



UCLA

Office of Research Administration

Research Administration Forum

March 9, 2017

Welcome!

Marcia Smith
Associate Vice Chancellor for Research

Agenda

- **Welcome and Announcements** - *Marcia Smith*
- **Immigration Update and Q & A** – *Sam Nahidi, Assistant Director, Student and Scholar Services, UCLA Dashew Center for International Students and Scholars*
- **UCOP Guidance for F&A Rates for State of California Awards** – *Marcia Smith*
- **OCGA Updates** – *Cindy Gilbert, Kathy Kawamura*
 - NSF Research.gov and FastLane Updates
 - Grant Updates
- **EFM Updates** – *Jen Ear*
 - Managing Accounts Receivable
- **Questions and Discussion**

Immigration Update and Q & A

Sam Nahidi

Assistant Director, Student and Scholar Services

UCLA Dashew Center for International Students and Scholars



Changes to UCOP Guidelines for Acceptable F&A Rates on State Contract and Grant Awards

Marcia Smith
Associate Vice Chancellor for Research

Changes to UCOP Guidelines for Acceptable F&A Rates on State Contract and Grant Awards

- Announcement of the change in F&A rates for State agencies was issued by UCOP in February 1, 2016 as Guidance 16-01.
- Guidance 16-01 requires that State award to UC pay minimum F&A rates:
 - 25% effective July 1, 2016
 - 30% effective July 1, 2017
 - 35% effective July 1, 2018
 - 40% effective July 1, 2019
- Process for seeking exceptions to the 16-01 guidance was not provided until September 2016.
 - UCOP process developed by UC EVP/CFO in consultation with campus Chancellors was approved by Chancellors in October 2016
 - Process requires Chancellor approval to seek UCOP approval for an exception
- In response to the proposed process for exceptions, we provided comments and concerns.
- Verification of the UCOP process to request exceptions to F&A minimum rates was just issued on February 28, 2017.
- OCGA has made every effort to negotiate F&A in accordance with the UCOP guidance since July 2016, but (like all other campuses) has not been successful in a number of cases. In those cases, we have sought UCOP approval of exceptions.
- We have not yet had to decline any State award because the agency would not meet the F&A minimum.
- We are concerned that we may have to decline future awards now that the UCOP process has been confirmed.

Changes to UCOP Guidelines for Acceptable F&A Rates on State Contract and Grant Awards

Issues for consideration:

- Largest State sponsors at UCLA in FY2016 are:
 1. CIRM (\$34M) – pays nearly 54% in most cases
 2. CA Department of Public Health (\$9.5M) – caps F&A at 15%
 3. CA Department of Health Care Services – F&A 24% (average)
- \$65M awarded by State Agencies in FY2016
 - \$22 M (45%) would have been at risk with F&A rate less than 25%
- Exception process requires approval of the Chancellor before forwarding to UCOP for approval – process for approval will take days or weeks
- In FY2016 44% of all State proposals were received by OCGA one day in advance or the day of the sponsor deadline.



Cindy A. Gilbert
Assistant Director

March 9, 2017

Research.gov Single Sign-on

- ORA News – March 1, 2017
- Existing NSF account holders* may now use their UCLA Logon ID to access the Research.gov system.
- Requires a one-time activation process.
- Single Sign-on is only available for Research.gov, not for FastLane.

**New accounts still need to be created by eRA Help staff before the activation process.*

How to Get Initial Access

Send email to erahelp@research.ucla.edu with the following information:

All Users

- First Name
- Last Name
- Middle Initial (if applicable)
- Work Email Address
- Work Phone Number

PIs/Co-PIs Only

- Suffix (Jr., Sr., II, etc.; if applicable)
- Academic Department
- Highest Degree Type
- Highest Degree Year

Confirmation email will be sent when the account has been created.

