Welcome and Reminders

• 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 orally. You will be allowed to unmute.

• Slides will be posted on the ORA website following the meeting
Agenda

• Welcome & Announcements – Tracey Fraser

• UCLA Business and Finance Solutions
  ◦ Foreign Payments – Mike Sattin

• Human Research Protection Program Hot Topics
  ◦ BruinIRB Update and Announcements – Moore Rhys

• Contract and Grant Administration Hot Topics
  ◦ Goodbye Fastlane, Hello Research.gov – Cindy Gilbert and Kurt Durlesser

• Extramural Fund Management Hot Topics
  ◦ Final Financial Deliverable – Yoon Lee
  ◦ ORA Portal Departmental Dashboard – Yoon Lee
  ◦ FY21-22 Fiscal Closing Deadlines – Katie Cadle

• Open Forum – Questions, Discussion – All
Foreign Payments Presentation Links

- A high level overview of Foreign Payments was presented in a September 9, 2021 BFS Forum to help identify when additional tax review is needed: https://www.finance.ucla.edu/webinars
  - Direct Link to Deck: https://ucla.app.box.com/v/bfs-forum-09-09-21 (slides 13-23)
  - Direct Link to Webinar: https://vimeo.com/601428619 (presentation on Foreign Pay from about 9:35-28:00)

- General Foreign Payment to Individuals resources (relates more to payments to specific foreign individuals rather than to another institution).
  - https://cru.ucla.edu/how-process-payments-non-citizens
OHRPP Updates

- BruinIRB Update
- OHRPP Announcements
- Human Research News
BruinIRB Update

• OHRPP convened a meeting of the faculty advisory board on April 27th to view a demo and provide feedback on phase 1b (reliance applications) of BruinIRB development

• Faculty advisors had questions and suggested some changes, many of which are being worked on now by the ORIS development team
Additional stakeholders are reviewing and providing feedback

We are hoping to deploy phase 1b before the July 4th weekend. Stay tuned for updates.
“BruinIRB phase 1b preview”
(TODAY) May 12, 2022 at noon
Presenter: Lubabah Helwani

Register for the zoom link
Learn at Lunch

“Conflict of interest review for human subjects research”
May 26, 2022 at noon
joint presentation by RPC and OHRPP

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

**Upcoming sessions**
- Tuesday, May 24, 2022 8:30am
- Tuesday, June 7, 2022 8:30am

Register once and you can join any session.
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*
Contact

Presenter: moore.rhys@research.ucla.edu
Goodbye FastLane, Hello Research.gov

The End of an Era

Kurt Durlesser
Analyst

Cindy Gilbert
Assistant Director
eRA and Records Management

Research Administration Forum
May 12, 2022
Sept 22, 2020: **Important Notice #147**

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**Important Notice No. 147**

Research.gov Implementation Update

Important Notice to Presidents of Universities and Colleges and Heads of Other National Science Foundation Grantee Organizations

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NSF has successfully migrated important research functions from FastLane to Research.gov including the preparation and submission of annual and final project and outcomes reports, most notifications and requests and award payments. NSF is now taking proactive steps to incrementally move the preparation and submission of all proposals from FastLane to Research.gov with a tentative target date for completion by 2022.

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the development of a modern, flexible Research.gov system that reduces administrative burden to meet the current and future needs of researchers, administrators and organizations. As a result, NSF has successfully migrated important research functions from FastLane to Research.gov including the preparation and submission of annual and final project and outcomes reports, most notifications and requests and award payments. NSF is now taking proactive steps to incrementally move the preparation and submission of all proposals from FastLane to Research.gov with a tentative target date for completion by 2022.
Where are we Today?

- Incrementally move proposal preparation and submission functionality from FastLane to Research.gov
- Target date for completion for end of calendar year 2022
- The majority of funding opportunities are currently supported in Research.gov
- Not yet available:
  - Postdoctoral Fellowships (with reference letter required)
  - SBIR/STTR
  - Supplemental Funding Requests
Where are we Today?

• NSF and OCGA strongly encourage using Research.gov sooner rather than later
  ▪ Make the transition as smooth as possible
  ▪ Provide feedback between now and the end of the year
• FOAs will give clear guidance on whether Research.gov submission is available and/or required
  ▪ An alert will soon be on all Program Description pages
IMPORTANT INFORMATION AND REVISION NOTES

This solicitation follows the model set forth by, but does not replace, the NSF 17-594 solicitation, titled "Research Coordination Networks (RCN)".

