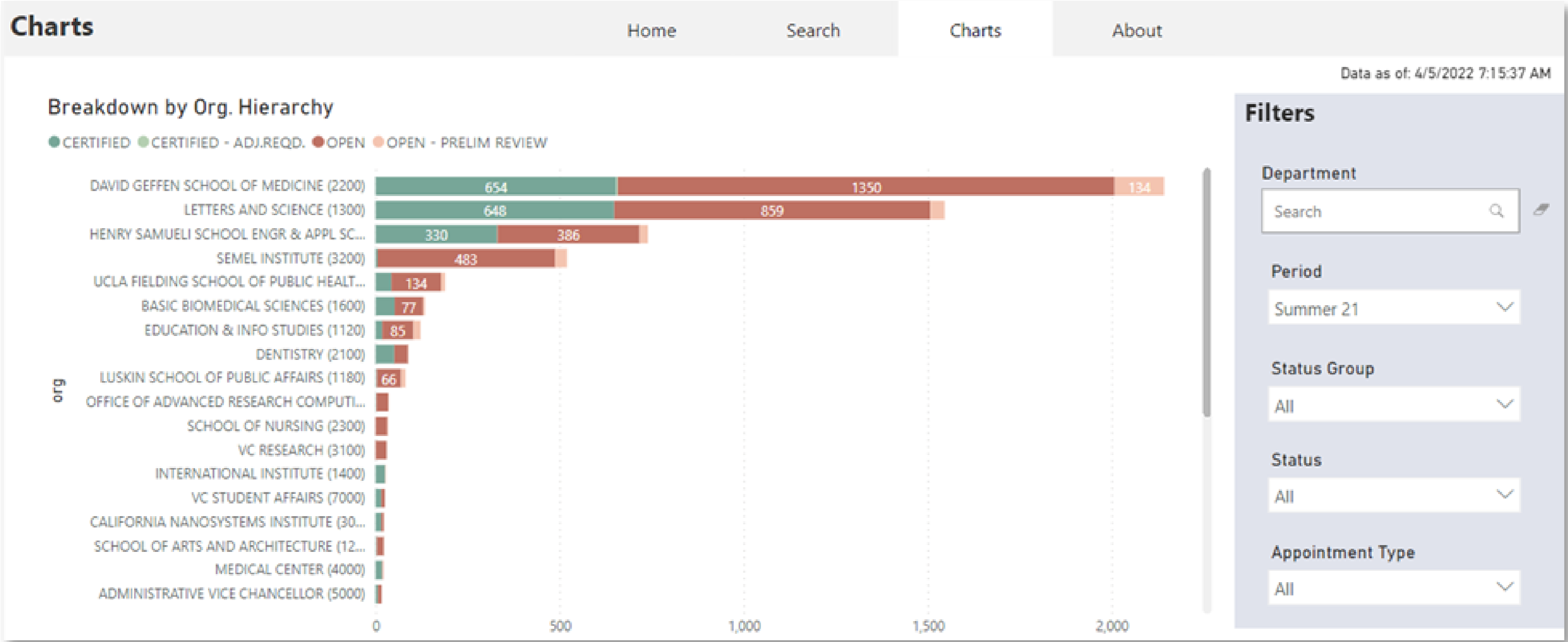
The screenshot displays the 'Search Effort Reports' interface. At the top, there is a navigation bar with tabs for 'Home', 'Search', 'Charts', and 'About'. Below the navigation bar, the page title 'Search Effort Reports' is visible on the left, and the date and time 'Data as of: 4/5/2022 7:15:37 AM' is on the right. The main section is titled 'Filters' and contains several filter options:

- Employee Name:** A dropdown menu with 'All' selected.
- Org. Hierarchy:** A dropdown menu with 'All' selected.
- Is PI?:** A dropdown menu with 'Multiple selec...' selected.
- Academic Year:** A dropdown menu with 'All' selected.
- Period:** A dropdown menu with 'All' selected.
- UCLA Employee ID:** A search input field with 'Search' and a magnifying glass icon.
- Department:** A search input field with 'Search' and a magnifying glass icon.
- Prelim Review?:** A dropdown menu with 'All' selected.
- Report Status Group:** A dropdown menu with 'All' selected.
- Report Status:** A dropdown menu with 'All' selected.

