Research Administrators Forum

Sponsored by
Office of Research Administration

Marcia Smith
Associate Vice Chancellor
Research Administration

June 10, 2009
Welcome
Marcia Smith, Office of Research Administration

ARRA Proposal and Award Statistics
Virginia Anders, ORA Office of Contract and Grant Administration

S2S Grants (Cayuse) Version Upgrade
Cindy Gilbert, ORA Office of Contract and Grant Administration
Gloria Su, ORA Office for Research Information Systems

ARRA Grant Reporting Requirements
Evelyn Balabis, ORA Extramural Fund Management

Viewing Accounts Receivables
Maurice Taylor, ORA Extramural Funds Management

ERS Management Reports
Jackson Jeng, ORA Office for Research Information Systems

OPRS HRPP On-Line IRB Approval Materials; Update on Western IRB
Alisa Irwin, ORA Office for Protection of Research Subjects

Update on webIRB
Carrie Fisher, ORA Office for Protection of Research Subjects

Questions and Discussion

Adjourn
Upcoming RA-Forums

- Thursday, July 9, 10:00 - 11:30 am
- Thursday, August 13, 10:00 - 11:30 am
- Thursday, September 10, 10:00 - 11:30 am
- Thursday, October 8, 10:00 - 11:30 am
- Thursday, November 12, 10:00 - 11:30 am
- Thursday, December 10, 10:00 - 11:30 am
## Proposal Activity

<table>
<thead>
<tr>
<th>Proposal type</th>
<th>ARRA</th>
<th>Non-ARRA</th>
<th>ALL</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>(Date created since 04/01/2009)</td>
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<td></td>
</tr>
<tr>
<td>Supplement</td>
<td>$89,325,548.00</td>
<td>$9,070,036.00</td>
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<tr>
<td>New</td>
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<td>$338,306,050.00</td>
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<tr>
<td>Revision</td>
<td>$3,591,405.00</td>
<td>$6,432,806.00</td>
<td>$10,024,211.00</td>
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<tr>
<td>REVISION - NEW</td>
<td>$655,877.00</td>
<td>$3,272,138.00</td>
<td>$3,928,015.00</td>
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<tr>
<td>REVISION – Competitive Revision</td>
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<td>$2,777,955.00</td>
<td>$2,777,955.00</td>
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<tr>
<td>Renewal/Competitive Continuation</td>
<td>$521,732.00</td>
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<td>$8,077,624.00</td>
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<td>Total</td>
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<td>$367,414,877.00</td>
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</tr>
<tr>
<td>Department</td>
<td>Count</td>
<td>Amount</td>
<td></td>
</tr>
<tr>
<td>------------------------------------------------</td>
<td>-------</td>
<td>------------------</td>
<td></td>
</tr>
<tr>
<td>DENTAL RESEARCH INSTITUTE</td>
<td>2</td>
<td>$885,543.00</td>
<td></td>
</tr>
<tr>
<td>EPIDEMIOLOGY</td>
<td>1</td>
<td>$240,402.00</td>
<td></td>
</tr>
<tr>
<td>HUMAN GENETICS</td>
<td>1</td>
<td>$236,458.00</td>
<td></td>
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<tr>
<td>MEDICINE-CARDIOLOGY</td>
<td>1</td>
<td>$234,000.00</td>
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<tr>
<td>MICROBIOLOGY, IMMUNO &amp; MOLECULAR GENETIC</td>
<td>5</td>
<td>$1,298,930.00</td>
<td></td>
</tr>
<tr>
<td>NEUROLOGY-LONI</td>
<td>1</td>
<td>$1,889,958.00</td>
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<tr>
<td>NEUROPSYCHIATRIC INSTITUTE</td>
<td>3</td>
<td>$693,500.00</td>
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<tr>
<td>PATHOLOGY DEPARTMENT ADMINISTRATION</td>
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<tr>
<td>PATHOLOGY LABORATORY MEDICINE</td>
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<td>$203,280.00</td>
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<tr>
<td>PEDIATRICS-PAIN PROGRAM</td>
<td>2</td>
<td>$361,358.00</td>
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<tr>
<td>SCHOOL OF NURSING</td>
<td>1</td>
<td>$180,856.00</td>
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</tr>
<tr>
<td>UROLOGY</td>
<td>1</td>
<td>$319,550.00</td>
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<tr>
<td><strong>Total</strong></td>
<td><strong>20</strong></td>
<td><strong>$6,916,240.00</strong></td>
<td></td>
</tr>
</tbody>
</table>
Great Job!
S2S Grants (Cayuse) Version Upgrade

Cindy Gilbert, ORA Office of Contract and Grant Administration

Gloria Su, ORA Office for Research Information Systems
S2S Grants (Cayuse) Version Upgrade

- Scheduled for June 19 (evening) in Production Environment
- Training Environment Already Upgraded
- Detailed Release Notes Available Friday, June 12 on S2S Grants Resources Site
S2S Grants (Cayuse) Version Upgrade

Changes:
- Professional Profile Preview
- Performance Sites
- Re-ordering of Key Personnel
- Expand/Collapse List of Key Personnel and Sites
- Fed/Non-fed Budget Form
- Submission Indicator for Subawards

NSF May 21, 2009: Effective Immediately, New FOAs will Accept FastLane Submission Only … No Grants.gov
S2S Grants (Cayuse) Version Upgrade

Research Administrators Forum
June 10, 2009
A generic “Non-federal” opportunity type is now available which provides a number of optional forms which can be utilized to create proposals when the sponsor has not provided specific forms or format.

