



Research Administration Forum

December 10, 2020

Welcome and Announcements

- 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
- Use the “raise hand” option to ask a question verbally. You will be allowed to unmute.
- Slides will be posted on ORA website following the meeting

Agenda

- **Welcome & Announcements** – *Marcia Smith*
- **Contract and Grant Administration**
 - Section 889 of the 2019 NDAA – *Jim Fong*
- **UCLA Information Technology Services**
 - Covered Telecommunications Prohibition – *David Shaw*
- **Human Research Protection Program**
 - Updates and Reminders – *Moore Rhys*
- **Extramural Fund Management**
 - Accounts Receivable Functions in PAMS – *Jonathan Wong*



Research Administration
Contract & Grant Administration

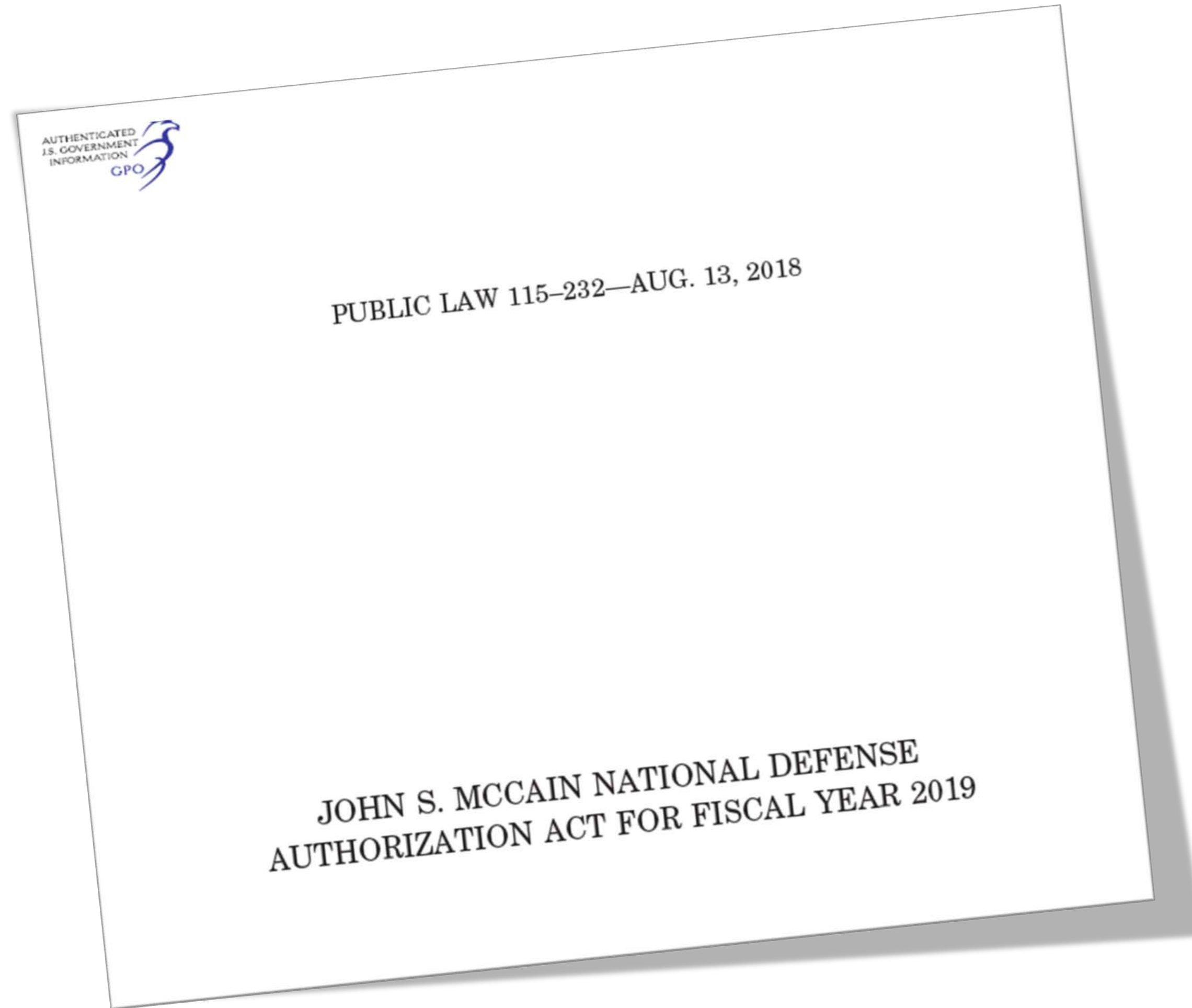
Section 889 of the National Defense Authorization Act of Fiscal Year 2019

