



Research Administration Forum

December 9, 2021

Welcome and Reminders

- 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 orally. You will be allowed to unmute.
- Slides will be posted on ORA website following the meeting

Agenda

- **Welcome & Announcements** – *Marcia Smith*
- **IT Security**
 - FireEye Endpoint Security – *David Shaw*
- **Research Administration Hot Topics**
 - Managing Carry-forward Balance – *Yoon Lee and Tracey Fraser*
- **Contract and Grant Administration Hot Topics**
 - NIH FORMS-G – *Cindy Gilbert*
 - Other Support – *Tracey Fraser*
- **Open Forum – Questions, Discussion** – *All*

FIREEYE ENDPOINT SECURITY (FES)

Provides comprehensive endpoint defense, protecting from threats, detecting attacks, and empowering response.



Small piece of software that monitors your system for potential security events



Protection against known threats with signature protection



Protection against advanced threats with MalwareGuard



Protection against exploits with ExploitGuard



Detection of anomalous behavior with real-time IOC engine

DATA COLLECTION: MONITORING

SYSTEM LOGS ARE CREATED DURING NORMAL OPERATION FES MONITORS THESE LOGS FOR SIGNS OF TROUBLE

>_ The FES agent only collects logs normally created on your system. This data does not leave your system. If an event is detected, the agent will pull a snapshot of these logs (10 minutes before and after the detected event). This data is sent to the HX Appliance, a UCLA owned and operated, physical server in our data center.

- Image load events**
 - File name and path
 - Process ID
 - Parent process ID
 - Username
- Process Lifecycle events**
 - Process Start or stop
 - Process ID
 - Process name
 - File path
 - Parent Process ID
 - Parent Process path
 - Username
 - Process command line
 - MD5
- File Write event**
 - File name and path
 - File size
 - MD5
 - Process name
 - Process ID
 - Number of writes
 - Size of data written
 - Location of first write
 - Initial data written to file
 - Initial text written to file
- URL event**
 - Hostname
 - Requested URL
 - HTTP method
 - HTTP user agent
 - Remote IP
 - Remote port
 - Local IP
- URL event (Cont.)**
 - Local port
 - Process name
 - Process ID
 - Username
 - HTTP header
- Registry event**
 - Process name
 - Process ID
 - Process path
 - Registry hive
 - Registry key
 - Original registry key (if key is a symbolic alias)
 - Type of registry change (created, changed, deleted, renamed)
 - Registry value
 - Registry value name
 - Registry value type
 - Registry value data
- DNS lookup event**
 - Hostname
 - Process name
 - Process ID
- Network event**
 - Remote IP
 - Remote port
 - Local IP
 - Local port
 - Protocol
 - Process ID
 - Process name
- Endpoint IP address change**
 - New IP address

System logs used to match indicators of compromise

WHO HAS ACCESS TO MY DATA

The principle of “least invasive degree of inspection” and “least perusal of content” guides access to security data

USER ENDPOINT



UCLA Staff

The FireEye Agent (FES) collects data that is already being generated on your system and holds it for 1 to 6 days (depending upon space). If a security event is detected, a portion of the data is sent to a UCLA HX Appliance.

UCLA HX APPLIANCE



UCLA Security Staff/FireEye Analysts

Alert data is sent to HX Appliances at UCLA when a security event is triggered (malicious activity is discovered). The data includes details about what was happening on the system at the time of detection, including a window of 10 minutes before and 10 minutes after the event. Data are retained for 1 year.

FIREEYE SECURITY OPERATIONS



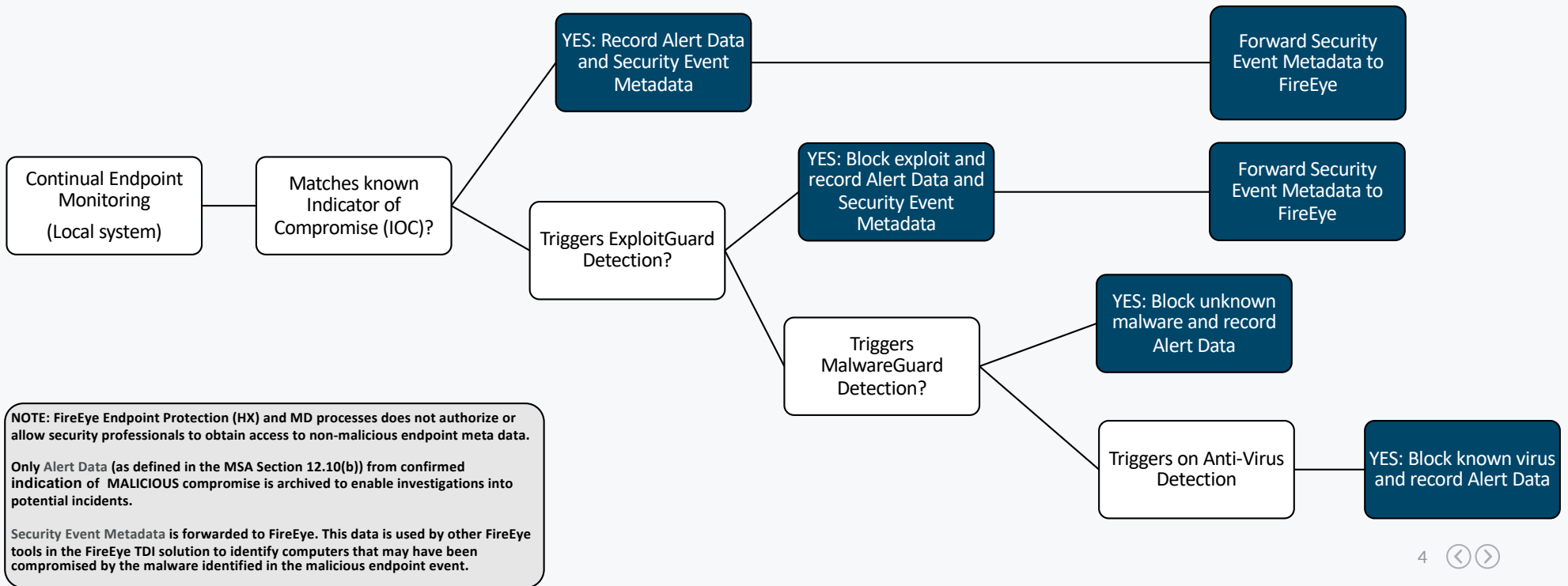
FireEye Security Analysts

Security Event Metadata (a log of the suspicious activity) is sent to FireEye’s Security Operations Center for analysts to review. Data are retained for 1 year. (*US Datacenters)

Both FireEye Analyst and UCLA Information Security staff must limit data access to the least invasive inspection necessary to resolve the event.

WORKFLOW IN THE CONTEXT OF ENDPOINT PROTECTION

The workflow below describes how the FES product works in the context of a security event being detected



PRIVACY PROVISIONS AND PROTECTION

Security and privacy are not opposite ends of the spectrum...they can coexist



UCLA MASTER SERVICES AGREEMENT

The MSA has specific privacy provisions to ensure that the Electronic Communications Policy is followed.



LIMITED RETENTION

Data are retained for a limited period of time on all systems.



AUDITABLE LOGS

All actions taken by UCLA Information Security staff and the FireEye team are logged and auditable to ensure privacy is protected consistent with the ECP.



OGC REVIEWED

The UC Office of General Counsel reviewed the agreement with FireEye and confirmed that it is compliant with the Electronic Communications Policy.



QUESTIONS?

