Agenda

- Welcome and Announcements
  - Marcia Smith

- OCGA
  - OCGA By the Numbers and Updates: Patti Manheim
  - FDP Updates – NIH: Kathy Kawamura
  - CIRM 2.0 guidelines: Heather Winters

- EFM
  - Federal Fund Closeout: Yoon Lee

- ORIS
  - Update on ORA Portal Enhancements: Jackson Jeng
Today’s Topics

• OCGA – Patti Manheim
  • Year in Review – 2015
  • Proposal Processing
  • OCGA Updates
  • OCGA Office Hours

• FDP Updates – Kathy Kawamura

• NSF revised version of the NSF Proposal & Award Policies & Procedures Guide – Evan Garcia

• CIRM 2.0 Guidelines – Heather Winters
# Transaction Volume for OCGA FY2015

<table>
<thead>
<tr>
<th>Transaction Type</th>
<th>OCGA</th>
<th>UCLA</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Count</td>
<td>Dollars</td>
</tr>
<tr>
<td>Proposal Records</td>
<td>4,922</td>
<td>$3,702,247,249</td>
</tr>
<tr>
<td>Award Transactions</td>
<td>4,609</td>
<td>$926,106,515</td>
</tr>
<tr>
<td>Outgoing Subawards</td>
<td>891</td>
<td>$103,570,986</td>
</tr>
</tbody>
</table>

Average of 20 proposal submissions and 19 award transactions per working day
Receipt of Proposals in Advance of Deadline - FY15

- 21.7% or over 1 in 5 Proposals were received the Same Day as the Sponsor Due Date
- 48.9% or 1 in 2 Proposals were received 2 Days or Less in Advance of Sponsor Due Date

Excludes CTAO & OIP ISR Proposals
Receipt of Proposals in Advance of Deadline – FY14 versus FY15

For FY 2014, 25.2%, or 1 in 4 Proposals were received by OCGA the Same Day as Sponsor Due Dates

For FY 2015, there was incremental improvement, as 21.7% of Proposals were received by OCGA the Same Day as Sponsor Due Dates

Excludes CTAO & OIP ISR Proposals
Expedited versus Complex Awards - FY13 to FY15

- FY 2015, Complex Awards received was 63.8%, 11.4% increase from FY13 (52.4%).

Increasing number of Complex Awards as expected based on the changes in sponsor types for proposals.
Proposed Dollars by Sponsor Type – FY14 versus FY15

<table>
<thead>
<tr>
<th>Fiscal Year</th>
<th>Federal Government</th>
<th>Business &amp; For-Profit</th>
<th>State &amp; Other Government</th>
<th>Higher Education</th>
<th>Foundations &amp; Charities</th>
<th>Interest Groups &amp; Other</th>
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</thead>
<tbody>
<tr>
<td>FY 2014</td>
<td>$2,778.6 M</td>
<td>$2,798.3 M</td>
<td>$9.3 M</td>
<td>$147.7 M</td>
<td>$368.5 M</td>
<td>$87.3 M</td>
</tr>
<tr>
<td>FY 2015</td>
<td>$2,778.6 M</td>
<td>$2,798.3 M</td>
<td>$9.3 M</td>
<td>$147.7 M</td>
<td>$368.5 M</td>
<td>$87.3 M</td>
</tr>
</tbody>
</table>

For FY 2014, OCGA processed a total of 4,855 Proposals amounting $3.634 B
For FY 2015, OCGA processed a total of 4,922 Proposals amounting $3.702 B

- Federal: steady with very slight increase
- Somewhat higher increase in Higher Education, Foundations, and Interest Groups

Less routine
Higher Complexity

Excludes CTAO & OIP ISR Proposals
Awarded Dollars by Sponsor Type - FY14 versus FY15

Federal: steady with very slight increase
Somewhat higher increase in Higher Education, Foundations, and Interest Groups
Less routine
Higher Complexity

Excludes CTAO & OIP ISR Proposals
FY 2015 Total Number of Outgoing Agreements | FY 2015 Total Outgoing Agreements Amount
--- | ---
891 | $103,570,986

- Subgrant Out: 203, $18.9 M
- Subgrant Out Modification/Amendment: 539, $63.1 M
- Subcontract Out: 8, $3.9 M
- Subcontract Out Modification/Amendment: 10, $5.7 M
- MCA Out: 43, $4.2 M
- MCA Out Modification/Amendment: 90, $7.7 M
FY 2015 Expedited Awards Processing

- 63.4% processed in two work days or less
- 76.4% processed in 5 work days or less
FY 2015 Complex Awards Processing

- 52.2% processed in 20 work days or less
- 71.4% processed in 40 work days or less
OCGA Accomplishments

Proposal Intake Team is IN!