This proposal type utilizes the “Fed/Non-fed” budget form.
# New Forms Supported

<table>
<thead>
<tr>
<th>Other Direct Costs</th>
<th>Indirect Cost Type</th>
<th>Federal ($)</th>
<th>Non-Federal ($)</th>
<th>Total ($) (fed + nonfed)</th>
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<tr>
<td>Materials and Supplies</td>
<td>Research _On_Campus</td>
<td>9,000</td>
<td>1,000</td>
<td>10,000</td>
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<tr>
<td>Publication Costs</td>
<td>Research _On_Campus</td>
<td>1,000</td>
<td></td>
<td>1,000</td>
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<tr>
<td>Consultant Services</td>
<td>Research _On_Campus</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>ADP/Computer Services</td>
<td>Research _On_Campus</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Subawards/Consortium/Contractual Costs</td>
<td>Research _On_Campus</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>&gt; Allocated IDC Base</td>
<td>Research _On_Campus</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Equipment or Facility</td>
<td>excluded</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Rental/User Fees</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Alterations and Renovations</td>
<td>excluded</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>GSR Fees/Tuition Remi</td>
<td>excluded</td>
<td></td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Total Other Direct Costs</td>
<td></td>
<td>10,000</td>
<td>1,000</td>
<td>11,000</td>
</tr>
</tbody>
</table>
New “Submitted” Subawards Indicator

A blue lightening bolt icon is now available to indicate that a subaward proposal has been “submitted”

<table>
<thead>
<tr>
<th>Proposal</th>
<th>Title</th>
<th>PI</th>
</tr>
</thead>
<tbody>
<tr>
<td>RHG; J Bruin, R01 Cal Tech Sub</td>
<td></td>
<td>Bruin, Joe</td>
</tr>
<tr>
<td>□ (c) SFW; Cindy’s Test App; PA--6-080 Parent R21</td>
<td>A Descriptive Title Less than 81 Characters</td>
<td>MATHERN, GARY</td>
</tr>
<tr>
<td>├── Cal Tech; Dominguez, PI</td>
<td></td>
<td></td>
</tr>
<tr>
<td>│ ├── UCI Subaward</td>
<td></td>
<td></td>
</tr>
<tr>
<td>│ └── USC Sub</td>
<td></td>
<td></td>
</tr>
<tr>
<td>□ (d)</td>
<td>Include submitted proposals</td>
<td></td>
</tr>
</tbody>
</table>
New “Submitted” Subawards Indicator

Navigate to the Proposal Summary page to update the Proposal Status to “Submitted”
Updates to Senior/Key Personnel

Two new senior/key personnel view options

List

Expanded

**RESEARCH & RELATED** Senior/Key Person Profile

**PROFILe - Project Director/Principal Investigator**

- **Adams, John** - Regents of the University of California, Los Angeles
  - **Dept:** David Geffen School of Medicine
  - **Div:** Physiology
  - **Street:** 10833 Le Conte Ave, 63-018 CHS
  - **City:** Los Angeles
  - **State/Province:** California
  - **ZIP/Postal Code:** 90095-1686
  - **Email:** lcadams@mednet.ucla.edu

- **Colley, Jeff** - University of Cayuse
Updates to Senior/Key Personnel

New sort functionality allows prepares to change the order of key personnel by simply pushing up/down arrows.

<table>
<thead>
<tr>
<th>3 Senior/Key Persons</th>
<th>expand all / collapse all</th>
<th>Sort</th>
<th>Add/Edit KP</th>
</tr>
</thead>
<tbody>
<tr>
<td>✎ Williams-Bayne, Helen - Regents of the University of California, Los Angeles</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>✎ Davis, Paul M - Regents of the University of California, Los Angeles</td>
<td></td>
<td></td>
<td>(b)</td>
</tr>
<tr>
<td>✎ Colley, Jeff - University of Cayuse</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Updates to Professional Profiles

New “Quick Info” window added, displaying the name, institution and department of the individual.
Performance Site info has been added to the Professional Profile and can now be auto-filled on the SF424 Performance Site and Senior/Key Persons forms.
ARRA Reporting Requirements

Evelyn Balabis
ORA
Office of Extramural Fund Management
ARRA REPORTING REQUIREMENTS

- Spend, Spend, Spend!
- No final detailed reporting requirements from the sponsor
ARRA DEPARTMENT/ PI REPORTING REQUIREMENTS

- Department / PI reporting responsibilities:
  - ARRA Project / Activity Report
  - ARRA Employment Report
    - Narrative Description
    - Employment Status Form
Project / Activity Report

- Description of Overall Purpose
- Expected outputs, outcomes or results
- First Tier subcontracts
  - Deliverables
  - Units of Measure
- Awards that Fund Multiple Projects (Formula grant)
  - Purpose, outcomes, & results can be stated in broad terms.
Project / Activity Report

- Evaluation of the Completion Status of the Project or Activity
  - Based on performance progress reports and other relevant non-financial information
  - Options
    - Not Started
    - Less than 50% complete
    - Fully complete
  - For awards funding more than one project provide the best estimate of completion
Employment Report

- Narrative Description of the Employment of the Recovery Act work
  - Cumulative for each calendar qtr
  - At minimum address or describe the
    - Impact on the recipients’ workforce and if known the impact on the subrecipient workforce
    - Types of jobs or positions created and retained in the US and outlying areas
      - These are new positions created and filled or previously existing unfilled positions that are now filled as a result of Recovery Act Funding
    - These descriptions may rely on job titles, broader labor categories or the contractor’s existing practice for describing jobs as long as the terms used are widely understood and describe the nature of the work and estimate of the jobs created and retained.
ARRA REPORTING REQUIREMENTS
Statistical Data on ARRA supported New Jobs and Retained jobs

