



# Research Administration Forum

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May 14, 2020

Thank you for joining us. The webinar will begin momentarily at 10:00am.

# 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*
- **Updates from the Human Research Protection Program** – *Kristin Craun*
- **Foreign Engagement and Updates from Research Policy and Compliance** – *Ann Pollack*
- **Updates from the OCGA Grants Team** – *Kathy Kawamura*
- **New Systems Supporting Research Safety and Animal Welfare** – *Jennifer Perkins*
- **EFM's PAMS Report of Expired Funds to be Closed** – *Jennifer Iglesias*
- **EFM Fiscal Closing** – *Monida Hean*
- **OCGA Overview of New Forms for Federal Grant Applications** – *Cindy Gilbert*
- **Questions and Discussion**



# OHRPP Updates

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May 14, 2020

# OHRPP Updates

COVID-19 SPFC & IRB review



OHRPP Office Hours

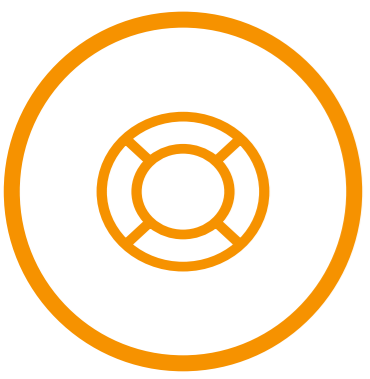


Learn at Lunch



Human Research News



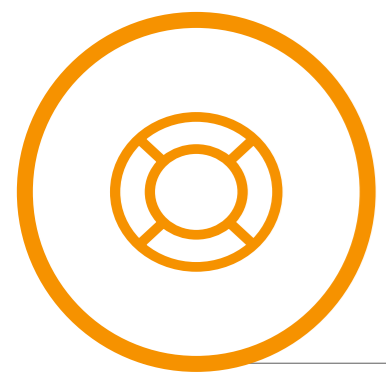


## Scientific Prioritization and Feasibility Committee – Covid-19

- **Part of the DGSOM & UCLA Health system**
- **Purpose is to:**
  - Assess scientific priority
  - Assess operational feasibility
  - Centrally coordinate use of data/specimens
- **For details on SPFC review processes, please visit their [website](#)**



- **A “yes” responses to question 3.0/section 1.1b in a webIRB application will trigger routing to the SPFC COVID-19 committee *before* IRB review:**



# Scientific Prioritization and Feasibility Committee – Covid-19

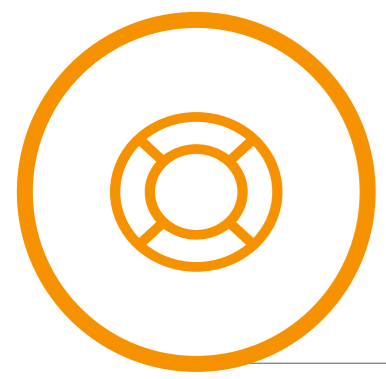
3.0

**\*Is this a COVID-19 research proposal that falls under the following scope:**

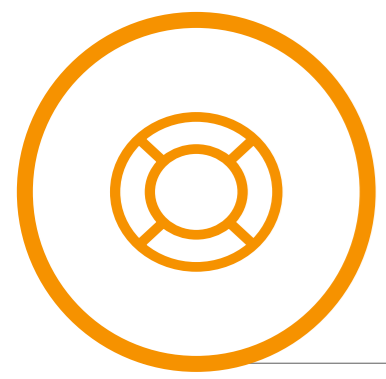
- a. Access to the suspected and confirmed UCLA Health COVID-19 patients.
- b. Access to the electronic medical record chart or data of those patients.
- c. Access to the remnant or research biospecimen collection of those patients.
- d. Planning any clinical research interventional trial (drug/device) for those patients.
- e. COVID Population-based studies that overlap the UCLA Health population or UCLA healthcare workers.

Yes

No



- **SPFC meets *frequently***
- **There are SPFC subcommittees that review different types of proposals to expedite their review process**
- **The SPFC issues correspondence directly to investigators**
  - For questions about the SPFC review process or specific SPFC correspondence, please [contact the SPFC directly](#)



## Scientific Prioritization and Feasibility Committee – Covid-19

- **Once the SPFC has completed their review or has determined an application falls outside of their purview, the application is routed to OHRPP for IRB review**

**COVID-19 Review:  
Completed**

- The IRBs prioritize COVID-related submissions and has an accelerated review process when requested
- ***if you have decided to not proceed*** based on the feedback from SPFC, ***please withdraw*** the application in webIRB to allow the IRB to focus on urgent reviews of other protocols

## OHRPP “Office Hours”

- OHRPP Quality Improvement Unit staff are hosting half-hour open Q/A sessions every week to answer your pressing IRB questions
- *Next sessions* (every week, alternating Tuesday mornings and Thursday afternoons):
  - Thursday, May 21, 2020 3pm
  - Tuesday, May 26, 2020 8:30am

# OHRPP “Office Hours”

## *These sessions are designed to help:*

- Researchers and their staff unsure where to start with an IRB submission (either a new study or taking over on ongoing study)
- Researchers and their staff with questions about OHRPP guidance documents

## *These sessions are not suited for:*

- Specific questions about an application submitted
  - Consult with the OHRPP staff assigned to your submission for assistance instead

# “Learn at Lunch” Series



**Next session:**

***“HIPAA, Experimental Participants Bill of Rights, and Consent: best practices to avoid common pitfalls in research”***

**May 27, 2020 noon-1pm**

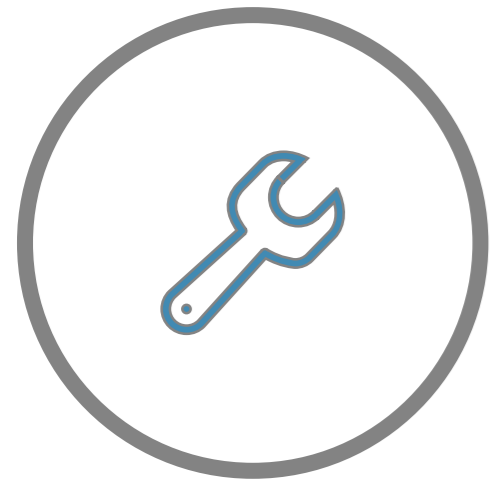
Via zoom - [Registration required](#)

**Presenters:**

- ***Polina Eshkol***, Manager, UCLA Health Office of Compliance Services
- **Moore Rhys**, Asst. Director, OHRPP

# Reminder - Subscribe to Human Research News

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**To be the first to know when OHRPP releases guidance and other updates, please subscribe to Human Research News**