December 10, 2020

(slides updated December 11, 2020 based upon an NIH update)

NDAA 2019

Requirement for August 13, 2019



Section (a)(1)(A) shall take effect one year after the date of the enactment of this Act

- Prohibits a federal agency to “procure or obtain any equipment, system, or service that uses ***Covered Telecommunications Equipment or Services*** as a substantial or essential component of any system, or as critical technology as part of any system”

NDAA 2019

Covered Telecommunications Equipment or Services



Telecommunications or video surveillance services provided by the below entities or using their equipment:

- Huawei Technologies Company
- ZTE Corporation
- Hytera Communications Corporation
- Hangzhou Hikvision Digital Technology Company
- Dahua Technology Company

(or any subsidiary or affiliate of the above)

NDAA 2019

Federal Contracts - August 13, 2020

FAR 52.204-24 – Representation Regarding Certain Telecommunications and Video Surveillance Services or Equipment (Oct 2020)

- Offerer represents that it “will not provide covered telecommunications equipment or services as a part of its offered products or services to the Government in the performance of any contract, subcontract, or other contractual instrument”
- Offerer represents that it “does not use covered telecommunications equipment or services, or use any equipment, system, or service that uses covered telecommunications equipment or services”

FAR 52.204-25 – Prohibition on Contracting for Certain Telecommunications and Video Surveillance Services or Equipment (Aug 2020)

- Prohibits a federal agency from entering into a contract with an **entity that uses** any equipment, system, or services that uses covered telecommunications equipment

NDAA 2019

Federal Grants – August 13, 2020

2 CFR §200.216 Prohibition on certain telecommunications and video surveillance services or equipment.

(a) Recipients and subrecipients are prohibited from obligating or expending loan or grant funds to:

(1) Procure or obtain;

(2) Extend or renew a contract to procure or obtain; or

(3) Enter into a contract (or extend or renew a contract) to procure or obtain equipment, services, or systems that uses covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system. As described in Public Law 115-232, section 889, covered telecommunications equipment is telecommunications equipment produced by Huawei Technologies Company or ZTE Corporation (or any subsidiary or affiliate of such entities).

(i) For the purpose of public safety, security of government facilities, physical security surveillance of critical infrastructure, and other national security purposes, video surveillance and telecommunications equipment produced by Hytera Communications Corporation, Hangzhou Hikvision Digital Technology Company, or Dahua Technology Company (or any subsidiary or affiliate of such entities).

(ii) Telecommunications or video surveillance services provided by such entities or using such equipment.

NDAA 2019

Federal Grants – August 13, 2020

NSF language included in new awards and modification on or around **October 8, 2020**

“In accordance with the newly revised 2 CFR § 200.216 and § 200.471, a recipient and subrecipient are prohibited from entering into contracts (or extending or renewing contracts) with **entities that use** covered telecommunications equipment or services. This prohibition shall apply even if the contract is not intended to procure or obtain any equipment, system, or service that uses covered telecommunications equipment or services.”

