EFM Updates

- NIH Salary Cap Guidance for Post Award Management
- Single Fund Number Initiative
- ARRA Funds and Spending Timelines
- Fund Closeout - Department Threshold for Recertification
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Salary Cap Guidance

The use of current FY2011 funds and carry-forward funds from FY 2011 and prior fiscal years can be used to pay salary at the Executive Level 1 rate of $199,700.

• EFM is in the process of developing a report that will help us monitor funds that will continue to use the Executive Level I salary cap.

• EFM will review anyone paid at the Executive Level 1 rate of $199,700 to ensure that it complies with the terms of the award.
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**SFN - Benefits**

**Use of Single Fund Number started February 1, 2012:**
Long-standing practice called for certain awards such as Program Project Grants, Training Grants, and Cooperative Agreements to be assigned a new fund number for each year of the award. The Single Fund number transitions to one fund number per award for all awards.

**Reduces administrative burden and costs campus wide**

- Elimination of an estimated 1,000 fund set-up and close-outs each year
- Faster activation of continuation awards for PI’s
- Decrease in the number of cost transfers
- Increase in on-time submission of reports and invoices
- Decrease in the number of revised financial reports.
- Decrease in the number of required pre-award spending accounts (RAS)
- Decrease in recycled fund numbers
- Decrease in required changes in recharge IDs for PIs
SFN - Benefits

- On January 30th a memo was sent to ORA News announcing the implementation of single fund number and the many benefits of a transition to single fund number.

- We have received some positive feedback:

  "Thank you for championing this change! This is great news. I also really appreciate the detailed description of the benefits, and I know my faculty will as well. You have made many PIs and Research Administrators very happy today... "

SFN - FAQ’s

• The process for implementing Single Fund Number has been discussed extensively with, and developed by, representatives of RAPID work groups, campus committees, ORA staff, and members of the RAPID Steering and Faculty Advisory Committees.

• Throughout the process we tracked and developed FAQ documentation to aid in the transition to Single Fund Number.

• The FAQ’s were sent out on January 30th in the ORA News announcement and can also be found on the New EFM Website:
  http://ora.research.ucla.edu/EFM/Pages/EFMAnnouncements.aspx
FAQs for Single Fund Number (SFN)

When is UCLA switching to SFN? ................................................................. 1
Why is UCLA switching to SFN? ................................................................. 1
When does my award receive a new fund number? ....................................... 2
My fund ended before February 1, 2012 and I will be receiving another year of funding. Should I request a RAS account or continue in the fund number that is open? ................................................................. 2
If carry-forward is restricted and we do not yet have approval from the sponsor, how do we handle this under SFN? What happens when it is approved or rejected? ................................................................. 2
I noticed account 400005 has been linked to my fund. What is this account? .............. 2
How do we monitor whether or not there is pre-award spending on continuation years if everything is under one fund number? ................................................................. 2
If all of my expenses are on one fund number, how do I know if the expense applies to year 1 or year 2? Can I revise the report or invoice if an expense hits after the end date? ................................................................. 3
What if a subrecipient has not submitted the final invoice before the financial report or invoice is due? ................................................................. 3
Do I have to complete a closeout packet using the RAPID SMART Closeout Tool if my fund number is continuing? ................................................................. 3
How does SFN work for training grants? ................................................................. 4
I have a fund with unusual terms and conditions or the sponsor requires separate numbers each year. How can I request multiple fund numbers, if needed? ................................................................. 4
Language on the 90, 30, and 0 day notices has been updated to represent the *budget period* and not the *project period*. These notices are more generic so please pay attention to your budget versus your project period end date.