➤ ***To subscribe, visit [ORA news subscription](#)***

# Any Questions?

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## Contact Information

### OHRPP Website

<http://ora.research.ucla.edu/ohrpp>

### Kristin Craun, OHRPP Director

Phone: x33150

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

**UCLA** Research Policy & Compliance

# RPC Announcements



May 2020

Ann Pollack

Associate Vice Chancellor - Research



# Research Policy & Compliance

# Conflict of Interest



- A rapid review process has been established for COVID research projects
- Monthly CIRC meetings are taking place on schedule via zoom

[COI@research.ucla.edu](mailto:COI@research.ucla.edu)

# Export Control



- The Export Control team is conducting reviews and responding to inquiries per usual business practices

[Export.Controls@research.ucla.edu](mailto:Export.Controls@research.ucla.edu)

# Cannabis and Hemp



- All cannabis and hemp-related inquiries are being reviewed per standard procedures

[CannabisQuestions@research.ucla.edu](mailto:CannabisQuestions@research.ucla.edu)

# UCLA Foreign Engagement Website



<https://rpc.research.ucla.edu/foreign-engagement/>

- Launched in March 2020
- Provides guidance to UCLA community, especially faculty, engaged in international collaborations and scholarly activities

[RPC@research.ucla.edu](mailto:RPC@research.ucla.edu)

# UCLA Foreign Engagement Website



<https://rpc.research.ucla.edu/foreign-engagement/>

- Provides guidance to UCLA community, especially faculty, engaged in international collaborations and scholarly activities on:
  - Disclosures for research sponsors
  - Disclosures to UCLA Guidance documents and memos

[RPC@research.ucla.edu](mailto:RPC@research.ucla.edu)

# UCLA-NBER (National Bureau of Economic Research) Memorandum of Understanding

<https://rpc.research.ucla.edu/wp-content/uploads/nber-streamlined-request-approval.pdf>



- UCLA economists who are also affiliates of NBER may seek prior approval to submit certain grants through NBER
- Negotiated a reliance agreement that permits NBER to serve as the IRB of record for research proposals submitted under the streamlined process

[RPC@research.ucla.edu](mailto:RPC@research.ucla.edu)

# Questions?



Ann Pollack, Associate Vice Chancellor-Research  
[apollack@research.ucla.edu](mailto:apollack@research.ucla.edu)

Claudia Modlin, Assistant Director  
[cmodlin@research.ucla.edu](mailto:cmodlin@research.ucla.edu)

General Inquiries  
[RPC@research.ucla.edu](mailto:RPC@research.ucla.edu)



Thank you



# Grant Updates

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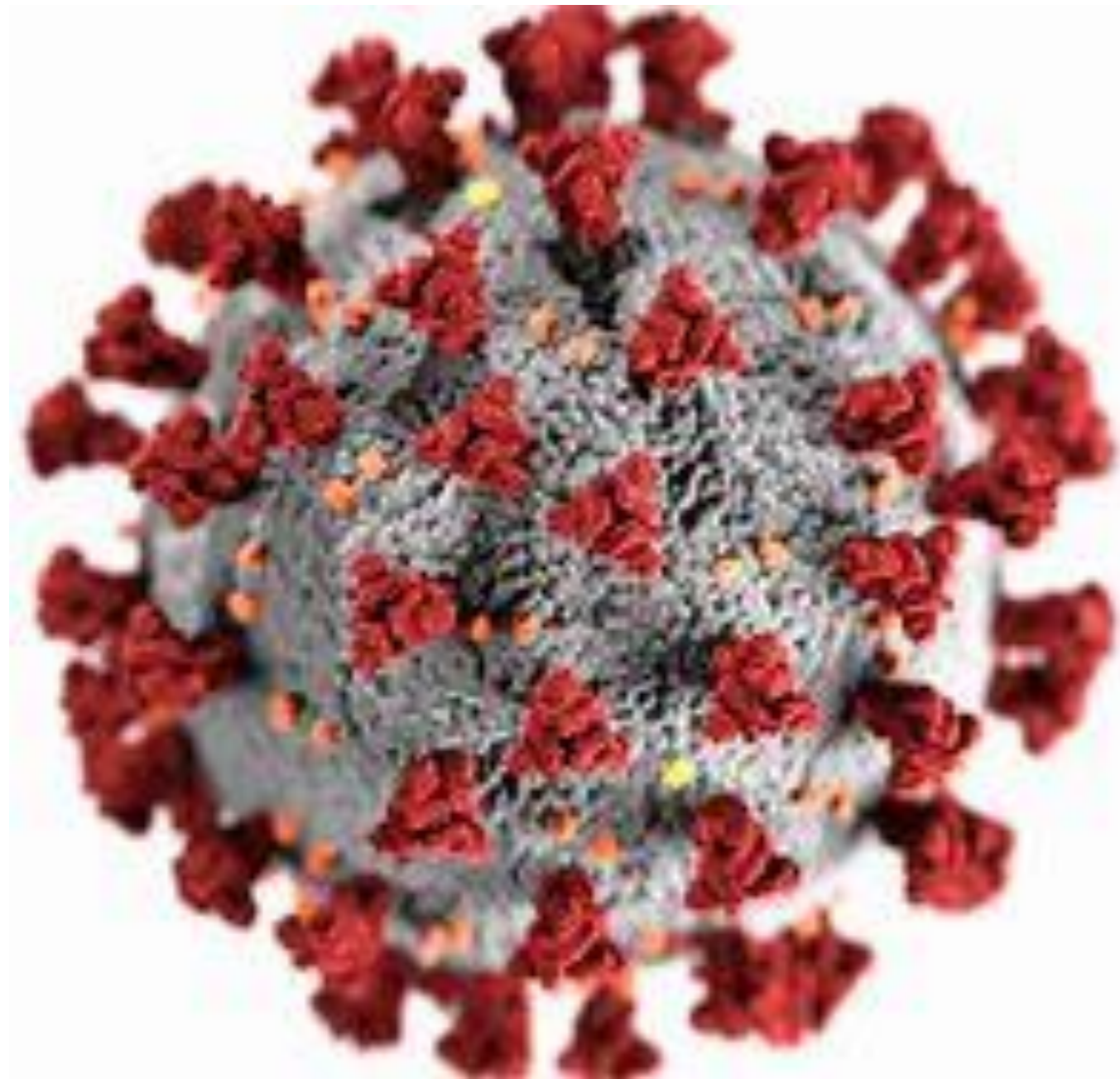
May 14, 2020

# COVID-19 Grant Considerations

**Has there been any effects on your research projects due to COVID-19?**

## Helpful Hints

- Evaluate your PI's Portfolio
- Consistent Messaging to Sponsor
  - Various Communications, Notifications, Requests
    - Ex: Progress Report, Prior Approval Request, etc.
- Future Considerations???
  - Supplemental Funding, No Cost Extension, etc.
- New Award Considerations
  - Delayed Start Date
  - Rebudget Request, Change in Personnel, Change in Scope



# COVID-19 Grant Considerations

## NIH Research Performance Progress Report (RPPR)

Home Admin Institution Profile Personal Profile Status ASSIST Prior Approval **RPPR** FFR xTrain xTrain  
Grant List **Manage RPPR** PD/PI Assurance Report  
A Cover Page B Accomplishments C Products D Participants E Impact **F Changes** G Special Reporting Req

### F.2 Actual or anticipated challenges or delays and actions or plans to resolve them

Describe challenges or delays encountered during the reporting period and actions or plans to resolve them.