ERS Management Report on ORA Portal

Updated Effort Reporting Certification page will now include four tabs:

3. New “Charts” offers the users to visually review reports by various filters including *Under Preliminary Review*.



4. New “About” includes effort report status definitions, links to ERS resources, and general ERS information

Effort Report Certification Status

- The following quarters include UCPATH payroll data
 - <https://portal2.research.ucla.edu/orcportal/EffortReportingCertification>

As of April 13, 2022

Reporting period	Released	Certified	Open (no issue)	Open (flagged)	Total	Certification %
2018 Summer	09/24/20	407	9	17	433	94%
2018 Fall (modified)	09/24/20	5,330	400	350	6,080	88%
2019 Winter	09/24/20	4,569	321	263	5,153	89%
2019 Spring	05/26/21	4,284	815	320	5,419	79%
2019 Summer	05/26/21	4,466	920	385	5,771	77%
2019 Fall	05/26/21	4,009	945	267	5,221	77%
2020 Winter	05/26/21	4,060	971	264	5,295	77%
2020 Spring	05/26/21	3,933	880	336	5,149	76%
2020 Summer	05/26/21	4,270	1,064	326	5,660	75%
2020 Fall	05/26/21	3,760	1,144	204	5,108	74%
2021 Winter	05/26/21	3,779	1,362	68	5,209	73%
2021 Spring	11/09/21	2,549	2,668	287	5,504	46%
2021 Summer	2/14/2022	2,045	3,541	268	5,854	35%
Total		47,461	15,040	3,355	65,856	70%

15,040 effort reports that are not flagged as "Under Prelim Review" and ready for certification

Reminders and Announcements

- **2021 Summer Effort Report Certification Due Date is 4/15/2022**
 - Certify effort reports that are not flagged “Under Preliminary Review”
 - 35% of Summer 21 effort reports are currently certified, with **3,451** unflagged reports to go!
- **Fall 21 – Winter 22 Effort Report Release**

Reporting period	Non-Academics and 11/12 Academics	9/12 Academics
Fall 2021	October – December 2021	July – October 2021
Winter 2022	January – March 2022	November 2021 – February 2022

- Target release of late April/early May.
- Plan for ERS downtime next week. ERS production site will not be available during release preparation.
- ERS downtime will be announced via ERS listserv
- **As with previous releases, effort reports impacted by a UCPath defect will be flagged as “Under Preliminary Review”**

Effort Report Status

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

Issue description in Comment	Status
Missing payroll record(s) in effort report—do not certify until further instruction is provided by EFM	UCPC fixed the defect causing missing lines in March 2022 and will provide all missing lines from September 2018 through March 2022. Upon receipt of those missing lines, EFM will load them to ERS and unflag reports previously affected by this issue. When reports are ready for certification, EFM will inform the campus.
Pending Mass Leave Correction (MLC) entry—do not certify until further instruction is provided by EFM	In March 2022, Business and Finance Solutions corrected errors related to exception taken (e.g. VAC, SKL) for July 2021- October 2021 via MLC. EFM will load corrections to ERS and unflag reports previously affected by this issue. When reports are ready for certification, EFM will inform the campus.
Incorrect percent of effort for effort bearing payroll line—review supplemental Excel file and job aid provided by EFM before certification	Once missing lines and MLC corrections are loaded to ERS, EFM will complete analysis based on the complete payroll data. For this population, EFM will provide a supplemental Excel file with updated recalculated effort percentages for all known impacted effort reports, along with a job aid.
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

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

ERS Help Desk

Email: ershelp@research.ucla.edu

Val Gomez

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April 2022 Research Administration Forum Q&A

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Q1: Any chance there is an update to the project that would allow for 3 areas of research admin staff, which would include adding additional DRAs as part of the middle group? Sorry, I can't recall what the project was called but I believe it was only 1 or 2 or 3 that the leadership selected for implementation. I think it was announced sometime in 2021.