<table>
<thead>
<tr>
<th>Employee Name</th>
<th>Employee UID</th>
<th>Pay Period</th>
<th>New Job</th>
<th>Retained Job</th>
<th>Other</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bruin, Joe</td>
<td>9999999999</td>
<td>4/1/09 - 6/30/09</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Jones, Sally</td>
<td>123456789</td>
<td>4/1/09 - 6/30/09</td>
<td></td>
<td>1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Doe, John</td>
<td>987654321</td>
<td>4/1/09 - 6/30/09</td>
<td></td>
<td></td>
<td>1</td>
<td>Tenured Faculty</td>
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<tr>
<td>Brady, Marcia</td>
<td>123789456</td>
<td>4/1/09 - 6/30/09</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Obama, Barack</td>
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<td>4/1/09 - 6/30/09</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(add additional employee)</td>
<td></td>
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</tr>
<tr>
<td>(add additional employee)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Preparer: ___________________________

Job Title: ___________________________

Signature: ___________________________

Date: ___________________________
ARRA DEPARTMENT/PI REPORTING REQUIREMENTS

- Data Elements
  - Description of Project / Activity
  - Evaluation of Completion Status
  - Narrative Description of Employment Impact
  - Employment Status Form
CENTRAL ARRA REPORTING REQUIREMENTS

❖ Subrecipient Requirements (>=25K) Submission to UCLA no later than 5 calendar days after the quarter ends
  ➢ Name of Entity receiving Subaward
  ➢ Type of Entity
    • State Government
    • County Government
    • Public/State Controlled Inst of Higher Ed
    • For Profit Org
    • Small Business
  ➢ Amount of Subaward
  ➢ Transaction Type – Grant, Cooperative Agreement, Loan
  ➢ CFDA Number
  ➢ Award Title
  ➢ Location of Subrecipient
  ➢ DUNS number of Subrecipient
  ➢ Jobs Created & Retained
  ➢ Names & Total Compensation of the 5 most highly compensated Officers
  ➢ Technical Report
SUBRECIPIENT ARRA REPORTING

Data Elements
- UCLA PI name
- Prime Sponsor
- Award Type
- Sponsor Award Number
- CFDA Number
- Program Source
- Award Title
- Subrecipient Name
- Subrecipient Type
- Amount Funded
- Period of Performance
- DUNS Number
- Location (street address, city, state, zip)
- Congressional District
- Subaward Date Signed
ARRA REPORTING REQUIREMENTS

- Financial Reporting
  - Ledger based
  - Will report expenses, encumbrances and salary commitments
  - Subaward information will be on a separate report
  - Will not report unallowables
ARRA REPORTING REQUIREMENTS

- Financial Reporting Data Elements
  - Name of Federal Agency
  - Sponsor Award Number
  - DUNS Number
  - EIN Number
  - CFDA Number
  - Recipient Legal Name
  - Fund Number
  - Project / Grant Period
  - Report Frequency
  - Total Amount of ARRA Funds Received
  - Total Amount of ARRA Funds Expended
  - NAICS Code
ARRA REPORTING REQUIREMENTS

- Reporting Due Dates to the sponsor – 10 Calendar Days after the quarter ends.
  - July 10th
  - October 10th
  - January 10th
  - April 10th
ARRA REPORTING REQUIREMENTS

- ALL REPORTS ARE DUE TO EFM BY THE LAST DAY OF THE QUARTER
  - June 30th
  - September 30th
  - December 31st
  - March 31st
ARRA REPORTING REQUIREMENTS

- ARRA help line: 310-794-0548
- ARRA reports from the department/PI should be submitted through the following central email account:
  - arrareporting@research.ucla.edu
ARRA REPORTING REQUIREMENTS

Central email account

- Subject Line:
  - ARRA;Fund #;PI Name;Qtr End Date

- Attachments:
  - ARRA Project/Activity Report
  - ARRA New/Retained Jobs Report
Accounts Receivable

Maurice Taylor
ORA
Office of Extramural Fund Management
What is Accounts Receivable?

- Any outstanding payment on a sponsored project constitutes a “receivable” on that award
  - In other words, an award is awaiting “receipt” of payment

- The University has $868 million in award dollars
  - 60% is paid through the Letter of Credit
    - Letter of Credit is essentially a line of credit between the University and the federal government. EFM “draws-down” funds several times a month in accordance with a complicated formula
  - 40% is potential for accounts receivable
Accounts Receivable

- During the cycle of an award expenditures are made and payments are received from the various sponsors.

- EFM is responsible for the billing and payment follow-up to ensure payment is received for all costs incurred.
Accounts Receivable

EFM needs:

- Departments to read the terms and conditions of the award!
- Departments to manage the award through-out the entire life cycle.
  - reconcile ledgers monthly
- Ensure that technical, progress and other deliverables are met
Payments received are either recorded to Revenue or Accounts Receivable

Non-invoiced payments are recorded directly to revenue

Invoiced payments are recorded to accounts receivable
Here is the list of Revenue and Receivable Accounts by Sponsor and Award Type

