• Welcome and Announcements – Marcia Smith

• Extramural Fund Management – Andrew Merki, Ricky Lee & Yoon Lee
  ◦ PPS Expense Transfer Deadline, FY18-19 Fiscal Closing Schedule, UCPath Salary Cap/MCOP Worksheet

• Research Policy & Compliance – Cicili Brown
  ◦ eDGE Updates

• Office of Human Research Protection Program Updates – Moore Rhys
  ◦ HIPAA Forms for Research, Updated Guidance Documents, OHRPP Training Opportunities

• Office of Contract and Grant Administration – Jim Fong
  ◦ State of CA Indirect Costs, Updated EPASS, Foreign Influence
Fiscal Closing for FY18-19
PPS Payroll expense transfers
UCPath Salary Cap/MCOP worksheet
Fiscal Year 2019 (FY19) Closing
Andrew Merki
FY19 Closing

Closing Schedule

• Fiscal Year End (FYE) Closing is around the corner
• Corporate Financial Services (CFS) released the “FY19 Close Letter and Disposition of Funds” on Wednesday, May 1\textsuperscript{st}
• The letter along with fiscal closing instructions and details are available on the CFS Website
  ◦ \url{https://www.finance.ucla.edu/corporate-accounting/closing-schedule-for-fiscal-year-end}
What should I do now starting in May and continuing through FYE Close?

- Review the fiscal closing letter and schedule to identify deadlines applicable to your area
- Conduct your monthly reconciliation and ledger review to:
  - Verify that expenses booked to the ledger have been recorded to the appropriate FAU
  - Process cost transfers for adjustments, if needed
  - Ensure invoices received from vendors and subcontractors are submitted to the Accounts Payable office timely
  - Contact vendors and subcontractors for invoices billing for goods and services rendered during FY19
FY19 Closing

Expense Transfer Deadlines for EFM Review

• Payroll Expense Deadlines

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• Non-Payroll Expense Deadlines
  ◦ By 10:00am on June 24th - Departments must submit invoices to Accounts Payable for FY19
  ◦ By 5:00pm on July 8th - Departments must submit non-payroll cost transfer to EFM for review

• There are no guarantees for review if expense transfers are submitted after their deadlines.

• Expense transfers that are not reviewed will expire and require the department to resubmit after the Fiscal Year.
• When is the deadline for submitting accruals to EFM?
  ◦ By 5:00 pm on July 5th

• When are accruals required and why do they matter?
  ◦ The Governmental Accounting Standards Board (GASB) requires the UC/UCLA financial statements to be prepared on an “accrual basis” where expenses incurred in a fiscal year are recorded to the year which goods and services were rendered.
  ◦ In other words, an accrual is required if a department receives an invoice for expenses that will be recorded to a research project after the AP deadline of 10:00am on June 24th.

• How do I submit an accrual?
  ◦ Departments must complete the accrual Form E online, and
  ◦ Complete a journal justification, and
  ◦ Submit supporting documentation to EFM at EFMOperations@research.ucla.edu
  ◦ **Note:** Accrual forms, justification template, and instructions will be made available by CFS in June
EFM standard procedure will be to not accept pre-UCPath go live payroll expense transfers debiting to sponsored project funds after PPS support discontinues.

Department will be responsible for finding unrestricted funding source for these payroll expenses.

If payroll expenses need to be transferred off from sponsored project funds after PPS support discontinues, EFM will require the department to submit comprehensive explanation and action plan that includes endorsement of Department CFO, CAO, Director, or an equivalent position on the explanation and action plan.

UCPath: Salary Cap/MCOP Worksheet

Yoon Lee
UCPath Funding Error Correction

• February 27, 2019: Announcement sent to ORA listserv asking for funding error correction including step-by-step guidelines on how to correct these errors.

• Review payroll reports to ensure pay percentages of all positions to the sponsored projects are accurate and make correction upon discovery of errors.
  ◦ A delay in correcting funding entry errors will result in numerous salary cost transfers, may require revision of invoices and financial reports, and may cause the University not to be able to recover costs incurred for the sponsored projects.
  ◦ If you are not the person completing the funding entry page in UCPath, please coordinate with those individuals in your department to make correction in UCPath.
UCPath Funding Error Correction

- Ensure all transactions in the department suspense/default account are moved to correct funding sources. ODS reports are available in CDW.
  - ODS Funding Report – No funding Info: “Add funding sources to these positions”
  - ODS Funding Report – Current and Future funding: “Remove funding end dates of the positions”
UCPath Training Resources

https://ucpath.ucla.edu/training
UCPath: Salary Cap/MCOP Worksheet Demo

Ricky Lee
UCPath MCOP/Salary Cap Worksheet

Ricky Lee
Dean’s Office School of Medicine
Academic Personnel
Any Questions?

