



# Research Administration Forum

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October 13, 2022

# Welcome and Announcements

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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
- Slides will be posted on ORA website following the meeting

# Agenda

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- **Welcome & Announcements** – *Marcia Smith*
- **Campus Purchasing and Payables** – *O.T. Wells*
  - Procurement Overview
- **Panel Discussion/Q&A -- Paying Invoices on C&G Funds** – *ORA, BFS, Academic Departments*
- **Human Research Protection Program Hot Topics** – *Moore Rhys*
  - Changes to the Biomedical Template Consent
- **Contract and Grant Administration Hot Topics** – *Tracey Fraser, Kurt Durlless*
  - OCGA Updates
- **Extramural Fund Management** – *Val Gomez*
  - Effort Reporting
- **Open Forum – Questions, Discussion** – *All*

# Reminder

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**If you receive a financial or administrative external audit request, please contact:**

**Gwen Hering**

External Audit Coordinator

UCLA Audit & Advisory Services

[gwenh@iad.ucla.edu](mailto:gwenh@iad.ucla.edu)



# OHRPP Updates: Biomedical Consent Sample Language

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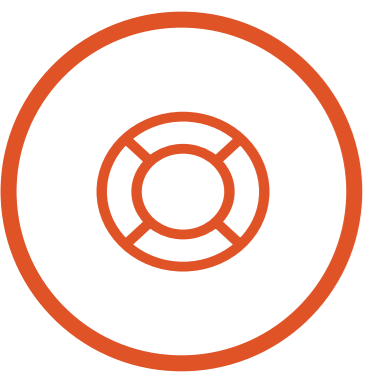
October 13, 2022

# OHRPP Updates

**Biomedical Consent Sample Language**

**OHRPP Announcements**

**Human Research News**



# Biomedical Consent Standards and Sample Language

A revised version of the [Biomedical Research Consent Form Standards and Sample Language](#) was uploaded this week to the [OHRPP website](#).

- Because recommended language can and does change, we strongly encourage researchers to start with the current template (and not modify previously approved consent forms from previous studies).

## ***Why?***

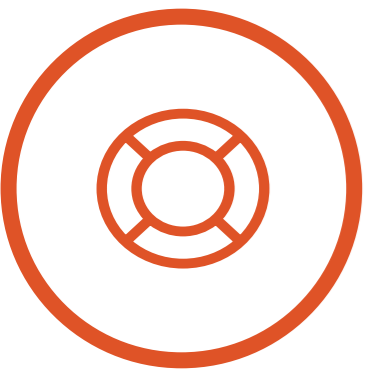
- ✓ Regulatory/Policy landscape may have changed
- ✓ Verbiage may have been improved for greater clarity/flexibility for researchers
- ✓ This will prevent artifacts from other studies (such as procedures that aren't being conducted in the current research being left in from the previous research) slowing down IRB review

# Biomedical Consent Changes

Clarification of *research information included in health record* and access to information:

“This consent form and some details of your study participation will be noted in your UCLA Health record. If you do not currently have a UCLA Health record, one will be developed for you. People involved with your medical care and insurance at UCLA or other organizations may become aware of these details. Federal and state privacy laws give patients the right to access information about their care and treatment contained in their medical record. During this study, you may not be able to access certain information related to this study in your UCLA Health record until the study is complete to ensure that the study remains unbiased. By consenting to participate in this study, you are also consenting to this possible temporary withholding of your research records.”

~~“You may request access to your records at any time, however receiving certain records that may unblind you to which arm of the study you are assigned will result in you having to be removed from the study.”~~



# Biomedical Consent Changes

Clarification of *future use of data and specimens collected for research*:

“Your data and/or specimens, including de-identified data and/or specimens may be kept for use in future research, including research that is not currently known. If you do not want your data and/or specimens to be used for future research you should not participate in this study.”

*(blue text added)*

# Biomedical Consent Changes

The verbiage for one option for disposition of specimens/data has been simplified/broadened for *disclosure of Moore vs. Regents of the University of California Supreme Court of California decision*:

“Biospecimens (such as blood, tissue, or saliva) collected from you for this study and/or information obtained from your biospecimens may be used in this research or other research, and shared with other organizations. You will not share in any commercial value or profit derived from the use of your biospecimens and/or information obtained from them.”

~~“If specimens will be kept by UCLA:~~

~~Any specimens (e.g., tissue, blood, urine) obtained for the purposes of this study will become the property of the University of California. Once you provide the specimens you will not have access to them. The University may share your specimens in the future with other researchers or outside institutions. Information that identifies you will not be shared with anyone outside of UCLA. The specimens will be used for research and such use may result in inventions or discoveries that could become the basis for new products or diagnostic or therapeutic agents. In some instances, these inventions and discoveries may be of potential commercial value and may be patented and licensed by the University. You will not receive any money or other benefits derived from any commercial or other products that may be developed from use of the specimens.~~

~~If specimens will be provided to an outside entity, such as the study sponsor or national group:~~

~~Any specimens (e.g., tissue, blood, urine) obtained for the purposes of this study will be provided to [the Sponsor of this study (company name optional) or the name of the national group]. These specimens will not include information that identifies you directly. Once you provide the specimens you will not have access to them. The specimens will be used for research and such use may result in discoveries that could become the basis for new products or therapeutic agents. In some instances, these discoveries may be of potential commercial value. You will not receive any money or other benefits derived from such a product.”~~



# Learn at Lunch

## “Regulatory Compliance and [clinicaltrials.gov](https://clinicaltrials.gov)”

October 26, 2022 at noon

Presenter: *Elaine Cooperstein*, Clinical Trials  
Government Liaison, UCLA Office of Regulatory  
Affairs, CTSI.

