NIH Enforcement of Closeout Policies

NIH released NOT-OD-18-107 on November 30, 2017 alerting recipients of the enforcement of closeout requirements, outlined in the NIH Grants Policy Statement Section 8.6, Closeout, in order to fulfill agency requirements under the Grants Oversight and New Efficiency (GONE) Act and HHS grants policy.

NIH recipients must submit a Final Federal Financial Report (FFR), Final Research Performance Progress Report (F-RPPR), and Final Invention Statement and Certification (FIS) within 120 calendar days of the end of the project period. NIH will initiate unilateral closeout for all awards that fail to meet closeout requirements unless prior approval is received.

The Federal Cash Transaction Report (FCTR) continues to be submitted to the Payment Management System (PMS) and it must be reconciled to the FFR submitted to the NIH awarding Institute or Center. If a recipient fails to submit a final expenditure FFR, NIH will close the grant based on the cash drawdown amount in the last accepted FCTR. Given that the FCTR is submitted on a quarterly basis, if the final expenditure FFR did not include all allowable and applicable expenditures, expenses incurred up to three months could be at risk for non-reimbursement.

Even when the department does not submit a complete and accurate closeout packet to EFM by the deadline, EFM proceeds to prepare and submit the final FFR to meet NIH closeout requirements. However, questionable expenses are excluded from the final FFR in absence of adequate documentation that could have been provided in the closeout packet. To ensure full recovery of costs, it is critical to submit a complete and accurate closeout packet to EFM by the deadline. Closeout packets due dates are indicated in the PAMS closeout packet worklist.

Inside this issue:

How to Identify Payments for your Multi– Campus Award

A Multi-Campus Award (MCA) is an agreement that transfers a portion of a project to another UC campus or campuses. MCAs are paid through intercampus transfers between collaborating UC campuses. The UC campus receiving funds from UCLA will remit Intercampus Requests for Reimbursement (IRR), which is reviewed by EFM to determine if payment can be made. To view payments made from your fund, navigate to your fund's 119800 or 119850 account and drill down into a specified date parameters. When multiple campuses are involved, journal descriptions will include the other campus's name, PI and fund number.

119850 Detail General Ledger to show Allocation to MCA and Payment for IRR

For the period from April 1, 2015 to January 31, 2018 -- Up to Final

Location : 4
Account/CC : **119800** FUND BALANCES UNEXPENDED-GIFTS & GRANTS
Fund : MARCO/DARPA 12/17 54%
Department : 9925 CONTROL-C&G ACCOUNTING

Budget Allocation

IRR Payment

Fund	Fin-Class	Source	Project	TE	Effective Date	Trans No	Doc Date	Description	Reference	Budgetary ( )=CREDIT	Financial ( )=DEBIT	Balance ( )=CREDIT
	167000		UCR	14	4/8/2015	100303	040815	UCR 10/31/2015- LAKE		(115,500.00)		
	167000		UCR	14	4/8/2015	100314	040815	UCR 10/31/2015- LIU		(100,000.00)		
	167000		UCI	14	4/8/2015	100314	040815	UCI 10/31/2015- KRIV		(115,500.00)		
	167000		UCB	14	4/8/2015	100314	040815	UCB 10/31/2015- RAME		(100,000.00)		
	167000		UCB	14	4/8/2015	100314	040815	UCB 10/31/2015- SALA		(100,000.00)		
	167000		UCSB	14	4/13/2015	100706	041315	UCSB 10/31/2015- STE		(100,000.00)		
	167000	0805	UCR	53	6/11/2015	120623	061115	T: UCR-58289 BALANDI	IRR25		(43,462.13)	
	167000	0805	UCR	53	6/11/2015	120623	061115	T: UCR-58297 LAKE	IRR23		(10,445.87)	
	167000	0805	UCR	53	6/11/2015	120623	061115	T: UCR-58293 LAU	IRR22		(14,718.81)	
	167000	0805	UCR	53	6/11/2015	120623	061115	T: UCR-58292 LIU	IRR23		(19,167.43)	
	167000	0805	UCR	53	6/11/2015	120623	061115	T: UCR-58291 KHITUN	IRR18		(2,429.96)	
	167000	0808	UCSB	53	6/19/2015	121313	061915	T: UCSB-59448 5/15	05/31/15		(7,176.97)	