NDAA 2019

Federal Grants – August 13, 2020

NIH NOT-OD-21-030 – Prohibition on Expending NIH Grant Funds for Covered Telecommunications Equipment or Services, dated November 23, 2020 (RESCINDED December 11, 2020 and reissued under NOT-OD-21-041)

In accordance with the newly revised 2 CFR 200.216 and 200.471, a recipient and subrecipient are prohibited from expending grant funds to:

- a. **Procure or obtain; ~~any covered telecommunications equipment, system, or services.~~**
- b. **Extend or renew a contract to procure or obtain; or**
- c. **Enter contracts (or extend or renew contracts) to procure or obtain equipment, services, or systems that use covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system. As described in Public Law 115-232, section 889, covered telecommunications equipment is telecommunications equipment produced by Huawei Technologies Company or ZTE Corporation (or any subsidiary or affiliate of such entities). ~~with entities that use covered telecommunications equipment or services.~~**

~~Note, this prohibition shall apply even if the contract is not intended to procure or obtain any equipment, system, or service that uses covered telecommunications equipment or services.~~

NDAAs 2019

Federal Grants – August 13, 2020

NIH NOT-OD-21-041 – Clarification on Prohibition on Expending NIH Grant Funds for Covered Telecommunications Equipment or Services, dated December 11, 2020.

In accordance with the newly revised 2 CFR 200.216 and 200.471, a recipient and subrecipient are prohibited from expending grant funds to:

1. Procure or obtain;
2. Extend or renew a contract to procure or obtain; or
3. Enter contracts (or extend or renew contracts) to procure or obtain equipment, services, or systems that use covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system. As described in Public Law 115-232, section 889, covered telecommunications equipment is telecommunications equipment produced by Huawei Technologies Company or ZTE Corporation (or any subsidiary or affiliate of such entities).

NDAAs 2019

Federal Grants – August 13, 2020

FAQ from the Office of Management and Budget (OMB) on December 2, 2020

Q-12. Can a Federal award be used to procure goods or services, unrelated to prohibited services or equipment, from an entity that uses such equipment and services?

Yes.

Q-13. Do recipients need to certify that goods or services procured under a Federal award are not for covered telecommunications equipment or services?

Yes, when the recipient signs an award agreement they are certifying that they will comply with all applicable laws, rules, and regulations, including the prohibition on covered telecommunications equipment and services. If the Federal agency suspects that the goods and services being procured under the award may in fact be prohibited, it must follow its own policies and procedures to take appropriate action that aligns with the guidance in 2 CFR Part 200. OMB is separately evaluating the certifications and representations statement in SAM and will make any necessary updates.

Section 889

Contact

Contact Information

Jim Fong, Assistant Director
Email: jim.fong@research.ucla.edu



OHRPP Updates

December 10, 2020

OHRPP Updates

Winter Closure & revised full board deadlines



PI annual assurances – reminder



Learn at Lunch



OHRPP Office Hours & Human Research
News





Winter Closure & revised full board deadlines

3

The office of the Human Research Protection Program ***will be closed from 5pm on Friday, December 18, 2020 until 8am on Monday, January 4, 2021.***

- If you have a full-board study that will expire during the closure period, please contact the **relevant IRB administrator** immediately.



Winter Closure & revised full board deadlines



Revised deadlines for three UCLA IRBs:

- **MIRB2** (meeting on 1/6/2021) – deadline is now **12/11/2020**
(tomorrow)
- **NGIRB** (meeting on 1/7/2021) – deadline is now **12/14/2020**
- **SGIRB** (meeting on 1/12/2021) – deadline is now **12/15/2020**

PI (and Faculty Sponsor) Annual Assurances

These are required once a year (in lieu of continuing review) to continue the following types of research:

- **Certified exempt**
- **Studies determined eligible for expedited review**
- **Research that has progressed to the point of only collecting results of clinical care procedures/tests for follow-up**
- **Research that has progressed to the point of data analysis only**
- **Studies where a UCLA IRB is relying on another IRB**

PI (and Faculty Sponsor) Annual Assurances

Automatic email notices (with instructions) are sent out from the webIRB system:

- **9 months** after the initial approval (or last annual assurance)
– *3 months before the assurance is due*
- **10 months** after the initial approval (or last annual assurance) – *2 months before the assurance is due*
- **11 months** after the initial approval (or last annual assurance)
– *1 month before the assurance is due*
- **12 months** after the initial approval (or last annual assurance) – *the day the assurance is due*



PI (and Faculty Sponsor) Annual Assurances

Important:

- If the PI (and faculty sponsor, if applicable) doesn't complete the annual assurance, *the study will be administratively closed*
- PI proxies **cannot** complete the assurance

PI (and Faculty Sponsor) Annual Assurances

- If the PI has a faculty sponsor, *the faculty advisor must complete their assurance first*. Only once they complete it will the PI have access to the button in webIRB to complete the PI assurance.
- There is a webIRB [quick guide](#) to help researchers navigate the process.
- If you encounter problems with this process, contact webirbhelp@research.ucla.edu

Learn at Lunch – upcoming session

January 27, 2021, noon-1pm “*Coordinating with other Research Oversight Committees*”

presented by Mark Mimnaugh, OHRPP

- [Register](#) for this event on zoom



OHRPP's "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, January 19, 2021, 8:30am
 - Tuesday, February 2, 2021 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](#)

Any Questions?

Contact Information

OHRPP Website

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

Moore Rhys, OHRPP Asst. Director

Phone: x46339

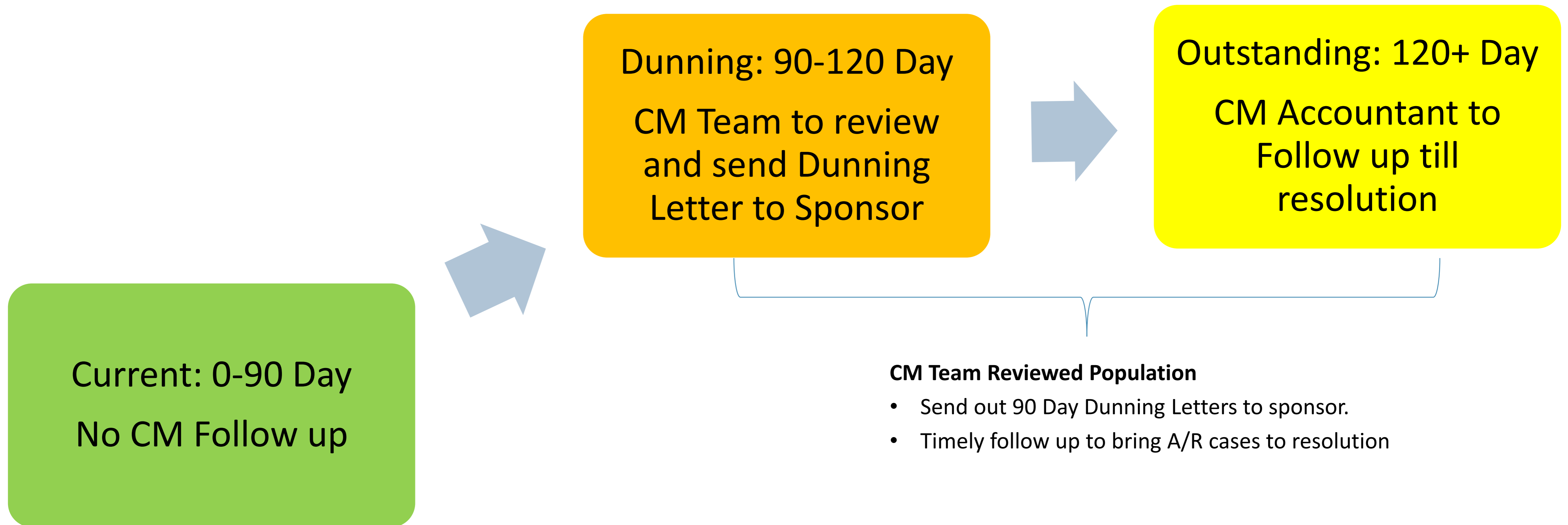
Email: moore.rhys@research.ucla.edu

PAMS AR Page

Presentation Goals

- Cash Management Outstanding Accounts Receivable Follow up Process
- Navigate the PAMS AR Summary and Detail Page
- How to Find Outstanding AR balance
 - By Fund
 - By PI
- Utilize Search Parameters
 - Search by multiple PI's, Sponsor(s), Department Code(s)
- Review AR Reason Code and Action Owner
- Cash Management Team Accountant Comments and documentation