Describe only significant challenges that may impede the research (e.g., accrual of patients, hiring of personnel, need for resources or research tools) and emphasize their resolution.

**Nothing to Report**

or describe challenges or delays and plans to resolve them below (NIH recommended length is up to 1 page. Limit is 8000 characters or approximately 3 pages.)

**NOTHING TO REPORT**

### F.3 Significant changes to Human Subjects, Vertebrate Animals, Biohazards, and/or Select Agents

Describe significant deviations, unexpected outcomes, or changes in approved protocols for human subjects, vertebrate animals, biohazards, and/or select agents during this reporting period.

# COVID-19 Grant Considerations

## NIH Research Performance Progress Report (RPPR)

### Other Areas for Consideration



#### B) Accomplishments


 B.1.a Have the **major goals changed** since the initial competing award or previous report?  Yes  No

If yes, list the revised major goals below (NIH recommended length is up to 1 page. Limit is 8000 characters or approximately 3 pages.)

#### B.6 What do you plan to do during the next reporting period to accomplish the goals?

Describe briefly what you plan to do during the next reporting period to accomplish the goals and objectives.

 Discuss efforts to ensure that the approach is scientifically rigorous and results are robust and unbiased. Remember that significant changes in objectives and scope require prior approval of the agency (e.g., NIH Grants Policy Statement, 8.1.2.).

 Include any important modifications to the original plans. Provide a scientific justification for any changes involving research with human subjects or vertebrate animals. A detailed description of such changes must be provided under Changes.

# COVID-19 Grant Considerations

## NIH Research Performance Progress Report (RPPR)

### Other Areas for Consideration



### G) Special Reporting Requirements

#### G.1 Special Notice of Award Terms and Funding Opportunity Announcement Reporting Requirements

Address any special reporting requirements specified in the award terms and conditions in the [Notice of Award \(NoA\)](#) or Funding Opportunity Announcement (FOA).

#### G.9 Foreign Component

"Foreign component" is defined as significant scientific activity that was performed outside of the United States, either by the grantee or by a researcher employed by a foreign organization, whether or not grant funds were expended. The following grant-related activities are significant and must be reported:

- involvement of human subjects or research with live vertebrate animals;
- extensive foreign travel by awardee project staff to collect data, or conduct surveys or sampling activities; or
- any awardee activity that may have an impact on U.S. foreign policy.

Examples of other award-related activities that *may* be significant are:

- collaborations with investigators at a foreign site anticipated to result in co-authorship;
- use of facilities or instrumentation at a foreign site; or
- receipt of financial support or resources from a foreign entity.

Foreign travel for consultation does not meet the definition of foreign component.

# NIH- Foreign Component

## NIH Foreign Component Definition

The performance of any significant scientific element or segment of a project outside of the United States, either by the recipient or by a researcher employed by a foreign organization, whether or not grant funds are expended. Activities that would meet this definition include, but are not limited to, (1) the involvement of human subjects or animals, (2) extensive foreign travel by recipient project staff for the purpose of data collection, surveying, sampling, and similar activities, or (3) any activity of the recipient that may have an impact on U.S. foreign policy through involvement in the affairs or environment of a foreign country. Examples of other grant-related activities that may be significant are:

- collaborations with investigators at a foreign site anticipated to result in co-authorship;
- use of facilities or instrumentation at a foreign site; or
- receipt of financial support or resources from a foreign entity.

Foreign travel for consultation is not considered a foreign component

**REMINDER:** Prior Approval is REQUIRED per [NIH Grants Policy Statement 8.1.2.10](#)

**LOCAL RESOURCES:** [UCLA Research Policy & Compliance Foreign Engagement](#)

# NIH COVID-19 General Information

## COVID-19 Information for NIH Applicants and Recipients of NIH Funding



- \$1.532 billion for NIAID
- \$103.4 million for NHLBI
- \$60 million for NIBIB
- \$36 million for NCATS
- \$30 million for the NIH Office of Director
- \$10 million for NIEHS
- \$10 million for NLM

Additional Video Links

Proposal Submission & Award Management

Human Subject & Clinical Trails

Animal Welfare

Peer Review

[Emergency Competitive Revisions \(PA-20-135\)](#)

[Urgent Competitive Revision \(PA-18-935\)](#)



[Notices of Special Interest \(NOSIs\) YouTube](#)

[NIH COVID History Update](#)

# NIH COVID-19 Grant Flexibilities

## NIH COVID-19 Frequently Asked Questions

### ^ V. Foreign Components

1. If a post-doc on an active NIH grant must return home to a foreign country and work remotely due to COVID-19, must this be reported to NIH as a foreign component?

Yes, this would qualify as a foreign component as per the NIH Grants Policy Statement Section 1.2- Definition of Terms, which defines a foreign component as *“the performance of any significant scientific element or segment of a project outside of the United States, either by the recipient or by a researcher employed by a foreign organization, whether or not grant funds are expended.”*



# NIH

### 3. Will University closings due to COVID 19 be allowed as a reason for ESI end date extensions?

**Yes**, investigators that have been affected by COVID-19 (e.g. university closure) may submit requests for an **extension of ESI status through eRA Commons** via the ESI Extension request button in the Education section of their Personal Profile. Refer to the [ESI FAQs](#) and [eRA Online Help](#) for more information on how to request an extension of ESI status.



## NIH Early Stage Investigators Status (ESI) [NOT-OD-18-235](#)

### • **Must include**

- eCommons Username
- Number of Months for Extension
- New ESI End Date
- Justification for Extension Request
- Family Care Responsibilities
- Extended Periods of Clinical Training
- Extended Periods of Additional (non-degree) Research Training
- Disability or Illness
- Active Duty Military Service
- Clinical Loan Repayment Requirements
- Natural or Other Disaster

[Information on  
Early Stage  
Investigators](#)

# NSF Coronavirus Information

## NSF COVID-19 Flexibilities

### 8. **Prior approval requirement waivers.** (2 CFR § 200.407)

#### 12. **Extension of closeout.** (2 CFR § 200.343)

NSF has automatically extended the due date for submission of all **final project reports** and **Project Outcomes Reports due between March 1 and April 30, 2020, by 30 days.** These final reports must continue to be submitted via Research.gov. Recipients are reminded that NSF cannot make any new award or supplement any existing award if the PI or any co-PI(s) has an overdue final report; therefore, it is vital that final reports be submitted by the revised due date.