If you have questions about the FireEye Endpoint Security (FES) implementation or the FES agent please contact security@ucla.edu.

Also check out our Frequently Asked Questions page at <https://www.ociso.ucla.edu/services/fireeye-endpoint-security-antivirus/faqs>



Extramural Fund Management

December 9, 2021

Managing Carry Forward Balance: What happens in General Ledger and financial Deliverables?

Yoon Lee

How can I tell if my fund...

- **How can I tell if my fund requires prior sponsor’s approval to carry over the balance?**
 - In addition to award snapshot and the agreement, PAMS Financial Deliverable page shows “Restricted CF”. An automatic feed from PATS.

The screenshot shows the 'Financial Deliverables' section of a PAMS interface. It contains a table with the following data:

Institution Number:	20181517	Sponsor:	NIH-NIMH National Institute of Mental Health	Dept Title (Code):	Semel Institute (2000)
Award Snapshot:	[icon]	Sponsor Award:	U01MH117079	Dept Contact:	Miao Ye
Award Status:	Awarded/Fully Executed	Project Period:	09/01/18 - 05/31/23	EFM Contact:	Grace V Agustin
Payment Basis:	Cost Reimbursable	PI:	Xiangdong William Yang	Billing Site:	https://pmsapp.psc.gov/pms/app/main
Restricted CF:	Yes	Prime Sponsor:	N/A	Dunning Site:	https://pmsapp.psc.gov/pms/app/main
Federal Advance:	No	Notes:	Yes	UCPath Issues:	No

- **How can I tell if my fund has restricted carry forward balance?**
 - Check if you see the holding account 400005 linked to the fund in General Ledger. The appropriation amount in the holding account represents the balance requested for carry forward but not yet approved.

Holding Account 400005

- **The holding account 400005 is used to segregate the restricted carry forward balance from the remaining budget available for spending.**
- **When EFM prepares a financial deliverable for the budget period for the award with restricted carry forward,**
 - If there's the unspent budget from the budget year, EFM links the holding account 400005 to the fund and move the balance from the department expenses account to the holding account.
 - The balance in the holding account is restricted for spending until sponsor's approval is obtained.
 - EFM indicates an intent to request for carry forward of the balance in the invoice or financial report.
- **If/When the sponsor approves to carry forward the balance,**
 - EFM moves the balance in the holding account 400005 to the department expense account to lift restriction on funding.
- **If/When the sponsor approves to carry forward the balance,**
 - EFM de-obligates the balance in the holding account. The total appropriation on the fund is reduced by the balance.
- **Monitor spending against budget – Exclude restricted budget in the holding account 400005.**
 - There's no hard control in Financial System to stop you from spending over the budget.
 - It is important to read and understand budget vs actual expenditures in General Ledger.
 - The total appropriation on the fund includes the budget in the holding account not authorized for spending.

Financial Deliverables

- In the invoice or financial report to close out the budget year, EFM indicates an intent to request to carry forward the balance.
- The department fund manager assists the PI to request to carry forward the balance. The balance amount is on the invoice or financial report submitted to the sponsor.
 - Department fund manager and the PI are copied to all financial deliverable submission.
 - A copy of financial deliverable is available for preview and download in PAMS.
- Excerpts from various invoice and financial report

**This is the final invoice to close out budget period 1/1/20-12/31/20. Please do not close award. PI requesting no-cost extension.*

Total authorized	\$80,838.00	
Total expenditure	<u>619.77</u>	
Unobligated balance	\$80,218.23	To be requested for carryforward by PI under a separate cover

Below is the summary of expenditures and payments a

- a. Total expenditures
- b. Previous billing expenditures
- c. Current billing expenditure (a-b)
- d. Payments Received
- e. Reimbursement Requested (current & outstanding billing a-d)

**PI to request carryforward balance of \$109,977.12 under a separate cover.*

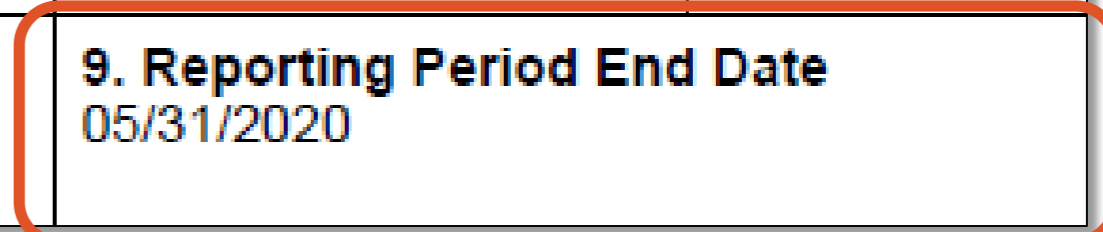
***Please note this is not the final invoice to close the award. There is a continuation pending for Year 5.*

This financial report 12. Remarks: Attach any explanations deemed necessary or information required by Federal sponsoring agency in compliance with governing legislation:

The unexpended balance of \$48,620.30 will be requested for carryforward by the PI.

NIH Example: Federal Financial Report

4a. DUNS Number 092530369	4b. EIN 1956006143A1	5. Recipient Account Number or Identifying Number 30040	6. Report Type <input type="checkbox"/> Quarterly <input type="checkbox"/> Semi-Annual <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final	7. Basis of Accounting <input type="checkbox"/> Cash <input checked="" type="checkbox"/> Accrual
8. Project/Grant Period From: 09/01/2018 To: 05/31/2023			9. Reporting Period End Date 05/31/2020	



10. Transactions	Cumulative
Federal Expenditures and Unobligated Balance:	
d. Total Federal funds authorized	1,734,016.00
e. Federal share of expenditures	1,537,426.74
f. Federal share of unliquidated obligations	0.00
g. Total Federal share (sum of lines e and f)	1,537,426.74
h. Unobligated balance of Federal funds (line d minus g)	196,589.26



Unspent budget at the end of budget period, 5/31/20

12. Remarks: Attach any explanations deemed necessary or information required by Federal sponsoring agency in compliance with governing legislation:

08/28/20:TN: PI will request the balance on line 10 h. to be carried forward to the next budget period.



NIH Example: Federal Financial Report

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Federal Expenditures and Unobligated Balance:	
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h. Unobligated balance of Federal funds (line d minus g)	196,589.26

Restricted carry forward balance in the holding account

Account/CC	Sub	Curr Month Financial	Fiscal Year		Inception to Date	
			Appropriation	Financial	Appropriation	Financial
<u>229000</u> FEDERAL PHS GRANTS						
	20	42,422.17	1,012,512.93	48,958.08	2,587,061.00	1,623,506.15
229000		42,422.17	1,012,512.93	48,958.08	2,587,061.00	1,623,506.15
<u>400005/8A</u> RESTRICTED SPONSR CARRYFORWRD-EFM/UNALLOC						
	08		196,589.26		196,589.26	
400005/8A		0.00	196,589.26	0.00	196,589.26	0.00
<u>441404/HD</u> NEUROBIOLOGY-FAC RES & SUP/DONG						
	00	822.00	59,865.00	822.00	59,865.00	822.00
	02		19,608.00		19,608.00	
	03	2.20	13,020.00	2.20	13,020.00	2.20
	05		1,200.00		1,200.00	
	06	307.43	33,915.00	307.43	33,915.00	307.43

Billing and Payment

- **EFM recognizes revenue only up to the budget authorized for spending excluding the restricted carry forward balance in the holding account.**
- **When a carry forward request is approved, EFM moves the balance from the holding account to the department expense account and submit a request for payment for costs incurred while waiting for the sponsor's approval.**
 - A request for payment will be done either by submitting an invoice or drawing cash on letter of credit in accordance with payment terms of the award.
- **If a carry forward request is rejected, EFM de-obligates the balance from the holding account. If there are any costs incurred in excess of budget authorized for spending, the department is responsible for funding those costs.**
 - Until the sponsor's approval is received, the carry forward balance should not be considered as available funding to spend. If the PI requests for spending against the restricted budget, explain financial responsibility in the event the request is not approved.