Cash Management Team AR Follow up



Previously

- Status of Outstanding Invoices could be reviewed on Financial System
 - Fund
 - AR Account
- CM Team would have to update and maintain the AR Aging to import historical AR Reason, Responsibility and comments in order to produce the latest AR Report
- This report was only used by EFM and Primarily the CM Team
 - Outstanding AR can be a shared responsibility amongst central office and campus

PAMS Accounts Receivable Page



- Worklist
 - Award Overview
 - Financial Deliverables
 - Accounts Receivable**
 - Closeout
 - Management Reports
 - Administration
- Notes Search Sponsor Sites

Notes and Attachments Search

Sponsor Award Number:

Institution Number:

Fund:

PAMS A/R Aging Benefit

AR Aging Summary

Fund Number: <input type="text" value="Type Fund Number"/>	PI Name: <input type="text" value="Type PI Name(s)"/>	Department Name (Code): <input type="text" value="Type Department Code or Title(s)"/>	Date Options: <input type="text" value="--SELECT--"/>	Operator: <input type="text" value="--SELECT--"/>
Aging Group: <input type="text" value="Select Aging Group(s)"/>	Program Type: <input type="text" value="Select Program Type(s)"/>	Sponsor Name: <input type="text" value="Type Sponsor Name(s)"/>	Date: <input type="text" value=""/>	
High Risk?: <input type="text" value="--SELECT--"/>	Reason Code: <input type="text" value="Select Reason Code(s)"/>	Sponsor Type: <input type="text" value="Select Sponsor Type(s)"/>	Ledger Month/Year: <input type="text" value="12/2020"/>	
AR Accounts: <input type="text" value="Select Accounts(s)"/>	CM Accountant: <input type="text" value="Select Accountants(s)"/>	<input type="button" value="Search"/> <input type="button" value="Clear"/>		

- **Benefits:**
 - Searchability: Can search by Fund, PI(s), dept(s), etc
 - Financial Information Updated Daily
 - User Friendly and easy to Navigate
 - View latest CM Team updates and status

AR Aging Summary Search Bar

Worklist | Award Overview | Financial Deliverables | **Accounts Receivable** | Closeout | Management Reports | Administration

AR Aging Summary | AR Aging Detail | AR Assignments

AR Aging Summary

Fund Number: Type Fund Number	PI Name: Type PI Name(s)	Department Name (Code): Type Department Code or Title(s)	Date Options: --SELECT--	Operator: --SELECT--
Aging Buckets: Select Aging Bucket(s)	Program Type: Select Program Type(s)	Sponsor Name: Type Sponsor Name(s)	Date:	
High Risk?: --SELECT--	Reason Code: Select Reason Code(s)	Sponsor Type: Select Sponsor Type(s)	Ledger Month/Year: 09/2020	
AR Accounts: Select Accounts(s)	CM Accountant: Select Accountants(s)	Search	Clear	

Various Ways to Search for Outstanding Invoices

Popular Searches

- Fund
- Department Code(s)
- PI(s)
- Sponsor(s)

CM Team Search for A/R Balances

- By CM Accountant
- AR Account
- Specific date parameters
- Reason Code

Summary Page: Search by Fund

AR Aging Summary

Fund Number: -25045	PI Name: Type PI Name(s)	Department Name (Code): Type Department Code or Title(s)	Date Options: --SELECT--	Operator: --SELECT--
Aging Group: Select Aging Group(s)	Program Type: Select Program Type(s)	Sponsor Name: Type Sponsor Name(s)	Date: [Calendar Icon]	
High Risk?: --SELECT--	Reason Code: Select Reason Code(s)	Sponsor Type: Select Sponsor Type(s)	Ledger Month/Year: 12/2020 [Calendar Icon]	
AR Accounts: Select Accounts(s)	CM Accountant: Select Accountants(s)	Search	Clear	

1 fund(s) found.