How to Activate Research.gov Single Sign-on

To activate your UCLA Logon ID with Research.gov

- Navigate to [Research.gov](https://www.research.gov).
- Click the “Log in” button at the top right.
- Under the “Organization Credentials” on the right of the screen select “University of California-Los Angeles” in the drop-down menu.
- Click “Log In” under “Organization Credentials”.
 - This will take you to the UCLA Login Screen.
- Enter your UCLA Login ID and password and login
- Click the “Activate” button
- Enter your last name, NSF ID and password

What's in FastLane and What's in Research.gov

- NSF currently undertaking a multi-year effort to modernize grantee electronic capabilities.
- Transition from FastLane to Research.gov.
- During transition, electronic capabilities will be developed and launched in Research.gov.
- Some may be available simultaneously in FastLane before being retired.
- The following matrix will be updated periodically in the PAPPG.

| Capability | FastLane | Research.gov |
|--|----------|--------------|
| Access Award Documents | ✓ | |
| Complete Financial Functions | | ✓ |
| Manage User Access, Roles, etc. | ✓ | ✓ |
| Prepare and Submit Annual, Final and Interim Reports | | ✓ |
| Prepare and Submit Notifications and Requests | ✓ | ✓ |
| Prepare and Submit Project Outcomes Report | | ✓ |
| Prepare and Submit Proposals | ✓ | |
| Register and Maintain Institutions | ✓ | |
| Request Supplemental Funding | ✓ | |
| Submit Cost Share Reports | ✓ | |
| Submit Proposal File Updates | ✓ | |
| Submit Revised Proposal Budgets | ✓ | |
| View Proposal Status | ✓ | ✓ |
| View Review Information | ✓ | ✓ |

Your Feedback is Valuable

- NSF staff are conducting Electronic Research Administration Forums via webinar.
- PIs and departmental research administrators are encouraged to get involved.
- Visit the [website](#) to:
 - View previous presentations,
 - Sign-up for alerts for future presentations,
 - Ask questions,
 - Provide feedback.

Questions?



Grant Updates

Research Administrator's Forum

March 9, 2017

OCGA INTERNAL DOCUMENTS

(ePass, 740, Edge, 700U, 700U Supplement, 700U Addendum, PI Exception, etc.)

REMINDER:

700U – **State** requirement requires original ink signature

Original Signature NOT required on other Internal Docs (700U Addendum, COI, ePass, etc)

Completed Internal Documents required prior to submission of proposals

Grant Reminders

Progress Report

Please send copies of submitted Progress Reports & corresponding FCOI (eDGE, 740, etc.) to your Analyst/Officer

PATS Number

Prior to an award being funded, please reference the corresponding PATS Number.

NIH Notice Reminders

[NOT-OD-17-022](#) – Final RPPR *(effective 1/1/2017)*

- PDF attachment (FPR) no longer accepted
- RPPR required for Competitive Renewal (Type 2)
 - will be considered either Annual RPPR or Final RPPR

[NOT-OD-16-129](#) - Appendix Material *(effective 1/25/17)*

- Appendix Material limited to shortened allowable list or if otherwise noted in FOA
- If not allowable, applications “will be withdrawn & not reviewed”

PostDoctoral Update

Retro Title Code Change Policy (Grad Division)

- Adhere to the Terms & Conditions of your Sponsor award document.
- Must pay Stipend if required by Sponsor
- Plan Ahead & Organize
 - Submit Title Code changes prior to initiation of fellowship period
 - Adjust fellowship start date as necessary

NIH Training Grant & Fellowship Management Training

COMING SOON

In collaboration with
Graduate Division
UCLA Payroll
Departmental Administrators
ORA (OCGA/EFM)

MASTER TRAINING

<http://www.research.ucla.edu/ocga/training-calendar.html>

MARCH

NIH ASSIST Basics from the Preparers Perspective

**New
Location**

Wednesday, March 22, 2017

10889 Wilshire Blvd., Conf Room 820-20

9:30am-11:00 am

NIH Assist Basics will provide a preparers perspective on how to utilize NIH's proprietary proposal submission system (ASSIST) for Multi-Project Applications (MPA). It is suggested that attendees acquaint themselves with the **NIH Application Guide: Multi-Project (M) Instructions** along with the **FOA** prior to class. This session will address basic functions of the system along with hints and tips for the department preparers and PIs to employ, ensuring an on-time compliant (error-free) application.

