Welcome and Announcements

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

• Welcome & Announcements – Marcia Smith
• Contract and Grant Administration
  ◦ Section 889 of the 2019 NDAA – Jim Fong
• UCLA Information Technology Services
  ◦ Covered Telecommunications Prohibition – David Shaw
• Human Research Protection Program
  ◦ Updates and Reminders – Moore Rhys
• Extramural Fund Management
  ◦ Accounts Receivable Functions in PAMS – Jonathan Wong
Section 889 of the National Defense Authorization Act of Fiscal Year 2019

December 10, 2020

(slides updated December 11, 2020 based upon an NIH update)
Section (a)(1)(A) shall take effect one year after the date of the enactment of this Act

- Prohibits a federal agency to “procure or obtain any equipment, system, or service that uses Covered Telecommunications Equipment or Services as a substantial or essential component of any system, or as critical technology as part of any system”
Covered Telecommunications Equipment or Services

Telecommunications or video surveillance services provided by the below entities or using their equipment:

- Huawei Technologies Company
- ZTE Corporation
- Hytera Communications Corporation
- Hangzhou Hikvision Digital Technology Company
- Dahua Technology Company

(or any subsidiary or affiliate of the above)
FAR 52.204-24 – Representation Regarding Certain Telecommunications and Video Surveillance Services or Equipment (Oct 2020)
• Offerer represents that it “will not provide covered telecommunications equipment or services as a part of its offered products or services to the Government in the performance of any contract, subcontract, or other contractual instrument”
• Offerer represents that it “does not use covered telecommunications equipment or services, or use any equipment, system, or service that uses covered telecommunications equipment or services”

FAR 52.204-25 – Prohibition on Contracting for Certain Telecommunications and Video Surveillance Services or Equipment (Aug 2020)
• Prohibits a federal agency from entering into a contract with an entity that uses any equipment, system, or services that uses covered telecommunications equipment
2 CFR §200.216 Prohibition on certain telecommunications and video surveillance services or equipment.

(a) Recipients and subrecipients are prohibited from obligating or expending loan or grant funds to:
   (1) Procure or obtain;
   (2) Extend or renew a contract to procure or obtain; or
   (3) Enter into a contract (or extend or renew a contract) to procure or obtain equipment, services, or systems that uses covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system. As described in Public Law 115-232, section 889, covered telecommunications equipment is telecommunications equipment produced by Huawei Technologies Company or ZTE Corporation (or any subsidiary or affiliate of such entities).

   (i) For the purpose of public safety, security of government facilities, physical security surveillance of critical infrastructure, and other national security purposes, video surveillance and telecommunications equipment produced by Hytera Communications Corporation, Hangzhou Hikvision Digital Technology Company, or Dahua Technology Company (or any subsidiary or affiliate of such entities).

   (ii) Telecommunications or video surveillance services provided by such entities or using such equipment.
NSF language included in new awards and modification on or around **October 8, 2020**

“In accordance with the newly revised 2 CFR § 200.216 and § 200.471, a recipient and subrecipient are prohibited from entering into contracts (or extending or renewing contracts) with **entities that use** covered telecommunications equipment or services. This prohibition shall apply even if the contract is not intended to procure or obtain any equipment, system, or service that uses covered telecommunications equipment or services.”
NIH NOT-OD-21-030 – Prohibition on Expending NIH Grant Funds for Covered Telecommunications Equipment or Services, dated November 23, 2020  (RESCINDED December 11, 2020 and reissued under NOT-OD-21-041)

In accordance with the newly revised 2 CFR 200.216 and 200.471, a recipient and subrecipient are prohibited from expending grant funds to:

a. **Procure** or obtain; any covered telecommunications equipment, system, or services.
b. Extend or renew a contract to procure or obtain; or
c. Enter contracts (or extend or renew contracts) to procure or obtain equipment, services, or systems that use covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system. As described in Public Law 115-232, section 889, covered telecommunications equipment is telecommunications equipment produced by Huawei Technologies Company or ZTE Corporation (or any subsidiary or affiliate of such entities) with entities that use covered telecommunications equipment or services.

Note, this prohibition shall apply even if the contract is not intended to procure or obtain any equipment, system, or service that uses covered telecommunications equipment or services.