Innovating and migrating proposal preparation and submission capabilities from FastLane to Research.gov is part of the ongoing NSF information technology modernization efforts, as described in Important Notice No. 147. In support of these efforts, research proposals submitted in response to this program solicitation must be prepared and submitted via Research.gov or via Grants.gov, and may not be prepared or submitted via FastLane.

Any proposal submitted in response to this solicitation should be submitted in accordance with the revised NSF Proposal & Award Policies & Procedures Guide (PAPPG) (NSF 22-1), which is effective for proposals submitted, or due, on or after October 4, 2021.
Tips for Using Research.gov

Proposals are not portable between FastLane and Research.gov

- Full proposals must be submitted in the same system as the corresponding LOI or preliminary proposals (i.e., all in Research.gov or all in FastLane)
- Collaborative from multiple organizations must all be prepared in the same system (i.e., all in Research.gov or all in FastLane)
- Proposal file updates (PFUs) and budget revisions must be executed in the same system as the proposal was submitted (i.e., all in Research.gov or all in FastLane)
Advantages of Using Research.gov

• Enhanced user experience
  ▪ Improved look and feel
  ▪ Tips and information available within form pages

• Dynamic interfaces that provide only proposal preparation options specific to the proposal and/or program type

• Improved compliance checking within each form:
  ▪ Error messages (preventing proposal submission)
  ▪ Warning messages (allowing proposal submission, but require thoughtful review)
  ▪ 350 checks in Research.gov versus only 56 in FastLane
  ▪ Reduces the number of proposals returned without review
Advantages of Using Research.gov

• Improved document upload functionality
  ▪ Much faster upload times
  ▪ PDF uploads are not altered by the system

• Easier proposal sharing capabilities – no more Proposal PINs

• Proposal Preparation Demo Site
  ▪ Available to all users with an NSF login
  ▪ All Demo site users have the “PI” role
  ▪ Demo site is replica of the actual production system ... any proposal type that is available in production is also available in the demo site

• Abundance of resources available
A Short Tour of the Demo Site

My Desktop

Proposals
- Prepare and Submit Proposals (Letters of Intent, Preliminary, Full, Renewal and Postdoctoral Fellowships)
- Prepare Proposals in FastLane
- Demo Site: Prepare Proposals (Training)
- Proposal Status

Awards & Reporting
- Notifications & Requests
- Project Reports
- Award Functions
- NSF Public Access Repository (NSF-PAR):
  - Add Research Products
  - Manage Research Products

Fellowships & Honorary Awards
- Graduate Research Fellowship Program
  (GRFP Officials only)

Manage Financials
- Program Income Reporting
- Grantee Cash Management Section
- Contacts

Administration
- User Management
- Research Administration
- Look Up NSF ID
Resources

• NSF About Proposal Preparation and Submission site
  ▪ FAQs
  ▪ Video tutorials
  ▪ How-to guides
  ▪ Links to other important resources such as the PAPPG

• NSF eRA Forum site

• Subscribe to NSF eRA Forum list-serv:
  send an email to NSF-ERA-FORUM-subscribe-request@listserv.nsf.gov using “Subscribe” in the subject line
Resources

• **NSF You Tube Channel**

• Research.gov presentation from May 2022 Federal Demonstration Partnership Meeting
  - Recording will be available by early next week
  - Check the FDP Meeting [website](#)

• Spring 2022 NSF Virtual Grants Conference
  - June 6 – 10, 2022
  - Registration is free
  - View the agenda and register [here](#)
A final thought …

• 46 – 47% of NSF proposals are submitted via Research.gov*

• UCLA – May 1, 2021 – April 30, 2022
  ▪ Research.gov: 166
  ▪ FastLane: 146

• 53% Research.gov

*Jeremy Leffler, NSF Updates, FDP Meeting, May 9, 2022

53% is higher than the average, but we have a long way to go to reach 100%!
Upcoming Monthly OCGA Training Calendar Sessions

<table>
<thead>
<tr>
<th>Event</th>
<th>Date</th>
<th>Time</th>
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<tbody>
<tr>
<td>NSF FastLane/Research.gov</td>
<td>Wednesday, May 18, 2022</td>
<td>9:30 – 11:30 AM</td>
</tr>
<tr>
<td>Outgoing Subaward Basics</td>
<td>Wednesday, June 15, 2022</td>
<td>9:30 – 11:00 AM</td>
</tr>
</tbody>
</table>

[https://ocga.research.ucla.edu/training-calendar/](https://ocga.research.ucla.edu/training-calendar/)
Any Questions?