NSF also has automatically extended the closeout period for awards that ended between November 30, 2019 and April 30, 2020 to 180 days.

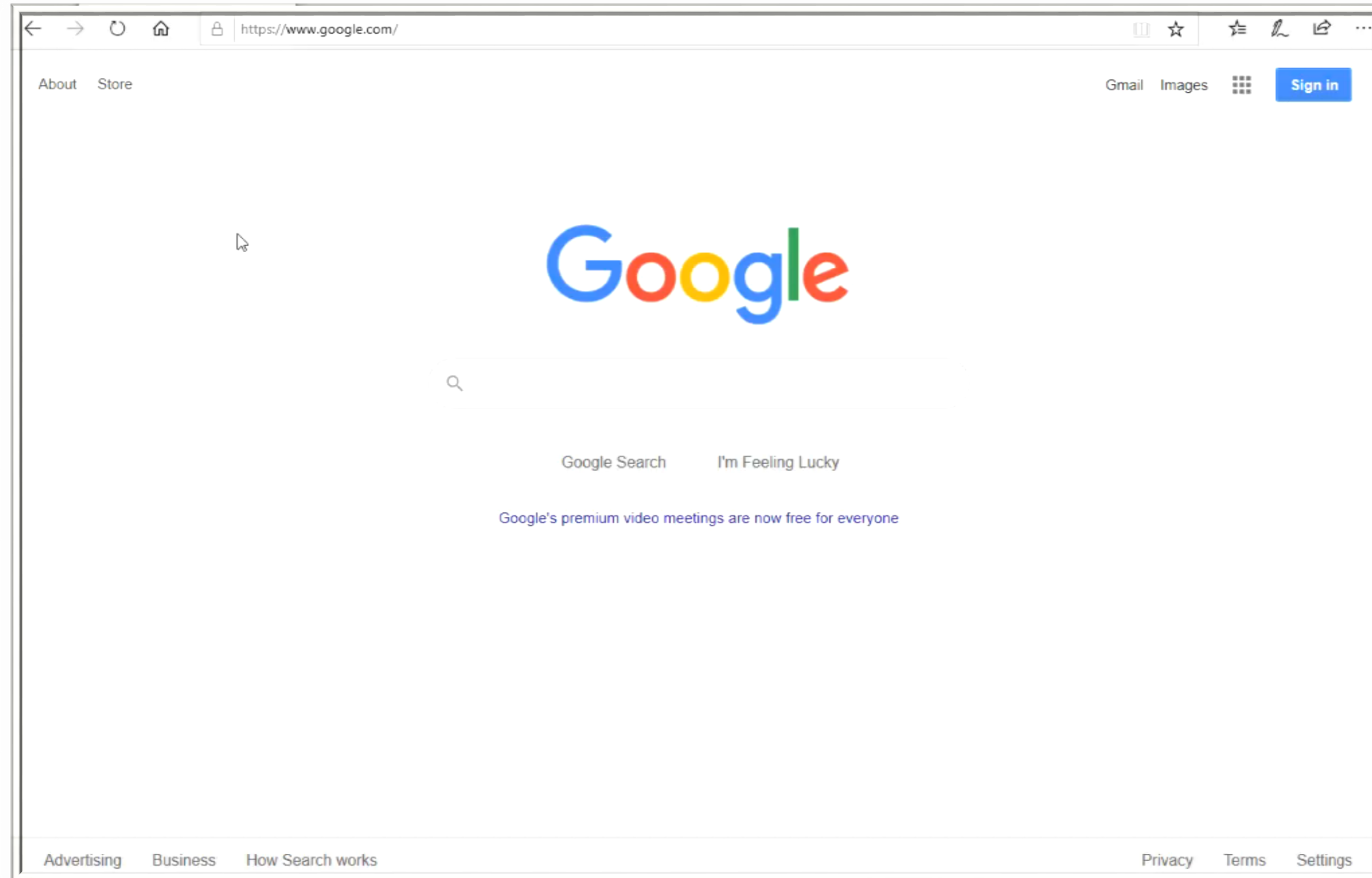
The above requests for prior approval must be submitted via Research.gov. All other prior approvals specified in the applicable Prior Approval Matrix are waived. Recipients are reminded that they are to ensure that all costs charged to NSF awards must be consistent with Federal cost policy guidelines and the terms of the award, except as specified in this guidance.



## NSF COVID-19 FAQs

## NSF COVID-19 Deadline Extensions List

# COVID-19 Grant Resources



# Non-COVID Grant Updates

## American Heart Association (AHA)

- Proposal submission will transition to Proposal Central  
[AHA Application Information](#)

## National Cancer Institute (NCI)

- Proposal Revised Minimum Levels of Effort  
[NOT-CA-20-047](#)

Mechanism	Role	Minimum Level of Effort in person months/year (%)
R01/U01	Single PI	1.8 months (15%)
	Multi-PI	1.2 months (10%) each
P01 <sup>1</sup>	Single PI	1.2 months (10%) <sup>2</sup>
	Multi-PI	0.96 months (8%) each
	Project PI	1.8 months (15%)
	Core Leader	0.6 months (5%) <sup>3</sup>
R21	Single or Multi-PI	0.6 months (5%) each

## Electronic Systems Challenges

- Cayuse
- NIH eCommons
- Grants.gov



# ORIGINAL DOCUMENTS

## Original, Signed (wet ink signature) Documents

### Examples:

State of California – California Fair Political Practices Commission

- **700U**

National Institutes of Health (NIH)

- **Activation Form**
- **Payback Agreement**



# THANK YOU !!!



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# Any Questions?

<http://ocga.research.ucla.edu>



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# Research Safety & Animal Welfare Administration (RSAWA) Updates

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May 2020 RAF

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Research Safety & Animal Welfare Administration

- **System Updates**
- **AAALAC Site Visit**
- **RSAWA Contacts**

Research Safety & Animal Welfare Administration

- **System Updates**

- New Research Application Tracking System (RATS)
  - User Training via Zoom [RATSHelp@research.ucla.edu](mailto:RATSHelp@research.ucla.edu)
    - Introduction to system
    - Advanced training
  - Launch date selected!