Termination Notices on Kirschstein National Research Service Awards

The Termination Notice (TN) Form, PHS 416-7, serves as the official record of training for individuals appointed in Kirschstein National Research Service Awards (NRSA). The form must be submitted within 30 days of the effective date of termination of the final appointment or upon taking a leave of absence. Submissions are completed within eRA Commons using the xTrain module. The xTrain module provides authorized officials the ability to electronically process and submit appointments and terminate individuals' appointments. The TN needs to accurately reflect the total period of support, the amount of NIH stipend paid and must align with stipend levels set by NIH. Any supplementation or support included in prior TNs should be excluded. Amended appointments are required to adjust stipend levels, in response to supplemental funds issued from NIH. The TN provides NIH with a summary of work accomplished, supporting period, stipend amounts received, and post-training activity.

What is the 400005/8A Account and why it is Linked to my Fund?

The 400005/8A account is commonly called a "holding account". It is used to withhold a budgetary amount from the department's expense account because the sponsor has placed restriction on spending the fund until it is approved. When the sponsor approves the restricted budget for spending, EFM will then move the fund to the department's expense account. The holding account assists the department from inadvertently spending the restricted fund until sponsor's approval is received.

If you have a grant that has carryforward restrictions, the unobligated balance at the end of the budget period will be moved to the 400005/8A account. When the sponsor approves carryforward request, EFM will review the approved carryforward and move the appropriate fund from 400005/8A to the department's expense account.

For awards that have no carryforward restriction from one budget year to another, the holding account will not be linked to the fund as its functionality is not applicable to the award.

PAMS — UCLA Research Administration — Post Award Management System

Q: How do I obtain copies of financial reports and invoices that EFM has submitted to the sponsor?

A: Copies of all financial reports and invoices submitted by EFM to the sponsor are uploaded into PAMS. To obtain a copy, first navigate to the Deliverables page and enter a fund number. Any deliverable that displays a paper icon in the Deliverable column has a copy of the financial report or invoice attached. To view the document click on the paper icon and then click on the hyperlink to view the document.

Due Date	Category	Type	Frequency	Owner	Status	Update Date	Deliverable	Edit Status
12/31/2017	Invoice	Interim	Monthly	CADLE, KATIE LOUISE	Deliverable Submitted	12/22/2017	📄	Edit
11/30/2017	Invoice	Interim	Once	CADLE, KATIE LOUISE	Deliverable Submitted	11/30/2017	📄	Edit
11/30/2017	Invoice	Interim	Once	CADLE, KATIE LOUISE	Deliverable Submitted	11/30/2017	📄	Edit
11/30/2017	Invoice	Interim	Once	CADLE, KATIE LOUISE	Deliverable Submitted	11/30/2017	📄	Edit
11/30/2017	Invoice	Interim	Once	CADLE, KATIE LOUISE	Deliverable Submitted	11/30/2017	📄	Edit

To Download a document please click on a document link. To Upload a new document please click on the Upload Documents button.

Documents	Uploaded By	Upload Date
18633-18.pdf	CADLE, KATIE LOUISE	12/22/2017 12:46:14

Course Announcement:

EFM will be presenting the following courses. You may register via the UCLA Learning Management System (LMS) at http://lms.ucla.edu.

Post– Award Administration *(2 part session)*
Monday, April 2, 2018 8:30am - 12:00pm
Tuesday, April 3, 2018 8:30am - 12:00pm

RAPID Smart Closeout Tool
Tuesday, April 26, 2018 8:30am - 12:00pm

Effort Reporting *(2 part session)*
Wednesday, May 9, 2018 8:30am - 12:00pm
Thursday, May 10, 2018 choice of
8:30am - 12:00pm or 1:00pm-4:30pm

To subscribe to get
EFM Newsletter: Email: ora-news+subscribe@lists.ucla.edu
ERS Notifications: Email: ers+subscribe@lists.ucla.edu

RAF Presentations can be found at:
http://www.research.ucla.edu/ora/training/raf.htm

Send EFM Newsletter topics to:
EFMOperations@research.ucla.edu