In accordance with the newly revised 2 CFR 200.216 and 200.471, a recipient and subrecipient are prohibited from expending grant funds to:

1. Procure or obtain;
2. Extend or renew a contract to procure or obtain; or
3. Enter contracts (or extend or renew contracts) to procure or obtain equipment, services, or systems that use covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system. As described in Public Law 115-232, section 889, covered telecommunications equipment is telecommunications equipment produced by Huawei Technologies Company or ZTE Corporation (or any subsidiary or affiliate of such entities).
FAQ from the Office of Management and Budget (OMB) on December 2, 2020

Q-12. Can a Federal award be used to procure goods or services, unrelated to prohibited services or equipment, from an entity that uses such equipment and services?

Yes.

Q-13. Do recipients need to certify that goods or services procured under a Federal award are not for covered telecommunications equipment or services?

Yes, when the recipient signs an award agreement they are certifying that they will comply with all applicable laws, rules, and regulations, including the prohibition on covered telecommunications equipment and services. If the Federal agency suspects that the goods and services being procured under the award may in fact be prohibited, it must follow its own policies and procedures to take appropriate action that aligns with the guidance in 2 CFR Part 200. OMB is separately evaluating the certifications and representations statement in SAM and will make any necessary updates.
Section 889

Contact Information

Jim Fong, Assistant Director
Email: jim.fong@research.ucla.edu
OHRPP Updates

December 10, 2020
OHRPP Updates

Winter Closure & revised full board deadlines

PI annual assurances – reminder

Learn at Lunch

OHRPP Office Hours & Human Research News

PI annual assurances – reminder

Learn at Lunch

OHRPP Office Hours & Human Research News

PI annual assurances – reminder

Learn at Lunch

OHRPP Office Hours & Human Research News
The office of the Human Research Protection Program **will be closed from 5pm on Friday, December 18, 2020 until 8am on Monday, January 4, 2021.**

- If you have a full-board study that will expire during the closure period, please contact the relevant IRB administrator immediately.
Revised deadlines for three UCLA IRBs:

- **MIRB2** (meeting on 1/6/2021) – deadline is now **12/11/2020** *(tomorrow)*
- **NGIRB** (meeting on 1/7/2021) – deadline is now **12/14/2020**
- **SGIRB** (meeting on 1/12/2021) – deadline is now **12/15/2020**
These are required once a year (in lieu of continuing review) to continue the following types of research:

- Certified exempt
- Studies determined eligible for expedited review
- Research that has progressed to the point of only collecting results of clinical care procedures/tests for follow-up
- Research that has progressed to the point of data analysis only
- Studies where a UCLA IRB is relying on another IRB
Automatic email notices (with instructions) are sent out from the webIRB system:

- **9 months** after the initial approval (or last annual assurance) – **3 months before the assurance is due**
- **10 months** after the initial approval (or last annual assurance) – **2 months before the assurance is due**
- **11 months** after the initial approval (or last annual assurance) – **1 month before the assurance is due**
- **12 months** after the initial approval (or last annual assurance) – **the day the assurance is due**
Important:

- If the PI (and faculty sponsor, if applicable) doesn’t complete the annual assurance, *the study will be administratively closed*

- PI proxies *cannot* complete the assurance
If the PI has a faculty sponsor, *the faculty advisor must complete their assurance first*. Only once they complete it will the PI have access to the button in webIRB to complete the PI assurance.

- There is a webIRB [quick guide](#) to help researchers navigate the process.

- If you encounter problems with this process, contact [webirbhelp@research.ucla.edu](mailto:webirbhelp@research.ucla.edu)
January 27, 2021, noon-1pm “Coordinating with other Research Oversight Committees”
presented by Mark Mimnaugh, OHRPP

Register for this event on zoom
OHRPP Quality Improvement Unit staff are hosting **half-hour open Q/A sessions every other week** to answer your questions.

**Upcoming sessions**
- Tuesday, January 19, 2021, 8:30am
- Tuesday, February 2, 2021 8:30am

Register once and you can join any session.
Subscribe to *Human Research News*

To be in the know when OHRPP releases updated guidance and offers training opportunities, please subscribe to Human Research News

➢ *To subscribe, visit [ORA news subscription]*
Any Questions?