Contact Information

EFM Website
http://ora.research.ucla.edu/efm/

UCPath CRU Website
https://www.centralresourceunit.ucla.edu/

Yoon Lee
Phone: X40375
Email: yoon.lee@research.ucla.edu

Andrew Merki
Phone: X40227
Email: andrew.merki@research.ucla.edu
Frequently Asked Questions

- How do I begin my investigator training/certification?
- How do I remove drafts?
- When was the last time I completed my PHS training or submitted my certification?

Additional Updates to eEDGE

- Useful Documentation
HOW DO I BEGIN MY INVESTIGATOR TRAINING/CERTIFICATION?
Welcome to eDGE

Certification and Training Dates

Latest Certification Date: 5/8/2019  
Next COI Training Date: 2/22/2019

Certification Expiration Date: 5/8/2026  
Next COI Training Date: 2/22/2023

This page has links to all of the items applicable to your role as a discler.

New Users: New users, please click the Create/Edit Certification button to complete your training and create your disclosure(s) if applicable. Refer to How to Submit a Disclosure for additional instructions.

My Inbox displays your disclosures.

My Disclosures tab provides your disclosures profile.

Useful Documentation:

- How to submit a draft
- How to edit disclosures
- How to add a disclosure
- How to remove a disclosure
- How to review if disclosures are up to date
- How to respond to changes requested
How to submit a disclosure

1. Click “Create/Edit Certification”:

2. Read “What To Disclose Page” and answer questions:

3. Click “Continue”.
HOW DO I REMOVE DRAFTS?
Welcome to eDGE

Certification and Training Dates

- Latest Certification Date: 3/19/2019
- COI Training Date: 2/22/2019
- Certification Expiration Date: 3/19/2020
- Next COI Training Date: 2/22/2023

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- How to respond to changes requested

No new or additional disclosures can be created until the existing one(s) in 'Draft' under My Inbox have been submitted or deleted.
How to submit a draft

1. Click on your draft:

   ![My Inbox Screenshot]
   
   - ID: DC00021415
   - Name: CICILI BROWN
   - Date Created: 2/22/2019 8:32 AM
   - Date Modified: 2/22/2019 8:42 AM
   - Status: Draft

2. Click on “Edit Disclosures”:

   ![Edit Disclosures Screenshot]
   
   - Status: Draft
   - Type: Disclosure Update
   - ID #: DC00021415

3. Answer questions and click “Continue”:

   ![Questionnaire Screenshot]
   
   - Do you, your spouse or registered domestic partner, or dependent children have any financial interests as defined above?
   - Are you an investigator on any active awards funded by research sponsors that require compliance with these 21CFR regulations?

   ![Continue Button]
WHEN WAS THE LAST TIME I COMPLETED MY PHS TRAINING OR SUBMITTED MY CERTIFICATION?
Welcome to eDGE

Certification and Training Dates

Latest Certification Date: 5/8/2019  
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My Inbox  My Disclosures
USEFUL DOCUMENTATION
Welcome to eDGE

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**My Inbox**

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QUESTIONS?
OHRPP updates

Updates to HIPAA forms
Training Opportunities
Guidance Documents Updates
Subscribe to HRN
HIPAA Authorization Forms - Update

HIPAA authorization forms for research were previously hosted as a courtesy on the OHRPP website:
• They were only available in English and Spanish

The OHRPP website now includes a link to UCOP-compliant HIPAA forms:
• They are available in 10 languages (English, Spanish, Russian, Mandarin, Vietnamese, Farsi, Cambodian, Korean, Tagalog, Arabic)
• These are current forms for use throughout the UC system (last revised 2014)

For questions about HIPAA authorization for research forms, please contact: UCLA Health Office of Compliance Services, Privacy Division (310) 794-8638
OHRPP Training Opportunities - Reminder

OHRPP Quality Improvement Unit will come to your division/department for IRB-related training, customized to your needs.

Recent examples include:
• IRB Basics for 1st year PhD Nursing students
• Revised Common Rule: updates for Children’s Discovery and Innovation Institute

➢ To request a training, please contact:
OHRPP Assistant Director, Education & Quality Improvement
Moore Rhys (310) 794-6339 or moore.rhys@research.ucla.edu
To reflect changes with the revised common rule, 2 more guidance documents have been updated:

- Certification of Exemption from IRB Review
- Levels and Types of IRB Review

Both were updated to reflect procedure changes for no OHRPP/IRB expiration date for minimal risk research and updated regulatory references to reflect the Revised Common Rule.