[Register for the zoom link](#)

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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, October 25, 2022 8:30am
  - Tuesday, November 8, 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)



# OCGA RAF Updates

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Tracey Fraser, Senior Director, Office of Contract and Grant Administration

Kurt Durlesser, Senior Analyst – eRA and Records Management

October 13<sup>th</sup>, 2022

# Overview

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- 1. NSPM-33**
- 2. Common Disclosure Forms**
- 3. NIH Updates**
- 4. NSF Updates**
- 5. Training Opportunities**
- 6. NIH Loan Repayment Program Applications**

# NSPM-33

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On January 14, 2021, the White House issued “Presidential Memorandum on United States Government – Research and Development National Security Policy” (NSPM-33). NSPM-33 tasked the heads of U.S. research funding agencies with establishing policies on various aspects of research security, including:

1. Researcher disclosure requirements
2. Use of digital persistent identifiers (DPIs)
3. Appropriate consequences for disclosure violations
4. Sharing of information about violators, as consistent with applicable laws
5. Standards for research security programs

# Common Disclosure Forms

NSPM-33 Guidance was issued on January 4, 2022, by the Office of Science and Technology Policy (OSTP) acting through the National Science and Technology Council (NSTC) Joint Committee on the Research Environment (JCORE) Subcommittee on Research Security; **promotes harmonization among agencies policies to the extent possible and practicable**

- NSTC Research Security Subcommittee has developed proposed **common disclosure forms** for the Biographical Sketch and Current and Pending (Other) Support
- NSF is serving as steward of these common forms
- Feedback requested by October 31, 2022
- OCGA working group reviewing forms, soliciting campus input and providing feedback to UCOP
- Refer to [ORA news](#) September 19<sup>th</sup>, 2022 for more information

## Common Disclosure Forms for Bio-Sketch and Current & Pending (and Other) Support



ORA NEWS <ora-news@lists.ucla.edu>  
To: ORA NEWS

↩ Reply
↶ Reply All
➔ Forward

⋮

Mon 9/19/2022 11:53 AM



# Research Administration

Contract & Grant Administration

Dear Colleagues,

You may have heard the welcome news that a Federal effort is underway to transition to [common disclosure forms](#) for the Bio-sketch and Current & Pending (and Other) Support reports that all federal sponsors will be strongly encouraged to use for financial assistance funding. NSF is serving as steward of those forms and is currently soliciting input on the drafts. OCGA is currently reviewing the forms and we welcome and encourage input from campus. The documents for which NSF is seeking comments are:

- a. A [common Biographical Sketch form](#), including data elements and associated instructions;
- b. A [common Current and Pending \(Other\) Support form](#), including data elements and associated instructions; and
- c. An [excel spreadsheet](#) that summarizes all the data elements, as well as their data attributes.

Please provide comments or suggestions to OCGA by emailing Linda Phung ([linda.phung@research.ucla.edu](mailto:linda.phung@research.ucla.edu)) by October 14, 2022, and we will collate for a UCLA response.