Contact Information

OHRPP Website
http://ohrpp.research.ucla.edu/

Moore Rhys, OHRPP Asst. Director
Phone: x46339
Email: moore.rhys@research.ucla.edu
PAMS AR Page
Presentation Goals

- Cash Management Outstanding Accounts Receivable Follow up Process
- Navigate the PAMS AR Summary and Detail Page
- How to Find Outstanding AR balance
  - By Fund
  - By PI
- Utilize Search Parameters
  - Search by multiple PI’s, Sponsor(s), Department Code(s)
- Review AR Reason Code and Action Owner
- Cash Management Team Accountant Comments and documentation
Cash Management Team AR Follow up

Current: 0-90 Day
No CM Follow up

Dunning: 90-120 Day
CM Team to review and send Dunning Letter to Sponsor

Outstanding: 120+ Day
CM Accountant to Follow up till resolution

CM Team Reviewed Population
- Send out 90 Day Dunning Letters to sponsor.
- Timely follow up to bring A/R cases to resolution
Previously

• Status of Outstanding Invoices could be reviewed on Financial System
  ◦ Fund
  ◦ AR Account

• CM Team would have to update and maintain the AR Aging to import historical AR Reason, Responsibility and comments in order to produce the latest AR Report

• This report was only used by EFM and Primarily the CM Team
  ◦ Outstanding AR can be a shared responsibility amongst central office and campus
PAMS Accounts Receivable Page

Notes and Attachments Search

- Sponsor Award Number: [Input Field] [Retrieve]
- Institution Number: [Input Field] [Retrieve]
- Fund: [Input Field] [Latest Institution Number] [All Institution Numbers]

Clear All
Benefits:
- Searchability: Can search by Fund, PI(s), dept(s), etc
- Financial Information Updated Daily
- User Friendly and easy to Navigate
- View latest CM Team updates and status
Various Ways to Search for Outstanding Invoices

Popular Searches
- Fund
- Department Code(s)
- PI(s)
- Sponsor(s)

CM Team Search for A/R Balances
- By CM Accountant
- AR Account
- Specific date parameters
- Reason Code
Summary Page: Search by Fund

AR Aging Summary

- Fund Number: 23045
- PI Name: Type PI Name(s)
- Department Name (Code): Type Department Code or Title(s)
- Date Options: -SELECT-
- Operator: -SELECT-

- Aging Group: Select Aging Group(s)
- Program Type: Select Program Type(s)
- Sponsor Name: Type Sponsor Name(s)
- Date: [date]
- Sponsor Type: Select Sponsor Type(s)
- Ledger Month/Year: 12/2020

- AR Accounts: Select Account(s)
- CM Accountant: Select Accountant(s)

Search Clear

1 record(s) found.

<table>
<thead>
<tr>
<th>Account Number</th>
<th>Fund Number</th>
<th>Dept Code</th>
<th>Department</th>
<th>PI Name</th>
<th>Sponsor Name</th>
<th>Fund Title</th>
<th>High Risk</th>
<th>Total AR</th>
<th>0-30 Days</th>
<th>31-60 Days</th>
<th>61-90 Days</th>
<th>91-120 Days</th>
<th>121-180 Days</th>
</tr>
</thead>
<tbody>
<tr>
<td>112300</td>
<td>23045</td>
<td>1949</td>
<td>HEALTH POLICY AND MANAGEMENT</td>
<td>Emmeline Chiang</td>
<td>DOWA-DEPARTMENT OF VETERANS AFFAIRS (INCL VA MEDICAL CENTER)</td>
<td>DOWA DEPT 3002 CHANG 09/20 21%</td>
<td>$162,002.62</td>
<td>$162,002.62</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td></td>
</tr>
</tbody>
</table>
Search Results
- Provide important award information, aging information as well as CM follow up updates.
- Due to numerous categories please scroll to see all of the pertinent categories.

Search Results: Fund 21225

<table>
<thead>
<tr>
<th>Account Number</th>
<th>Fund Number</th>
<th>Dept Code</th>
<th>Department</th>
<th>PI Name</th>
<th>Sponsor Name</th>
<th>Fund Title</th>
<th>High Risk</th>
<th>Total AR</th>
<th>0-30 Days</th>
<th>31-60 Days</th>
<th>61-90 Days</th>
<th>91-120 Days</th>
<th>121-180 Days</th>
<th>181-270 Days</th>
<th>271+ Days</th>
</tr>
</thead>
<tbody>
<tr>
<td>111501</td>
<td>21225</td>
<td>1200</td>
<td>LATIN AMERICAN INSTITUTE</td>
<td>Kevin B. Terraciano</td>
<td>DOED-Department of Education</td>
<td>P01A03654103</td>
<td>No</td>
<td>$2,799.95</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
</tbody>
</table>

