

DOM Research Administrator's Meeting

APRIL 18, 2024

Topics Covered



- ▶ Various Topics: Volunteer & Training Opportunities, Dean's Commitment, Post-award topics
- ▶ New Subaward Process effective May 1, 2024
- ▶ Compliance – statement add cost center, sub 08 and AR aging going online (summer)
- ▶ Effort Reports
- ▶ UCPath
- ▶ Pre-Award

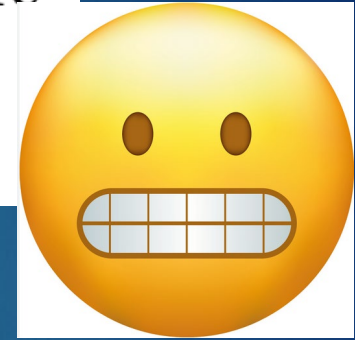
Compliance in Real Life!

- ▶ [Link](#) to article

One Scientist Neglected His Grant Reports. Now U.S. Agencies Are Withholding Grants for an Entire University.

By *Francie Diep*

APRIL 10, 2024



- ▶ The National Institutes of Health, the Office of Naval Research, and the U.S. Army are withholding all of their grants from the University of California at San Diego because one scientist failed to turn in required final reports for two of his grants

Various Topics

Volunteer Opportunity



- ▶ **WHEN:** Saturday, June 1st @ 8:45 am – 12 pm
- ▶ **WHAT:** Produce Sorting at the LA Food Bank
 - ▶ Volunteers will be assembling food kits for over 29,000 low income seniors, women with infants, and children in Los Angeles County
- ▶ **WHERE:** Los Angeles Regional Food Bank – 1701 E. 41st Pl, Los Angeles, CA 90058
- ▶ **WHO:** YOU & your family and friends (age 18 & older)
- ▶ **RSVP:** If you'd like to join, please accept the Outlook calendar invitation or email Cathy if you didn't receive the original invite AND [register online](#). Once registered, a confirmation email will be sent by LA Food Bank with add'l information. Registration **REQUIRED!**



Campus Training Opportunities


- ▶ **DOM ORA:** Please reach out to DOMTraining@mednet.ucla.edu if you/your Division has a need to be trained on any specific topic
 - ▶ Q&A Open House: Every Thursday 1-2 via [Zoom](#)
- ▶ All Classes require MSO approval prior to registration
- ▶ **OCGA:** [Online Registration](#) all classes on Wednesdays
 - ▶ **Outgoing Subaward Basics:** Jun 12, 2024, 9:30-11:00 am
 - ▶ **Preparing an NIH Multiple Component Application in NIH ASSIST:** Jul 17, 2024, 9:30-11:00 am
 - ▶ **Award Processing:** Aug 21, 2024, 9:30-11 am
 - ▶ **S2S Grants Basics:** Sep 18, 2024, 9:00-11:30 am
 - ▶ **EPASS:** Oct 16, 2024, 9:30-11:30 am & Oct 23, 2024, 9:00-11 am

Campus Training Opportunities

- ▶ **UCLA Health IT:** Maximizing Productivity with Zoom
 - ▶ Thursday, April 25, 2024, 1-2 pm
 - ▶ [Register](#) to attend
 - ▶ Topics:
 - ▶ **Clips** - Capture video and screen content to effortlessly and quickly share
 - ▶ **Notes** - Collaborate real-time before, during, and after meetings
 - ▶ **Surveys** - Quickly create and edit surveys/polls directly in Zoom
 - ▶ **Timer** - Improve your presentations with better time management
 - ▶ **Whiteboards** - Brainstorm, plan, and learn with your team

Campus Training Opportunities

▶ EFM: Online Registration

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4h

ILT CLASS

Effort Reporting

This two-day course provides a comprehensive overview of the federal requirement for effort certification, review of the UCLA polic...