Thank you for your input and thoughts on this important initiative,

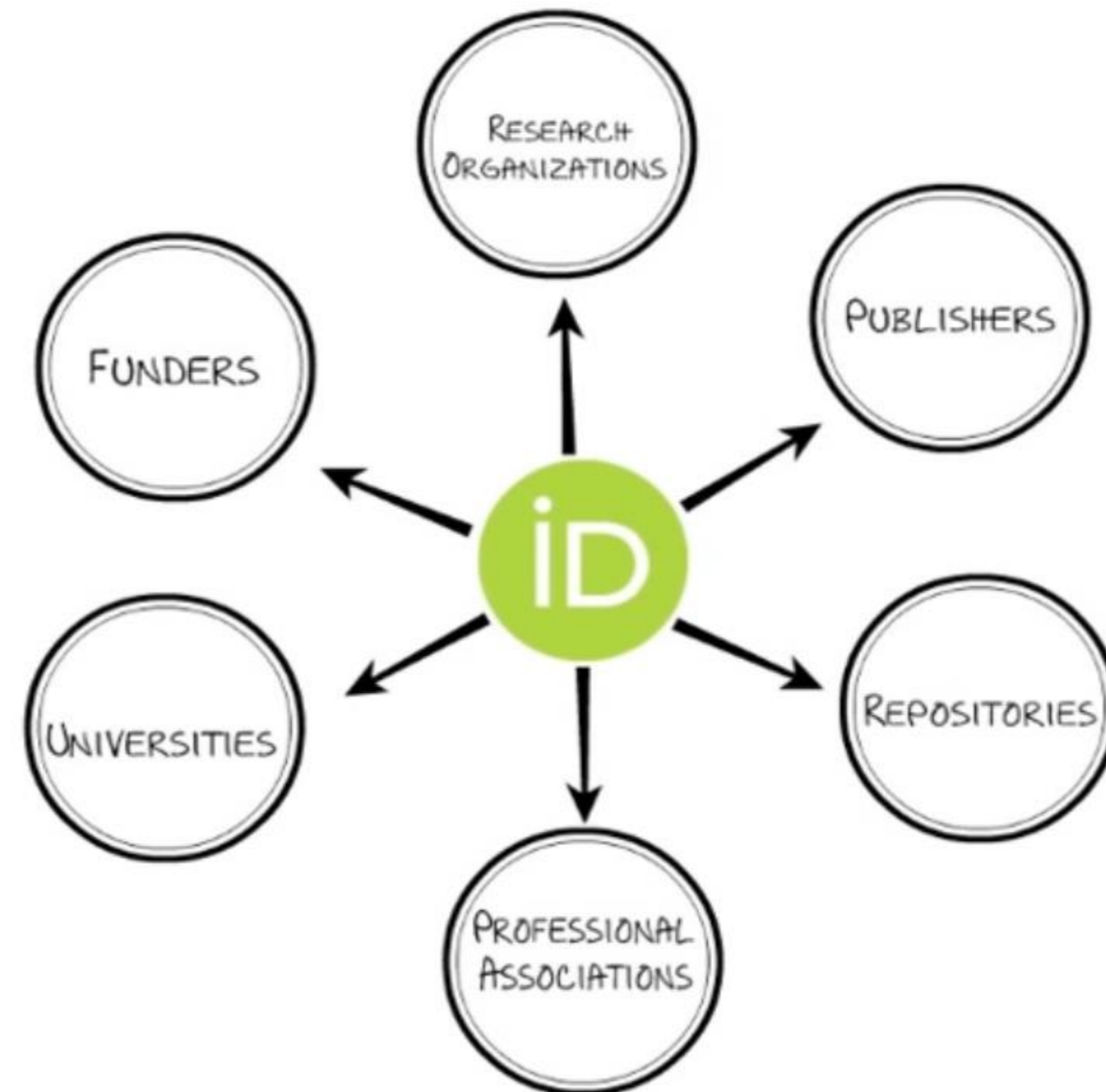
# NIH Updates

## NIH Implementation of the NSPM-33 Implementation Guidance

- Expects to have new Biosketch and C&P (Other) support forms available January 2023
  - Will include optional Persistent Digital Identifier (PDI) on the Biographical Sketch and Other Support format pages (PDI for NIH is ORCID)
  - Electronic signature requirement on the Biographical Sketch to align with the Other Support format page
  - Updated certification language on the Biographical Sketch and Other Support format pages
  - Failure to follow the appropriate formats may cause NIH to withdraw applications from or delay consideration of funding
- Electronic versions of the new forms are expected to be available in SciENcv in early FY 2024 (goal to align NSF's and NIH's implementation)

# What is ORCID?

- ORCID stands for Open Researcher and Contributor ID.
  - Sixteen-digit permanent digital identifier that disambiguates authors with the same or similar names
  - It allows linking publications and other contributions to a single person, avoiding confusion caused by similar or identical names, arbitrary use of middle initials, changes to names when people get married, and change of workplace
  - For more info see [UCLA Library](#) ORCID info and the [ORCID](#) webpage



# NSF Updates

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- **Biographical Sketch and Current and Pending Support**
  - Certification language will be incorporated into both formats from January 2023
  - Electronic Signature will be required
  - NSF plans to specify ORCID as the Persistent Digital Identifier and encourages senior personnel to use ORCID to help with pre-population and reduction in administrative burden
  - Use of SciENCv to become mandatory on October 23<sup>rd</sup>, 2023
    - (NSF had previously targeted January 2023)

# NSF Pre- and Post-award Requirements for Disclosures

- **At time of proposal submission**
- **If requested by the PO, proposers will be required to submit updated CPS documents prior to funding recommendations**
  - Even if there are no changes from the originally submitted CPS, the individual will be required to resubmit with a new timestamp on the electronic signature
  - Funding recommendations cannot be completed until CPS has been updated for all senior personnel
- **After an award is made**
  - If the AOR discovers that a disclosure should have been submitted at the time of proposal submission, but was not, they have 30 days to submit a post-award request to NSF
  - At the time of project reporting: PIs and co-PIs must specify whether new, active other support has been received in their annual and final project reports. If yes, they must attach updated Current and Pending Support information
- **NSF is continuing to assess possible use of a just-in-time solution for current and pending support for the future**

# NSF: Goodbye FastLane ...Hello Research.gov

## FastLane Proposal Preparation and Submission Decommissioning Deadlines

<i>Action</i>	<i>Deadline</i>
<b>SUBMIT NEW</b>	
Last day to <u>submit</u> <b>new proposals</b> in FastLane	Friday, January 27, 2023 (5:00 PM submitter's local time)
<b>EDIT EXISTING</b>	
Last day to <u>submit</u> <b>proposal file updates/budget revisions</b> in FastLane	Friday, September 29, 2023 (5:00 PM submitter's local time)
<b>VIEW EXISTING</b>	
Last day to download <b>FastLane submitted proposals</b> and print <b>FastLane in-progress proposal PDFs</b>	Friday, September 29, 2023 (11:00 PM Eastern Time)

# NSF Outreach Opportunities

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- **Fall 2022 NSF Grants Conference – November 14-17**
  - Registration opens on October 13th
  - Proposal Preparation and Merit Review
  - Award Management
  - Directorate-specific sessions

# CAMPUS TRAINING

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

## October

### Filling out the EPASS: What is it, when is it required and how to complete

Wednesday, October 19, 2022

9:30am-11:00 am



This session will address the background and purpose of the EPASS. We will review and discuss each section of the EPASS with specific examples of questions from users. This session is appropriate for anyone with responsibility for completing, reviewing or processing EPASS forms.