Contact Us: erahelp@research.ucla.edu
Visit our Website: https://ocga.research.ucla.edu/nsf-fastlane/
Extramural Fund Management
Agenda

• Final Financial Deliverable
• ORA Portal Department Dashboard
• FY21-22 Fiscal Closing Deadlines
Final Financial Deliverable

Yoon Lee
Final Financial Deliverables: Overview

- Final financial deliverables are the final invoice or the final financial report that UCLA submit to the sponsor to conclude the total expenditure of the project and the unexpended balance if any.
  - Department submits a closeout packet to EFM to confirm the total final expenses and the unexpended balance for the project to report to the sponsor.
  - For more information about a closeout packet, visit EFM website “Closeout Packet” page.
  - For procedure details including a flow chart, visit EFM website “Closeout Procedure” page.

- Due date to submit the final to the sponsor is included in the agreement and indicated in PAMS Financial Deliverable Page.
  - Due date of closeout packet is derived based on the due date of the final to the sponsor.
  - A closeout packet reminder is sent to the department 15 calendar days prior to the due date.
  - A tailored closeout packet dashboard is on your PAMS worklist and a closeout packet due date is available in PAMS closeout tab.
    - For the chart showing the closeout packet due dates in relation to the final due dates to the sponsor, visit EFM website “Closeout Deadlines” page.

- Late submission of the Final to the sponsor is a non-compliance and can be a reason for non-payment.
Final Financial Deliverables: Federal

• Uniform Guidance: § 200.344 Closeout: “~ If the non-Federal entity fails to complete the requirements, the Federal awarding agency or pass-through entity will proceed to close out the Federal award with the information available. ~”
  ◦ (a) The recipient must submit the final financial report as required by the terms and conditions of the Federal award no later than 120 calendar days after the end date of the period of performance.
  ◦ (b) Unless the Federal awarding agency or pass-through entity authorizes an extension, a non-Federal entity must liquidate all financial obligations incurred under the Federal award no later than 120 calendar days after the end date of the period of performance as specified in the terms and conditions of the Federal award.

• NIH Grant Policy Statement: 8.6 Closeout: “~ NIH may initiate unilateral closeout if a recipient does not provide timely accurate closeout reports or does not respond timely to NIH requests to reconcile discrepancies in grant records. ~”
  ◦ Recipients must submit a final Federal Financial Report (FFR) within 120 calendar days of the end of the period of performance (project period).
  ◦ Final FFRs must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations.
  ◦ There must be no discrepancies between the Federal share of expenditures reported on the final FFR and the net cash disbursements reported to PMS on the Transactions section of the FFR.
Final Financial Deliverables: Unliquidated Obligation

• **Uniform Guidance (§ 200.1 Definitions) and NIHGPS (1.2 Definition of Terms) defines “Unliquidated Obligation” same.**
  ◦ Unliquidated Financial obligation means, for financial reports prepared on a cash basis, financial obligations incurred by the non-Federal entity that have not been paid (liquidated). For reports prepared on an accrual expenditure basis, these are financial obligations incurred by the non-Federal entity for which an expenditure has not been recorded.

• **What does this mean to UCLA?**
  ◦ All project expenses should be recorded in General Ledger (GL) within the liquidation period.
    ◦ When there is an allowable and applicable expense incurred for the project period but not recorded in GL, it must be included in the closeout packet with adequate supporting documentation (For details of adequate supporting documents, refer to EFM website [FAQ 2.8](#)).
  ◦ UCLA must draw cash on Letter of Credit within the liquidation period. EFM concludes the final draw amount based on the expenditures in the final FFR.
Final Financial Deliverables: Late Submission

- **Uniform Guidance: § 200.344 Closeout:**
  - (h) If the non-Federal entity does not submit all reports in accordance with this section and the terms and conditions of the Federal Award, the Federal awarding agency **must proceed to close out with the information available** within one year of the period of performance end date.
  - (i) If the non-Federal entity does not submit all reports in accordance with this section within one year of the period of performance end date, the Federal awarding agency **must report the non-Federal entity's material failure** to comply with the terms and conditions of the award with the OMB-designated integrity and performance system (currently FAPIIS). Federal awarding agencies may also pursue other enforcement actions per §200.339.