<table>
<thead>
<tr>
<th>Sponsor</th>
<th>Revenue Account</th>
<th>Receivable Account</th>
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</thead>
<tbody>
<tr>
<td>State</td>
<td>218200</td>
<td>111200</td>
</tr>
<tr>
<td>Federal Contracts</td>
<td>225000</td>
<td>111500</td>
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<tr>
<td>Federal Grants</td>
<td>221100</td>
<td>111505</td>
</tr>
<tr>
<td>Local governments</td>
<td>220950</td>
<td>112664</td>
</tr>
<tr>
<td>Private Contracts and Grants</td>
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<td>112678</td>
</tr>
<tr>
<td>Private Contracts and Grants</td>
<td>257000</td>
<td>112679</td>
</tr>
</tbody>
</table>
Financial System Applications Menu

- Financial Systems Report Descriptions
- A new feature - follow our changes to the system
- New Excel Download Instructions

**UCLA**

**Financial Systems**
- Summary
- Detail
- Tables

**Payroll**
**CG Reports**
**PAC / BruinBuy**
**BAR / DDF**
**DACSS**
**Gift Reports**

- **Fund Balances**
  By Dept, Fund, PI, User

- **Account Summary**
  By Dept, Account, User

- **Sub-Object Summary**
  By Account/CC/Fund

- **Budget to Actual**
  By Department, PI

- **Expenditures by Fund Source**
  By Org / Div / Dept

- **Custom Balances**
  By Department

- **Budget Summary**
  By Org / Div / Dept

- **Overdraft Reports by Fund**
  By Fund, Budget to Actual

- **Overdraft Reports by Account/Fund**
  By Acct-CC/Fund, Fund Source NEW

- **Sales and Services Statements**
  By Org, Major Grp, Campus NEW

- **Accounts Receivable Report**
  By Department
What the financial revenue column for a new award looks like in the Financial System

Nothing shows in the Financial (revenue) column because there has been no billing yet.

<table>
<thead>
<tr>
<th>Account/CC</th>
<th>Sub</th>
<th>Curr Month Financial</th>
<th>Fiscal Year</th>
<th>Inception to Date</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>Appropriation</td>
<td>Financial</td>
</tr>
<tr>
<td></td>
<td></td>
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<td>Appropriation</td>
<td>Financial</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Financial</td>
<td>Encumbrance</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Ledger Balance</td>
<td>Memo-Lien</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Operating Balance</td>
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<tr>
<td>221100</td>
<td></td>
<td>FEDERAL GRANTS</td>
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<tr>
<td></td>
<td>00</td>
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<td>0.00</td>
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<td>0.00</td>
<td>0.00</td>
</tr>
</tbody>
</table>
What the Financial System looks like when EFM submits a request for payment.
University of California, Los Angeles
Award Synopsis

UCLA L-Fund No: 4-18367 Inst. No: 20080711 Award Status: ACTIVE Action Type: NEW
Principal Investigator: S732 Sheaf, Kimberly Admin. Unit: 1925 COMMUNITY HEALTH SCIENCES

Sponsor: CA/HHS/DEPARTMENT OF PUBLIC HEALTH
Sponsor Award/Modification No: 07-05980:
Prime Sponsor:
Project Title: COMMUNITY OUTREACH FOR PUBLIC HEALTH PREPAREDNESS
Type of Award: CONTRACT Activity Type: PUBLIC SERV Program Type: Regular ARRA: No

Project Period End: 12/31/2008 Budget Period End: 6/30/2008

AWARD AMOUNTS
Previous Cumulative Total 0.00
Direct This Period, This Action: 66,989.00
F & A This Period, This Action: 16,054.00
Subtotal: 83,043.00
Unobligated Funds from Prior Years:
(off-set) 0.00
Total, This Period, This Action 83,043.00
Cumulative Total All Years: 83,043.00

F&A Rate 25.00 F&A Type 13 OTHER MTDC - SEE COMMENTS 2008
FY Ending 6/30 Campus Off
FOR EXCLUSIONS

F&A Waiver: 03-R-135

SUBAWARDS, COST SHARING AND SPECIAL REVIEWS
Subaward Data
- No Subawards
Cost Sharing Type
- No Cost Sharing

Special Review Approval Status Protocol No. Begin Date End Date

REPORTING AND PAYMENT DATA
LOC No: CFDA No: Payment Basis: 2 COST REIMB
Fiscal Report Type: Payment Method: 28 AUTOBILL PVTINV
Fiscal Report Frequency:
Report Due Report Class Report Type Frequency

COMMENTS
<table>
<thead>
<tr>
<th>PERSONNEL</th>
<th>04/01/08 through 03/30/09</th>
</tr>
</thead>
<tbody>
<tr>
<td>Principal Investigator (K. Shoaf)</td>
<td>$4,054.92</td>
</tr>
<tr>
<td>Debra Glik (Faculty)</td>
<td>$2,500.00</td>
</tr>
<tr>
<td>Alina Dorian (Faculty)</td>
<td>$1,654.87</td>
</tr>
<tr>
<td>Allison Kamerman (Center Administrator)</td>
<td>$1,867.63</td>
</tr>
<tr>
<td>Andrea Core (Assistant Administrator)</td>
<td>$1,248.00</td>
</tr>
<tr>
<td>Armine Kourouyan (Project Coordinator)</td>
<td>$9,102.06</td>
</tr>
<tr>
<td>Bindu Tharian (Project Coordinator)</td>
<td>$9,014.00</td>
</tr>
</tbody>
</table>

**TOTAL PERSONNEL**

$29,441.48

**FRINGE BENEFITS**

$5,244.08

**Operating Expenses**

<table>
<thead>
<tr>
<th>Category</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Office Supplies</td>
<td>$1,004.09</td>
</tr>
<tr>
<td>Printing/Health Education Materials</td>
<td>$0.00</td>
</tr>
<tr>
<td>Other</td>
<td>$801.65</td>
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<tr>
<td><strong>TOTAL</strong></td>
<td>$1,806.74</td>
</tr>
</tbody>
</table>