# NIH Loan Repayment Programs (LRP) Applications

***Deadline:  
Thursday,  
November 17***

## ***New applications:***

1. Certification Form\*
2. Citizenship confirmation
  - Department certifier with access to Applicant's I-9 form can confirm via email.

## ***Renewal applications:***

1. Certification Form\*

\*Link to [NIH Loan Repayment Programs \(LRP\) - Institutional Business Official Certification](#) form.

## **Process:**

- Applicant completes LRP application in ASSIST, and sends [eRA Help](#) Certification form signed by their [department certifier](#) **five business days prior to deadline (Wednesday, November 9)**.
- When application is "Ready for Submission" – we will conduct a short review.
- Applicant submits LRP application in ASSIST.
- We will perform IBO Certification in eRA Commons.

NIH LRP website: <https://www.lrp.nih.gov/>

Submit forms and questions to:  
[eRAHelp@research.ucla.edu](mailto:eRAHelp@research.ucla.edu)

# Any Questions?

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# Effort Reporting

Val Gomez

# Effort Report Certification Status

- The following quarters include UCPATH payroll data:

*As of update date 10/12/2022*

Reporting period	Released	Certified	Open	Total	Certification %
2018 Summer	09/24/20	414	19	433	95%
2018 Fall (modified)	09/24/20	5,430	649	6,079	89%
2019 Winter	09/24/20	4,656	496	5,152	90%
2019 Spring	05/26/21	4,596	835	5,431	84%
2019 Summer	05/26/21	4,822	950	5,772	83%
2019 Fall	05/26/21	4,411	814	5,225	84%
2020 Winter	05/26/21	4,476	832	5,308	84%
2020 Spring	05/26/21	4,343	826	5,169	84%
2020 Summer	05/26/21	4,781	882	5,663	84%
2020 Fall	05/26/21	4,316	809	5,125	84%
2021 Winter	05/26/21	4,367	854	5,221	83%
2021 Spring	11/09/21	4,108	1,430	5,538	74%
2021 Summer	02/14/22	4,200	1,831	6,031	69%
2021 Fall	04/27/22	3,465	2,039	5,504	62%
2022 Winter	04/27/22	3,376	2,038	5,414	62%
<b>Total</b>		<b>61,671</b>	<b>15,304</b>	<b>77,065</b>	

*15,304 Open effort reports to be reviewed for certification*

# Upcoming Release

- Effort reports will be released for the following periods:

Reporting period	Non-Academics and 11/12 Academics	9/12 Academics
Spring 2022	April 2022 – June 2022	March 2022 – June 2022
Summer 2022	July 2022 – September 2022	June 2022 – September 2022(*)

(\*) Additional Compensation earn codes only

- **Target Release:** Late October 2022
- **Certification Due Date:** February 2023
- **All payroll transactions through September 2022 will be loaded in ERS**
- **ERS downtime will be communicated through the ERS Listserv**
  - ERS production site will not be available during release preparation

# Status of UCPath Issues Affecting Effort Reports

## Missing Payroll Lines

	Description in Comments	Status/Action
<b><i>Current</i></b>	Missing payroll record(s) in effort report—do not certify until further instruction is provided by EFM	<ul style="list-style-type: none"> <li>• UCPC fixed the defect causing missing lines in March 2022, therefore there will be no effort reports flagged for this defect in the future.</li> <li>• For previous released effort reports, UCPath Center has provided missing lines which will be loaded during this release.</li> </ul>
<b><i>Future</i></b>	Missing payroll record(s) have been loaded to ERS - Reconcile ERS to Labor Ledger and proceed with certification	<ul style="list-style-type: none"> <li>• Department to reconcile effort reports against labor ledger               <ul style="list-style-type: none"> <li>○ If all lines are accounted for, unflag effort report and proceed with certification</li> <li>○ If labor ledger does not reconcile with ERS, please contact ERS Helpdesk.</li> </ul> </li> </ul>

# Status of UCPath Issues Affecting Effort Reports

## Mass Leave Correction (MLC)

	Description in Comments	Status/Action
<b>Current</b>	Pending Mass Leave Correction (MLC) entry—do not certify until further instruction is provided by EFM	<ul style="list-style-type: none"> <li>• In March 2022, Business and Finance Solutions corrected errors related to exception taken (e.g. VAC, SKL) for July 2021- October 2021 via MLC.</li> <li>• EFM has load MLC corrections to ERS, and effort reports flagged for this defect are now ready for certification.</li> <li>• No additional effort reports are being flagged for this defect as part of the upcoming effort report release</li> </ul>
<b>Future</b>	Mass Leave Corrections (MLC) have been recorded to ERS- Review payroll details in ERS and proceed with certification	<ul style="list-style-type: none"> <li>• Review payroll details in ERS               <ul style="list-style-type: none"> <li>○ If distribution reflected in ERS is correct, unflag effort report and proceed with certification.</li> <li>○ If distribution includes error, please contact ERS Help.</li> </ul> </li> </ul>