📅 Start: 05/20/2024 08:30 am PDT End: 05/21/2024 12:00 pm PDT 📊 LACCHR1092-20240520

♡ 🔗
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3h 30m

ILT CLASS

Post-Award Administration

This two half-day courses will review the sponsored project fund set up process and common post-award financial reporting and c...

📅 Start: 05/06/2024 08:30 am PDT End: 05/07/2024 12:00 pm PDT 📊 LACCHR0397-20240506

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3h 30m

ILT CLASS

RAPID Closeout Tool

The RAPID Closeout Tool course will teach users how to effectively use the closeout tool to help manage and close out awards. The ...

📅 Start: 05/13/2024 08:30 am PDT End: 05/13/2024 12:00 pm PDT 📊 LACCHR0390-20240513

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Dean's Office Commitment Reminder

▶ Deadline for FY24 Q3 (Jan 2024 – Mar 2024) = April 30th

FY24 Reimbursement Deadlines:

Fiscal Period	Reimbursement Request Deadline
Q1 FY24 expenses (Jun 2023 + Q1)	Tuesday, Oct 31, 2023
Q2 FY24 expenses (Sep-Dec 2023)	Wednesday, Jan 31, 2024
Q3 FY24 expenses (Jan-Mar 2024)	Tuesday, Apr 30, 2024
Q4 FY24 expenses (Apr-May only)	Friday, Jun 28, 2024

Request for Authorization to Spend (eRAS)

- ▶ New version of form released 03/26/24
- ▶ Signatures required
 - ▶ PI
 - ▶ Division Chief
- ▶ Reminder to use eRAS in circumstances where funding is guaranteed but fund establishment is projected to be delayed
 - ▶ Helps minimize cost transfers and keeps project spending on track

EPASS Update

There will be an update to the Industry Sponsored Research Questions with the next EPASS release
(thanks to the suggestion of our DOM Fund Managers!)

This question is meant to direct EPASS to TDG, but had misleading language

Current Language: Implies TDG does not execute Clinical Research Agreements

Industry Sponsored Research
Industry Sponsored Non-Clinical Proposal?
 Yes No If yes, attach Industry Sponsored Research Checklist.

New Language: Clarifies the exclusion is only *Clinical Trial* (handled by CTC&SR for Industry Sponsors)

Industry Sponsored Research
Industry Sponsored Non-Clinical Trial Proposal?
 Yes No If yes, attach Industry Sponsored Research Checklist.

Ascend: Business Design Review (BRD) Workshop

- ▶ Sessions 1-2 have already taken place
- ▶ Session 3: Grants Management
 - ▶ Friday, April 19, 9am-1pm
- ▶ Session 4: Planning & Budgeting
 - ▶ Friday, April 26, 10am-Noon

Subawards

New Subaward Process

- ▶ As presented at RAF
- ▶ Change effective May 1, 2024

NEW SUBAWARDS & MIGRATED LEGACY AMENDMENTS

Depts: Submit requisition for new subawards and migrated legacy amendments in BruinBuyPlus with \$1.00 in the object code 7300. Attach (a) award snapshot (or other documentation authorizing subaward to subawardee) and (b) the OCGA Subaward Checklist



Depts: Submit OCGA required documentation inc. req # to OCGAsubawards@research.ucla.edu for OCGA OST to perform required risk assessments and to draft the subaward



PSG: Review requisition and documentation including subawardee, project and period of performance dates, accounting and object codes and approve the PO for \$1



PSG: Approve the change request to post the revised actual \$ to the PO



Depts: Submit "Change Request" in BruinBuyPlus updating actual amounts and line items of the PO. Attach the FE to the change request



OCGA OST: Send fully executed (FE) agreement to subrecipient and department

Amendments to Subawards

- ▶ As presented at RAF
- ▶ Effective May 1, 2024

AMENDMENTS TO NEW SUBAWARDS

Depts: Submit OCGA required documentation inc. req # to OCGAsubawards@research.ucla.edu for OCGA OST to perform required risk assessments and to draft the amendment