**EQUIPMENT**

$0.00

**TRAVEL**

$0.00

**SUBCONTRACTS**

$0.00

**OTHER COSTS**

$2,773.00

**INDIRECT COSTS (25% MTDC)**

$9,122.83

**TOTAL**

$48,387.13
While the amount of invoice shows in the Financial (revenue) column, it doesn’t mean UCLA has received payment. We must go to the general ledger and look at the details under the A/R account – the account that begins with a “1.” To access the General Ledger, we can click account 218200…

Click here
Change the Account number to the A/R account, which is 111200 for the State, and click “Get Report” button.
Now click the “Click here to go to Detail General Ledger for account transactions” link.
Adjust your dates to the invoice date. In this case it is January 2009 to May 2009 and click the “Get Report” button.
Here is the invoiced amount, for which payment has not been received (payments show in brackets). Balance column shows pending payment from sponsor.

<table>
<thead>
<tr>
<th>Fund</th>
<th>Fin-Class</th>
<th>Source</th>
<th>Project</th>
<th>TE</th>
<th>Effective Date</th>
<th>Trans No</th>
<th>Doc Date</th>
<th>Description</th>
<th>Amount ()=CREDIT</th>
<th>Balance ()=CREDIT</th>
</tr>
</thead>
<tbody>
<tr>
<td>152000</td>
<td></td>
<td>53</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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<td>152000</td>
<td></td>
<td>53</td>
<td></td>
<td></td>
<td>070464</td>
<td>010609</td>
<td></td>
<td>PVTINV/1 FINAL REV</td>
<td></td>
<td></td>
</tr>
<tr>
<td>***</td>
<td>4 - 111200 - 18367</td>
<td></td>
<td></td>
<td></td>
<td>1/16/2009</td>
<td></td>
<td></td>
<td>Ending Balance</td>
<td></td>
<td>48,387.13</td>
</tr>
</tbody>
</table>

For the period: January 2009 to May 27, 2009
What the Financial System looks like when EFM submits requests for payment on an award and there remains a balance
Univ{RSITY OF CALIFORNIA, LOS ANGELES
Award Synopsis

UCLA L-Fund No: 4-18356 Inst No: 20081819
Principal Investigator: C739 Cabic, Darcene

Award Status: ACTIVE Action Type: NEW
Admin Unit: D100 ELECTRICAL ENGINEERING

Sponsor: CA DEPARTMENT OF TRANSPORTATION, CAL BTH TRANS
Prime Sponsor:
Project Title: DSRC STANDARDS TESTING, 5MHZ BAND-PLAN ARCHITECTURE AND COMMUNICATION IN EMERGENCY SCENARIOS
Type of Award: CONTRACT Activity Type: APP ORG RES

Project Period Start: 8/30/2008
Project Period End: 10/1/2009

AWARD AMOUNTS
Previous Cumulative Total
Direct This Period, This Action:
F & A This Period, This Action:
Subtotal:
Unobligated Funds from Prior Years:
(off-set)
Total, This Period, This Action
Cumulative Total All Years:

FY Ending 6/30
2010

Campus
On

F & A Rate
17.50

F & A Waiver: 07R-215

SUBAWARDS, COST SHARING AND SPECIAL REVIEWS

- No Subawards

Cost Sharing Type
- No Cost Sharing

Special Review

REPORTING AND PAYMENT DATA
LOC No:
Fiscal Report Type:
Fiscal Report Frequency:

Report Due

Report Class

Report Type

Approval Status

FY Ending 6/30

Amount

CFDA No:

Monthly

Payment Basis: 2 COST REIMB
Payment Method: 26 AUTOBILL PYTINV
Payment Frequency: 3 QUARTERLY (3 months)

RELIANCE

JUN 26 2008
EXTRAMURAL FUND MANAGEMENT, UCLA
Here we see the total amount of award is 191,000, and we have invoiced so far for a total $50,695.48. We need to check the A/R account to see what payments have been received. We first access the general ledger by clicking on account “218200”.

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>8200</td>
<td>20</td>
<td>191,000.00</td>
<td>50,695.48</td>
<td>140,304.52</td>
<td>0.00</td>
<td>140,304.52</td>
<td>0.00</td>
<td>140,304.52</td>
</tr>
<tr>
<td>1251/CD</td>
<td>0.00</td>
<td>191,000.00</td>
<td>56,316.89</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>134,683.11</td>
</tr>
</tbody>
</table>

Click here
Change the Account number to the A/R account, which is 111200 for the State, and click “Get Report” button.
Now click the “Click here to go to Detail General Ledger for account transactions” link.
Adjust your dates. In this case we are going to change the dates to May 2008 to May 2009 and click the “Get Report” button.
Here we see several invoices have been submitted (“PVTINV”) in Description column) and several payments received (indicated in brackets in the amount column.) The balance the sponsor owes us is $24,521.23.