# Status of UCPATH Issues Affecting Effort Reports

## Incorrect Percent of Effort

	Description in Comments	Status/Action
<b>Current</b>	Incorrect percent of effort for effort bearing payroll line—review supplemental Excel file and job aid provided by EFM before certification	<ul style="list-style-type: none"> <li>Zero effort percent due to missing hours is still an open defect UCLA continues to work with UCPATH Center to address.</li> <li>Last supplement Excel files provided to campus were through the Winter 2019 effort reporting period. Distribution of additional supplement Excel files were pending corrections for missing lines and MLC.</li> </ul>
<b>Future</b>	Comment to remain the same	<ul style="list-style-type: none"> <li>As part of the upcoming release, EFM will resume the distribution of supplement Excel files as missing lines and MLC corrections are loaded to ERS</li> <li>Department to follow instructions provided in job aid to be provided with supplement Excel file and move forward with certification.</li> </ul>

# Status of UCPATH Issues Affecting Effort Reports

Y-OTC or N-OTC Indicator is Missing

	Description in Comments	Status/Action
<b>Current</b>	Y-OTC or N-OTC indicator is missing—do not certify until further instruction is provided by EFM	<ul style="list-style-type: none"> <li>UCLA continues to work with UCPATH Center to find a solution</li> </ul>
<b>Future</b>	Review effort report to ensure correct effort distribution and calculations	<ul style="list-style-type: none"> <li>For hourly employees               <ul style="list-style-type: none"> <li>EFM will unflag effort reports during the upcoming release because this issue does not impact the effort percentage of hourly employees</li> </ul> </li> <li>For monthly employees               <ul style="list-style-type: none"> <li>If distribution is reflected in ERS as expected, unflag effort report and proceed with certification.</li> <li>If distribution includes error, please contact ERS Help.</li> </ul> </li> </ul>

# Additional Communication to Follow

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- **Communication via ORA Listserv**
  - Release announcement of Spring and Summer 22 effort reports
  - Notice of updated comments on flagged effort reports and web updates
  - Schedule to load subsequent direct retros processed to ERS
  - Notice of upcoming ERS LMS course scheduled for 11/14/22 & 11/15/22
- **Communication to ERS Coordinators**
  - Automated notice usually sent on the 15<sup>th</sup> with list of Open/Overdue Effort Reports will be sent following release announcement of Spring and Summer 22 effort reports.
  - List of effort reports flagged with a “Certified” status will be shared with department ERS Coordinators. Effort reports to be reviewed and unflagged by department accordingly.

# Any Questions?

## Contact Information

### EFM Website

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

### ERS Help Desk

Email: [ershelp@research.ucla.edu](mailto:ershelp@research.ucla.edu)

### Val Gomez

Phone: (310) 794-0103

Email: [valeria.gomez@research.ucla.edu](mailto:valeria.gomez@research.ucla.edu)



# October 2022 Research Administration Forum Q&A

## Contents

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## Campus Purchasing and Payables

### **Q1: Will we hurt the small businesses who are not allowed to submit via Transcepta if we change to 60 days?**

A1: Small businesses, unless they are foreign or require invoices processed by Travel Accounting are allowed to submit invoices electronically via Transcepta. Purchasing and Accounts Payable understand that this may hurt small businesses and are in discussions of keeping Net 30 for this group.

### **Q2: Under which of the three listed categories of invoices do wire transfer requests fall?**

A2: Information for foreign wires is located on our [Foreign Wire Transfers](#) web page. Please note that if a foreign wire is submitted using the online form it is not necessary to upload the invoice to the AP Invoice submission site.

### **Q3: Will telephone hours be reestablished? Previously they were 10 a.m. – 12 noon and 2 p.m. - 4 p.m.**

A3: Purchasing and Accounts Payable has recently hired and currently training Customer Service staff to respond to email inquiries and answer our phone lines.

### **Q4: When will departments be able to view invoices submitted via Transcepta? This is a huge audit risk for those of us purchasing items/services with C&G funds.**

A4: This capability is not currently available in Transcepta at this time. Purchasing and Accounts Payable has been in discussions with Transcepta and hope to have an update soon. The new system, BruinBuy Plus releasing next year will have the ability to view invoices.

### **Q5: What type of purchase is considered “Strategic Sourcing” and how is it processed differently from goods and services?**

A5: Strategic Sourcing (SS) focuses on purchases against strategic contracts per the Vendor Agreement List and Contracts that are bid for the benefit of all of Campus. Other commodities supported by SS are: Copier Leases, all goods (not services or software) related to DLAM, antibodies, fume hoods, bio-safety cabinets, pharmaceuticals, vaccines, tree trimming, window washing and all Covered Service Transactions (except Food Trucks): custodian services, parking, landscaping, security, carpet cleaning, charter buses, and Culinary Temp Staffing, and nursing.

### **Q6: When will AP get their phone hours back? Given how behind is the team responding to emails, it would be great to have this option back.**

A6: Purchasing and Accounts Payable has recently hired and currently training Customer Service staff to respond to email inquiries and answer our phone lines.