- Central point of contact for near immediate notification of receipt of all incoming proposals using standard communications to acknowledge receipt and identify OCGA reviewer assignment.
- Delivery of proposal data within five minutes to the PI Portal and within 24 hours to the ORA Portal.
- Effective management of proposal review within OCGA and better coverage to provide feedback/response to campus.
- Accurate, real-time record reporting.
- Proposal Intake Team is “in” every day.
OCGA Accomplishments

Improved Faculty Access to Funds

- Further reduced the average turnaround time for expedited award processing from four days to two days
- Improved procedures for interacting with Research Policy and Compliance (RPC) in managing PHS Financial Conflict of Interest disclosures.
- Between March 2013 and February 2014, expedited awards were executed in 5 work days (median) by OCGA.
- Following the RPC process revision, and between March 2014 and June 2015, the turnaround for expedited awards fell to two work days (median).

F&A Exception Process

- Less than our federally negotiated F&A rate
- Campus level review and approval process for F&A Exceptions
- Reduced administrative burden eliminated several layers of approval
- Reduced proposal and award processing times
OCGA Accomplishments

Training and Development:

- Lead efforts to formalize standard operating procedures.
- Design, develop, and implement a comprehensive OCGA Training and Skill Development Program.
- Advance outreach efforts to campus to identify training needs.
- Formulate a program for preparing, monitoring and assessing Departmental Research Associates (DRAs).
- Establish OCLA ocga Twitter® account to increase social media presence.
- Implemented the OCGA Master Training Calendar to provide monthly, process-focused training sessions to the campus research community.
OCGA Accomplishments

New Federal “Uniform Guidance”

- Continuing involvement with the UC system-wide and UCLA Uniform Guidance workgroups
  - Review new regulations
  - Develop UC and UCLA-specific guidance
  - Presented preliminary guidance at December 2014 RAF
  - Developed new forms and presented to various campus audiences
OCGA Review of Proposals Received 5 or More Days in Advance of Sponsor Deadline

- OCGA review of internal processes and feedback from campus
  - Incentive to submit early
- Effective December 1\textsuperscript{st} - OCGA will provide a first review response within 12 business hours
- Systematically track and report first response date and time
OCGA Staff Updates

- Kathy Kawamura – Assistant Director Grants

- Tac Phung. 4.20.15 Grant Analyst - the National Defense University Washington DC.

- Yushan Lin. 9.8.15 Contract Specialist - Records Management Specialist.

- Jasen Okunnuga. 9.8.15 Contract Specialist - extensive background in Social Service.

- Ummi Sayers. 9.8.15 Grant Specialist - fiscal management and Junior Grants Manager - Harvard Medical School.

- Safiah Afify. 9.15.15 Grant Analyst - Assistant State’s Attorney - Palm Beach County Florida.
OCGA's Business Hours During Thanksgiving Holiday and Winter Closure

- OCGA will be closed beginning at 5:00 PM on Wednesday, November 25, 2015 through Friday, November 27, 2015. Reopen on Monday, November 30, 2015.

- OCGA will be closed beginning at 1 PM on Friday, December 18, 2015. Reopen on Monday, December 21, 2015.

- OCGA will be closed beginning at 5 PM on Wednesday, December 23, 2015, for the 2015-16 Winter Holiday Closure. Reopen on Monday, January 4, 2016.