Non-bracket items are A/R Set-ups *$50,695.48
What Money received without a request from EFM looks like in the Financial System

- If the sponsor submits a payment without an invoice, it is credited directly to the revenue account of the fund (financial column)
- In this case, the amount is the Financial column DOES represent cash received
## University of California, Los Angeles
### Award Synopsis

**UCLA L-Fund No:** 4-59011  **Inst. No:** 2007/4258  **Award Status:** ACTIVE  **Action Type:** NEW  **Principal Investigator:** S912 Salamon, Noriko  **Admin. Unit:** 1885 RADIOLOGICAL SCIENCES

**Sponsor:** NEURORADIOLOGY EDUCATION & RESEARCH FOUNDATION (INCL ASNR)  **Prime Sponsor:**

**Project Title:** DIFFUSION TENSOR IMAGING IN THE IDENTIFICATION OF THE EXTRA-hippocampAL ABNORMALITY IN THE PATIENTS WITH MESIAL TEMPORAL LOBE EPILEPSY WITH HIPPOcampAL SCLEROSIS  **Type of Award:** GRANT  **Program Type:** Regular  **ARRA:** No

**Project Period Start:** 7/1/2008  **Budget Period Start:** 7/1/2008  **Project Period End:** 6/30/2009  **Budget Period End:** 6/30/2009

### AWARD AMOUNTS

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Previous Cumulative Total</td>
<td>0.00</td>
</tr>
<tr>
<td>Direct This Period, This Action</td>
<td>60,000.00</td>
</tr>
<tr>
<td>F &amp; A This Period, This Action</td>
<td>0.00</td>
</tr>
<tr>
<td>Subtotal</td>
<td>60,000.00</td>
</tr>
<tr>
<td>Unobligated Funds from Prior Years (off-set)</td>
<td>0.00</td>
</tr>
<tr>
<td>Total, This Period, This Action</td>
<td>60,000.00</td>
</tr>
<tr>
<td>Cumulative Total All Years</td>
<td>60,000.00</td>
</tr>
</tbody>
</table>

**F&A Rate**

**F&A Type**

**FY Ending 6/30**

**Campus**

**F&A Waiver:** 02R-127

### SUBAWARDS, COST SHARING AND SPECIAL REVIEWS

**Subaward Data**

- No Subawards

**Cost Sharing Type**

- No Cost Sharing

**Special Review**

<table>
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<tr>
<th>Special Review</th>
<th>Approval Status</th>
<th>Protocol No</th>
<th>Begin Date</th>
<th>End Date</th>
</tr>
</thead>
</table>

### REPORTING AND PAYMENT DATA

**LOC No:**

**CFDA No:**

**Fiscal Report Type:**

**Fiscal Report Frequency:**

**Report Due**

**Report Class**

**Report Type**

**Frequency:**

**Payment Basis:** 2 COST REIMB

**Payment Method:** 17 AUTO SCHED PMT

**Payment Frequency:** 6 SEMI-ANNUAL (6 months)

### COMMENTS

**General**

1. Sponsor letter dated 02/15/08 provides funding in the amount of $60,000 for the period of 07/01/08 through 06/30/09.
$60,000 shows in the Financial (revenue) column because we’ve received payment.

Let’s click this revenue account to gain access to the Detailed General Ledger…
Now click the “Click here to go to Detail General Ledger for account transactions” link
Adjust your dates. In this case we are going to change the dates to September 2008 to May 2009 and click the “Get Report” button.
We see that two payments for $30,000 each have been received.
Like the fund summary report, you can only view one month at a time in the Contracts and Grants Accounts Receivable report. If you want to view more than one month, you must go through the Detail General Ledger and type in the account number that begins with “1”
How do I Search A/R By Sponsor?

From the A/R report under CG Reports tab, select “Sponsor Code”
Type in Sponsor code. If you do not know the code, you can search by typing Sponsor name in the “find” box. Here we want to know the receivables for Jet Propulsion Laboratory as of May, 2009. Click the “Get Report” button.
### Contracts and Grants Account Receivable

As of May 11, 2009

<table>
<thead>
<tr>
<th>Fund</th>
<th>Fund Title</th>
<th>Account/CC</th>
<th>Account Title</th>
<th>Assets</th>
</tr>
</thead>
<tbody>
<tr>
<td>7042</td>
<td>JPL/NASA 1273192 LARKIN 09/08 54.5%</td>
<td>112679</td>
<td>AVR-PRIVATE GRANTS, CONTRACTS &amp; AGRMTS</td>
<td>28,693.77</td>
</tr>
<tr>
<td>TOTAL 7042</td>
<td>JPL/NASA 1273192 LARKIN 09/08 54.5%</td>
<td></td>
<td></td>
<td>28,693.77</td>
</tr>
<tr>
<td>7299</td>
<td>JPL/NASA 1338195 GHIL 6/10 54%</td>
<td>112679</td>
<td>AVR-PRIVATE GRANTS, CONTRACTS &amp; AGRMTS</td>
<td>5,317.72</td>
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<tr>
<td>TOTAL 7299</td>
<td>JPL/NASA 1338195 GHIL 6/10 54%</td>
<td></td>
<td></td>
<td>5,317.72</td>
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<tr>
<td>7526</td>
<td>JPL/NASA 1339448 LIOU 12/08 54%</td>
<td>112679</td>
<td>AVR-PRIVATE GRANTS, CONTRACTS &amp; AGRMTS</td>
<td>8.63</td>
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<tr>
<td>TOTAL 7526</td>
<td>JPL/NASA 1339448 LIOU 12/08 54%</td>
<td></td>
<td></td>
<td>8.63</td>
</tr>
<tr>
<td>7535</td>
<td>JPL/NASA 1355156 RUSSELL 9/09 54%</td>
<td>112679</td>
<td>AVR-PRIVATE GRANTS, CONTRACTS &amp; AGRMTS</td>
<td>2,620.06</td>
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<tr>
<td>TOTAL 7535</td>
<td>JPL/NASA 1355156 RUSSELL 9/09 54%</td>
<td></td>
<td></td>
<td>2,620.06</td>
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<tr>
<td>7537</td>
<td>JPL/NASA 1278932 WALKER 9/09 54%</td>
<td>112679</td>
<td>AVR-PRIVATE GRANTS, CONTRACTS &amp; AGRMTS</td>
<td>97.09</td>
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<tr>
<td>TOTAL 7537</td>
<td>JPL/NASA 1278932 WALKER 9/09 54%</td>
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<td></td>
<td>97.09</td>
</tr>
<tr>
<td>7555</td>
<td>JPL/NASA 1281398 RAHMAT 4/09 54%</td>
<td>112679</td>
<td>AVR-PRIVATE GRANTS, CONTRACTS &amp; AGRMTS</td>
<td>1,647.10</td>
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<tr>
<td>TOTAL 7555</td>
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<tr>
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<tr>
<td>7569</td>
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<tr>
<td>TOTAL 7569</td>
<td>JPL/NASA 1341955 LIOU 8/9 54%</td>
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<td>9,319.40</td>
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<td>JPL/NASA 1344270 LIOU 8/8 54%</td>
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<td>TOTAL 7594</td>
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<td>AVR-PRIVATE GRANTS, CONTRACTS &amp; AGRMTS</td>
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<tr>
<td>TOTAL 7602</td>
<td>JPL/NASA 1347651 DE LEEUW 9/9 54%</td>
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</tr>
<tr>
<td>7609</td>
<td>JPL/NASA 1269064 PAIGE 9/9 54%</td>
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<tr>
<td>7652</td>
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<td>7686</td>
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<td>AVR-PRIVATE GRANTS, CONTRACTS &amp; AGRMTS</td>
<td>18,326.91</td>
</tr>
</tbody>
</table>