For more information on the roll-out of the revised common rule, please visit: http://ora.research.ucla.edu/OHRPP/Pages/RevisedCommonRule.aspx
OHRPP “Human Research News” - Reminder

To be the first to know when OHRPP releases guidance and other updates, please subscribe to our listserv

➢ To subscribe, send an email (blank subject and body) to: investigators-l+subscribe@lists.ucla.edu
Office of Contract & Grant Administration

Agenda

• REMINDER: State of California Indirect Cost Rate
• ATTENTION: Updated EPASS
• TRENDING TOPIC: Foreign Influence
State of California Indirect Cost Rate

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Based on Start Date
Letter to UC Chancellors dated February 12, 2019 from the Executive Vice President and Chief Financial Officer

“The commitment to gradually increase indirect cost recovery for agreements from State of California agencies is part of our larger effort to fully recover the costs of extramural projects conducted at the University. Recovering the full cost of a project ensures that we maintain our infrastructure and the quality of our research and training. UC and CSU simply cannot subsidize these costs.”
Updated EPASS

EPASS updated on 4/12/2019

- Does this project involve activities outside the U.S. or partnership with International Collaborators, whether funded or not funded?
  - If yes, list country(ies) in the Remarks section
In the news ...

• About three weeks ago, the University of Texas MD Anderson Cancer Center moved to fire three scientists flagged by the NIH over violations of agency rules
Section 889 titled “PROHIBITION ON CERTAIN TELECOMMUNICATIONS AND VIDEO SURVEILLANCE SERVICES OR EQUIPMENT”

- Executive agencies may not expend loan or grant funds to procure or obtain, extend or renew a contract for covered telecommunications equipment or services or with any entity employing such equipment
- Includes Huawei and ZTE among other companies
Section 1091 titled “PROHIBITION OF FUNDS FOR CHINESE LANGUAGE INSTRUCTION PROVIDED BY A CONFUCIUS INSTITUTE”
• “None of the funds authorized to be appropriated by this Act or otherwise made available for the Department of Defense may be obligated or expended to support a Chinese language program at an institution of higher education that hosts a Confucius Institute”
Section 1286 titled “INITIATIVE TO SUPPORT PROTECTION OF NATIONAL SECURITY ACADEMIC RESEARCHERS FROM UNDUE INFLUENCE AND OTHER SECURITY THREATS”

- To support protection of intellectual property, controlled information, key personnel, and information about critical technologies relevant to national security
- To limit undue influence, including through foreign talent programs, by countries to exploit United States technology within the Department of Defense research, science and technology, and innovation enterprise
Section 1286 requires development of the following:

- “training and other support for academic institutions to promote security and limit undue influence on institutions and personnel”
- “assess whether individuals affiliated with Department of Defense programs have participated in or are currently participating in foreign talent programs or expert recruitment programs”
Memo from the Under Secretary of Defense dated March 20, 2019

• All new DoD Notices of Funding Opportunities pertaining to research and research-related educational activities shall require Other Support “for all key personnel, whether or not the individuals’ efforts under the project are to be funded by the DoD”
FOREIGN INFLUENCE: NIH

NIH Director’s “Dear Colleague Letter” dated August 20, 2018

- “Diversion of intellectual property (IP) in grant applications or produced by NIH-supported biomedical research to other entities, including other countries”
- “Sharing of confidential information on grant applications by NIH peer reviewers with others, including foreign entities, or otherwise attempting to influence funding decisions”
NIH Director’s “Dear Colleague Letter” dated August 20, 2018
• “Failure by some researchers working at NIH-funded institutions in the U.S. to disclose substantial resources from other organizations, including foreign governments, which threatens to distort decisions about the appropriate use of NIH funds.”

Dr. Collins reminds us all that “all applications and progress reports include all sources of research support, financial interests, and relevant affiliations”
NIH Advisory Committee to the Director – December 2018 Report

• “small numbers of scientists have committed serious violations of NIH’s policies and systems by not disclosing foreign support (i.e., grants), laboratories, or funded faculty positions in other countries.”

• “Issues identified by NIH include not disclosing foreign financial conflicts; not fully and accurately disclosing other financial support during grant application, award, and implementation processes; and not disclosing conflict of commitment.”
NIH Advisory Committee to the Director – December 2018 Report

• “In some instances, foreign scientists have failed to disclose other affiliations and positions that often come with resources and equities.”

There are multiple opportunities to disclose all other funding support

• Proposal
• JIT
• Progress Reports
NSF Letter dated April 24, 2019

• Response to Congressional inquiry hinted at changes to their Current and Pending instructions
  o “NSF is currently in the process of developing a clear, standardized, web-based disclosure form for researchers to list all sources of current and pending support”

... Possible updates after this month’s FDP Meeting
Any Questions?

UC Rate: [https://www.ucop.edu/research-policy-analysis-coordination/policies-guidance/indirect-cost-recovery/state-of-california.html](https://www.ucop.edu/research-policy-analysis-coordination/policies-guidance/indirect-cost-recovery/state-of-california.html)

Contact Information

Jim Fong, Assistant Director
Phone: 310-794-0608
Email: jim.fong@research.ucla.edu