- If you have a proposal and/or award which must be submitted to the sponsor on November 26 – November 29, December 18, or December 24 – January 3, please work with your OCGA Analyst/Officer to have the proposal and/or award submitted/processed during the dates and times the OCGA office is open.
Questions?
Federal Sponsor Update

Federal Demonstration Partnership, NIH Updates, & Grants/Cooperative Agreement Reminders
November 13, 2015
Federal Demonstration Partnership

BACKGROUND
- 154 participating institutions
- Goal: “Improve Government Process”

REPEATED THEMES
- Administrative Burden
- Data Sharing
- Timeliness of Billing
National Science Foundation (NSF)

UPDATES
Proposal & Award Policies & Procedures Guide (PAPPG) for 2016
- Oct 2015 published
- Reviewed all instances of “should” and “must”

Dual Use of Research Concern (DURC)
- Check box removed in proposal

Research.gov
- Status and notification request currently in both Fastlane and Research.gov (to become primary system)

Administrative Burden
- Budgets
  - Just-In-Time Budget Pilot
National Science Foundation (NSF)

Just-In-Time Budget Pilot Overview  (11/6/15)
Division of Mathematical Sciences (DMS)  PD 04-1260

Proposal

• Budget amount listed as Zero

• Budget Justification - description of personnel and person months, materials & supplies, travel, subawards, equipment (only category required to list dollar amnt)

• Delete Sr. Personnel from Budget

Just-In-Time

Full Detailed Budget & Justification will be requested

*Concept similar to NIH – DP2
Dual Use of Research Concern

**NSF**

- Certification Regarding Dual Use Research of Concern:
  The AOR is required to complete a certification that the organization will be or is in compliance with all aspects of the *United States Government Policy for Institutional Oversight of Life Sciences Dual Use Research of Concern*

**EPA**

- behind in implementation of DURC requirements

*Reminder:* For questions re: DURC, contact Jennifer Perkins
National Institutes of Health
Grants Process
At-A-Glance

Planning, Writing, and Submitting

Planning: Applicant should start early, collect preliminary data, and determine internal deadlines.

Writing: Applicant often begins writing application several months prior to application due date.

Submitting: Applicant organization submits most applications to NIH through the Federal portal, Grants.gov.

Receipt and Referral

Applications compliant with NIH policies are assigned for review by the Division of Receipt and Referral in the Center for Scientific Review (CSR).

CSR assigns application to an NIH Institute/Center (IC) and a Scientific Review Group (SRG).

Scientific Review Officer (SRO) assigns applications to reviewers and readers.

Peer Review

Initial Level of Review: SRG members review and evaluate applications for scientific merit.

Priority Scores: Available to Principal Investigator in eRA Commons.

Summary Statement: Available to Principal Investigator in eRA Commons.

Second Level of Review: Advisory council/board reviews applications.

Award

Pre-Award Process: IC grants management staff conducts final administrative review and negotiates award.

Notification of Award: Institute/Center issues and sends Notice of Award (NoA) to applicant institution/organization.

Congratulations! Project period officially begins!

Post-Award Management

Administrative and fiscal monitoring, reporting, and compliance.

Visit: [http://grants.nih.gov/grants/grants_process.htm](http://grants.nih.gov/grants/grants_process.htm) for more about the NIH grants process.
NIH - eCommons

Ensure maintenance of Investigator Personal Profile

Eligibility determined based upon Profile

Special Review Considerations

**Early Stage Investigator (ESI)**
Within 10 years of completion of research degree or medical residency

**New Investigator (NI)**
Has not held as PD/PI a “substantial” independent research award
NIH

Become a NIH Reviewer

- Encourage emerging researchers
- Learn/Participate in the Review Process
- Network with Colleagues
- Early Career Review Program

Continuous Submission
- Regular member of Study Section
- Standard R01, R21, R34
- Only 1 PI eligible for Multi-PI Application
NIH

**NOT-OD-16-004** – NIH/AHRQ Changes in Policies, Instructions and Forms for 2016 Grant Applications

**Phase 1** - Applications w/ due dates Jan 25th & later, changes to existing Forms-C

**Phase 2** – Applications w/ due dates May 25th & later, NEW Forms-D
NIH - Phase 1

RIGOR & TRANSPARENCY (NOT-OD-16-011)

• Revision to Research Strategy (Significance, Approach)

• New “Authentication of Key Biological and/or Chemical Resources” – Other Project Information/ Other Attachments (to be moved into Research Plan section for May applications)

• Study section Review of information

• RPPR – to address Rigor (submitted Jan 25 or later)
NIH - Phase 1

VERTEBRATE ANIMALS (NOT-OD-16-006)