Results were two printed pages...
How do I Search A/R By PI?

From the A/R report under CG Reports tab, select “PI”
Type in PI code. If you do not know the code, you can search by typing PI's last name, and selecting result from the drop down menu. Here we want to know the receivables for Dr. Michael Lu as of May, 2009. Choose a time period. Click the “Get Report” button.
Dr. Lu has $91,316.95 outstanding in receivables.
How do I Search A/R by Department Code?

From the A/R report under CG Reports tab, select “Department”
Type in Department code. Here we want to know the receivables for NPI, which is department code 2000.

Choose a time period. Click the “Get Report” button
### Contracts and Grants Account Receivable Balance

**As of May 11, 2009**

<table>
<thead>
<tr>
<th>Fund</th>
<th>Fund Title</th>
<th>Account/CC</th>
<th>Account Title</th>
<th>Assets</th>
</tr>
</thead>
<tbody>
<tr>
<td>10209</td>
<td>CAADP 07-00145 FON0 6180 11.1%</td>
<td>111200</td>
<td>AVR STATE AGREEMENTS</td>
<td>132,196.10</td>
</tr>
<tr>
<td>TOTAL 10209 CAADP 07-00145 FON0 6180 11.1%</td>
<td></td>
<td></td>
<td></td>
<td>132,196.18</td>
</tr>
<tr>
<td>10272</td>
<td>CAADP URADA 07-00152 12910%</td>
<td>111200</td>
<td>AVR STATE AGREEMENTS</td>
<td>136,760.00</td>
</tr>
<tr>
<td>TOTAL 10272 CAADP URADA 07-00152 12910%</td>
<td></td>
<td></td>
<td></td>
<td>136,760.00</td>
</tr>
<tr>
<td>10291</td>
<td>CAADP 0700151 FREESE 0900 25%</td>
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<td>AVR STATE AGREEMENTS</td>
<td>12,107.00</td>
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<tr>
<td>TOTAL 10291 CAADP 0700151 FREESE 0900 25%</td>
<td></td>
<td></td>
<td></td>
<td>12,107.00</td>
</tr>
<tr>
<td>10301</td>
<td>CAALCOHOL&amp;DRUG 0600156 URADA 120710%</td>
<td>111200</td>
<td>AVR STATE AGREEMENTS</td>
<td>(6,039.52)</td>
</tr>
<tr>
<td>TOTAL 10301 CAALCOHOL&amp;DRUG 0600156 URADA 120710%</td>
<td></td>
<td></td>
<td></td>
<td>(6,039.52)</td>
</tr>
<tr>
<td>10316</td>
<td>CAHWDDS LN049024 CONNOR 8006 25%</td>
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<td>AVR STATE AGREEMENTS</td>
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<tr>
<td>TOTAL 10316 CAHWDDS LN049024 CONNOR 8006 25%</td>
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<td></td>
<td></td>
<td>12,344.47</td>
</tr>
<tr>
<td>10319</td>
<td>CAHHCIDH 0765501 ERCOLI 690 0%</td>
<td>111200</td>
<td>AVR STATE AGREEMENTS</td>
<td>16,639.91</td>
</tr>
<tr>
<td>TOTAL 10319 CAHHCIDH 0765501 ERCOLI 690 0%</td>
<td></td>
<td></td>
<td></td>
<td>16,639.91</td>
</tr>
<tr>
<td>18410</td>
<td>CADDCC C00108 GRELLA 699 25%</td>
<td>111200</td>
<td>AVR STATE AGREEMENTS</td>
<td>(36,506.77)</td>
</tr>
<tr>
<td>TOTAL 18410 CADDCC C00108 GRELLA 699 25%</td>
<td></td>
<td></td>
<td></td>
<td>(36,506.77)</td>
</tr>
<tr>
<td>18413</td>
<td>CADDCC C08002 PRENDERGAST 7825%</td>
<td>111200</td>
<td>AVR STATE AGREEMENTS</td>
<td>22,363.80</td>
</tr>
<tr>
<td>TOTAL 18413 CADDCC C08002 PRENDERGAST 7825%</td>
<td></td>
<td></td>
<td></td>
<td>22,363.80</td>
</tr>
<tr>
<td>18415</td>
<td>CADDCC C08229 GRELLA 7825%</td>
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<td>AVR STATE AGREEMENTS</td>
<td>20,054.27</td>
</tr>
<tr>
<td>TOTAL 18415 CADDCC C08229 GRELLA 7825%</td>
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<td></td>
<td></td>
<td>20,054.27</td>
</tr>
<tr>
<td>18425</td>
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<td>AVR STATE AGREEMENTS</td>
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<tr>
<td>TOTAL 18425 CAHWDDS LN06933 O’CONNOR 8003 3.5%</td>
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<td>59,604.10</td>
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<td>AVR STATE AGREEMENTS</td>
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Results were five printed pages...
How do I search the A/R by an Account Number?