- **NIH Grant Policy Statement: 8.6 Closeout**
  - ~ If a recipient does not submit all required closeout reports within a year of the period of performance end date, NIH **must report the recipient's failure** to comply with the terms and conditions of award in FAPIIS and initiate **unilateral closeout**. Failure to submit timely and accurate closeout documents may affect future funding to the organization. Failure to correct recurring reporting problems may cause NIH to take one or more actions that may include, but are not limited to, **corrective actions, withholding or further awards, suspension or termination**.
Final Financial Deliverables: Late Submission

- **NIH NOT-OD-21-102**: Reminders of NIH Polices related to Closeout
  - Per the NIHGPS, recipients **must** submit timely, accurate grant expenditure reports, and reconcile cash transaction reports submitted to the PMS with expenditure reports submitted to NIH.
  - Recipients **may request payments from PMS up to 120 days** past the period of performance end date to liquidate obligations incurred during the period of performance.
  - PMS will **automatically reject** any request made after **120 days** past the period of performance end date.

- **NIH NOT-OD-21-149**: Process for Requesting Drawdowns Outside of the Liquidation Period
  - Prior to submitting the payment request in PMS, **submit a prior approval request** to the IC Grants Management Specialist listed in the Notice of Award.
  - The request must provide the PMS subaccount, NIH grant number, the amount of funds being requested, and a **justification for the late payment request**. The recipient must also **describe what action is being taken to preclude similar situations in the future**.
  - The IC will review the request and if it is determined that the justification is adequate, will notify the recipient of the approval (Requests will be reviewed and considered on a case-by-case basis).
  - Once approved, NIH will notify PMS of the approval. The recipient may submit the payment request in PMS.
Final Financial Deliverables: Late Submission

• What is happening now?
  ◦ Sponsors are enforcing requirements rigorously.
  ◦ When a closeout packet is not received by the deadline, EFM proceeds to prepare the final following the “Closeout Procedure”. The EFM final analysis is completed based on the expense in GL excluding questionable expenses that could have been justified with adequate explanation and supporting documentation.
  ◦ Department often requests a revision to the final financial deliverable to include more expenses.
  ◦ EFM submits a revised final financial deliverable following the “Revision Procedure”; however, this does not guarantee sponsor’s approval.
  ◦ Sponsor has been requesting in-dept explanations for late submission (late payment request).
  ◦ Expenses not included in the original final financial deliverable are at risk for non-payment.
  ◦ Submitting a closeout packet is essential to recover costs. Unrecovered costs are funded by the department unrestricted funding source and it is the loss to the University.
  ◦ Visit EFM website “Policies and Procedures” to find “Closeout Procedure” and “Revision Procedure”

• How can we ensure recovery of full project costs?
  ◦ Review and reconcile expenses on a monthly basis as required by UCLA Policy 910.
  ◦ Submit an accurate and complete closeout packet to EFM on time.
Final Financial Deliverables: Summary

Step 1

Department submits an accurate and complete closeout packet to EFM on time

Step 2

EFM Fund Management team submits the final financial deliverable to the sponsor

Step 3

EFM Cash Management team collects the payment (e.g. draw cash on letter of credit on time)

“Full cost recovery starts with monthly reconciliation and a closeout packet”
ORA Portal Department Dashboard

Yoon Lee
Department Dashboard

• ORA Online Resource Center: [http://portal.research.ucla.edu/index.aspx](http://portal.research.ucla.edu/index.aspx)
Department Dashboard shows two charts:
- Total number of Closeout Packets due to EFM in the current fiscal year and their status
- Total number of Financial Deliverables due to the sponsor in the current fiscal year and their status
- Data is from Post Award Management System (PAMS)
Department Dashboard: Closeout Packets

- You can search the closeout packet status by organization (department, division, school), by sponsor type, and/or by a period. The period is defaulted to the current fiscal year.
- **Pie Chart**: For the period you select, you can see the total number of closeout packets due with their status.
  - **Stacked Bar Chart**: For the period you select, monthly statistics are available to see a trend.
Department Dashboard: Financial Deliverables

- You can search financial deliverable status by organization (department, division, school), by sponsor type, by deliverable type, and/or by a period. The period is defaulted to the current fiscal year.

- **Pie Chart**: For the period you select, you can see the total number of financial deliverables due to the sponsor with their status.
  - **Stacked Bar Chart**: For the period you select, monthly statistics are available to see a trend.
FY 2021-22 Fiscal Closing Deadlines

Katie Cadle
• Business and Finance Solutions (BFS) has announced the Closing Schedule for 2021-2022 Fiscal Year End (FYE).
  ◦ Detailed resources can be found on the BFS website.

