



RAPID Smart Closeout Tool

May 8, 2023

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Course Objectives

- **What is the RAPID Smart Closeout Tool?**
- **Why is the RAPID Tool important?**
- **Who utilizes the RAPID Tool?**
- **How is the RAPID Tool beneficial?**
- **Which funds should be incorporated into the RAPID Tool?**

When Do Funds Need to be Closed?

- **Check the Notice of Award or the most recent award snapshot for the project/budget end dates and the invoice and/or financial report due dates**
- **Sign up for automatic fund closing notification emails!**
 - Contact your IT office to request notifications
 - For additional information, visiting the EFM FAQ page <https://efm.research.ucla.edu/faq/#q3.1>

Automatic Fund Closing Notification Email

90-days: IMPORTANT NOTICE: Sponsored Award Project Period Expires in 90 Days
30-days: IMPORTANT NOTICE: Sponsored Award Project Period Expires in 30 Days
Exp. Date: IMPORTANT NOTICE: Sponsored Award Project Period Has Expired

The project period referenced below has expired. The current fund balance as of this notice is: \$216,724.47

You can view your current balance at the PI Portal: <https://piportal.research.ucla.edu>.

PI Name:	[REDACTED]
Project Title:	[REDACTED]
Sponsor Name:	UNIVERSITY OF SOUTHERN CALIFORNIA
Budget Period Expiration Date:	8/31/2012
Sponsor Award Number:	[REDACTED]
Fund Number:	[REDACTED]
Project Period:	1/1/2011 - 8/31/2012
Award Type:	SubGrant
Department Name:	[REDACTED]
UCLA Award Number:	[REDACTED]
EFM Contact:	[REDACTED]
OCGA Contact:	[REDACTED]

Please complete all necessary actions below:

1) **ENSURE ALL DELIVERABLES HAVE BEEN COMPLETED AND SUBMITTED TO SPONSOR (including):**

- Progress/Scientific/Technical Reports
- Equipment Reports
- Milestone/Deliverable Reports
- Invention Statements

2) **FUND IS READY TO CLOSE:**

- Complete the RAPID Smart Closeout Tool and submit to EFM by the deadline. The tool can be downloaded here: <http://portal.research.ucla.edu/index.aspx?Section=PostAward>
- Collect Final Subawardee Invoice for the budget period (final subawardee invoices are due to UCLA 45 days after the budget end date, unless otherwise noted in the terms and conditions)
- Complete Carry Forward Request, if applicable

3) **FUND IS TO REMAIN OPEN:** If the fund is not ready to be closed, please work with your OCGA/OCT/OIP and EFM contacts, as needed, on the following:

- Amendment Request (Renewal, Additional Funding, etc.)
- No Cost Time Extension Request

(This notice has been generated automatically based on certain award criteria. If you think it does not apply to the award identified in this message, please check with your department administrator.)

Timeline for Closing

Final due date to Sponsor	Closeout due date to EFM	EFM analysis due date to department (Note 1)	Department confirmation due date to EFM (Note 1)	Examples
60 days or more after fund end date	30 days prior to sponsor deadline	Within 15 days after the COP due date	Within 3 days after receipt of EFM's analysis	<p>When the final is due to the sponsor 90 days after the fund end date:</p> <ul style="list-style-type: none"> ▪ COP is due to EFM: by 60 days after the fund end date ▪ EFM analysis will be completed during 61 - 75 days after the fund end date ▪ Department confirmation due date will fall within 64 - 79 days ▪ EFM prepares and submit the final prior to the sponsor due date
45-59 days after fund end date	½ of time between fund end date and sponsor due date	Within 10 days after COP due date	Within 3 days after receipt of EFM's analysis	<p>When the final is due to the sponsor 45 days after the fund end date:</p> <ul style="list-style-type: none"> ▪ COP is due to EFM: by 23 days after the fund end date ▪ EFM analysis will be completed during 24 - 33 days after the fund end date ▪ Department confirmation due date will fall within 31 - 40 days ▪ EFM prepares and submit the final prior to the sponsor due date