# RSAWA Updates

Research Safety & Animal Welfare Administration

- **System Updates**

- SafetyNet – Radiation Use Authorization (RUA)
  - Full launch
  - Reviews already taking place
  - User feedback = critical to improvements



- **AAALAC Site Visit**

- Animal program subject to triennial site visits
  - Team of 4 council members and ad hoc consultants x 4 days
  - Visit all animal facilities
  - Review all records
  - Interview leadership, ARC, researchers, DLAM, EH&S...
- Program description submitted April 14
  - August visit?

Research Safety & Animal Welfare Administration

- ARC Staff: [arc@research.ucla.edu](mailto:arc@research.ucla.edu) or 310-206-6308
- IBC Staff: [ibc@research.ucla.edu](mailto:ibc@research.ucla.edu) or 310-794-0262
- RSC Staff: [rsc@research.ucla.edu](mailto:rsc@research.ucla.edu) or 310-206-5601
- RSAWA Director: [jperkins@research.ucla.edu](mailto:jperkins@research.ucla.edu)  
or 310-794-9645





# Extramural Fund Management

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May 14, 2020

# Agenda

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- **PAMS Report of Expired Funds to Close**
- **Fiscal Closing Update**

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# **PAMS Report of Expired Funds to Close**

Jennifer Iglesias

# PAMS Report of Expired Funds to Close

## About the report

- This report includes contract and grant funds with a fund end date as of 120 days ago or earlier that are still open in the financial system.
- A fund is closed when the OASIS fund table is updated to:

**Fund Closed = "Y" and Reappropriate = "N"**

- There are various reasons why funds cannot be closed, some requiring department and/or EFM to take action close these in the financial system.

◦ Examples:

- Final financial deliverables need to be submitted to the sponsor
- Unallowable expenses need to be removed from funds
- Outstanding A/R balances → UCLA is pending payment