• EFM deadlines for campus to submit to EFM for review and processing communicated by ORA News Announcement on 05/09/22.
  ◦ Email Subject: 2021-22 FYE Close - EFM Deadlines
2021-2022 Fiscal Year End Close

What to do in May and continuing through FYE Close:

• Review the Fiscal Closing Letter and Schedule of Deadlines to identify deadlines applicable to your area.

• Conduct monthly reconciliation and ledger review:
  ◦ Verify expenses booked to the ledger have been recorded to the appropriate FAU
  ◦ Process cost transfers for adjustments, if needed
  ◦ Submit vendor and subcontractor invoices to Accounts Payable in a timely manner
  ◦ Contact vendors and subcontractors for invoices billing for goods and services rendered during FY21-22
# FYE Close – Department Deadline for Submission to EFM

<table>
<thead>
<tr>
<th>Description</th>
<th>Deadline to Submit to EFM for Review &amp; Processing</th>
<th>Deadline for EFM to Review, Approve, &amp; Process</th>
</tr>
</thead>
<tbody>
<tr>
<td>Payroll (UCPath) Direct Retro Expense Transfer</td>
<td>06/29/22 @ 5:00 PM</td>
<td>07/05/22 @ 5:00pm</td>
</tr>
<tr>
<td>PPS Payroll Cost Transfer Journal Request</td>
<td>06/29/22 @ 5:00 PM</td>
<td>07/14/22 @ 8:00 PM</td>
</tr>
<tr>
<td>Intercampus Transfers</td>
<td>07/01/22 @ 5:00 PM</td>
<td>07/14/22 @ 8:00 PM</td>
</tr>
<tr>
<td>NPEAR Non-Payroll Expense Adjustments</td>
<td>07/05/22 @ 5:00 PM</td>
<td>07/14/22 @ 8:00 PM</td>
</tr>
<tr>
<td>Accrual/Deferral Forms and Supporting Documents</td>
<td>07/07/22 @ 10:00 AM</td>
<td>07/14/22 @ 8:00 PM</td>
</tr>
</tbody>
</table>

- Review and Approval of Cost Transfers submitted after the deadlines above cannot be guaranteed by EFM.
- Expense transfers not reviewed due to late submission will be reviewed and processed for FY 2022-23.
Fiscal Year End Accruals & Deferrals

• When accruals/deferrals are required & why it matters:
  ◦ The Governmental Accounting Standards Board (GASB) requires the UC/UCLA financial statements to be prepared on an “accrual basis” where expenses incurred in a fiscal year are recorded to the year which goods and services were rendered.

• Due 6/03/22: Department submits Reimbursement Requests and Vendor Invoices to Accounts Payable to be recorded as part of FY 2021-22 Expenses.

• Due 7/01/22: AP will complete review and posting of FY 2021-22 expenses.

• Due 7/07/22: If AP deadline is missed, Department submits an Accrual/Deferral Request to EFM at 10:00 AM starting 7/02/22.
  ◦ Review the General Ledger starting 7/02/22 to confirm if the transaction was not recorded.
  ◦ Complete the accrual Form E
  ◦ Complete journal justification
  ◦ Submit supporting documentation to EFM at EFMOperations@research.ucla.edu

• Due 7/14/22: EFM will review Accrual/Deferral requests submitted starting 7/02/22 and post as appropriate, verifying that it has not been recorded by AP in GL to avoid duplicate entries.

• Accrual forms, justification template, and instructions are available on the BFS website.
Additional UCPath Deadlines

• **Funding Rollover Process:**
  ◦ 6/24/22-6/30/22: UCPath runs E-064 Funding Rollover process in Production.
  ◦ Do not perform any funding entries during this period.
  ◦ More information on the Funding Rollover Process can be found on the CRU Website.

• **ORA will update the Fund End Date in OASIS based on the following criteria:**

<table>
<thead>
<tr>
<th>Award Type</th>
<th>Fund End Date will be updated to:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Contract or Grant</td>
<td>Project End Date <em>(Budget End Date for MFNOA funds)</em></td>
</tr>
<tr>
<td>Subcontract or Subgrant</td>
<td>Estimated Period of Performance End Date <strong>OR</strong> Estimated Project End Date <em>(if no estimated Period of Performance End Date exists)</em></td>
</tr>
</tbody>
</table>

  ◦ For funds with a pending No Cost Extension (NCE), the Fund End Date will be updated when the NCE is executed.

• **7/05/22 @5 PM – 07/08/22:** UCPath performs final direct retro run for FY 21-22.
Any Questions?

Contact Information

EFM Website
https://efm.research.ucla.edu

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