• Updated guidance on criteria to be addressed (description of procedures, justifications, minimization of pain and distress, and euthanasia)
• Description of veterinary care is no longer required
• Justification for the number of animals has been eliminated
• Description and justification of the method of euthanasia is required only if the method is not consistent with AVMA guidelines

DEFINITION OF CHILDREN (NOT-OD-16-010)

• Revised from under 18 to under 21 years old
  * does not apply to AHRQ applications
NIH - Phase 1
RESEARCH TRAINING
Changes to descriptive content included in the following sections:

- Recruitment & Retention Plan to Enhance Diversity
- Human Subjects
- Vertebrate Animals
- Progress Report
REMINDESTS

ELECTRONIC SYSTEMS

- NSF Proposals – FastLane
- NIH Multi-Project Applications – NIH ASSIST
- All other Grants.Gov Applications – Cayuse

ACCESS

- Proposal Central – Administrator Access

Questions? – contact your Analyst or (s2shelp@research.ucla.edu)
MASTER TRAINING

http://www.research.ucla.edu/ocga/training-calendar.html

OCGA Post Submission – Pre Award
Thursday, November 19th, 2015
Kinross, Suite 210
10:00-11:30 am

UCLA Office of Contract & Grant Administration is the central point of contact for all pre-award actions related to sponsored projects to be funded upon receipt of satisfactory compliance. This session will focus on NIH Just-in-Time (JIT), DOD pre-award process, Reps and Certs, other authorizations (Federal, State, County) and other sponsor requests.

Follow us on Twitter: @UCLAocga
Key Updates

Evan Garcia, Senior Grant Analyst
2016 PAPPG


- Overview of changes:
2016 PAPPG

- Effective on January 26, 2016
  - Proposals due on January 26 and thereafter
  - Awards made on January 26 and thereafter
Updates to the PAPPG

- NSF policies
- Uniform Guidance implementation
- Proposal guidelines
- Award management
- Public Access Policy preview
NSF Policies

• 5:00pm deadline – proposals submitted one second after 5:00pm will not be accepted.
  ▪ If submitting via grants.gov (Cayuse), program officials will be checking receipt times

• Formatting consistency - NSF is no longer allowing directorates and program offices to specify different type size, margins, or spacing requirements.
Uniform Guidance implementation

• Budget guidelines referencing 2 CFR 200
  • Administrative & Clerical Salaries & Wages
  • Participant Support Costs
  • Visa costs
Proposal guidelines

Cover Sheet

• International Activities Country Names
  ▪ For any international conferences (foreign travel)
  ▪ Research/training/education carried out in cooperation with foreign counterparts, even in US
Proposal guidelines

Project Summary

- Clarification that only summaries requiring *special characters* may be uploaded as a Supplementary Document

Project Description

- Results from Prior NSF Support covers awards with a start date in the past 5 years. Covers *all* NSF awards
Proposal guidelines

Collaborators & Other Affiliations
• Now a separate stand-alone single-copy document, not part of biosketch.
• Total number of collaborators and students no longer required

Biographical Sketch
• Remains 2 pages.
• “Give us everything we ask for; don’t give us anything we don’t” (Awards, honors, conferences)
Proposal guidelines

Current and Pending Support

- Internal funds allocated toward specific projects must now be included

Biosketches & Current and Pending can no longer be uploaded in one file for all personnel.
Proposal guidelines

Letters of Collaboration

- Must now follow a specified format.
- Reminder that unless required by a solicitation, letters of support should not be submitted.
Proposal guidelines

Letters of Collaboration

I am writing to express my strong and enthusiastic support of your grant application on the topic of [topic]. As you know, since my visit to UCLA last February, I have been following your work in this area very closely, especially your upcoming paper titled [paper title].

This work is very exciting for both me and the community because it uncovers new potential phenomena in [field].