Timeline for Closing

Final due date to Sponsor	Closeout due date to EFM	EFM analysis due date to department (Note 1)	Department confirmation due date to EFM (Note 1)	Examples
30-44 days after fund end date	½ of time between fund end date and sponsor due date	Within 1/3 of the time between COP due date and sponsor due date	Within 1/3 of the time between COP due date and sponsor due date after receipt of EFM’s analysis	<p>When the final is due to the sponsor 30 days after the fund end date:</p> <ul style="list-style-type: none"> ▪ COP is due to EFM: by 15 days after the fund end date ▪ EFM analysis will be completed during 16 - 20 days after the fund end date ▪ Department confirmation due date will fall within 21 - 25 days ▪ EFM prepares and submit the final prior to the sponsor due date
Fewer than 30 days after fund end date	<ul style="list-style-type: none"> ▪ Contact EFM accountant upon receipt of the first fund expiration notice, which is sent 90 days prior to the fund expiration and coordinate with EFM to plan financial closeout of the fund. ▪ In cases where EFM is not contacted 90 days prior to the fund expiration, EFM will contact the department to establish the due date for the closeout packet 30 days prior to the sponsor due date. ▪ COP reminders will be sent 15 days prior to the COP due date to EFM for all cases <p>▪ <i>Note 1: These due dates are applicable only when the requested information is not provided to EFM timely, or when the COP is not submitted by the deadline. For more detailed process, refer to the step 4. in the procedure for "Financial Closeout of Sponsored Projects".</i></p>			

Downloading the Tool

- Download the RAPID Smart Closeout Tool
- Available at the [ORA Online Resource Center](#)

UCLA
Research Administration

ORA Online Resource Center

10010

General Statistics | Pre-Award | Post-Award | Compliance

REPORTS

- Fund Expiration
Expired | Upcoming
- ORA Research Proposals and Awards by Fiscal Year
| FY2016-2017 | FY2015-2016 | FY2014-2015
| FY2013-2014 | FY2012-2013 | FY2011-2012
| FY2010-2011 | FY2009-2010 | FY2008-2009

TOOLS

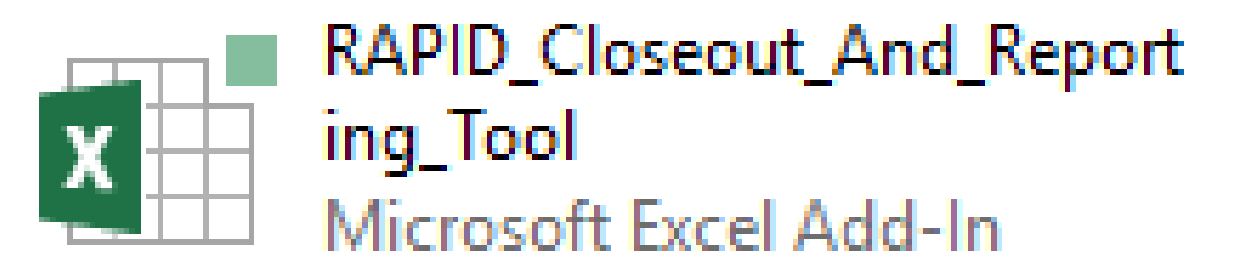
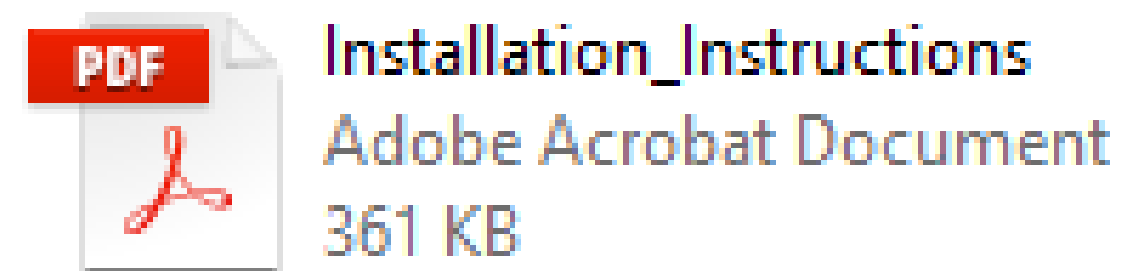
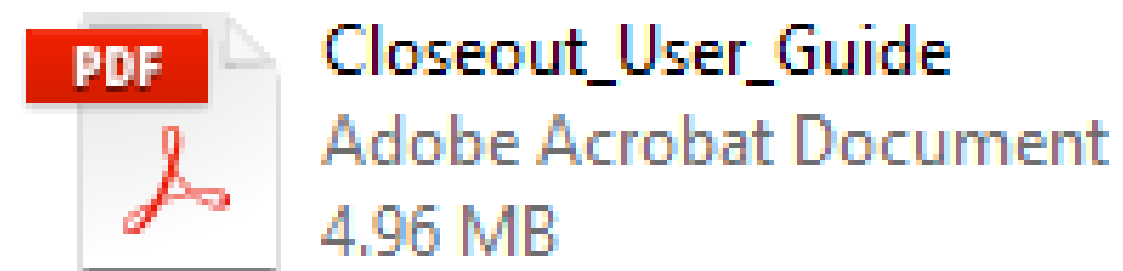
- Award Data Reports
Current Year Award Stats by Dept, PI
Prior Year Data Download by Dept
Advanced Search & Snapshot Report
- Post Award Management System (PAMS)
- **RAPID Closeout**
Smart Closeout Tool (.zip)
Upload Closeout Packet
How to use RAPID Tool Remotely Job Aid (.pdf)
- Effort Reporting System (ERS)