Page 1 of 1 (1 items) << < [1] > >>

Account Number	Fund Number	Dept Code	Department	PI Name	Sponsor Name	Fund Title	High Risk	Total AR	0 - 30 Days	31 - 60 Days	61 - 90 Days	91 - 120 Days	121 - 180 Days
111500	25045	1940	HEALTH POLICY AND MANAGEMENT	Emmeline Chuang	DOVA-DEPARTMENT OF VETERANS AFFAIRS (INCL VA MEDICAL CENTERS)	DOVA-DEPT 36C24E CHUANG 09/20 26%		\$162,062.62	\$162,062.62	\$0.00	\$0.00	\$0.00	\$0.00

Summary Page: Search by PI(s)

AR Aging Summary

Fund Number: Type Fund Number	PI Name: x LAVINE, ADRIENNE G x TERRACIANO, KEVIN B	Department Name (Code): Type Department Code or Title(s)	Date Options: --SELECT--	Operator: --SELECT--
Aging Buckets: Select Aging Bucket(s)	Program Type: Select Program Type(s)	Sponsor Name: Type Sponsor Name(s)	Date: [Calendar Icon]	
High Risk?: --SELECT--	Reason Code: Select Reason Code(s)	Sponsor Type: Select Sponsor Type(s)	Ledger Month/Year: 09/2020 [Calendar Icon]	
AR Accounts: Select Accounts(s)	CM Accountant: Select Accountants(s)	Search	Clear	

15 fund(s) found.

Page 1 of 1 (15 items) << < [1] > >>

Account Number	Fund Number	Dept Code	Department	PI Name	Sponsor Name	Fund Title	High Risk	Total AR	0 - 30 Days	31 - 60 Days	61 - 90 Days	91 - 120 Days	121 - 180 Days	181 - 270 Days	271 Days - 1 Year
111501	21125	1250	LATIN AMERICAN INSTITUTE	Kevin B. Terraciano	DOED-Department of Education	FDP-USDOE P015A140023 TERRACIANO 3/19 8%	No	\$2,799.95	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
112664	20639	4952	OID INSTRUCTIONAL IMPROVEMENT	Adrienne G. Lavine	CITY OF LOS ANGELES	CITYLA/DOL T6376 LAVINE 6/19 4.17%		\$118,521.89	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00

Summary Page: Search Results

- Search Results

- Provide important award information, aging information as well as CM follow up updates.
- Due to numerous categories please scroll to see all of the pertinent categories.

- Search Results: Fund 21225

1 fund(s) found.

Page 1 of 1 (1 items) << < [1] > >>

Account Number	Fund Number	Dept Code	Department	PI Name	Sponsor Name	Fund Title	High Risk	Total AR	0 - 30 Days	31 - 60 Days	61 - 90 Days	91 - 120 Days	121 - 180 Days	181 - 270 Days	271 Days - 1 Year
111501	21125	1250	LATIN AMERICAN INSTITUTE	Kevin B. Terraciano	DOED-Department of Education	FDP-USDOE P015A140023 TERRACIANO 3/19 8%	No	\$2,799.95	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00

- Search Results: Fund 21225 Continued

Page size: 100

Over 1 Year	Reason Code	Action Owner	Project Begin Date	Project End Date	Budget Begin Date	Budget End Date	Payment Basis	Payment Method Code	Sponsor Type	EFM Team	EFM Accountant	Last Updated Date
\$2,799.95	In Process	CM Team	08/15/14	03/29/19	08/15/18	03/29/19	Cost Reimb	90	US Federal Government Agency	FM Team 3	Stephanie Perez	06/30/20

AR Aging Detail Page

- Page to provide details at the Fund Level
- Aging Summary for AR Balance
- List of Historical CM Follow up, Reason Code, Action Owner and saved documentation.