I am also very pleased to have begun a collaborative project with your laboratory. My contribution so far has been to send you samples of [sample]. I know that you have some exciting preliminary results already and will be more than happy to continue to prepare new samples and send them to you as this project continues.
Proposal guidelines

Letters of Collaboration

If the proposal submitted by Dr. [full name of PI] entitled [proposal title] is selected for funding by NSF, it is my intent to collaborate and/or commit resources as detailed in the Project Description or the Facilities, Equipment or Other Resources Section of the proposal.
Proposal guidelines

Proposals involving Vertebrate Animals
• Information now required as part of Project Description
  ▪ 1 – rationale for involving animals
  ▪ 2 – choice of species and number of animals to be used
  ▪ 3 – description of the proposed use of the animals
  ▪ 4 – exposure of animals to discomfort, pain, or injury
  ▪ 5 – description of any euthanasia methods to be used
Award management

Requests & Notifications
- Continue to be migrated to Research.gov.
- No-cost Extensions – late requests must include explanation why they were not submitted earlier
Award management

Final Project Reports and Project Outcome Reports

- Now due 120 days following the grant end date, to be consistent with financial reporting
NSF Public Access Policy

NSF now has a Public Access Policy, similar to that published by NIH.

- Not an immediate implementation
- Applicable to awards resulting from proposals submitted under the 2016 GPG – first set of awards for such awards likely in June/July 2016 at the earliest
NSF Public Access Policy

Applies to:
• Journal articles and juried conference papers resulting wholly or partially from NSF support

How to comply:
• PIs will be responsible for depositing publications in NSF’s system within 12 months of date of publication
NSF Public Access Policy

Where to deposit:

• NSF Public Access Repository, a new system developed in conjunction with the Dept. of Energy and hosted by DOE.

• NSF-PAR will go live in late 2015

• PIs will be able to start depositing publications after launch
NSF Public Access Policy

Integration with reporting

• NSF-PAR will be connected to Research.gov, list of publications will be present when preparing reports in Research.gov for compliance.

Stay tuned for more Public Access updates
QUESTIONS
CIRM 2.0
Clinical Stage Programs

Heather Winters
Assistant Director – Contracts
OCGA
heather.winters@research.ucla.edu
In January 2015 CIRM launched “CIRM 2.0”: ….a radical overhaul of the way we do business, one that introduces more efficient systems and programs and that places added emphasis on speed, partnerships, and patients.

The first initiative is **Clinical Stage Programs** which are intended to speed up support for projects through any stage of clinical trial activity.
CIRM 2.0 – Clinical Stage Programs

- 3 new program announcements
- Rolling deadline
  - applications accepted on an ongoing basis
  - PI's submit applications when ready to start project
  - CIRM review time is less than 90 days from review to JIT
  - significant departure from prior review time (6-18 months)
Awards Characteristics

• Work must start date 45 days after JIT

• Must include a project manager with clinical development experience

• After first payment (initiated upon award), payments will be disbursed upon completion of Operational Milestones
Awards Characteristics

Contingency Plan

• project must identify potential risks and have a financial contingency plan which identifies other funding sources in the event costs exceed amount of award

• Costs resulting from a delay or failure to meet an Operational Milestone will be the sole responsibility of the recipient
Awards Characteristics

Contingency Plan

• Must reporting suspension events to CIRM, i.e. FDA hold – only able to spend funds for 30 days; after 30 days, PI must use contingency plan
Awards Characteristics

Clinical Advisory Panel - CAP (CIRM science officer, external advisor, patient rep)

• CIRM will appoint a CAP to partner with the Awardee

• CAP will meet with awardee regularly to provide guidance to achieve operational goals

• CAP will follow project through completion
What does this mean to UCLA

Timely compliance

- Approvals and compliance (IRB, Coverage Analysis, etc.) should be obtained prior to application submission
  - Project may be refused for subsequent consideration by CIRM
What does this mean to UCLA

Additional reporting requirements

• Ongoing and regular communication with CAP

• Must be listed on clinicaltrials.gov and submit results
What does this mean to UCLA

Financial impacts

• mandatory cost sharing

• Funding holds
  ▪ Suspension events
  ▪ Failure to complete Operational Milestone
  ▪ Additional time to complete Operational Milestone
For additional information

CIRM 2.0 FAQ:
• [https://www.cirm.ca.gov/about-cirm/cirm-20-faq](https://www.cirm.ca.gov/about-cirm/cirm-20-faq)

CIRM 2.0 1/21/15 Presentation:
• [https://www.cirm.ca.gov/agendas/01152015/cirm-20-we-are-changing-way-we-work-presentation-dr-randy-mills-cirm-president](https://www.cirm.ca.gov/agendas/01152015/cirm-20-we-are-changing-way-we-work-presentation-dr-randy-mills-cirm-president)
Questions?
FEDERAL FUND CLOSEOUT