OCGA OST: Send fully executed (FE) amendment to subrecipient and department

Depts: Submit "Change Request" in BruinBuyPlus for the previously posted PO with the actual amounts and line items of the subaward amendment, extended period of performance, etc. Attach the FE to the change request

PSG: Approve the change request to post the revised \$ to the PO

Compliance



Financial Statements Compliance Standard *UPDATE*

- ▶ The Naming Convention is now changed to:

- ▶ **Fund Number-Cost Center-account number*_MonthYear**

- ▶ **account number remains optional*

 31764_12_2024.xlsxsm



Old Convention:

Doesn't have Cost
Center

 31764-F2_Mar2024.xlsxsm



New Convention:

Has Cost Center

- ▶ This change is being made to enable electronic auditing of financial statements ran and saved in the correct file location
 - ▶ Ensure all Divisions receive a % ran score every month automatically
 - ▶ Eliminates human error when visually checking for files

Financial Statements

- ▶ Financial Statement Scorecards are available through January 2024 Statements on the [Financial Statements Compliance Site](#)
 - ▶ December 2023: 1 of 8 Divisions audited received passing scores: **Hematology-Oncology**
 - ▶ January 2024: 3 of 9 Divisions audited received passing scores: **Dermatology, Digestive Diseases, Clinical Nutrition**
- ▶ *Reminder:* MSOs are strongly encouraged to review scorecards with Fund Managers as they are received and ensure any errors are not repeated on future reports
 - ▶ Divisions that do not receive passing scores will continue to be audited until a passing score is received
- ▶ Department of Medicine [Financial Statement Compliance Standards](#) may be found on the DOM ORA website

Sub 08

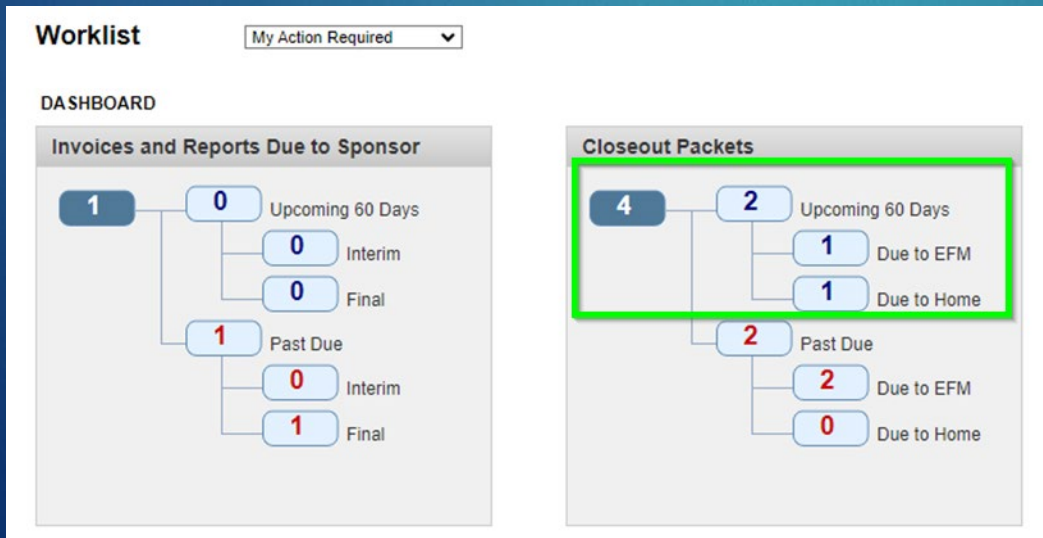
- ▶ Starting with Q3 (Summer) Report, the Excel Report in OData will be replaced with electronic reporting
- ▶ FMs will receive emails for Sub 08 balances, and will follow prompts to provide responses
- ▶ *Reminder:* Resolving Sub 08 balances (aka allocating funds to subs according to established budgets) is a monthly reconciliation task. Most Sub 08 balances should be resolved via TOF submission to perform this task.
- ▶ *Enhancements:*
 - ▶ Fund Managers will now have the opportunity to request an exception for Sub 08 Balances which, if approved, may either temporarily or permanently eliminate the need for future responses
 - ▶ Enables electronic tracking of MSO & DOM Leadership review
- ▶ *Make sure to attend the June 2024 Meeting for Demo!*