**Notification Attention and Subject**

**90 Day Notification**
To: PI  
Cc: Department Administrator  
**Subject:** IMPORTANT NOTICE: **Sponsored Award Budget Period Expires in 90 Days**

**30 Day Notification**
To: Department Administrator  
Cc: PI  
**Subject:** IMPORTANT NOTICE: **Sponsored Award Budget Period Expires in 30 Days**

**Fund Expiration Notification**
**Subject:** IMPORTANT NOTICE: **Sponsored Award Budget Period Has Expired**
Please complete all necessary actions below:

ENSURE ALL DELIVERABLES HAVE BEEN COMPLETED AND SUBMITTED TO SPONSOR (including):
- Progress Reports
- Invention Statements
- Technical Reports

FUND IS TO REMAIN OPEN: Please work with your OCGA/OCT/OIP and EFM contacts, as needed, on the following:
- Non-Competing Continuations
- Amendment Request (Renewal, Additional Funding, etc.)
- No Cost Time Extension Request
- Carry Forward Request
- Collect Final Subawardee Invoice for the budget period (all final subawardee invoices are due to UCLA 45 days after the budget end date)

FUND IS READY TO CLOSE:
Complete the RAPID Smart Closeout Tool and submit to EFM by the deadline. The tool can be downloaded here:
http://portal.research.ucla.edu/index.aspx?Section=PostAward
SFN – Process

Process for Interim Financial Reports

- EFM completes the financial report based on the General Ledger expenses
- EFM reviews the unallowables and will send the Interim Report and a list of the unallowables to the department fund manager
- Dept. fund manager has 5 days to review and approve the interim financial report and respond to EFM
- If dept. does not respond within 5 days EFM will submit the interim report (excluding the unallowables) to the sponsor

Process for Restricted Carry-Forwards:

- EFM completes the financial report, indicating carry-forward amount to be requested
- EFM will de-appropriate the funds from the current year and move the funds to a carry-forward holding account (400005) linked to the current fund
- Dept. continues to work with OCGA to request carry-forward
- Once approved, funds will be re-appropriated and removed from carry-forward holding account
SFN – Exception Request Form

• Exceptions to this new process will be granted on a very limited basis

• Requests for exceptions can be submitted for review using the Exception Request Form (also sent out on January 30th in the ORA News and can be found on the EFM website)

• Form should be completed and submitted to the intake team - oraawards@research.ucla.edu

• The form will be reviewed by ORA Leadership
Single Fund Number Exception Request

Please complete the form below to request an exemption to single fund number. Once complete, please submit to the Intake Team at grants@mraa.ucla.edu. Requests must be submitted by the Home Department.

Current Fund Number:
Dept:
Dept Contact:
Contact Email:

Does the Sponsor Require Separate Fund Numbers for each year?  □ Yes  □ No

If yes, please attach the Sponsor language supporting this.

If no, please enter a justification as to why this award should be exempt from Single Fund Number?

Please submit this form to the Intake Team.
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ARRA Updates

Memo will be sent to the ARRA Listserv:

- OMB will limiting no-cost extensions for funds beyond September 30, 2013
- Other agencies have released notices indicating that they will not allow no-cost extensions for ARRA funds **beyond September 30, 2013**.
- Prior written approval to extend beyond the September 30, 2013 date will only be considered if one or more of the following circumstances exist:
  - The project is long-term by design, and acceleration would compromise core programmatic goals.
  - The project must undergo a complex environmental review that cannot be completed within this time frame.
  - Contractual commitments by the grantee with vendors or sub-recipients prevent adjusting the timeline for spending.
  - Other special circumstances may exist
ARRA Updates

• Recent letters from NSF have requested that PIs with ARRA Awards that (1) extend beyond September 30, 2013 or (2) are eligible for no cost-extensions that will extend the award beyond September 30, 2013 submit a written request for the extension to their Program Officer
• The requests that we have seen from NSF have a due date of March 2nd.

Please review all your ARRA awards and contact your Program Officer as soon as possible if you have awards that:

1) Extend beyond Sept. 30, 2013
2) End before Sept. 30, 2013 but you will anticipate the need for a no-cost extension
ARRA Updates

EFM will be following-up with e-mail reminders to specific PIs who have ARRA awards which:

• Have end dates that extend beyond September 30, 2013

  or

• Have a balance greater than 100k
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Department Threshold

- PI Threshold remains $500
- As of February 1st we have implemented a department threshold for recertification of closeout packets of $100

**What does this mean?**

- Department submits their closeout packet to EFM.
- EFM reviews the closeout packet and the final number differs from the department by $\leq$100. EFM will not be required to receive re-approval from the department and can submit the final invoice and/or financial report to the sponsor.
- EFM will e-mail the final invoice and/or financial report to the department.
Questions or Comments

Please send any questions or comments to:

rapidfeedback@research.ucla.edu