A1: Yes, that's right. We are finalizing the project schedule and will have an update/kick-off soon. There has been a lot of interest in the DRA component, but that is not the major thrust of the program. The largest component will be a comprehensive training program for all research administrators. Also, we will look at establishing additional service centers where that would be helpful to faculty.

Q2: I know this is off topic, but maybe in a future RAF, if it could be identified how departments are implementing the newly allowed childcare costs on the training grants? Is this a category noted on the NGA, what documentation we should obtain from the trainee, how it is to be paid out, etc.

A2: Yes, we are planning this topic for the next RAF. Also, there may be some communication about this before the next RAF.

In the meantime here is some guidance on how to request the costs for individual full-time NRSA pre and postdoctoral fellows: <https://nexus.od.nih.gov/all/2022/02/10/how-are-childcare-costs-for-nrsa-trainees-and-fellows-requested/>

And recently updated NIH FAQs on how to budget / request these costs: https://grants.nih.gov/faqs#/funding_programs_childcare_costs.htm?anchor=header11809

I met with Mike Sattin (Director, CRU in BFS) and Scott Monatlik (Director, Tax Services in BFS) in March to discuss the best way to process reimbursement of eligible childcare costs incurred by a trainee or a fellow.

For reimbursement process, EFM and BFS reviewed NIH announcements and procedures of other UC campuses and we 1) agreed with other UC campus' interpretation that it is taxable income, and 2) decided that at UCLA it would be best to follow the existing processes how Trainees/Fellows on NIH NRSA grants receive their "stipends." This way, there is no separate process or consideration that need to be developed to properly address different tax implications to different appointment/student groups. Currently Postdoc receives "stipends" through UCPATH and Predoc/Graduate students receives "stipends" through BAR. Department can submit a payment request for allowable childcare cost of the eligible individual through either UCPATH or BAR depending on the individual's appointment/student status.

EFM worked with General Accounting to create a new object code: 3488 (NRSA Childcare Allowance) that can be used for both BAR and UCPATH. It will be exempt from all F&A bases except for B-Total Direct Cost as required by NIH GPS and will have a warning restriction. Making it warning will facilitate an easier reconciliation of \$2,500 of annual limit per an appointee.

Currently, a pending item is configuration of this new object code in UCPATH with an appropriate earn code. BFS Payroll Partners and EFM are working on this last step. Once this gets completed, EFM will send out an announcement to campus to provide guidelines on how to get reimbursed for NRSA childcare allowance.

Q3: Is there an update on the hub and spoke model?

A3: We are finalizing the project schedule and will have an update/kick-off soon. There has been a lot of interest in the DRA component, but that is not the major thrust of the program. The largest component will be a comprehensive training program for all research administrators. Also, we will look at establishing additional service centers where that would be helpful to faculty. Finally, we are looking at identifying specific points of contact in schools and major research departments to serve as a key liaisons with ORA departments.

Extramural Fund Management

Q1: At medicine, even faculty paid under cap is using MCOP. Will this fall under #4?

A1: The MCOP/Salary Cap worksheet is to be used when either an individual has a multiple component of pay and/or the individual's salary is charged to the C&G funds with salary cap restriction. So if an individual has multiple components of pay, it will fall in the category #4, even if the individual's salary is not over the salary cap.

Q2: Will there be departmental/end user input involved in the process?

A2: Yes, the announcement to solicit campus feedback was sent April 20, 2022 to the ORA listserv.

Q3: Will there be visual diagrams of how the new SCT process will look like prior to the Nov 2022 implementation? Would be interested in seeing samples showing how transfers would look like in the new interface.