MASTER TRAINING

<http://www.research.ucla.edu/ocga/training-calendar.html>

APRIL

OCGA Outgoing Subaward Basics

MAY

S2S Grants Basics

JUNE

Budgets 101

RESEARCH ADMINISTRATION

Extramural Fund Management

March 9, 2017

Managing Accounts Receivable

Jen Ear

Managing Accounts Receivable

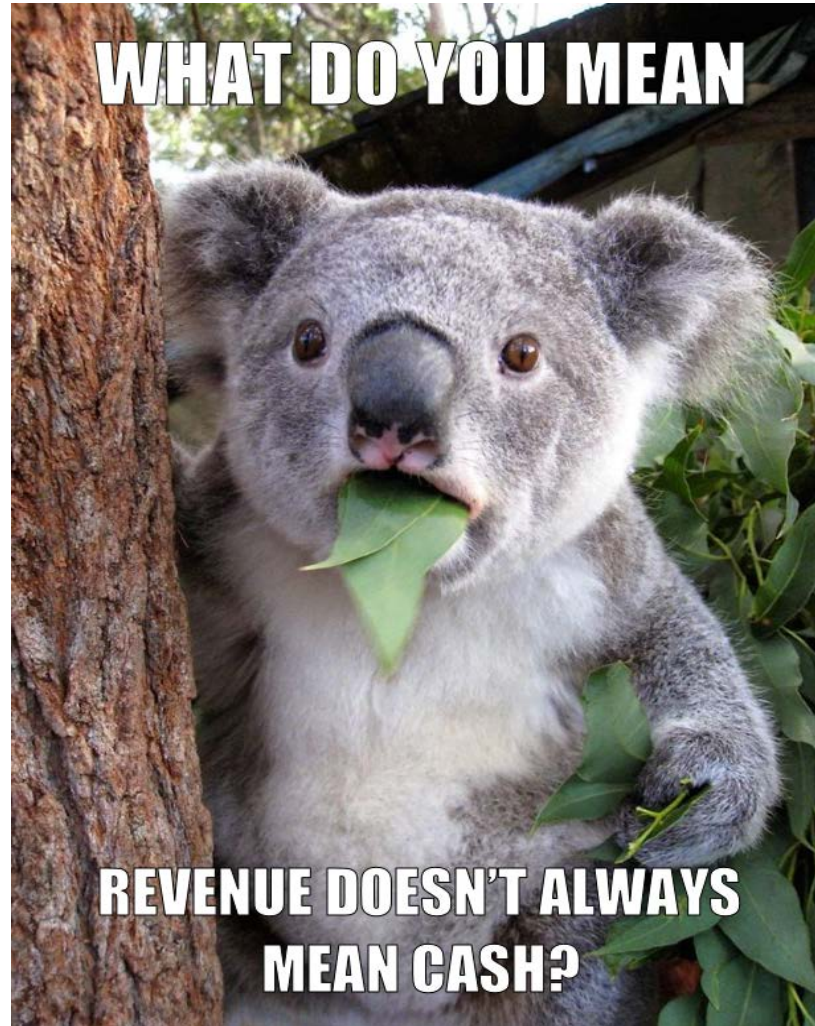