RAF
November 12, 2015
Yoon Lee
Agenda

- Key Steps in the Procedure
- September and October FFR Submission
- Frequently Asked Questions
- December Deadlines
Federal Fund Closeout Key Steps

For all federal funds subject to the procedure:
EFM sends a closeout packet (COP) reminder email to PI and Fund Manager
- A friendly reminder that a COP is due to EFM in 2 weeks

If a closeout packet is not received on time:
During the month the final invoice/financial report is due to the sponsor, EFM communicates the following with PI, Fund Manager, and Sr. Management in the department
- During the 1st week: Closeout packet past due alert
- By 15th: EFM’s analysis of final expenditure
- By 22nd: Department’s confirmation on the final expenditure
- By the month end: Submission of final invoice/financial report to the sponsor
Federal Funds Due in September

**8/14/15: COP reminder email**

<table>
<thead>
<tr>
<th>September</th>
<th>Campus</th>
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</thead>
<tbody>
<tr>
<td>Total federal funds subject to the procedure *</td>
<td>68</td>
</tr>
<tr>
<td>COP received on time</td>
<td>32</td>
</tr>
<tr>
<td>COP On-time submission rate</td>
<td>47%</td>
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*Excluding NIH training grants and awards pending NCE or continuing year funding per ORA records*

**9/04/15: COP past due alert email**

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<table>
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</thead>
<tbody>
<tr>
<td>NCE pending notified</td>
<td>6</td>
</tr>
<tr>
<td>COP received late</td>
<td>11</td>
</tr>
<tr>
<td>COP Submission rate (32+11)/(68-6)</td>
<td>69%</td>
</tr>
</tbody>
</table>

**9/30/15: Final invoice and/or Financial Report due to Sponsor**

| Final submitted to the sponsor      | 62     |
| Final on-time submission rate to the sponsor | 100%   |
| COP not received                    | 19     |
Federal Funds Due in October

9/15/15: COP reminder email

<table>
<thead>
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<th>October</th>
<th>Campus</th>
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</thead>
<tbody>
<tr>
<td>Total federal funds subject to the procedure *</td>
<td>37</td>
</tr>
<tr>
<td>COP received on time</td>
<td>16</td>
</tr>
<tr>
<td>COP On-time submission rate</td>
<td>43%</td>
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* Excluding NIH training grants and awards pending NCE or continuing year funding per ORA records

10/07/15: COP past due alert email

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<tbody>
<tr>
<td>NCE pending notified</td>
<td>1</td>
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<tr>
<td>COP received late</td>
<td>11</td>
</tr>
<tr>
<td>COP Submission rate (16+11)/(37-1)</td>
<td>75%</td>
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10/30/15: Final invoice and/or Financial Report due to Sponsor

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<tbody>
<tr>
<td>Adjusted federal funds subject to the procedure</td>
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</tr>
<tr>
<td>Final submitted to the sponsor</td>
<td>36</td>
</tr>
<tr>
<td>Final on-time submission rate to the sponsor</td>
<td>100%</td>
</tr>
<tr>
<td>COP not received</td>
<td>9</td>
</tr>
</tbody>
</table>
Frequently Asked Questions

Q: Have COP due dates to EFM changed with the new federal fund closeout procedure?

A: No, COP due dates to EFM have not changed.

- Under new procedure, the department receives a friendly reminder that a COP is due 2 weeks prior to the deadline in addition to automatic notifications informing PI and fund managers that the fund will soon expire. (90 days and 30 days prior to fund expiration and on the expiration day)
- For more details of COP due dates, refer to fund closeout pages on the EFM website
Frequently Asked Questions

Q: I have not received any notifications. What should I do to receive notifications?

A: EFM sends out automatic notifications using department contact info in PATS. First contact your local IT office to add yourself to a distribution list stored in PATS.

- For more detail steps, refer to FAQ #25 on EFM website.
- If your department does not have a distribution list, please request your IT office to create one and email it to your EFM Manager. EFM Manager will update your contact in PATS.
Q: I did not receive any notifications until I received a COP reminder 45 days after fund expiration. What happened to -90, -30, and 0 day notifications?

A: When the department contact is missing in PATS, given the criticality of the final COP reminder, EFM manually forwards the COP reminder to the department fund manager.