**Q7: You mentioned trying to move vendors to direct electronic submission of invoices. Would this apply to domestic and/or foreign subaward invoicing, or does the need for review and approval by the PI, for these invoices, preclude direct electronic submission?**

A7: Domestic supplier invoices should be submitted electronically via Transcepta. Foreign supplier invoices should be submitted to AP via AP Portal, Foreign Payment category OR Foreign Wire submission. For foreign supplier invoices that include domestic services, please do not submit invoice to AP until [Central Resource Unit \(CRU\)](#) has approved it for payment. When reaching out directly to CRU team members please provide the post audit notification PAN. Current CRU foreign supplier invoice review team includes [Haehn, Oksana](#); [Chowdhury, Mushfiqur](#); [Rodriguez, Maria](#); [Henmi, Jeremy](#).

**Q8: Who is in charge with deleting one of the duplicate invoices? Example from ASUCLA.**

A8: Please reach out to [AP@finance.ucla.edu](mailto:AP@finance.ucla.edu) should you erroneously submit an invoice to the AP Portal when the supplier is submitting their invoices electronically, such as ASUCLA. Duplicate invoices are highly problematic and create extra work and inefficiencies.

**Q9: Can Transcepta be modified to let Departments review and approve Invoices before they are paid? As it currently stands, a Vendor can submit an Invoice that we don't agree with, and be paid.**

A9: This capability is not currently available in Transcepta at this time. We've been in discussions with Transcepta and hope to have an update soon. The new system, BruinBuy Plus releasing next year will have the ability to view invoices.

**Q10: We work with vendor Abbott a lot. We have been trying to ask the vendor to sign up for Transcepta, but the vendor indicated that they are not allowed to manually enter invoices into a portal. Also, they have Northeast, Southeast team, so one Transcepta account probably won't work. Any suggestion?**

A10: Manually entered invoices or WebEntry Submission is only one of four submission options to suppliers. In this case with Abbott, AP recommends Email Submission type where supplier submits a readable PDF version of their invoices that is mapped to standardize supplier's invoices. Once setup, the supplier will be provided an email address to simply email their readable PDF invoices. [Invoice submission options](#) are found here. I do not believe that this supplier is related to subaward invoices, so let me know if you would like to meet to discuss ([Kay Fukuda](#); [Victor Herrera](#)).

**Q11: Will the new procurement system have the ability for fund managers to approve order requests?**

A11: BruinBuy Plus will have this functionality in Release 2 of the Financial Transformation (Ascend) Project

**Q12: Regarding Transcepta - Current state, not all vendors are available in Transcepta. So effectively the current process if AP is requesting invoices to be submitted through this system, the ask is for Departments to attempt invoices here first, and if failed because the vendor is not set up, to submit via the "manual" system. This process, which requires duplication of effort from Department administrators, is not feasible.**

**If the desire is for all invoices to be processed automatically in future state, should we pass the responsibility to vendors to register in Trascepta? Why is this responsibility at the Department administrator level?**

A12: This is being addressed in the discussions surrounding the new procedure and recent requests for invoices to be processed timely. With the help of Research Administration to provide supplier information, AP and Transcepta can facilitate the onboarding of suppliers to register and setup electronic invoice submission. More discussions will be required to formalize this process.

**Q13: Will the updates to BruinBuy affect one-time payee or non-income related payments?**

A13: Purchasing and Accounts Payable are currently in discussions of how this will be handled in BruinBuy Plus

**Q14: Aren't subaward invoices excluded from Transcepta?**

A14: Purchasing and Accounts Payable are currently working on updating our website regarding suppliers that are exempt from Transcepta. Domestic supplier invoices should be submitted electronically via Transcepta. Foreign supplier invoices should be submitted to AP via AP Portal, Foreign Payment category OR Foreign Wire submission. For foreign supplier invoices that include domestic services, please do not submit invoice to AP until [Central Resource Unit \(CRU\)](#) has approved it for payment. When reaching out directly to CRU team members please provide the post audit notification PAN. Current CRU foreign supplier invoice review team includes [Haehn, Oksana](#); [Chowdhury, Mushfiqur](#); [Rodriguez, Maria](#); [Henmi, Jeremy](#).

**Q15: What is the turnaround time for H&I response from AP?**

A15: Three to five working days to respond to H&I invoices that require AP Representative to reprocess the invoices.

**Q16: I submitted a foreign wire transfer on 10/6 and the approver and I have not received an email notice to approve?**

A16: Purchasing and Accounts Payable manually send the emails to the approver. Have the approver check their junk or spam mail.

**Q17: Can one vendor set up multiple Transcepta login ID? We learned vendor (Abbott) has multiples ARs location (east/west/north/south). Most of them do not have access to the main account and the invoices cannot be submitted online.**

A17: I'm happy to meet to discuss the multiple location issues to better understand your concerns here, but I do not believe that it is a limiting factor with submitting invoices electronically. I was not aware that this supplier submits invoices for subawards. You can contact [Kay Fukuda](#); [Victor Herrera](#).

**Q18: I think the idea of PI signing and then sending back to subawardee to send back invoice to Transcepta will create longer delays. Subawardees are often big universities like UCLA with central offices and may create longer delays and more errors.**

A18: Purchasing and Accounts Payable understand the importance of the PI review and approval. We are collaborating to find a solution to this and have brought up the option to use the performance of Receiving as the PI approval needed to process the payment. There is definitely more discussions around this idea and welcome others.

**Q19: For subaward invoices, how will the correct line be picked to make the payment for each invoice?**

A19: AP follows the receiving instructions on the PO to issue the payments against the correct line. It is good practice to enter the invoice number on the comment line on the Receiving screen in BruinBuy. If receiving is performed on multiple lines we recommend adding comments such as Part 1 of 2, Part 2 of 2.