AR Aging

- ▶ Starting with Q3 (Summer) Report, the Excel Report in OData will be replaced with electronic reporting
- ▶ FMs will receive emails notifying them of AR >120 days, and will follow prompts to provide feedback for EFM for their AR Aging Report
- ▶ *Reminder:* EFM has requested Department support (FM & PI) where we are unable to recover payments for AR within 120 days. AR that has aged >120 days is considered high risk, where there is potential for failed cost recovery.
- ▶ *Enhancements:*
 - ▶ Fund Managers comments will automatically flow to EFM assigned Accountant once it has been approved by MSO
 - ▶ Enables electronic tracking of MSO & DOM Leadership review
- ▶ *Make sure to attend the June 2024 Meeting for Demo!*

Closeout Packets

- ▶ Fund Managers are required to regularly review financial deliverables assigned in PAMS, including upcoming closeout packets and ensure they are:
 - ▶ Uploaded: ~2 weeks prior to “Deliverable Due” date
 - ▶ Reviewed: ~1 week for MSO & DOM ORA to review
 - ▶ Approved: On (or ideally before) “Deliverable Due” date
- ▶ Closeout Packets that are not fully approved by the due date are officially catalogued as overdue in the system (even if the action required is approvals only).



Department: 1555-MEDICINE-ENDOCRINOLOGY
Closeout Packet Due to EFM: 01/20/24
Final Financial Deliverable Due to Sponsor: 02/19/24

Expired Funds

- ▶ When a fund is not Y/Ned by the date a Financial Deliverable is due to Sponsor, it will appear on the Expired Funds Report
- ▶ Expired Fund ≠ Overdue COP
 - ▶ In many cases, the reason a fund cannot close may *include* that a Closeout Packet has not been prepared, but this is only one potential cause. Other causes include:
 - ▶ Additional Expenditures posted after COP was prepared that need to be reconciled (NPEAR/SCT/Revised Closeout)
 - ▶ Adjustments noted in the COP have not yet been processed, or did not post for the same values noted within the COP. Either additional adjustments or a revised closeout is required
 - ▶ Final Payments are Pending from Sponsor
- ▶ Fund Managers are required to report the cause of all expired funds monthly via the Expired Funds Report and all responses must include an action plan to ensure closeout.
- ▶ It is a double offence for a fund to appear on both the Past Due COP list and the Expired Funds report.

Expired Funds vs COPs Stats

- ▶ Current tally of Expired Funds (end date has passed but fund has not been Y/Ned)
 - ▶ 318 Total
 - ▶ 11 are with EFM for review & Y/N
 - ▶ 208 (65%) do not have an approved COP in PAMS
- ▶ Current tally of Overdue Closeout Packets
 - ▶ 346 Total
 - ▶ 235 packets not yet started
 - ▶ 36 are routed to EFM and waiting on their review/approval
 - ▶ 75 are rejected and waiting on Fund Manager to submit revised files

DOM ORA has begun efforts to prepare COPs on behalf of Division Fund Managers where the fund appears on both the Past Due Closeout Packet list and Expired Funds Report. We will be reaching out to fund managers with overdue closeout packets to ensure these are routed with necessary adjustments/additional transactions noted within packets to help move along the closeout process