From the Account Summary report under the SUMMARY tab, select “Account”
Type in the code. Here we type in the Receivable account for the State. Click the “Get Report” button.
As of May 11, 2009
Balance Sheet (Current Funds)

<table>
<thead>
<tr>
<th>Account/CC</th>
<th>Fund</th>
<th>Fund Title</th>
<th>Fund Title</th>
<th>Assets</th>
<th>Liabilities</th>
<th>Budgetary</th>
<th>Financial</th>
<th>Balance</th>
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</tbody>
</table>

Results were seven printed pages…
How do I Search the A/R for a particular fund for more than one month?

We go to the Detail tab, and look through the Detail General Ledger…
Type in the fund number and the A/R account, which is 112679 – Private Grants and the time period. Click the “Get Report” button.
Results were five printed pages...
Accounts Receivable Report by Department is also available from the Summary Tab
What Happens When A Sponsor Doesn’t Pay?

In some instances, a sponsor reneges on their contractual agreement and defaults on payment even though payment requests were timely and deliverables were met; *the department is liable for these expenses*.
Reasons For Sponsor Default

- Out of business
- Sponsor did not include UCLA expenses on report to prime (in cases when UCLA is the subrecipient)
- Carry-forward issues
- Cash flow issues
Accounts Receivable Team

- Maurice Taylor – Supervisor, ext. 42843
- Olga Sanders – Prin. Analyst, ext. 42837
- Kaaren Davis – Senior Analyst, ext. 46988
- Shelia Oatis – Admin Analyst, ext. 63204
ERS Management Reports

Jackson Jeng
ORA
Office for Research
Information Systems
Overview

BACKGROUND
- Effort Reporting is a research compliance responsibility of the Institution as well as the researchers.
- Exposure to compliance risk
- Limitations in the current ERS system

SOLUTION
- ERS Management Reports
- Increase visibility, manageability, & cert. rate
- Minimize compliance risk
- Available through ORA Research Portal
ERS Management Reports – Release 1

FEATURES:
- Interactive web-based report
- View certification rates by:
  - Fiscal Year/Quarter/Org. Hierarchy
- Effort Reporting Status
  - On all researchers within Department

ACCESS:
- ORA Portal (http://portal.research.ucla.edu)
- Security: require UCLA ID authentication
- Demo today, available within next week
ERS Management Reports – Future Releases

Future enhancements:
- All years cumulative view
- Report counts and rates side-by-side
- On-time vs. late certification

Feedback and Comments Welcome
System Demo

Gloria Su
ORIS
OPRS HRPP On-Line IRB Approval Materials; Update on Western IRB

Alisa Irwin
ORA
Office for the Protection of Research Subjects
IRB Approval Materials Online
Beginning July 1

- IRB approval materials will be posted online—hard copies will no longer be mailed or available for pick-up

- PI and study contacts will receive email notification from the IRB when materials are available

- Documents will be posted on the ORA online research center portal
  - Location: Compliance > IRB Protocol Review Status Report
UCLA Western IRB Migrating to OPRS in July

- Effective July 1: UCLA Western IRB (WIRB) administrative functions will be managed by OPRS

- New UCLA WIRB email address: uclawirb@research.ucla.edu

- New UCLA WIRB contact: Alisa Irwin, Medical IRB Assistant Director, (310) 825-4849

- More details to be announced via OPRS
Update on webIRB

Carrie Fisher
ORA
Office for Protection of Research Subjects
What is webIRB?

Web-Based IRB Submission, Review and Tracking System
How does it support Investigators and Research Staff?

Complete and submit IRB applications online.
How does it support Investigators and Research Staff?

Track status of submissions

Receive feedback and approvals online
How does it support Investigators and Research Staff?

Receive automatic reminders when Reports are due.
How does it support Investigators and Research Staff?

Homepage with access to information on all studies
What’s been going on for the past year?

- July, 2008 Beta Test Feedback:
  - Simplify the application
  - Provide guidance on how to answer items
  - Allow mechanism to identify and route applications for expedited and exempt review
  - Provide additional content for SB studies
  - Meet AAHRPP standards
What’s been going on for the past year?

- Rewrote and Programmed the Application
- Working on Workflow Configuration, Interfaces, User Authentication, Data Transfer, Security, Load Testing, Documenting Procedures
Where are We Going from Here?

- Functional Testing
  - #1: June 22 – July 2 (IRB Staff)
  - #2: July 20 – 31 (Investigators & Research Staff)

- August - November: IT Issue Resolution

- Winter: Begin Training and Go-Live
Questions?
Volunteers for Functional Testing

cfisher@oprs.ucla.edu
Questions and Discussion