Worklist | Award Overview | Financial Deliverables | **Accounts Receivable** | Closeout | Management Reports | Administration

AR Aging Summary | **AR Aging Detail** | AR Assignments

AR Aging Detail Fund Number: Ledger Month/Year:

Institution Number:	20145599	PI:	Kevin B Terraciano	Dunning Site:	No Associated Dunning Site
Award Snapshot:		Sponsor:	DOED-Department of Education	CM Contact:	Robert Scott
Fund Number:	21125	Dept Title (Code):	Latin American Institute (1250)	EFM Contact:	Stephanie Perez
Sponsor Award:	P015A140023	Project Period:	08/15/14 - 03/29/19	Dept Contact:	Patricia A Betancourt
Outstanding A/R:	\$2,799.95	Payment Basis:	Cost Reimb		
High Risk:	No	Method of Pay:	90		

Aging Summary for fund 21125 as of 09/01/2020

Account	0-90 Days	91-120 Days	121-180 Days	181-270 Days	271 Days - 1 Year	Over 1 Year
111501	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$2,799.95

Cash Management Follow-up

Page 1 of 1 (1 items) [1] Page size: 15

Follow-up Date	Staff	High Risk	Reason Code	Action Owner	Comment	Document	History
06/30/2020 12:00 AM	Robert Scott	No	In Process	CM Team	Please see July A/R Aging Report for Historical Details Prior to 8/31/2020.		Edit Delete

Deleted Cash Management Follow-up

AR Reason Code

Standardize the Reason for Non-Payment

AR REASON CODES

Reason Code	Definition
In Process	EFM is in the process of finding sponsor's basis for delay in payment.
reasons why sponsor is not paying us	
Invoice: Errors to be corrected	Sponsor rejected invoice, corrected invoice needs to be resubmitted
Invoice: Supporting Documents Required	Sponsor rejected invoice or holding off payment, requiring additional documentation.
Invoice: Not Received	Sponsor does not have record of receiving invoice from UCLA, invoice needs to be resubmitted to sponsor
Invoice: Late Submission	Sponsor does not approve invoice because invoice was submitted after the due date
Dispute on Non-Financial Deliverable	Sponsor and UCLA are in the process of confirming all program deliverables have been satisfied for payment
Partial Payment Withholding per T&C	Sponsor's Terms withhold certain percentage of payments until award closeout
Sponsor Financial Issues	Sponsor has communicated financial difficulty in completing payment of invoice.
Sponsor Unresponsive	Sponsor has not provided a response to A/R inquiry.
Other	Other, Unique cases
Paid Amount is Confirmed, UCLA to resolve	
Wire Fee / Exchange Rate	Payment received is the net of Wire fee or loss in currency exchange, difference will need to be transferred to Dept Unrestricted. If there is a cash surplus as a result of currency exchange rate will be transferred to Dept
Pending Transfer to Dept Fund	Conclusion has been made that the department will be responsible for A/R and in the process of transferred.
Payment: Lost / Missapplied	Payment was sent to wrong entity or applied to wrong fund
Payments: Approved and Forthcoming	Sponsor confirmed payments and In the process of sending payment.
Payments Recorded to Fund	EFM Applied payment to corresponding fund, record of payments will be recorded to General Ledger overnight
EFM Responsibility and quick fixes	
A/R Incorrectly Setup	A/R is incorrectly set up and needs to be reversed, Reversal Journal Entry will be recorded to General Ledger over night
Small Balance Transfer	Cash Surplus / Deficit is small, balance will be transferred out.

AR Action Owner

Designate Appropriate EFM Group for next Action

ACTION OWNER

Who is the EFM Group responsible for the next AR action?



- CM Team
- FM Team 1
- FM Team 2
- FM Team 3
- RFC Team
- EFM Leadership

AR Details Page Comments


Designate Appropriate EFM Group for next Action



COMMENT PROCESS

- Upon CM Action, CM Team will update Comment
 - Required information
 - AR Reason Code
 - AR Action Owner
 - Comment
 - Refer Specific Invoice Number and Amount with a brief update
 - Ability to upload and save pertinent documentation.

Cash Management Follow-up   [Add Follow-up](#)

Page 1 of 1 (1 items) << < [1] > >>

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Follow-up Date	Staff	High Risk	Reason Code	Action Owner	Comment	Document	History		
06/30/2020 12:00 AM	Jonathan Wong	No	Payment Approved	CM Team	Payment Approved for AR #3, \$2,799.95, to be received on 9.1.2020.			Edit	Delete

Any Questions?



Contact information:

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