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UCLA-AIS                               *** FUND TABLE ***                               FSM0678A
15:33:50                               PAGE 1                               05/12/2020
Action: B  Table: FN  +                               Last Update: 04/07/2020
Loc: 4    Fund:      +  UCLA Fund Group: 49805 +    Last Upd Logon:
-----
Fund Title: SSA/NASA                               12/19 56%                               Res/UnRes: R (R/U)
Fund Begin/End Dates: 01 01 2017 / 12 31 2019 Fund Dept:
Fund Closed?: Y (Y or blank)                       Closed Date: 02/21/2020   Logon ID:
FYE Processing: A + (A/L/N/P/S) Fund Type: 0 (0=Inception 9=Fiscal)
Reappropriate?: N (Y/N)                           Reappropriation Acct/CC/Sub: ___ / ___ / ___
Award No:      + PATS No:                               Award Issue Date 07 18 2019
CFDA: 43.001 +   Spon Awd No/Type:                               3 Awd ERS Cd: _ +
Sponsor CD: 007971 + SYSTEM SCIENCE APPLICATIONS INC.
Primary Sponsor: 000400 + NASA-WASHINGTON D.C. HEADQUARTERS
Prin. Inv:                                           P.I. UID:
Assoc Inv: _____ Fund Purp.: 0101 Document Num: _____
Cost Share: N (Y/N)   Fund Flow: 3   FN Flow ERS Cd: _ +
Meth. of Pay: 20 +   Campus? 1 (1=On 2=Off)   E-Verify: N (Y/N or blank)
UCLA Fund Group Title: PRIVATE GRANTS
Site Tracking:   Fed.Branch Code: ___ + _____
UCOP Fund GP Code: 408300 + CURR, PRIVATE, GRANTS - RESTRICT
  
```

**We need your help to close expired funds!**

# PAMS Report of Expired Funds to Close

## Data elements

- The final financial deliverable for each fund with associated comments from PAMS

Category	EFM Team	EFM Accountant	Department Fund Manager	Location Code	Fund Number	Fund End Date	Final Deliverable Due Date	Final Deliverable Status	Last Comment Date	Last Comment
1	1	Michelle Bright	Joe Bruin	4	12345	12/31/2019	03/30/2020	Submitted to Sponsor	03/24/2020	Submitted FFR to Sponsor via Commons.
1	3	Michelle Bright	Joe Bruin	4	67890	06/30/2014	08/30/2014	Submitted-Revised	01/21/2020	Revision Code: 01-To revise due to an increase in expenditures
1	1	Michelle Bright	Joe Bruin	4	14321	11/21/2019	02/21/2020	Submitted to Sponsor	02/21/2020	Submitted via AHA portal Grants@Heart.
1	1	Olivia Williams	Joe Bruin	4	11345	05/31/2018	07/30/2018	Submitted to Sponsor	07/25/2018	Submitted via portal
1	3	Olivia Williams	Joe Bruin	4	69876	09/30/2019	11/30/2019	Submitted to Sponsor	11/18/2019	Submitted via e-mail.
1	1	Olivia Williams	Josie Bruin	4	23456	02/28/2019	03/31/2019	Submitted to Sponsor	03/28/2019	Invoice #5 (FINAL) emailed to sponsor, cc dept and PI
1	1	Olivia Williams	Josie Bruin	4	98910	06/30/2019	08/31/2019	Submitted to Sponsor	08/26/2019	80189_06302019F
1	2	Olivia Williams	Josie Bruin	4	34567	12/31/2019	02/28/2020	Submitted to Sponsor	01/24/2020	For internal closing only.
1	3	Olivia Williams	Josie Bruin	4	76543	02/28/2019	07/31/2019	Submitted to Sponsor	07/31/2019	Final FFR ended 1/31/19: Submitted via eRA Commons.
1	1	Olivia Williams	Josie Bruin	4	98765	08/31/2019	11/29/2019	Submitted to Sponsor	10/24/2019	JS - 10/24/2019 - Submitted invoice to dpt and PI.

- Financial information from general ledger as of the report run date, which include:
  - Inception-to-date Appropriation and Expenses, Operating Balance, Revenue, Accounts Receivable

Fund Number	Fund End Date	Final Deliverable Due Date	Final Deliverable Status	ITD Appropriation	ITD Expenses	Encumbrance	Ledger Balance	Memo-Lien	Budgetary Balance	Total Operating Balance	Revenue	AR Balance	AP Balance: 115532
12345	12/31/2019	03/30/2020	Submitted to Sponsor	49,069.88	49,197.56	-	(127.68)	-	(127.68)	(0.56)	49,197.00	-	-
67890	06/30/2014	08/30/2014	Submitted-Revised	250,792.89	250,792.89	-	-	-	-	201.66	250,893.72	-	-
14321	11/21/2019	02/21/2020	Submitted to Sponsor	75,000.00	74,953.78	-	46.22	-	46.22	46.22	75,000.00	-	-
11345	05/31/2018	07/30/2018	Submitted to Sponsor	240,831.00	258,296.12	-	(17,465.12)	-	(17,465.12)	(52,743.73)	-	-	-
69876	09/30/2019	11/30/2019	Submitted to Sponsor	249,466.71	244,960.10	-	4,506.61	-	4,506.61	5,039.90	250,000.00	-	-
23456	02/28/2019	03/31/2019	Submitted to Sponsor	226,924.00	226,868.61	-	55.39	-	55.39	55.39	226,924.00	-	-
98910	06/30/2019	08/31/2019	Submitted to Sponsor	39,735.02	27,173.02	-	12,562.00	-	12,562.00	12,562.00	39,735.02	-	-
34567	12/31/2019	02/28/2020	Submitted to Sponsor	235,979.29	237,690.01	-	(1,710.72)	-	(1,710.72)	(1,710.72)	235,979.29	-	-
76543	02/28/2019	07/31/2019	Submitted to Sponsor	173,789.92	172,853.62	-	936.30	-	936.30	-	172,853.62	-	-
98765	08/31/2019	11/29/2019	Submitted to Sponsor	19,588.98	19,588.98	-	-	-	-	-	19,588.98	-	-

# PAMS Report of Expired Funds to Close

Data elements

Financial Deliverables		
Completion Stage	Statuses in PAMS	Definitions
Not Started	Not Started	Deliverable that has not yet been started. No action has been taken by EFM Preparer.
	In Process	Deliverable currently in process for completion by EFM Preparer.
In Process	Pending Department Action	A deliverable that cannot be submitted to the sponsor until information is obtained from the department. Reasons for this can vary and will be noted within the comments of the financial deliverable (e.g. Milestone confirmation, invoice/financial report on sponsor template, etc.)
	Submitted to Approver	Deliverable that has been completed by the EFM preparer and is pending EFM reviewer's signature.
	Approved	Deliverable that has been signed by the EFM reviewer.
Terminal	Completed	Indicates payment has been received or payment has been requested from the sponsor.
	Submitted to Sponsor	A deliverable that has been completed and submitted to the sponsor.
	Submitted-Revised	A deliverable that has been revised and submitted to the sponsor.
	Reviewed Not Submitted	A deliverable not sent to the sponsor. Reasons for this can vary and will be noted via the comments of the financial deliverable.

# When can a fund be fiscally closed?

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- **Complete all financial deliverables**
  - All required invoices and/or financial reports are submitted to the sponsor
- **Confirm general ledger expenses agree with total expenses in the final invoice/financial report**
  - Complete cost transfers to/from the funds
  - Operating balance = \$0
- **Confirm all obligations are paid**
  - Accounts payable balance = \$0
- **Confirm all payments have been collected**
  - Accounts receivables balance = \$0

# PAMS Report of Expired Funds to Close

Categories	Definitions
1 All balances = \$0	Balances in Operating Balance, Accounts Payable, and Accounts Receivable are zero.
2 Only open AR	Payment is owed to UCLA for the amount shown in the accounts receivable for that fund.
3 Balance in one area only (Encumbrance or AP)	Balance in encumbrance: invoice has yet to be received or paid to the vendor. Balance in Accounts Payable: Vendor has not cashed a check payment.
