December 2021 Research Administration Forum Q&A

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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.