- Zoom Out



Managing Accounts Receivable

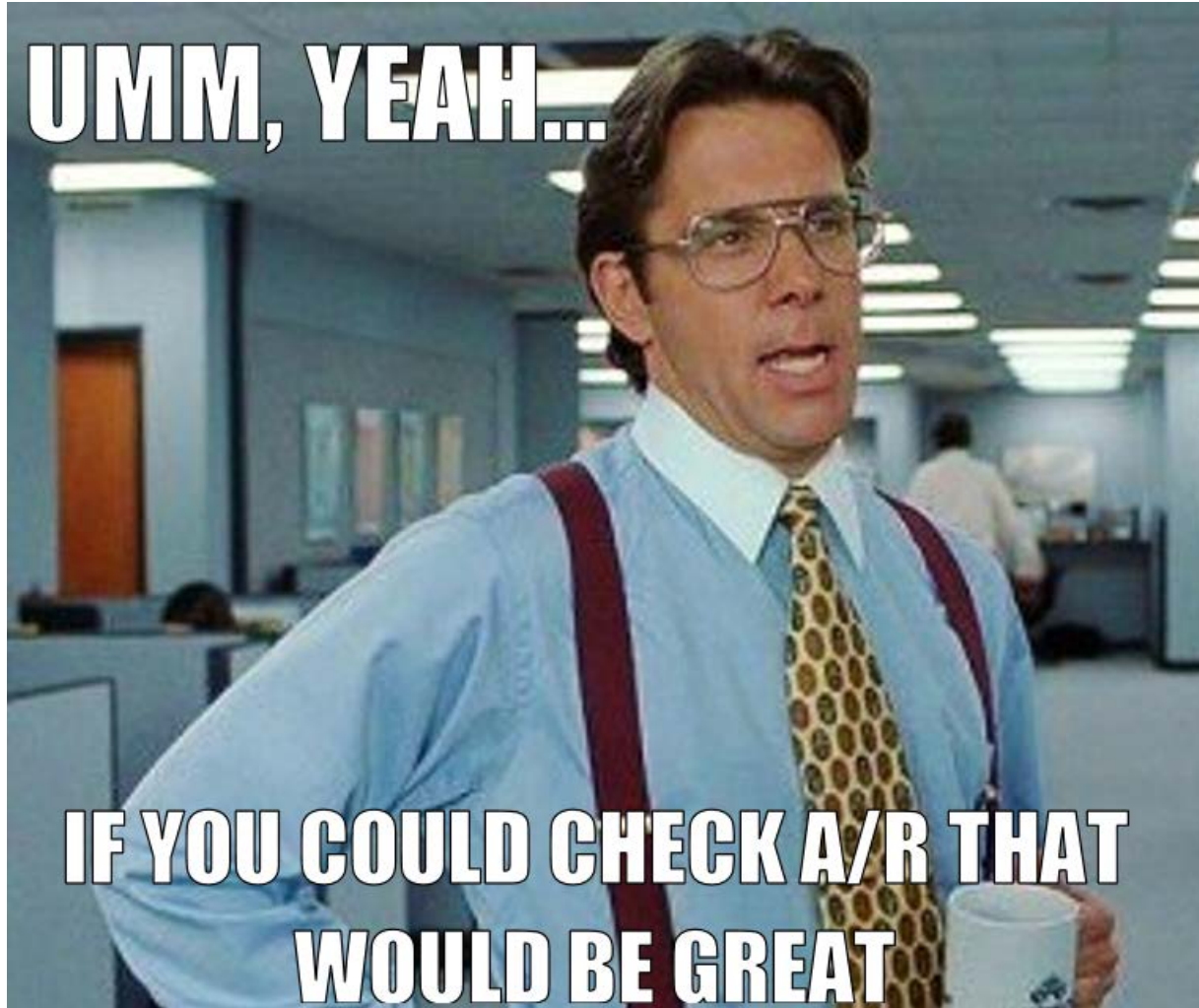


Managing Accounts Receivable



Managing Accounts Receivable

UMM, YEAH...



**IF YOU COULD CHECK A/R THAT
WOULD BE GREAT**

Managing Accounts Receivable

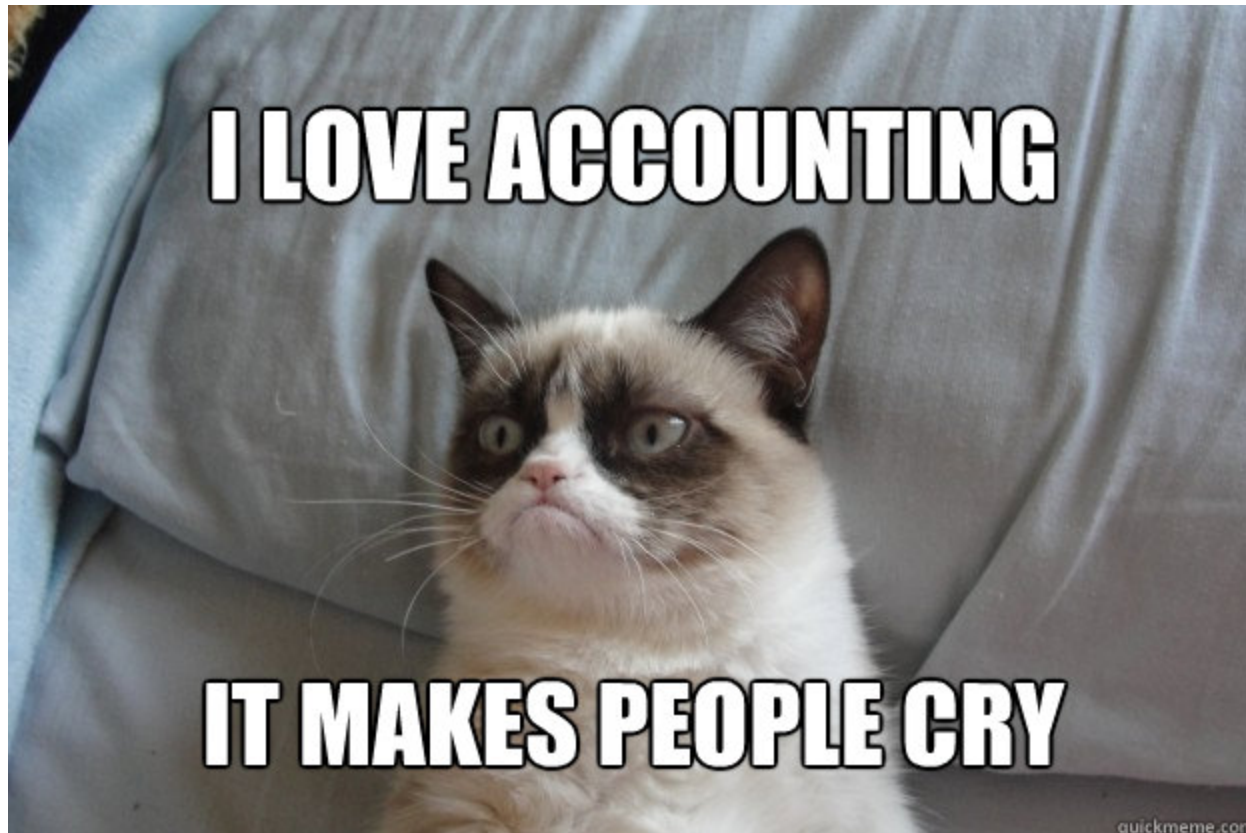
- What is the underlying lesson?