FORMS

- Cost Share Form
- Precloseout Checklist
- Single Fund Number Benefits/FAQs
- Single Fund Number Exception Request

Inside the Download

- The “RAPID_Closeout_And_Reporting_Tool” is the file utilized for creating closeout packets
- The “Installation_Instructions” PDF file troubleshoots Excel versions



User Guide

- Addresses what to do with information on reports
- Includes Best Practices, Hints and Tips
- Includes Glossary of referenced terms

The screenshot displays the UCLA RAPID system interface. On the left is a 'Bookmarks' sidebar with a list of navigation options including 'Closeout Checklist', 'Detailed-All Reports', 'Summary By Sub', 'MFNOA', 'Approp & Financial', 'Warning Object Codes', 'Unallowable Object Codes', 'Exp. After End', 'Addit'l Adj', 'F&A Recon', 'Remaining Encumb.', 'Sub Awards', 'Subawards - All Years', '1198XX-Intercampus, CF, STIP', 'Cost Sharing', 'Trainee Expense Worksheet', 'Trainee Expense Worksheet Detail', 'Postdoc Benefits Pivot', 'Postdoc Benefits Detail', 'Journal', 'Journal Expl.', 'Closeout Certification', 'Pre-Closing Checklist', and 'Glossary'. The 'Closeout Certification' option is currently selected. The main content area shows a 'CLOSEOUT CERTIFICATION Tab' form titled 'Smart Form Closeout Certification'. The form includes fields for: 1. Date Submitted to EFM; 2. PI Code; 3. Account / CO / Fund; 4. Agency; 5. Project Title; 6. Agency Award No.; 7. Investigator Name; 8. Project Period (Start/End); 9. Budget Period (Start/End); 10. Total Awarded Amount; 11. Total Expenditures; 12. Total of adjustments; 13. Total Unobligated / Unexpended Balance; and 14. EFM Contact. Below the form, there are signature lines for the Fund Manager, Investigator, and two Departmental Approvers. A note at the bottom states: 'This Tab is generated by double clicking on the Requirements column of Line 47 in the Closeout Checklist. Complete Lines 1 and 14 only. Print this form, and obtain the required signatures. Include as a PDF with the Smart Closeout Packet submission to EFM. Pay special attention to Line 13, and point out any unobligated balance or overdraft to the PI before obtaining PI certification. Electronic signatures will not be accepted. If you are unable to obtain the original signatures on this form, an email from the PI will be acceptable. The email must indicate the PI's approval of any Unobligated/Unexpended Balance, and what will happen to that balance.' The page is labeled 'CLOSEOUT CERTIFICATION Tab' and '8.50 x 11.00 in'.

Updates to Tool

- **Occasionally a new version of the tool is released**
 - Current version is dated 04/21/2022.
- **Announcement sent via ORA News List Serve**
- **All users should download latest version from ORA Portal to utilize the latest features and updates**


- **Sign up for ORA News on the ORA and Department News Subscription website**

<https://form.research.ucla.edu/ora/ora-news-subscription/>

Log In

- **QBD login and password are required**
 - For QDB access, contact your Departmental Security Administrator (DSA)
 - For re-setting QDB passwords, contact the ITS Help Desk at (310) 267-4357

RAPID Project Quick Wins - Version Date: 9/26/2019



AIS SERVER

QDB ID


QDB Pwd

If you get locked out, please call IT Services Client Support, 5-8000

RAPID leadership appreciates the many contributions made by the programming staff in the David Geffen School of Medicine Dean's Office during our collaboration to develop this tool.