Holding Account 40006

- This is a new account created to segregate funding restricted for spending for reasons other than restricted carry forward. Such restrictions are included in the award document and called out in the award snapshot attachment.
- When the award includes the funding restricted for spending until certain conditions are satisfied, the restricted amount will be placed in the holding account 400006.
- When conditions are satisfied, the department fund manager assists the PI to request the sponsor to lift restrictions through OCGA. Once the sponsor confirms that restriction is lifted, EFM will move the balance from the holding account 400006 to a department expense account.
- **Example Scenarios**

This Snapshot: Sponsor award dated 06/29/2021 provides continuation funding in the amount of \$332,847 for YR-20. Funds are restricted due to noncompliance with the NIH Public Access Policy, as stated above.

This Snapshot: Sponsor award dated 03/10/2020 provides continuation funding in the amount of \$514,240 for Year 5. Note that of this funding, \$411,391 (80% of the approved budget) restricted due to the delinquent submissions of the Year 3 FFR and trainee IRB certifications. The delinquent Year 3 FFR and trainee IRB certifications must be submitted no later than 3/31/2020. Failure to submit the form(s) may result in suspension, and/or termination of this award, withholding of support, disallowances, and/or other appropriate action.

Any Questions?

Contact Information

EFM Website

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

Yoon Lee

Phone: (310) 794-0375

Email: yoony.lee@research.ucla.edu



“ Thank You for Your Support and Partnership! ”

Happy Holidays!

from Extramural Fund Management

THERE'S NO PLACE LIKE FOR THE HOLIDAYS!



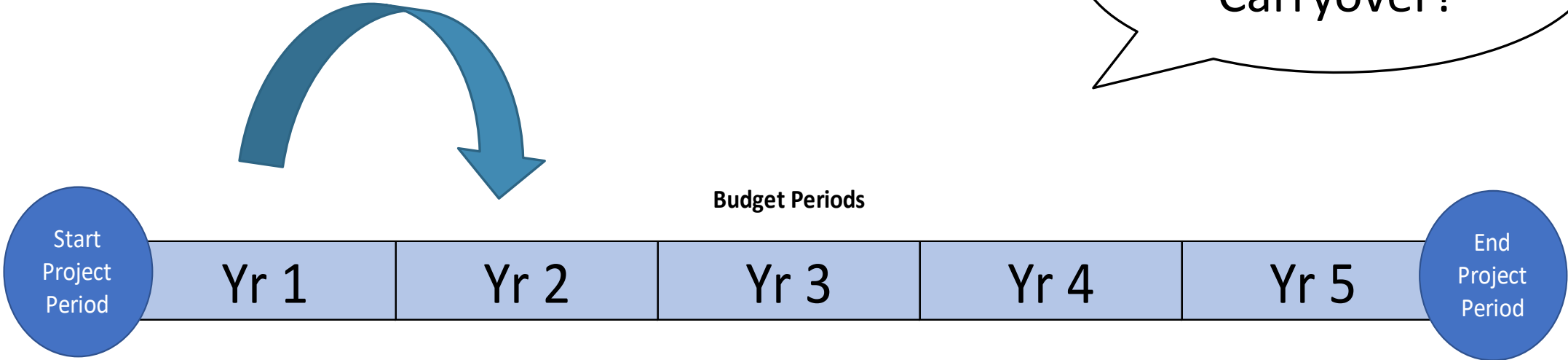
Office of Contracts & Grants Administration

RAF December 9, 2021

Managing Carryforward (& other budget restrictions)

Tracey Fraser

What is Carryover?



Unobligated Funds

- Funds that have not been committed

May be available for Carryover

Unliquidated Obligations

- Funds that have been committed but not yet paid out

Not available for Carryover

Types of Carryover

- Automatic
 - Do not need to request sponsor prior approval to spend
- Restricted
 - Must obtain sponsor prior approval to have the restriction lifted

Restricted Carryover



While many Federal Sponsors have waived the requirement for prior approval to carry forward unobligated balances to subsequent budget periods there are some important exceptions, including (*usually*) the following NIH mechanisms:

Centers P50, P60,
P30

Cooperative
agreements (U)

Kirschstein-NRSA
institutional
research training
grants (T)

Non-Fast Track
Phase 1 SBIR and
STTR awards (R43
and R41)

Clinical trials
(regardless of
activity code)

Awards to
individuals

Non-Federal

Agreements from some charitable organizations and foundations may *sometimes* include a restriction on automatically carrying over unobligated balances to the next budget period. Examples include:

Adelson Foundation

AHA

Simons Foundation

Melanoma Research Alliance

The Larry L. Hillblom Foundation

The Cystic Fibrosis Foundation



- Mechanism's or sponsors that usually include automatic carryforward may include a specific term or condition restricting it
- Additionally, mechanisms that usually restrict carryforward may occasionally allow for automatic carryforward

How do I know if my award is subject to a carryforward restriction?



- Award Snapshot
- Notice of Award (NOA)
- Snapshots and NOAs should be carefully reviewed with each new award transaction



University of California, Los Angeles
Award Snapshot

NIH Example

Section I: Award Summary

Principal Investigator:	[REDACTED]	Fund Number:	[REDACTED]
Sponsor:	NIH-NIAID National Institute of Allergy and Infectious Diseases [000064]	Sponsor Award Number:	[REDACTED]
Administering Unit:	EPIDEMIOLGY [1935]	Prime Sponsor:	N/A
Project Title:	[REDACTED]		
Current Budget Period:	3/9/2021 - 2/28/2022	Current Action:	New
Project Period:	3/9/2021 - 2/28/2026	Funds Awarded this Action:	\$1,425,982
		Total Funds Awarded to Date:	\$1,425,982

- See Section VIII for Other Investigators
- For a History of Actions on this award, refer to the Award Snapshot Attachment

Section II: Special Attention Needed

1. This award is subject to a sponsor salary cap limitation. Salary Cap Type: Health and Human Services
2. Carry-Forward Restricted
3. Review the Award Snapshot Attachment and the Award document for additional terms and conditions.

University of California, Los Angeles
Award Snapshot Attachment

UCLA PATS NUMBER: [REDACTED]

Alert(s)

1. Please review and adhere to the award terms and conditions.
2. Research and Development (R&D): All awards issued by the National Institutes of Health (NIH) meet the definition of "Research and Development" at 45 CFR Part§ 75.2. As such, auditees should identify NIH awards as part of the R&D cluster on the Schedule of Expenditures of Federal Awards (SEFA).
3. Carryforward is restricted and requires prior grants management approval.