**Q20: Given the new EFM policy, will A/P be rushing invoices for contracts & grants that are ending? Example: Grant ends 6/30/22 but consultants and subawards are working thru 6/30/22 as well. We CANNOT wait 8-10 weeks for invoice payments given EFM's new closeout policy.**

A20: Purchasing and Accounts Payable and ORA are currently in discussions of how to collaborate efforts to support the new proposed procedure, especially a new work flow for processing the Final invoices timely.

**Q21: Sub-award invoices still require PI to sign off on them therefore can't be submitted by the vendors directly in Transcepta.**

A21: Purchasing and Accounts Payable understands the importance of the PI review and approval. We are collaborating to find a solution to this and have brought up the option to use the performance of Receiving as the PI approval needed to process the payment. There is definitely more discussions around this idea and welcome others.

**Q22: If we set up a subaward for Receiving, will the department be contacted in a timely manner when invoices are uploaded? We tried this earlier in the year and it took over 4 months for AP to notify us that a subaward had submitted their invoice. Being unable to view invoices in Transcepta, we had no idea it was sitting there.**

A22: Purchasing and Accounts Payable understands the importance of the PI review and approval. We are collaborating to find a solution to this and have brought up the option to use the performance of Receiving as the PI approval needed to process the payment. There is definitely more discussions around this idea and welcome others.

**Q23: How do I know if the vendor submitted their invoice onto Transcepta - so we don't upload the invoice onto the system to avoid duplicate submission?**

A23: Currently, campus does not have access to see invoices submitted electronically and we are working with Transcepta on this. The expectation is that suppliers enrolled in Transcepta submit all of their invoices electronically. If needed, confirmation from the supplier of invoices submitted would be advised. We are still in discussion on an email notification from the Transcepta portal, but this has not been confirmed yet. More to come on this!

**Q24: The Purchasing website states that subaward and subcontracts are exempt from enrolling in Transcepta!!!**

A24: Purchasing and Accounts Payable are currently working on updating our website regarding suppliers that are exempt from Transcepta. Domestic supplier invoices should be submitted electronically via Transcepta. Foreign supplier invoices should be submitted to AP via AP Portal, Foreign Payment category OR Foreign Wire submission. For foreign supplier invoices that include domestic services, please do not submit invoice to AP until [Central Resource Unit \(CRU\)](#) has approved it for payment. When reaching out directly to CRU team members please provide the post audit notification PAN. Current CRU foreign supplier invoice review team includes [Haehn, Oksana](#); [Chowdhury, Mushfiqur](#); [Rodriguez, Maria](#); [Henmi, Jeremy](#).

**Q25: Where can I find information for suppliers to enroll in electronic invoicing?**

A25: Information for suppliers to enroll in electronic invoicing is located on the [Electronic Invoicing](#) web page.

**Q26: Are SOPs going to be widely released and posted on AP's website? Departments and vendors are frustrated because we have very vague instructions on what the various processes are. Department admins shouldn't have to create their own instructions.**

A26: Purchasing and Accounts Payable are working on updating the content of our websites and we plan to include a section specifically for subawards. AP highly recommends you attend the October Accounts Payable Drop-In Meeting on 10/31/22 at 1 p.m. We will have a subaward break out room where we can provide information and also you will have the opportunity to schedule appointments.

**Q27: Can you clarify difference between Payment Works, Paymode-X, Payment Plus, and Trancepta? Here is my understanding:**

- **Payment Works = vendor onboarding tool used for creating/updating VCK address and payment method**
  - **To check if a vendor is in Payment Works, I can just login to PW and look the vendor up using the VCK. If they have a contact email/mark under connected, they are in PW. If not, they are not yet onboarded.**
- **Paymode- X/ Payment Plus = Electronic Payment methods**
  - **Can only have Paymode-X option if onboarded in Payment Works**
- **Trancepta = Invoice submission portal for vendors**
  - **In order for a vendor to submit invoices through Trancepta, they must be onboarded in Payment Works**
  - **Vendors will be able to see which invoices have been submitted, paid, or are on hold. Can Vendors see the invoice information for each payment made through their Payment Works account?**

A27: Please see [Vendor Onboarding](#) web page.

- Paymentworks is a supplier onboarding tool, used to onboard suppliers to our payment system. Campus department must initiate invite to supplier for onboarding purposes.  
[PaymentWorks Invitation Steps](#)  
[Supplier Onboarding Process](#)
- PaymodeX/Payment Plus are the two electronic payment methods for domestic suppliers or foreign suppliers with domestic banking. All suppliers are encouraged to sign-up for electronic payments to expedite the receipt of payments. See the full list of [Payment Methods](#).
- Trancepta: UCLA has adopted an electronic approach to processing by moving to an automated invoicing solution. We request that all domestic suppliers submit invoices electronically. For more information, please visit [Electronic Invoicing](#) web page.

**Q28: Invoice Portal does not allow for duplicate invoices - How are so many getting through?**

A28: Departments are uploading supplier invoices to the AP Portal where supplier is submitting their invoices electronically and via USPS mail. There are also instances where departments are submitting the same invoice multiple times.