Effort Reports

Effort Reports

ERS STATISTICS

4/17/2024

Dept Code	Division Name	Total # ERS Reports	All Open	Percent Open	Exception or Certified/Adjust Reqd	Percent Open that are Exception or Certified/AdjustReqd
1553	Cardiology	7,256	116	1.60%	25	21.6%
1554	Dermatology	1,485	0	0.00%	0	0.0%
1555	Endocrinology	1,679	16	0.95%	0	0.0%
1556	Digestive Diseases	5,146	2	0.04%	2	100.0%
1557	GIM & HSR	6,682	87	1.30%	48	55.2%
1558	Geriatrics	3,858	3	0.08%	1	33.3%
1559	Hematology/Oncology	5,243	34	0.65%	10	29.4%
1560	Infectious Diseases	3,260	83	2.55%	24	28.9%
1561	Nephrology	1,050	3	0.29%	3	100.0%
1562	Pulmonary	3,778	55	1.46%	24	43.6%
1563	Rheumatology	1,412	7	0.50%	0	0.0%
1564	Wadsworth VA	2,100	22	1.05%	3	13.6%
1565	Administration	159	0	0.00%	0	0.0%
1566	CIA	208	0	0.00%	0	0.0%
1567	San Fernando VA	594	1	0.17%	0	0.0%
1568	CARE Center	1,965	63	3.21%	39	61.9%
1569	Clinical Epi	1,064	29	2.73%	6	20.7%
1570	Clinical Nutrition	458	8	1.75%	2	25.0%
1574	NanoMedicine	554	0	0.00%	0	0.0%
TOTAL		47,951	529	1.10%	187	35%

Effort Reports



▶ Upcoming Release

- ▶ Fall 2023 & Winter 2024 effort reports are expected to be released in late April.
- ▶ ERS downtime for system update
 - ▶ 6pm Friday, April 19th through Sunday April 21st.
- ▶ Effort reports with system errors will continue to be flagged as “Under Preliminary Review” with a comment mentioning the type of error

UCPath

GAEL Charge Error Correction

- ▶ General and Employment Liability (GAEL) charges that utilized the Salary Cost Transfer (SCT) tool from November 13, 2023 through January 31, 2024 were incorrectly applied to federal funds. UCPath implemented a permanent solution in January to prevent future errors.
- ▶ April 11, UCPath completed a **retroactive correction/mass benefit cost transfers** for GAEL charges that were incorrectly applied to federal funds during this time frame.
- ▶ Double check your Federal funds to ensure not GAEL (Obj Codes: 3380, 3385, 3390) charges hit your ledgers.

UCPath Salary Cost Transfer (SCT) Direct Retro (DR) Schedules

- ▶ New separate posting schedules for SCT and DR
- ▶ DR post once a month. SCT posts 3-4x/month.

Pre-Award

NIH Resubmissions



- ▶ NOT-OD-24-061 : Effective May 25, 2024, the **use of markups** such as bracketing, indenting, highlighting, bolding, italicizing, underlining, margin lines, change in typography, font, or font color, or any other type of markup **should not be used** to identify changes in Resubmission applications.
- ▶ Changes made to a Resubmission application should only be outlined in the Introduction attachment.

Uniform Grants Guidance 2024 Revision



- ▶ NOT-OD-24-069: The Office of Management and Budget (OMB) proposed revisions to the Uniform Guidance. The anticipated implementation date is October 1, 2024.
- ▶ New thresholds must be used in current federal proposals:
 - ▶ Equipment Threshold: Increase from \$5,000 to \$10,000
 - ▶ Subaward Exclusion Threshold: Increase from \$25,000 to \$50,000

New NIH Forms I

- ▶ [NOT-OD-24-086](#): Use new NIH "FORMS-I" application package for applications due on or after January 25, 2025
- ▶ Application guides for FORMS-I application packages will be posted to the [How to Apply - Application Guide](#) page no later than October 25, 2024.
- ▶ Key Changes ([NOT-OD-24-084](#)):
 - ▶ NRSA Training Grant Applications: New attachment field for the Recruitment Plan to Enhance Diversity, and updates to NRSA Data Tables to reduce applicant and reviewer burden.
 - ▶ Common Form: Implementing the use of universal Biosketch & Current/Pending (Other) Support forms by May 2025. Until fully adopted, continue to use current NIH form versions
- ▶ [High-level Summary of Form Changes in FORMS-I](#)