Search Results: Fund 21225 Continued
AR Aging Detail Page

- Page to provide details at the Fund Level
- Aging Summary for AR Balance
- List of Historical CM Follow up, Reason Code, Action Owner and saved documentation.
## AR Reason Code

**Standardize the Reason for Non-Payment**

### AR REASON CODES

<table>
<thead>
<tr>
<th>Reason Code</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>In Process</td>
<td>EFM is in the process of finding sponsor’s basis for delay in payment.</td>
</tr>
<tr>
<td><strong>Reasons why sponsor is not paying us</strong></td>
<td></td>
</tr>
<tr>
<td>Invoice: Errors to be corrected</td>
<td>Sponsor rejected invoice, corrected invoice needs to be resubmitted</td>
</tr>
<tr>
<td>Invoice: Supporting Documents Required</td>
<td>Sponsor rejected invoice or holding off payment, requiring additional documentation.</td>
</tr>
<tr>
<td>Invoice: Not Received</td>
<td>Sponsor does not have record of receiving invoice from UCLA, invoice needs to be resubmitted to sponsor</td>
</tr>
<tr>
<td>Invoice: Late Submission</td>
<td>Sponsor does not approve invoice because invoice was submitted after the due date</td>
</tr>
<tr>
<td>Dispute on Non-Financial Deliverable</td>
<td>Sponsor and UCLA are in the process of confirming all program deliverables have been satisfied for payment</td>
</tr>
<tr>
<td>Partial Payment Withholding per T&amp;C</td>
<td>Sponsor’s Terms withhold certain percentage of payments until award closeout</td>
</tr>
<tr>
<td>Sponsor Financial Issues</td>
<td>Sponsor has communicated financial difficulty in completing payment of invoice.</td>
</tr>
<tr>
<td>Sponsor Unresponsive</td>
<td>Sponsor has not provided a response to A/R inquiry.</td>
</tr>
<tr>
<td>Other</td>
<td>Other, Unique cases</td>
</tr>
<tr>
<td><strong>Paid Amount is Confirmed, UCLA to resolve</strong></td>
<td></td>
</tr>
<tr>
<td>Wire Fee / Exchange Rate</td>
<td>Payment received is the net of Wire fee or loss in currency exchange, difference will need to be transferred to Dept Unrestricted. If there is a cash surplus as a result of currency exchange rate will be transferred to Dept</td>
</tr>
<tr>
<td>Pending Transfer to Dept Fund</td>
<td>Conclusion has been made that the department will be responsible for A/R and in the process of transferred.</td>
</tr>
<tr>
<td>Payment: Lost / Missed</td>
<td>Payment was sent to wrong entity or applied to wrong fund</td>
</tr>
<tr>
<td>Payments: Approved and Forthcoming</td>
<td>Sponsor confirmed payments and in the process of sending payment.</td>
</tr>
<tr>
<td>Payments Recorded to Fund</td>
<td>EFM Applied payment to corresponding fund, record of payments will be recorded to General Ledger overnight</td>
</tr>
<tr>
<td><strong>EFM Responsibility and quick fixes</strong></td>
<td></td>
</tr>
<tr>
<td>A/R Incorrectly Setup</td>
<td>A/R is incorrectly set up and needs to be reversed, Reversal Journal Entry will be recorded to General Ledger over night</td>
</tr>
<tr>
<td>Small Balance Transfer</td>
<td>Cash Surplus / Deficit is small, balance will be transferred out.</td>
</tr>
</tbody>
</table>
AR Action Owner

Designate Appropriate EFM Group for next Action

ACTION OWNER

Who is the EFM Group responsible for the next AR action?

- CM Team
- FM Team 1
- FM Team 2
- FM Team 3
- RFC Team
- EFM Leadership
AR Details Page Comments

Designate Appropriate EFM Group for next Action

COMMENT PROCESS

- Upon CM Action, CM Team will update Comment
  - Required information
    - AR Reason Code
    - AR Action Owner
    - Comment
      - Refer Specific Invoice Number and Amount with a brief update
      - Ability to upload and save pertinent documentation.
Any Questions?

Contact information:

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