Reference Document(s)

1. Award(s) available via the ORA Award Status & Snapshot Report [<http://portal.research.ucla.edu/index.aspx?Section=PostAward>]
2. NIH Grants Policy Statement December 2019 [<https://grants.nih.gov/policy/nihgps/index.htm>] Effective for all NIH grants and cooperative agreements with budget periods beginning on or after December 1, 2019.
3. Federal-Wide Research Terms and Conditions November 2020 <https://www.nsf.gov/awards/managing/rtc.jsp>
 - a. RTC Prior Approval and Other Requirements Matrix November 2020
 - b. RTC NIH Agency-Specific Requirements November 2020



Department of Health and Human Services
National Institutes of Health
NATIONAL INSTITUTE OF ALLERGY AND INFECTIOUS DISEASES

Notice of Award

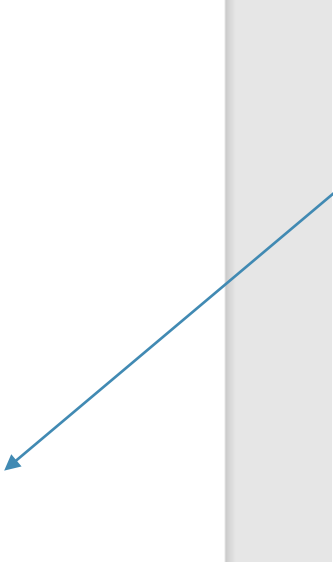
Federal Award Date
03/09/2021

Research and Development (R&D): All awards issued by the National Institutes of Health (NIH) meet the definition of "Research and Development" at 45 CFR Part§ 75.2. As such, auditees should identify NIH awards as part of the R&D cluster on the Schedule of Expenditures of Federal Awards (SEFA). The auditor should test NIH awards for compliance as instructed in Part V, Clusters of Programs. NIH recognizes that some awards may have another classification for purposes of indirect costs. The auditor is not required to report the disconnect (i.e., the award is classified as R&D for Federal Audit Requirement purposes but non-research for indirect cost rate purposes), unless the auditee is charging indirect costs at a rate other than the rate(s) specified in the award document(s).

This institution is a signatory to the Federal Demonstration Partnership (FDP) Phase VII Agreement which requires active institutional participation in new or ongoing FDP demonstrations and pilots.

Carry over of an unobligated balance into the next budget period requires Grants Management Officer prior approval.

SECTION III
STANDARD
TERMS AND
CONDITIONS





University of California, Los Angeles
Award Snapshot

American Heart Association
Example

Section I: Award Summary

Principal Investigator:	[REDACTED]	Fund Number:	[REDACTED]
Sponsor:	AMERICAN HEART ASSOCIATION - NATIONAL [005065]	Sponsor Award Number:	[REDACTED]
Administering Unit:	INTEGRATIVE BIOLOGY & PHYSIOLOGY [0845]	Prime Sponsor:	N/A
Project Title:	[REDACTED]	Current Action:	Continuation
Current Budget Period:	8/1/2021 - 7/31/2022	Funds Awarded this Action:	\$77,000
Project Period:	7/1/2020 - 7/31/2022	Total Funds Awarded to Date:	\$158,740

- * See Section VII for Other Investigators
- * For a History of Actions on this award, refer to the Award Snapshot Attachment

Section II: Special Attention Needed

1. Changes in the status of the Principal Investigator or other key personnel on the award require [prior approval](#) from the Sponsor. Requests for prior approval must be processed through OCGA. Notify OCGA in advance or as soon as you become aware of any changes (or anything requiring prior approval).
2. Carry-Forward Restricted
3. Review the Award Snapshot Attachment and the Award document for additional terms and conditions.

University of California, Los Angeles
Award Snapshot Attachment

UCLA PATS NUMBER: [REDACTED]

Alert(s)

1. Please review and adhere to award terms and conditions.
2. If there is an unexpended balance of funds greater than \$10,000 AHA prior approval is required to carryover the funds into the next project period. The PI must submit a written request.
3. In the final award year, if the unexpended balance is between \$500 and \$10,000, the PI can request an up to 12 month NCE to use a portion or all unexpended funds without prior approval.
 - a. If the remaining balance is greater than \$10,000 the PI must obtain prior approval to carryover the balance into an extension year.
4. A second NCE is not allowed.

L. CARRYFORWARD OF UNEXPENDED FUNDS

For grant programs, funds remaining at the end of each award year may be carried over per the following guidelines.

1. **Interim Award Year** — If there is an unexpended balance of funds of \$10,000 or less at the end of an Award year and if the Award is approved for additional year(s), these funds may be carried forward to the next award year without advance approval. This action can be implemented by selecting the appropriate option on the Financial Report form.

If the unexpended balance is greater than \$10,000, AHA approval is required. The Principal Investigator must submit a written request or a Carryover Change Request in Grants@Heart. The AHA will review the request and a notice of disposition will be sent to the Principal Investigator.

2. **Final Award Year** — If unexpended funds at the end of the final award period are less than \$10, the institution may retain/write off the amount. Amounts between \$10 and \$500 should be returned to the AHA with the Financial Report.

If the unexpended balance is between \$500 and \$10,000, the Investigators may request up to a twelve-month extension to use a portion or all unexpended funds without prior AHA approval. This action can be completed by selecting the appropriate option on the Financial Report form.

If the remaining balance is greater than \$10,000, the Principal Investigator must obtain prior approval from

21

AHA to carryover the balance into an extension year. The Principal Investigator must submit a written request or enter a No-cost Extension Change Request in Grants@Heart. This can be done at the end of the final award year or at the time the final Financial Report is submitted (90 days after the Award year end date). The AHA will review the request and a notice of disposition of the request will be sent to the Principal Investigator.

A SECOND EXTENSION YEAR IS NOT ALLOWED. Funds remaining at the end of an authorized extension year must be returned to the AHA. The funds may only be used to support the approved AHA project.

American Heart Association Example: AHA Award Guide

Why is restricted carryforward being highlighted if it doesn't apply to most agreements?

Awards with restricted carryforward require robust project management and forecasting to anticipate, plan for, and prepare carry forward requests



Prior Approval Request

Department
submits a Prior
Approval request
to OCGA

OCGA submits the
request to the
sponsor

OCGA emails the
Department and
EFM with the
sponsors response

Information required to submit a Prior Approval Request

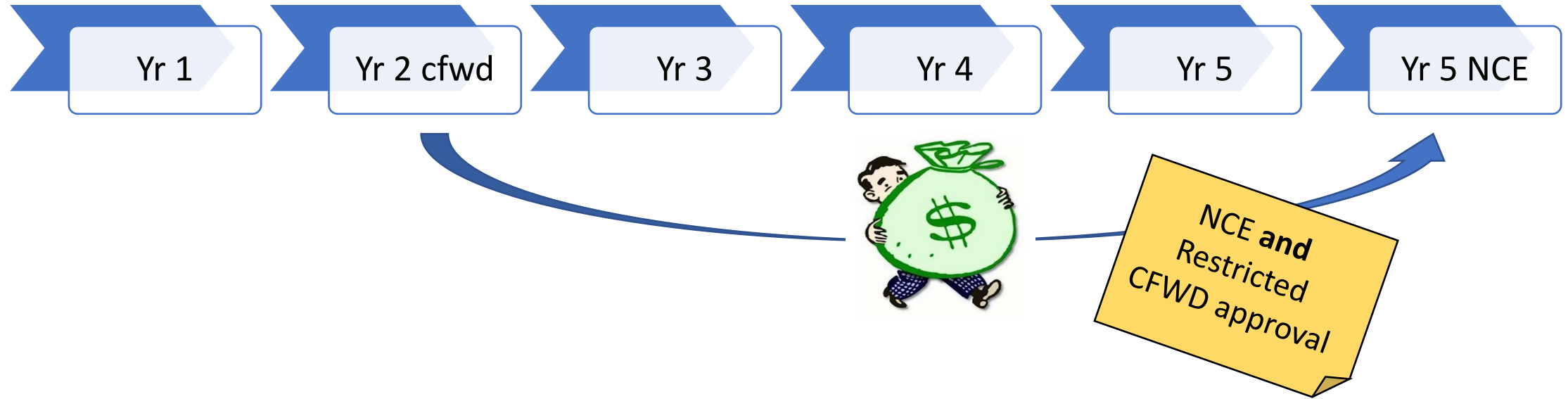
- The budget periods from which the unobligated funds are being carried over from and to
- The amount of the funds to be carried over
- An explanation of why the funds were not obligated
- Scientific justification for the use of funds