Focusing on one narrow aspect of anything can cause us to lose sight of the bigger picture.

Managing Accounts Receivable

- What is Accounts Receivable (A/R)?
 - Money that UCLA has the right to receive because we have performed work and/or provided goods to our sponsoring agency
 - When money is due to UCLA and an invoice is submitted, revenue and A/R increase. Recorded in our financial system by debiting A/R and crediting revenue.
 - When payment made to UCLA for open A/R, cash is recorded in our financial system by debiting cash and crediting A/R.

Managing Accounts Receivable



Managing Accounts Receivable

- Why is this important?
 - Revenue can mean
 - UCLA has received payment, *or*
 - Recorded a request for payment due to UCLA
 - Revenue does not always indicate the cash payment has been received
 - To ensure the cash is actually received, you must check the A/R for your award
 - Risk for non-recovery of outstanding A/R increases with time

Managing Accounts Receivable

- Common Reasons for Outstanding A/R
 - Late deliverable submission
 - Non-financial Reports
 - Financial Reports and/or Invoices
 - Other Deliverables
 - Billing issues
 - Disallowances
 - Missing or insufficient backup documentation
 - Disagreement between UCLA and sponsor

Managing Accounts Receivable

- Standard Communication Practice for Aging A/R
 - EFM sends a standard template 90 day delinquency letter
 - EFM Cash Management will follow up if A/R ages to 120 days
 - EFM alerts the department administrator and PI in each of these intervals since risk of outstanding A/R has increased

Managing Accounts Receivable

■ Preventative and Corrective Action

| Reason | Dept/PI | EFM |
|---|--|---|
| Late Deliverables (Financial & Non-Financial) | <ul style="list-style-type: none"> • Regular reconciliation of G/L and timely recording of expenses to G/L • Timely submission of pertinent documentation to EFM (e.g. backup, COP, justification) • Timely submission of non-financial requirements • Request extension for submission of deliverables • Work with EFM and any other parties to assist in collecting payment | <ul style="list-style-type: none"> • If required, reach out to dept to obtain information required to submit invoice • For finals, apply closeout procedures • 90 & 120 day communication practice • Work with parties to collect payment |
| Billing Issues | <ul style="list-style-type: none"> • Regular reconciliation of G/L against budget • Timely removal of disallowed costs • If required, obtain approval for budgetary changes • Work with EFM and any other parties to assist in collecting payment | <ul style="list-style-type: none"> • During billing, alert department of any costs not allowable per T&C • 90 & 120 day communication practice • Work with parties to collect payment |
| Dispute with Sponsor | <ul style="list-style-type: none"> • Ongoing communication with Sponsor • Retain records of non-financial submissions • Confirm deliverables were provided to the specifications of the agreement • Work with EFM and OCGA to resolve disputes | <ul style="list-style-type: none"> • 90 & 120 day communication practice • Work with Dept, PI and OCGA to determine how to resolve disputes |

Managing Accounts Receivable

■ Resources

- <http://ora.research.ucla.edu/EFM/Pages/FAQ.aspx>
 - Question #4 & 5
- Contact Information
 - x42834
 - jen.ear@research.ucla.edu

Questions?