- Since it’s a manual process, EFM does not forward -90, -30, and 0 day notifications automatically sent out to the dept.
- This manual forwarding service for the COP reminder will discontinue effective January 1, 2016.
- Ensure your department contact is in PATS as soon as possible, no later than December 18, 2015.
Q: I have already submitted a COP to EFM in advance to the due date. Why do I receive a reminder to submit a COP?

A: COP reminders are triggered by the fund expiration dates in the financial system and are automatically sent to all federal funds subject to the procedure.

- Currently, there’s no systematic way to check if a COP is received for each fund to narrow down the population.
- COP reminder email includes “If a closeout packet has been submitted or if a no cost extension has been requested, please disregard this notice.” in the first paragraph.
Frequently Asked Questions

Q: This award is NIH (or NSF) and the final financial report is not due until 120 days after award expiration. Why does the procedure require the final financial report to be submitted to the sponsor by 90 days not 120 days?

A: To be in compliance not only with on-time submission of the final financial report but also with the final payment request.

- Under the current practice at UCLA, EFM includes encumbrance or other obligation that has not been posted to g/l as expense as long as appropriate supporting documents are provided.
- NIH/NSF requires final cash request to be completed within 120 days.
- Cash request needs to be made based on expenses per g/l.
- EFM uses the last 30 days (91 – 120) to review all obligations get liquidated for the final cash draw.
Q: I submitted a COP after the due date to EFM but before the due date of final invoice and/or financial report to the sponsor. Will EFM accept the late COP?

A: It depends based on the timing of receipt of and quality of COP. EFM will follow the procedure to complete EFM final analysis without the COP and will provide the department with EFM final analysis no later than 15th of the month the final is due to the sponsor.

EFM may consider incorporating information provided in the late COP if found helpful when analyzing the final expenses to be included in the final invoice or financial report.
Q: The award has restricted component of funding of which the balance is required to be reported to the sponsor separately. I missed the due date to submit the COP, in which the balance should have been included. How does EFM report the balance for restricted funding?

A: It depends.

- If EFM is informed of a separate expense account/cc designated for restricted funding, EFM will report expenses and the balance as shown in the account/cc.
- If EFM is not informed of a separate expense account/cc, EFM will report as if restricted funding is not spent at all. This will result in non-reimbursement and/or high unexpended obligation.
- Establish a separate expense account/cc for restricted funding at the initial fund set up process for accurate recording and reporting.
Frequently Asked Questions

- **Q:** The award has cost share requirement. I missed the due date to submit the COP, in which a cost share contribution form should have been included. How does EFM report cost share in absence of the COP?

- **A:** In absence of the cost share contribution report, EFM will report $0 in cost share.
  - This will result in non-compliance with cost share reporting requirement and may result in non-reimbursement for allowable/allocable expenses for the project.
Q: I was out of the office when a COP reminder was sent and/or EFM analysis email was sent to me. Does EFM proceed without a response from the department?

A: Yes, when EFM receives an out of office reply, EFM will forward the email to an alternative contact in the reply and proceed with the next steps in the procedure to ensure on-time submission of the final financial report to the sponsor.

If alternative contact is not indicated, EFM will forward it to Sr. manager in the dept requesting it to be assigned to an alternative person in the dept.
Frequently Asked Questions

Q: Where can I find more details about the federal fund closeout procedure?

A: Visit EFM website, www.efm.ucla.edu for
  - Full procedure document
  - 1 page summary of procedure
  - 1 page process diagram
  - 1 page flowchart
  - 1 page FAQ
  - And more...
Due to Winter Break, due dates for key communication in December (for funds expired 9/30/15) are adjusted as follows:

- **11/16/13**: EFM will send a COP reminder email
- **12/04/15**: EFM will send a COP past due alert email
- **12/11/15**: EFM’s analysis of final expenditure to the department
- **12/18/15**: Department’s confirmation of final expenditure to EFM
- **12/23/15**: EFM will submit the final invoice/financial report to the sponsor

A complete schedule of due dates for key communication for 2015 and 2016 can be found on EFM website/Fund Closeout/Closeout Deadlines.

[http://ora.research.ucla.edu/EFM/Pages/Closeout/CloseoutDeadlines.aspx](http://ora.research.ucla.edu/EFM/Pages/Closeout/CloseoutDeadlines.aspx)
Questions

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