4 Only non-Zero Operating Balance	The fund has a total operating balance.
5 Multiple balances	There are balances in various accounts of the fund.
6 Financial Deliverables in a Non-terminal status	Final financial deliverables for these funds have not been submitted to the sponsor.

- **Pre-defined categories to guide departments with closing expired funds.**
  - *Note: categories are not exhaustive. Data can be organized to suit each department's needs.*
- Categories 1-5 are funds where invoice/financial reports have been completed.
- Category 1 are funds that EFM can independently close.
- **Categories 2-6 is where department action is needed.**

# Where to start?

Categories	Definitions
1 All balances = \$0	Balances in Operating Balance, Accounts Payable, and Accounts Receivable are zero.
2 Only open AR	Payment is owed to UCLA for the amount shown in the accounts receivable for that fund.
Balance in one area only 3 (Encumbrance or AP)	Balance in encumbrance: invoice has yet to be received or paid to the vendor. Balance in Accounts Payable: Vendor has not cashed a check payment.
4 Only non-Zero Operating Balance	The fund has a total operating balance.
5 Multiple balances	There are balances in various accounts of the fund.
Financial Deliverables in a Non- 6 terminal status	Final financial deliverables for these funds have not been submitted to the sponsor.

**Category #2: Only open AR** (EFM will involve department as needed)

**Category #6: Financial Deliverables in a Non-terminal status**

- Deliverables with a status of “Pending department action”, complete information requested by EFM.
  - Detailed supporting schedules for invoices/financial reports on sponsor’s template
  - PI’s confirmation of milestone completion
  - PI’s assurance and justifications for awards subject to UCLA Policy 913: *Disposition of Unexpended Balances in Fixed Rate and Fixed Price Contracts and Nonrefundable Grants*

# Where to start?

Categories	Definitions
1 All balances = \$0	Balances in Operating Balance, Accounts Payable, and Accounts Receivable are zero.
2 Only open AR	Payment is owed to UCLA for the amount shown in the accounts receivable for that fund.
3 Balance in one area only (Encumbrance or AP)	Balance in encumbrance: invoice has yet to be received or paid to the vendor. Balance in Accounts Payable: Vendor has not cashed a check payment.
4 Only non-Zero Operating Balance	The fund has a total operating balance.
5 Multiple balances	There are balances in various accounts of the fund.
6 Financial Deliverables in a Non-terminal status	Final financial deliverables for these funds have not been submitted to the sponsor.

### Category #3: Balance in one area only (Encumbrance or AP)

- Financial deliverable has been submitted to the sponsor.
- Fund cannot be closed due to balance in either the encumbrance or accounts payable account.
- Review outstanding invoices from vendors and take appropriate action in BruinBuy.

# Where to start?

Categories	Definitions
1 All balances = \$0	Balances in Operating Balance, Accounts Payable, and Accounts Receivable are zero.
2 Only open AR	Payment is owed to UCLA for the amount shown in the accounts receivable for that fund.
Balance in one area only	Balance in encumbrance: invoice has yet to be received or paid to the vendor.
3 (Encumbrance or AP)	Balance in Accounts Payable: Vendor has not cashed a check payment.
4 Only non-Zero Operating Balance	The fund has a total operating balance.
5 Multiple balances	There are balances in various accounts of the fund.
Financial Deliverables in a Non-terminal status	Final financial deliverables for these funds have not been submitted to the sponsor.
6	

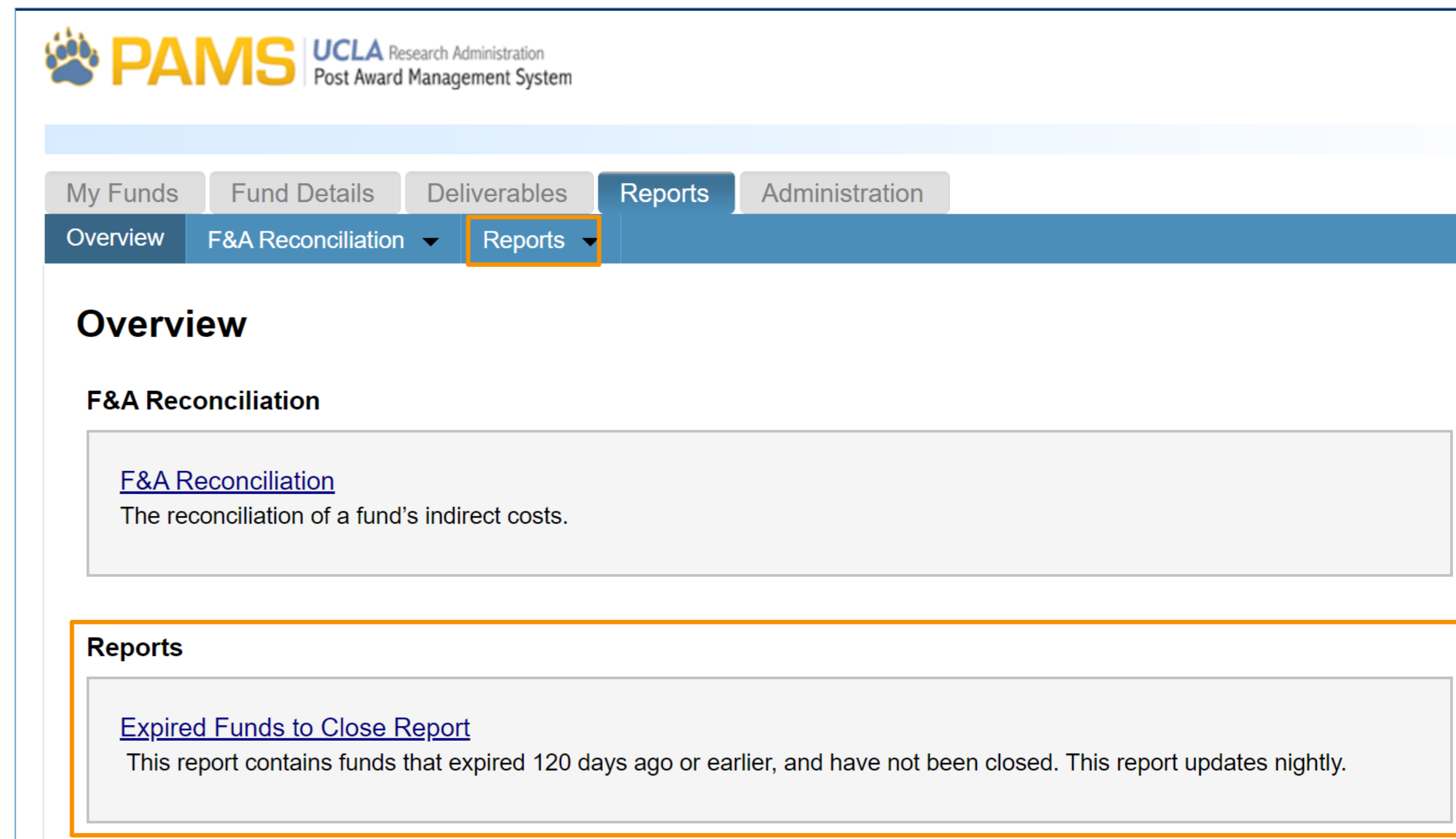
### Category #4: Only non-Zero Operating Balance

- Financial deliverable has been submitted to the sponsor. Fund cannot be closed due to the operating balance that exists.
- Review the total expenses reported in the final financial deliverable compared to total expenses recorded in the general ledger.
- Process cost transfers from/to the contract and grant fund.

# Accessing the report

Post Award Management System (PAMS): <https://pams.research.ucla.edu/>

- Expired Funds to Close report is available to all PAMS users.
- Located under the “Reports” tab
- Report updated nightly, available on-demand via Excel download
- For access to PAMS, submit a New User Request form to:  
[PAMSHelp@research.ucla.edu](mailto:PAMSHelp@research.ucla.edu)



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# Fiscal Closing Update

Monida Hean

# Overview

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- **Fiscal Year End (FYE) closing is around the corner**
- **Corporate Financial Services (CFS) released the 2019-20 Closing Schedule for Fiscal Year End on 04/24/2020**
  - <https://www.finance.ucla.edu/corporate-accounting/closing-schedule-for-fiscal-year-end>
- **EFM have compiled deadlines for campus to submit to EFM for review and processing**
- **EFM sent an announcement of FYE Close EFM deadlines on 05/13/2020.**
  - Email Subject: 2019-20 FYE Close - EFM Deadlines

# Fiscal Year End Preparation

## Reconciling and Recording Expenses

### What to do in May and continuing through FYE Close

- **Review the fiscal closing letter and schedule to identify deadlines applicable to your area**
- **Conduct monthly reconciliation and ledger review:**
  - Verify that expenses booked to the ledger have been recorded to the appropriate FAU
  - Process cost transfers for adjustments, if needed
  - Submit vendor and subcontractor invoices to Accounts Payable in a timely manner
  - Contact vendors and subcontractors for invoices billing for goods and services rendered during FY19-20

# FYE Close – EFM Deadlines

Description	Deadline to Submit to EFM for Review/Processing	Deadline for EFM to Review, Approve, and Process
Payroll (UCPath) Direct Retro Expense Transfer	06/30/2020 @ 10:00 AM	07/06/2020 @ 5:00 PM
PPS Costs Transfer Journal Request	06/30/2020 @ 10:00 AM	07/10/2020 @ 8:00 PM
Accrual/Deferral Forms and Supporting Documents	07/06/2020 @ 10:00 AM	07/10/2020 @ 8:00 PM
NPEAR Non-Payroll Expense Adjustments	07/06/2020 @ 10:00 AM	07/10/2020 @ 8:00 PM

# Expense Transfer

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## Payroll and Non-Payroll

- **If the expense transfers are submitted after the deadlines, there is no guarantee that it will be reviewed in time for the fiscal year.**
- **Expense transfers that are not reviewed will be reviewed and processed next fiscal year.**

# Accruals

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## When accruals are required & why it matters:

- 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 June 12<sup>th</sup>.

## Steps to submit an accrual:

- Complete the accrual Form E
- Complete journal justification