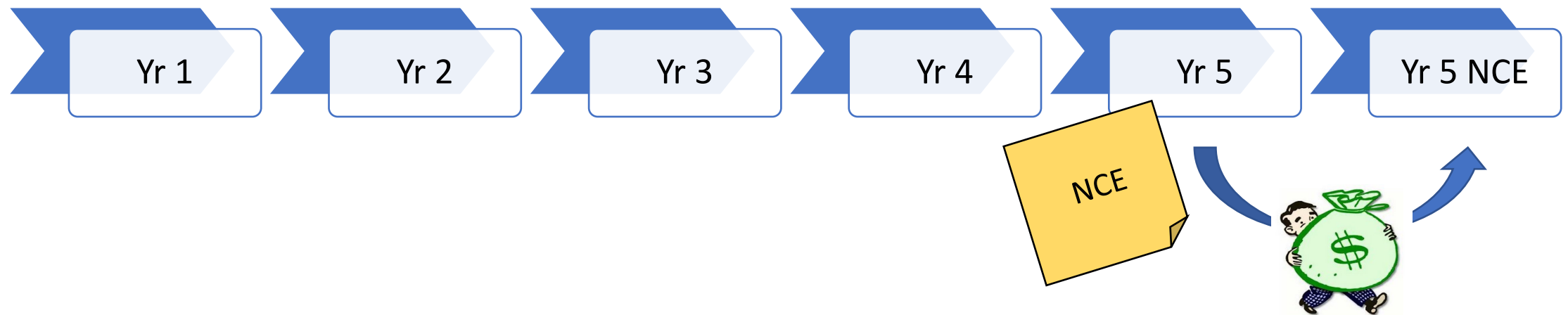
**REMINDER:
NIH No Cost
Extensions &
Restricted
Carryover**

- When asking for a NCE on a NIH award with carry forward restrictions you will **ALSO** need sponsor prior approval to carry forward any unspent funds from a **previous** budget period to be able to utilize them in the NCE period

Example 1: Using restricted balance in a NIH NCE



Example 2: Using Final Year CFWD in a NIH NCE





Awards With Automatic Carryover

A Few Cautions

Caution



REVOKED

Sponsors have been known to revoke automatic carry forward and impose carry forward restrictions on awards with delinquent progress reports or other requirements such as IRB/ARC approvals.

Caution



- GMO may use unobligated balances of >25% to **Offset** funding for a subsequent budget period thereby reducing the overall awarded amount

Restrictions Require Active Action



Lifting of restrictions requires submission of a request to the Sponsor. If a request to lift is not made to the Sponsor it remains in place regardless of the status of compliance with the restricted term.



FORMS-G for NIH, AHRQ and FDA

Cindy A. Gilbert
OCGA Assistant Director - eRA and Records Management
Research Administration Forum
December 9, 2021

NIH, AHRQ and FDA FORMS-G

NOT-OD-21-169

- Applies to applications with *due dates* on or after January 25, 2022.
- Complete list of current Parent FOAs available at:

https://grants.nih.gov/grants/guide/parent_announcements.htm

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

What's Changing?

Key Changes

- “Organizational DUNS” replaced with Unique Entity Identifier “UEI” on several forms
 - Institutional Profiles in S2S Grants and Commons have been updated to include UEI
 - S2S Grants Professional Profiles:
 - **UEI** field has been added to the **Performance Site** screen
 - Review investigator Professional Profiles to ensure this field is not blank
 - UCLA UEI: RN64EPNH8JC6 (also available on OCGA website, [UCLA Standard Information](#))
 - See [NOT-OD-21-170](#) for details
- Required use of the updated Biosketch and Other Support form pages
 - See [NOT-OD-21-073](#), [NOT-OD-21-110](#), and [NOT-OD-21-122](#) for NIH guidance
 - See <https://ocga.research.ucla.edu/other-support/> for UCLA guidance
- Valid eRA Commons username required for all individuals listed on the R&R Senior/Key Person Profile form
 - See [NOT-OD-21-109](#) for details

What's Changing?

Other Changes


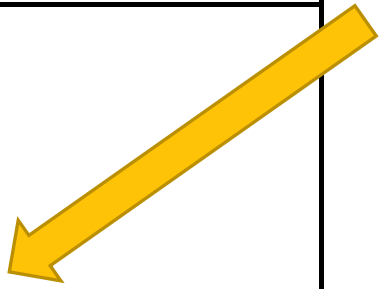

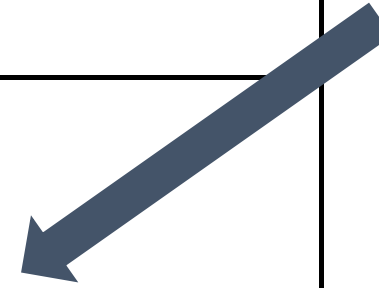
- Increased fillable lines from 3 to 10 – *Other Direct Costs* section on various budget forms
- Increased character limit to 100 for *Department and Division* fields – various forms
- Updated *Country* list – various forms
- Added ***Childcare Costs*** to the *Budget* section – PHS Fellowship Supplemental Form
- Changed label of attachment field in section 3.2 from “If yes, describe single IRB plan” to “Single IRB plan attachment”

See [High-level Grant Application Form Change Summary: FORMS-G](#) for complete list of form changes

Selecting the Correct Form Set

Transition Period

- Currently in a transition period with both FORMS-F and FORMS-G packages available for a number of FOAs
- Choose the correct package for the **due date**
- Applications submitted using the incorrect application package may be withdrawn from consideration.

If your intended due date is...	You must use...
 <ul style="list-style-type: none">• Applications submitted for due dates on or before January 24, 2022• Applications submitted under NIH Late Policy? 2-week window of consideration for intended due dates on or before January 24, 2022• Applications submitted by February 1, 2022 under NIH Continuous Submission Policy? for the January 7, 2022 AIDS intended due date	 <p>FORMS-F application package</p>
 <ul style="list-style-type: none">• Applications submitted for due dates on or after January 25, 2022• All application types (New, Resubmission, Renewal, Revision)• Applications submitted early for intended due dates on or after January 25, 2022	 <p>FORMS-G application package</p>

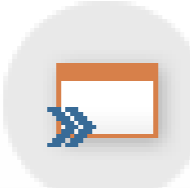
Selecting the Correct Form Set – S2S Grants