**Q29: We received the following request:**

***Revise the consent form as follows:***

***1. Include the UCLA template describing the purpose of Phase I studies.***

**Is the template a suggested language and not required?**

A29: Purchasing and Accounts Payable don't have template language for the purpose of phase 1 studies to allow flexibility for studies, including pediatric studies, combined phase 1/2 studies, etc. It sounds like the request came from a Sponsor. They can propose verbiage in the consent and the IRB will review for that specific study to determine if the language is acceptable.

Yes, that's correct. The language is suggested, not required.

## Contract and Grant Administration Hot Topics

**Q1: Could UCLA help departments with enforcing due dates of invoices to Subaward? We already send reminder every year, however they continue to be late with submitting invoices and PIs don't want to lose those relationships with their partners only because our Subaward's central offices don't have a solid system in place to generate the final invoices.**

A1: Overseeing subaward invoices is part of the departments subrecipient monitoring responsibilities. Central offices do not have access to review or manage the status of a departments subrecipient invoices.

**Q2: How many P.I.s had agreed to reduce subs to reduce their performance 30 days? Has this recommendation been sent to the university?**

A2: Given this is a recent change, I've only reached out to one of our PIs since she had a brand new subaward request this past month. She was receptive and ok with reducing the sub by 30 days. I'm expecting at least a 50% pushback from our other PIs. Once PI approval is secured for the 30-day reduction, we wait for OCGA-Outgoing Subawards team to recommend the updated project end date in the outgoing agreement sent to our subrecipient partner.

**Q3: Invoice payments prior to project end date. With Yoon's comments, OCGA Officers can add requirements "to submit the invoices 30 days before the end of performance period on vendors service and sub agreements." Do P.I.s need to agree to that? Also, since this will be implemented, especially for federal funds coming Jan. 2023, should all agreements have addendum before then? If my comment is viable or considered at all, will this be required to be done at department level in working with OCGA and BFS?**

A3: As a member of the Federal Demonstration Project (FDP) UCLA is obligated to adhere to FDP subaward template terms and conditions for federally funded subawards (there are significant benefits to UCLA PIs and partner schools to doing this). We are not permitted to reduce the time period that a sub awardee has to submit an invoice to 30 days. Going forward we can highlight that invoices must be submitted timely to be eligible for reimbursement. Please note that OCGA does not issue vendor service agreements.

## Extramural Fund Management Hot Topics

**Q1: You cannot have the following statement on your analysts' signature lines since it is not accurate since there are plenty of exceptions to your planned policy. Please have your staff add disclaimer that it is not applicable to all awards.**

**EFM analyst has this message: "As announced at the August 2022 RAF, the new procedure of preparing final/final for budget period financial deliverables will be implemented effective January 1, 2023. Under the new procedure, expenses not posted to the ledger by the analysis will not be included in the invoice submitted to the sponsor and the department will be financially responsible for such expenses. If you have any questions, please let me know."**

A1: These comments have been removed from the current final expenditure analysis template.

**Q2: How will this affect our close out of funds for invoices for goods and services that are charged 2 months prior to the end date of the project as well as final invoices from the subawards?**

A2: If the invoices for goods and services are processed and recorded to the project fund 2 months prior to the project end date, they will be included in the final financial deliverables as is today. The new procedure will not impact this. If the question meant to ask what if invoices for goods and services purchased 2 months prior to the project end date have not been processed to be posted to the project fund until the due date of closeout packet, in this scenario, there will be 3 or 4 months of period from the purchasing to the posting that should be reasonable for those invoices to be processed in time that the new procedure should not impact those cases. For the final subawardee invoices, there is a tighter timeline available from the receipt of the invoice to posting, so this is the main area Purchasing and Accounts Payable, ORA, and Departments are exploring solutions to expedite the process as shared through the panel discussion at RAF today.

**Q3: Will a transcript of this Q&A be available on the website?**

A3: Yes, RAF Q&A are posted along with the presentation slides at [ORA RAF website](#).

**Q4: Cash Management and Compliance (CMC) needs attention of the Leadership. At department level, we have to chase sponsor for payments, and once we get confirmation from sponsor about the payment, often times, CMC cannot locate the payment, and we have to ask sponsor again for details. This creates a big problem to departments. Wondering if there is a solution to this. Back in the days when there was a group sitting in EFM to chase payments solely, a person from GL was scanning campus to find places that a certain payment belonged.**

A4: For all contract and grant billings EFM processes, EFM has the dedicated Cash Management (CM) team following up on outstanding Accounts Receivable and locate and applies the payments to the project fund when received. Details of receivable by aging and follow up actions taken by the EFM CM team are described in PAMS Accounts Receivable Page where the Department fund manager can view to check the latest status and history.

Note that industry sponsored clinical trial billing is not processed by EFM. In this scenario, the department processing invoices follows up on outstanding Accounts receivable.

**Q5: In the last RAF, Yoon stated that C&G with closeouts less than 60 days would be exempt from this new policy. Would Yoon please provide information on this exemption?**

A5: More information about applicability of the new proposed procedure can be found on the slide 17~19 of [August 2022 RAF presentation](#). On the slide 19, it says, "For the finals less than 60 days after the project end date, EFM will continue to review expenses included in the COP and include them in the final even if they are not posted to GL, provided that adequate supporting documentation is submitted along with the COP."

**Q6: To confirm, if there was a fix for reports under preliminary review, EFM will add a comment and unflag the report?**

A6: Please visit [EFM's special instruction](#) page for additional information on updates and guidance for certifying effort reports with key UCPATH Issues.