- Submit supporting documentation to EFM at [EFMOperations@research.ucla.edu](mailto:EFMOperations@research.ucla.edu)

**Note:** accrual forms, justification template, and instructions will be published by CFS in June

# Any Questions?

## Contact Information

### EFM Website

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

### Jennifer Iglesias

Phone: x42846

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

### Monida Hean

Phone: x69479

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



# OCGA Updates

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Research Administration Forum

May 14, 2020

# Today's Topics

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- NSF-approved formats for Biographical Sketch and Current and Pending Support
- NIH and AHRQ Forms-F
- OCGA Master Training

# NSF Biosketch and Current and Pending Support

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## Format/System Requirements

- Required for all proposals submitted or due on or after June 1, 2020.
- Two options for Biosketch and Current and Pending Support:
  - SciENcv
  - Fillable PDF.
- SciENcv will produce an NSF-compliant PDF version of the Current and Pending Support information.
  - Save the document to a local drive.
  - Upload to proposal (FastLane, Research.gov, S2S Grants).
  - Do not alter SciENcv-generated documents.
    - NSF systems can detect altered documents and will generate an error.

# NSF Biosketch and Current and Pending Support

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## What's "New" – Current and Pending Support

- Information must be provided for all current and pending support regardless of whether it is received through UCLA or directly to the individual.
- Project or in-kind contributions without a commitment of time are not required to be reported.
- Examples expanded to include non-profit organizations.

# NSF Biosketch and Current and Pending Support

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## What's "New" – Biographical Sketch

- Appointments section must include all academic, professional or institutional titled positions regardless of whether payment is received.
- Synergistic Activities must be specific and cannot include multiple examples for a single activity.

# NSF Biosketch and Current and Pending Support

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## Resources

- NSF
  - [NSF-Approved Formats for the Biographical Sketch](#)
  - [NSF-Approved Formats for Current and Pending Support](#)
  - [NSF-Approved Formats for the Biographical Sketch & Current and Pending Support Sections of Proposals](#) - NSF Webinar (recorded April 9, 2020)
  - [NSF ERA Forum Webinar](#) (May 14, 2020)
- Other
  - [ORCID](#) – UCLA Library Research Guides
  - [Using SciENcv to Create Your Biosketch](#) – NC State University Libraries
  - [ORCID – Connecting the Research Community](#) – NCURA Webinar (recorded April 30, 2020)

# NIH and AHRQ Forms-F

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## NOT-OD-20-077

- Applies to applications with *due dates* on or after May 25, 2020.
- Complete list of current Parent FOAs available at:

[https://grants.nih.gov/grants/guide/parent\\_announcements.htm](https://grants.nih.gov/grants/guide/parent_announcements.htm)

- Keyword search available at [Grants.gov](https://grants.gov).

# NIH and AHRQ Forms-F

<b>Funding Opportunity Title</b>	NIH Research Project Grant (Parent R01 Clinical Trial Not Allowed)
<b>Activity Code</b>	R01 Research Project Grant
<b>Announcement Type</b>	Reissue of PA-18-484
<b>Related Notices</b>	<ul style="list-style-type: none"><li>• <b>May 05, 2020</b> - This PA has been reissued as PA-20-185.</li><li>• <del>May 05, 2020</del> - Notice of Change in Topic Areas of interest for NOT-HL-20-761. See Notice NOT-HL-20-790</li></ul>

- Not all Forms-E FOAs will be reissued.
- If no reissue information is indicated:
  - use the current Parent FOA, or
  - advise PI to check with Program Manager.

# NIH and AHRQ Forms-F

Selecting the Correct form set in S2S Grants

Opportunities					Proposals	People	Institutions	Reports
Opportunities								
				Search				
25		Page 16		of 20				
	Opportunity Number	Title	Comp. ID	Comp. Title				
+	PA-18-590	Change of Grantee Organization (Type 7 Parent Clin	FORMS-E-TYPE7-	Use for fellowships				
+	PA-18-590	Change of Grantee Organization (Type 7 Parent Clin	FORMS-E-TYPE7-	Use for instrumenta				
+	PA-18-590	Change of Grantee Organization (Type 7 Parent Clin	FORMS-E-TYPE7-	Use for research gr				
+	PA-18-590	Change of Grantee Organization (Type 7 Parent Clin	FORMS-E-TYPE7-	Use for DP1, DP2,				
+	PA-18-590	Change of Grantee Organization (Type 7 Parent Clin	FORMS-E-TYPE7-	Use for SBIR				
+	PA-18-590	Change of Grantee Organization (Type 7 Parent Clin	FORMS-E-TYPE7-	Use for institutional				
+	PAR-19-305	Early-Stage T1 Translational Aging Research (Bench	FORMS-F	Use for due dates o				
+	PA-20-142	Ruth L. Kirschstein National Research Service Awar	FORMS-F	Use for due dates o				
+	PA-20-145	Innovations in HIV Prevention, Testing, Adherence an	FORMS-F	Use for due dates o				
+	RFA-CA-20-004	Research Answers to National Cancer Institute's (NC	FORMS-F	Use for due dates o				

# NIH and AHRQ Forms-F

1	
2	
<input checked="" type="checkbox"/> PHS 398 Research Plan	
1	
<input type="checkbox"/> PHS Assignment Request	
1	
<b>Proposal Summary</b>	
Summary	
Supporting Documents	
<b>Proposal Management</b>	
Permissions	
<b>Electronic Submission</b>	
Proposal History	

**Electronic Submission**

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**Opportunity Details**

<b>Opportunity</b>	Mechanisms of Alcohol-associated Cancers (R01)
<b>Opportunity Number</b>	PA-17-220
<b>Package ID</b>	PKG00259223
<b>Competition ID</b>	FORMS-F
<b>Competition Title</b>	Use for due dates on or after May 25, 2020
<b>CFDA #</b>	
<b>CFDA Description</b>	
<b>Offering Agency</b>	National Institutes of Health
<b>Agency Contact</b>	eRA Service Desk Monday to Friday 7 am to 8 pm ET <a href="http://grants.nih.gov/support/">http://grants.nih.gov/support/</a>

# NIH and AHRQ Forms-F

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## Resources

- [How to Apply - Application Guide](#)
- [Grants Administration Take 10: NIH FORMS-F Application Forms Update video](#)
- [High-level Summary of Form Changes in FORMS-F Application Packages](#)
- [Annotated Form Set for NIH Grant Applications](#)
- [Do I Have the Right Form Version For My Application?](#)
- [Application Forms, Form Updates, and Choosing the Correct Forms FAQs](#)

# OCGA Master Training

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## ***S2S Grants Basics***

May 20, 2020

9:00 – 11:30 AM

Zoom Webinar

## ***Budgets 101***

June 17, 2020

9:30 – 11:30 AM

TBD

Details and registration at:

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

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# Any Questions?