	Opportunity Number ▼	Title	Comp. ID	Comp. Title	Agency
+	<i>i</i> PA-20-186	Midcareer Investigator Award in Patient-Oriented Re	FORMS-F	Use for due dates on or before January 24, 2022	National Institutes of
⚠	<i>i</i> PA-20-185	NIH Research Project Grant (Parent R01 Clinical Tri	FORMS-G	Use for due dates on or after January 25, 2022	National Institutes of
+	<i>i</i> PA-20-185	NIH Research Project Grant (Parent R01 Clinical Tri	FORMS-F	Use for due dates on or before January 24, 2022	National Institutes of
+	<i>i</i> PA-20-184	Research Project Grant (Parent R01 Basic Experim	FORMS-F	Use for due dates on or before January 24, 2022	National Institutes of
+	<i>i</i> PA-20-183	Research Project Grant (Parent R01 Clinical Trial R	FORMS-F	Use for due dates on or before January 24, 2022	National Institutes of
+	<i>i</i> PA-20-176	Mentored Research Scientist Development Award (I	FORMS-F	Use for due dates on or before January 24, 2022	National Institutes of
+	<i>i</i> PA-20-173	Independent Scientist Award (Parent K02 Independe	FORMS-F	Use for due dates on or before January 24, 2022	National Institutes of
⚠	<i>i</i> PA-20-173	Independent Scientist Award (Parent K02 Independe	FORMS-G	Use for due dates on or after January 25, 2022	National Institutes of
+	<i>i</i> PA-20-149	HIV Infection of the Central Nervous System (R01 C	FORMS-F	Use for due dates on or before January 24, 2022	National Institutes of
⚠	<i>i</i> PA-20-149	HIV Infection of the Central Nervous System (R01 C	FORMS-G	Use for due dates on or after January 25, 2022	National Institutes of
+	<i>i</i> PA-20-145	Innovations in HIV Prevention, Testing, Adherence an	FORMS-F	Use for due dates on or before January 24, 2022	National Institutes of

⚠ *Expected release in mid-December.*

Selecting the Correct Form Set - ASSIST

Choose Package for FOA #: PA-20-185 ?

 **FOA INFORMATION**

FOA Number: PA-20-185

Opportunity Title: NIH Research Project Grant (Parent R01 Clinical Trial Not Allowed)

Offering Agency: National Institutes of Health







Competition ID	Competition Title	Opening Date	Closing Date	Select Package
FORMS-F	Use for due dates on or before January 24, 2022	05/05/2020	01/24/2022	Select
FORMS-G	Use for due dates on or after January 25, 2022	10/26/2021	05/07/2023	Select

Close

Updating *In-Progress* Application to FORMS-G

S2S Grants – Use the Copy/Transform functionality.

Displaying 1 to 25 of 65 items

PI ▲	Modified	Type	Deadline	
f Neural Rer Bruin, Jane	09-01-202	NIH Research Project Gra	07-10-202	 
Trojan, Joe	07-12-202	Subaward (imported from	07-10-202	
f Neural Rer Bruin, Jane	09-28-202	NIH Research Project Gra	07-10-202	 
Trojan, Joe	09-28-202	Subaward (imported from		

ASSIST – Use the **Copy Application** functionality.

Actions ?

MANAGE ACCESS

ADD OPTIONAL FORM

PREVIEW APPLICATION

VALIDATE APPLICATION

VIEW STATUS HISTORY

UPDATE SUBMISSION
STATUS

COPY APPLICATION

DELETE APPLICATION

Additional Resources

- [How to Apply - Application Guide](#)
- [Annotated Form Set for NIH Grant Applications](#)
- [Do I Have the Right Form Version For My Application?](#)
- [Deep Dive into 2021 Application Forms and Related Policy Changes](#)
 - (Recorded session from the 2021 NIH Virtual Seminar on Program Funding & Grants Administration)

Any Questions?

Contact Us: erahelp@research.ucla.edu



Office of Contracts & Grants Administration

December 9, 2021

Other Support Updates

Tracey Fraser

Reminder: NIH Other Support

- Effective January 25, 2022, significant changes to NIH Other Support reporting become mandatory for PIs and all other key personnel
- Failure to follow the appropriate formats for proposals and RPPRs that are due on or after January 25, 2022, may cause NIH to withdraw applications or delay consideration of funding
- The updates are designed to support NIH's requirement to disclose all resources made available to a researcher in support of and/or related to all of their research endeavors, **regardless of whether or not they have monetary value, and regardless of whether they are based at the institution the researcher identifies for the current grant**

Reminder: Significant Changes to NIH OS

- All senior/key personnel must electronically sign their Other Support forms to certify the accuracy of the information submitted
 - (UCLA requires the use of DocuSign)
- All senior/key personnel must report appointments and/or employment with a foreign institution (including resources provided)
 - Submission of English translations of contracts, grants or any other agreements specific to foreign appointments, employment or activities reported in Other Support
- Reporting of total award amount, including indirect costs (previously only annual direct costs were reported)
- For all active awards, reporting actual person months effort for the current budget period and estimated effort for outyears