A3: Based on EFM's understanding, BFS Payroll Partners or SCT Redesign Project Manager will lead campus trainings before the new SCT processes are implemented in UCPath working with UCPath Center and other UC campuses. The training materials may include visual diagrams. EFM has relayed the message to the SCT Redesign Project Manager at UCLA.

Q4: What's being done to address the staffing shortage? A branch of AP or GA literally only has 2 ppl right now- they lost an entire team. It's really impacting our work. It is affecting our ability to process close-outs in a timely manner as invoices are not being paid for months... I know ORA is separate from AP and GA but maybe progress will be made if other departments take it up the ladder too...

A4: I understand. We are aware of the impact of the delays. I recommend you write to Controller Selina Martin and let her know how significantly this is affecting campus operations. And perhaps have your chair or dean endorse your concerns.

Q5: Does anyone have a nice template to send to faculty that concisely explains the ERS and requests the certification.

A5: This is a good idea. EFM is happy to draft something short and share with the campus.

Q6: Question related to the 'report': certified and not-certified: would a 'certified/adjreq'ed' considered as Certified; what about those under 'pre-lim review'?

A6: An effort report with a Certified/AdjustReqd status is included in "Certified" in the ORA Portal metrics for certification rate calculation because it was certified. However, it counted as open in the monthly open/overdue notice sent by EFM to ERS Coordinators because it requires additional actions to address adjustments.

Q7: Is there an update on the status of flagged reports (those reports under preliminary review)?

A7: For latest updates regarding effort reports flagged as "Under Prelim Review", please refer to the slide 13 in the EFM presentation at April 2022 RAF.

Q8: How often ERS is refreshing the system, eg. with a DR done a while ago, but ERS not reflecting it afterwards. How soon can we expect to see this DR coming into ERS?

A8: Great news! Earnings including DRs processed through March 2022 have been loaded to ERS as Fall 21 and Winter 22 effort reports are released. A timeline to load earnings beyond March 2022 has not been finalized but in process.

Q9: Can we allow multiple selection for the search effort report filters?

A9: Yes, search tool in the ORA Portal will allow for multiple filters to be selected

Q10: Can you certify from this page (ORA portal)

A10: No, effort report certification will continue to be done through ERS. ORA portal is to provide the statistics and ways to easily sort the data and it includes the link to ERS in the "About" tab.

Q11: Can you go over which each status color means again for the effort report certifications? Which ones are ready for certification now vs. which ones we should hold off on certifying?

A11: Under the charts tab, a report status has been color coded as follows:

- Green – The report has been certified and no other action is needed.
- Light Green – Report with a Certified/AdjustReqd status indicates a report has been certified but awaiting an adjustment.
- Red – Is 'Open' and awaiting certification.
- Peach – Effort report is affected by one or more UCPATH defects and has been flagged as under preliminary review.

Effort reports flagged with "Prelim Review" are the ones to hold off on certifying. All other effort reports without "Prelim Review" flag are ready for certification. Please visit EFM's website <https://efm.research.ucla.edu/special-instructions-ers-release/> for the latest updates on the status of resolving UCPATH issues.

Q12: I just went into my ERS Report List, and didn't see any difference in the interface. So I'm unclear about where these changes are relative to the standard interface.

A12: Changes discussed account for enhancements made to the Effort Report Certification Status on the ORA Portal (<https://portal.research.ucla.edu/EffortReportingCertification>). No change has been made to the Effort Reporting System (ERS).

Q13: If we have questions about specific effort reports, what information is most helpful for us to share? Employee ID and report period?

A13: Please contact ERS Help Desk (ershelp@research.ucla.edu) with the employee's name, employee ID, report period, and description of the issue for the impacted effort report and EFM will assist

Q14: When I export a list of open certifications using the tool, I see two columns: Emp. Home Department and Account Department. What is the difference between them? Is another FM responsible for employees not in the home department?

A14: The 'Emp. Home Department' indicates the employees HR department where the individual appointment belongs. The 'Account Department' list's the department owning the expense account/project charged in the effort report, and responsible for certification.