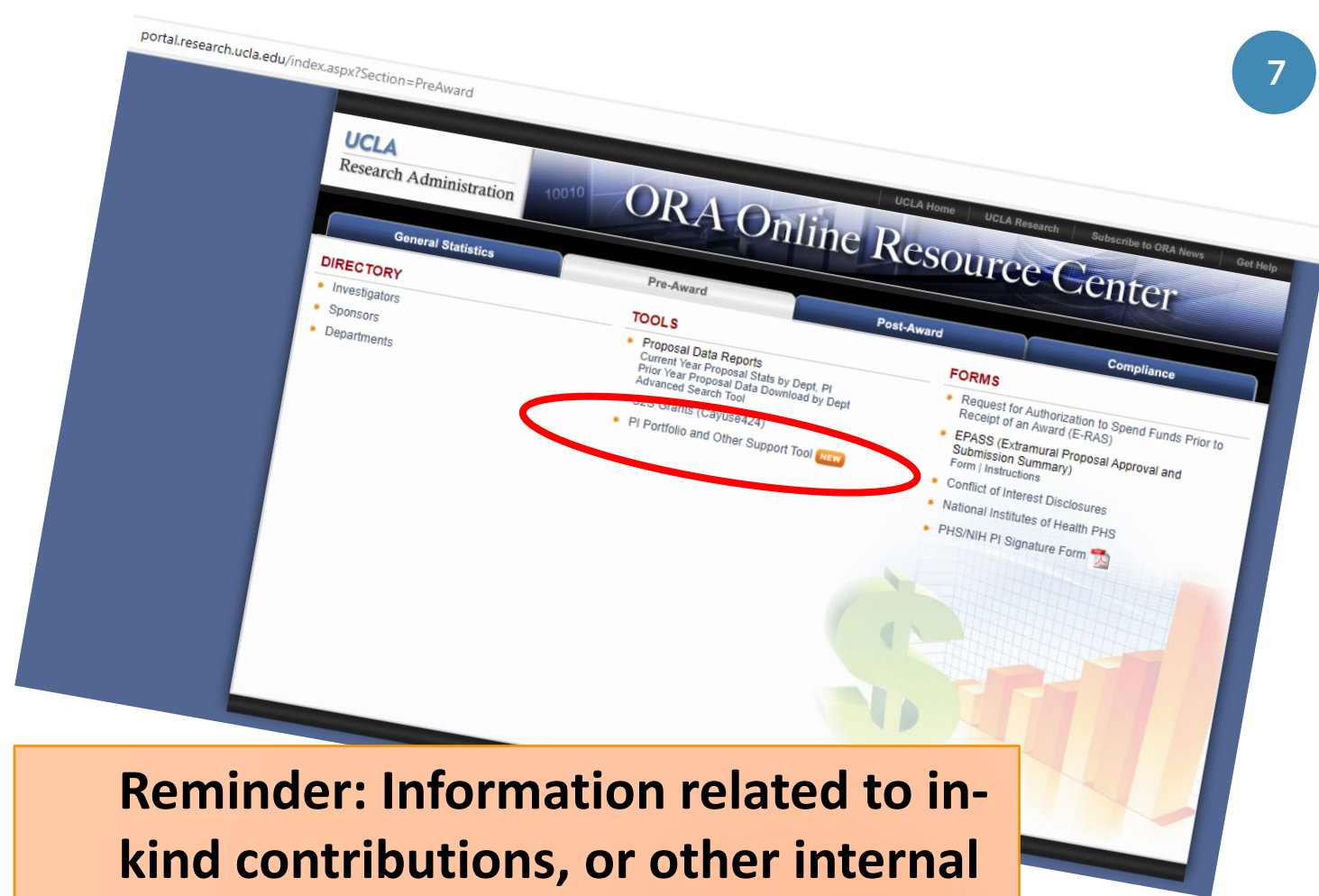
Reminder: Significant Changes to NIH OS

- Separation of funded projects from in-kind contributions with additional clarifications on what should be reported as in-kind.
 - In-kind contributions include financial support for laboratory personnel, and provision of high-value materials that are not freely available (e.g., biologics, chemicals, model systems, technology, etc.)
- In-kind contribution **not** intended for use on the project being proposed should be included in **Other Support**.
- In-kind contributions intended for **use in the project being proposed** should be included in the **Facilities and Other Resources or Equipment** section.

In addition to the updates to Other Support, NIH now requires that if UCLA discovers that PI or other key personnel on an active NIH grant failed to disclose Other Support information with submission of Just in Time or the RPPR, UCLA must immediately submit updated Other Support to the Grants Management Specialist

NIH OS and NSF C&P Reports

- Updated pre-populated NIH and NSF reports are available in the ORA Portal
- Data source
 - ORA's Proposal and Award Tracking System (PATS)
 - PATS provides data for entries originating from OCGA, CTC&SR, and TDG



Reminder: Information related to in-kind contributions, or other internal or external sources that support research endeavors must be added manually

General Statistics

Pre-Award

Post-Award

Compliance

PI Portfolio and Other Support Tool

SEARCH

CLEAR

UID	Investigator Name	Department Code	Department Name	New PILOT Instructions	New PILOT NIH Support Report	NIH Support Report	New PILOT NSF Other Support Report	NSF Other Support Report
[REDACTED]	[REDACTED]	1559	MEDICINE-HEMATOLOGY-ONCOLOGY					

1 record(s) matched your search.

From mid-January 2022, old format reports will no longer be available

Access to OS Tool

- Access Request Form will be available on ORA Portal website from Friday 10th December
- Chair approval required
- Access limited to reports for investigators within the department that the authorizing Chair oversees
 - Controlled using UCLA single sign on

UCLA Instructions & Checklist for Completing NIH Other Support

Overview

Other Support includes all resources made available to researchers or senior key personnel in support of and/or related to all of their research endeavors, regardless of whether or not they have monetary value and regardless of whether they are based at the institution the search identifies for the current grant. See: <https://grants.nih.gov/grants/forms/othersupport.htm> for more information.

The pre-populated information in UCLA's NIH Other Support form is from the Office of Research Administrations (ORAs) Proposal and Award Tracking System (PATS). PATS only provides data for entries originating from OCGA, CTC&SR, and TDG. It does not include data for, in-kind, or other internal or external sources that support research endeavors.

The investigator and department should work together to:

- Provide actual and projected effort (in person months) for the current budget period and for the period of performance.
- Add complete information for all other support received from any source, including internal or external sources that support research endeavors.

Active Awards & Pending Proposals

Include:

- ✓ Consulting agreements, when the PD/PI or other senior/key personnel will be conducting consulting activities (e.g., work that may result in publication in an academic journal, designing a protocol, data analysis, serving on a steering committee for a clinical trial, etc.) as part of the consulting activities should be estimates for the amount paid, rather than time and effort.
- Consulting should be estimates for the amount paid, rather than time and effort in calendar months.
- ✓ The total award amount, including indirect costs for the competitive segment (for the period of performance) and direct costs for the period of performance.
- ✓ Person Months
 - For an active project, provide the level of actual effort in person months for the current budget period.
 - For a pending project, provide the level of effort in person months for the current budget period.
 - For a pending project, indicate the level of effort in person months for the period of performance.
- ✓ Start-up support provided by an organization other than UCLA.

Do not include:

- The application under consideration, nor the current PHS award.
- Non-research consulting activities
- Training awards
- Prizes
- Gifts where there is no expectation of anything in return (e.g., time, services, specific research activities, money, etc.).
- Start-up funding support provided by UCLA.

Overlap statement

For each individual, summarize any potential overlap with the active or pending projects and activities, other positions, affiliations, and resources and this application in terms of the science, budget, or an individual's committed effort. For further information on Overlap see the [NIH Grants Policy Statement, Section 1.1.2: Definition of Terms.](#)

Electronic Signature

Each PD/PI or other senior key personnel must electronically sign their respective Other Support form, prior to submission, using [DocuSign](#). This signature certifies that the statements are true, complete and accurate.

Support Documentation for foreign appointments, affiliations, and/or employment with a foreign institution

- ✓ Must include PDF copies of English translations of contracts, grants, or any other agreement specific to senior/key personnel foreign appointments and/or employment with a foreign institution.

not limited
individual is

Reminder: NSF Current & Pending

- NSF current and pending support document available in the Portal is **for reference only**
- Do not submit the UCLA generated document from the Portal to NSF (will result in a compliance error)
- NSF approved formats:
 - NSF fillable PDF
 - SciENcv
- NSF Approved Current & Pending Support Formats:
<https://www.nsf.gov/bfa/dias/policy/cps.jsp>

Other Updates

- **PI Communication**
- **Pilot NSF and NIH reports and guidance will be available in the PI Portal from December 10, 2022**
- **Other Support Webinar January 2022**
 - Sign up information will be sent out via ORA News
- **Questions? Email othersupporthelp@research.ucla.edu**

Preparing for the Changes

- Confirm that all reportable outside activities have been reviewed and approved as required by UC/UCLA policy
- Arrange to obtain English translations of any foreign agreement that will need to be included (Google Translate or other machine read translations are acceptable)
- Identify and quantify any reportable in-kind contributions
- Review the Pilot NIH Other Support reports
 - If necessary, email myOCGAdata@research.ucla.edu to request a status change of pending proposals that are not going to be funded
- Establish a DocuSign account

UCLA GUIDELINES FOR COMPLETING NIH OTHER SUPPORT FORMS

Need to Inform OCGA about the Status of a Pending Proposal?

Email

myOCGAdata@research.ucla.edu

Provide identifying information regarding the project and an explanation of the requested change

This email and instruction has been added to the following reports / locations

- PI Portal My Pending Proposals
- PI Portfolio Report
- Other Support NIH Instructions
- Current & pending NSF Instructions



Overview

Other Support includes all resources made available to researchers or senior key personnel in support of and/or related to all of their research endeavors, regardless of whether or not they have monetary value and regardless of whether they are based at the institution the search identifies for the current grant. See: <https://grants.nih.gov/grants/forms/othersupport.htm> for more information.

The pre-populated information in UCLA's NIH Other Support form is from the Office of Research Administrations (ORAs) Proposal and Award Tracking System (PATS). PATS only provides data for entries originating from OCGA, CTC&SR, and TDG. It does not include data for, in-kind, or other internal or external sources that support research endeavors.

The investigator and department should work together to:

- Provide actual and projected effort (in person months) for active awards administered by UCLA.
- Add complete information other internal or external sources of funding that support research endeavors (including awards the PI receives at other institutions and in-kind support)
- Ensure that all information is complete, accurate, and up-to-date.
- Review the prepopulated data for accuracy.
 - If you have questions about, or updates to, any of the projects listed, contact myOCGAdata@research.ucla.edu. Provide identifying information regarding the project and an explanation of the change that is needed.
 - Please note that pending effort values represent effort recorded in the submitted proposal.

At the end of each section "Active," "Pending," "In-Kind," there is a template table that may be copied and pasted as many times as necessary to report on in-kind support and other internal or external other resources and/or financial support from all foreign and domestic entities that support research endeavors.

DocuSign Job Aid for how to sign NIH Other Support using DocuSign will be available on Portal December 10, 2021

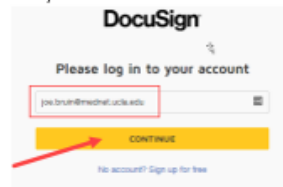
UCLA Research Administration

How to Sign NIH Other Support Form using DocuSign

This job aid will guide you step by step through the process of signing the NIH Other Support Form using DocuSign.

Log in to DocuSign using UCLA's Single Sign-On (SSO)

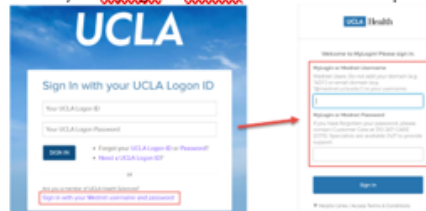
1. Using an internet browser, navigate to <https://docusign.com/login>
2. Enter your official UCLA E-mail address and click **CONTINUE**



3. Enter your Single Sign-On username and password, click **SIGN IN**, and authenticate with DUO MFA



If you are a Mednet user, click **Sign in with your Mednet** username and password, and provide your MyLogin or Mednet Username and corresponding password



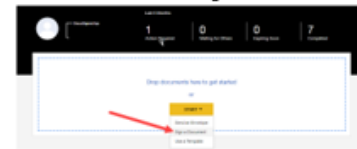
Note: If you experience any issues signing into your DocuSign account, or still need to sign up for a DocuSign account, please contact your local department IT.

How to Sign NIH Other Support Form using DocuSign 11/29/2021

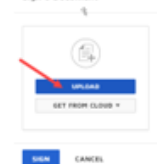
UCLA Research Administration

Upload the NIH Other Support document into DocuSign and Sign

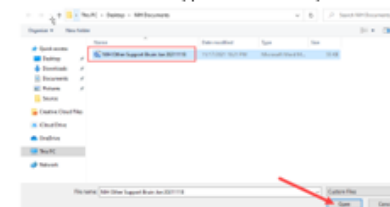
4. Click **START** and then click **Sign a Document**



5. Click **UPLOAD** to upload a document from your computer



6. Locate the NIH Other Support Form where you have it saved on your computer, select it, and click **Open**



7. Wait for the document to finish uploading



How to Sign NIH Other Support Form using DocuSign 11/29/2021

Thank you



December 2021 Research Administration Forum Q&A

Contents

Research Administration.....	1
Contract and Grant Administration	2

Research Administration

Q1: Regarding the C/F, when is the best time to request between the grant periods? Can we submit the C/F request any time after the FFR is ready from EFM?

A1: Technically you may submit the CF request at any time. HOWEVER the Sponsor may request the CF to be resubmitted once the annual FFR has been submitted which will provide them with the exact unobligated balance amongst other financial information Yoon included in her presentation.

Q2: Do we send the request for carryforward to OCGA after the FSR has been submitted by EFM?

A2: Yes if you prefer submitting the request once to the Sponsor. Keep in mind the most important key factor is to submit the request PRIOR to expending any restricted funds.

Q3: How far in advance do you recommend we request permission to carryforward funds (prior to the end of a budget period)? And if it is far in advance, do we need to know the exact amount of expected carryforward, or is an estimate OK for requesting approval?

A3: Technically you may submit the CF request at any time. HOWEVER the Sponsor may request the CF to be resubmitted once the annual FFR has been submitted which will provide them with the exact unobligated balance amongst other financial information Yoon included in her presentation. Keep in mind the most important key factor is to submit the request PRIOR to expending any restricted funds.

Q4: Just want to clarify, is there no holding account 400005? Is the holding account now 400006?

A4: The holding account 400005 will remain to be used exclusively for restricted carry forward. The new holding account 400006 is used for the funding restricted from spending with other conditions to meet (other than getting the sponsor's CF approval).

Q5: What is the due date of the FFR?

A5: Generally annual FFR is due 90 days after the end of the calendar quarter in which the budget period ends and the final FFR is due 120 days after the project period. However, there are certain smaller number of cases where it's different. Checking the due date of FFR in PAMS Financial Deliverable page is the best way to confirm the accurate due date.

Q6: Is it possible to have both 400005 (restricted CF) and 400006 (non-restricted CF) holding accounts on the same project simultaneously?

A6: Both 400005 and 400006 are used to hold restricted funding until conditions to lift restriction is satisfied. 400005 is used exclusively for restricted carry forward vs. 400006 is used for the funding restricted from spending with other conditions to meet (other than getting the sponsor's CF approval). Such conditions/restrictions are called out in the award agreement as well as Award snapshot attachment.

Q7: Can you please clarify if subaward unspent funds are considered obligated or unobligated funds when reporting our carryforward?

A7: If there is the unspent budget on the subaward after accounting all subaward invoices for the budget year, that unspent balance is included in the unobligated balance to request for carryover. If there is a subaward invoice for the budget year but it just has not been processed by AP and not yet recorded to GL, then this invoice amount is already committed by UCLA and it is not part of unobligated balance. Hope this provides a clarification.

Contract and Grant Administration

Q1: What consistent resources are available for FM to manage the expectations from faculty, who might (or not) be familiar with these processes? Can part of this presentation messaging be part of faculty onboarding processes?

A1: This is a great idea. Also, you can feel free to reach out to OCGA to get assistance with explaining this to a PI.

Q2: Can ORA Leadership follow-up with Unit Leads (Directors, DSAs+) when issues arise such as UCLA being "known" to NIH for carry forward-related issues?

A2: Excellent idea. We have been doing this to escalate these issues.

Q3: Are TDG/ISR projects in PATS?

A3: Yes.

Q4: For ORA portal, is Chair approval required or is Department ORA sufficient?

A4: Chair approval is required.

Q5: Will OCGA be sending a mass campus email with more information re: "Access to OS Tool"?

A5: Yes.

Q6: I have a PI with dual appointments, but primary appointment is in another department, so can I request access to the PI if the other department Chair approves? PI doesn't have appointment in my department, just primary in another department. Also, can all FM request access to the website then for PIs in the department?

A6: Requests for FM access must come from the Chair. If you need access to another department that Chair will have to agree to sign off on the request. However, because that means you would have access to all PIs in that department they may not be willing to approve. In that case you could request the PI that you support to give you access to their OS. They can do that in the PI portal. Details for how to do that were included in Kathy's presentation in the October 2021 RAF.

Q7: In the near future RAF, would you please include updates related to proposals and reports' latest requirements on other federal agencies including Dept. of Education? We follow RFP but also want to hear more about system enhancements, if any.

A7: Yes we will share significant updates on other sponsor entities if there is anything new to report.

Q8: Other Support cannot have a wet signature or PDF signature, is that correct? Only DocuSign?

A8: NIH will not accept a wet signature. UCLAs approved method of electronic signature for OS is DocuSign.