The Tool

RAPID Project Quick Wins - Version Date: 9/26/2019



RAPID Project Quick Wins


Closeout Reports	ERS, Billing & A/R, and UCPATH Reports
<p>Pre-Closeout Checklist (Recommended 2 months prior to fund end date)</p> <p>Smart Closeout Tool</p> <p>Summary - By Sub</p> <p>Expenses - Unallowable and Warning Object Codes</p> <p>Expenses - After End Date</p> <p>Remaining Encumbrances</p> <p>F&A Reconciliation Link (Now in PAMS)</p> <p>Subawards/Subcontracts/Subgrants</p> <p>1198XX (Intercampus/Carryforward/STIP)</p> <p>Training Grant -Trainee Expense Worksheet</p> <p>Training Grant – Postdoc Allowable/Unallowable Benefits</p> <p>Training Grant Benefits</p> <p>Detail - Closed</p> <p>Detail - Open</p> <p>Detail - All</p> <p>Financial Reporting Application</p> <p>TOF Zero Out Accounts/Subs</p> <p>Detail - After Closeout</p> <p>Payroll After Fund End Date</p> <p>Employee Sum</p> <p>Admin Salary</p> <p>Detail - Closed Warning and Unallowable Expenses</p> <p>Detail Equipment – Within 90 days of Expiration</p>	<p>ERS Detail report (11/12 Academics and Non Academics)</p> <p>ERS Detail report (9/12 Academics)</p> <p>Billing & Accounts Receivable</p> <p>UCPath Employee Sum</p> <p>UCPath Admin Salary</p> <p>UCPath Payroll After Fund End Date</p> <p>UCPath ERS Detail Report (11/12 Academic and Non Academics)</p> <p>UCPath ERS Detail Report (9/12 Academics)</p> <p>UCPath Training Grant -Trainee Expense Worksheet</p>

Report ppp for: Organizational Employee

? 2007 Work Around Writeups Macros Monthly Batch Go to ADHOC Cancel < Back Next > Finish

Pre-Closeout Checklist

RAPID Project Quick Wins - Version Date: 9/26/2019



RAPID Project Quick Wins

Closeout Reports	ERS, Billing & A/R, and UCPATH Reports
<p>Pre-Closeout Checklist (Recommended 2 months prior to fund end date)</p> <ul style="list-style-type: none">Smart Closeout ToolSummary - By SubExpenses - Unallowable and Warning Object CodesExpenses - After End DateRemaining EncumbrancesF&A Reconciliation Link (Now in PAMS)Subawards/Subcontracts/Subgrants1198XX (Intercampus/Carryforward/STIP)Training Grant -Trainee Expense WorksheetTraining Grant - Postdoc Allowable/Unallowable BenefitsTraining Grant Benefits <p>Detail - Closed</p> <p>Detail - Open</p> <p>Detail - All</p> <p>Financial Reporting Application</p> <p>TOF Zero Out Accounts/Subs</p> <p>Detail - After Closeout</p> <p>Payroll After Fund End Date</p> <p>Employee Sum</p> <p>Admin Salary</p> <p>Detail - Closed Warning and Unallowable Expenses</p> <p>Detail Equipment - Within 90 days of Expiration</p>	<ul style="list-style-type: none">ERS Detail report (11/12 Academics and Non Academics)ERS Detail report (9/12 Academics) <p>Billing & Accounts Receivable</p> <ul style="list-style-type: none">UCPath Employee SumUCPath Admin SalaryUCPath Payroll After Fund End DateUCPath ERS Detail Report (11/12 Academic and Non Academics)UCPath ERS Detail Report (9/12 Academics)UCPath Training Grant -Trainee Expense Worksheet

Report ppp for: Organizational Employee

2007 Work Around Writeups Macros Monthly Batch Go to ADHOC Cancel < Back Next > Finish

Pre-Closeout Checklist

- Use the Pre-Closeout Checklist
 - For monthly, quarterly and final reconciliations
 - To complete prior to the beginning of the closeout process



FAU/PI Last Name:

Requirement	Complete? Y/N	Instructions	Comments	Category
1> Have you reviewed synopsis and award for special instructions?				Overall
2 Does important email, or other communication, exist that should be included with the closeout packet?				Overall
3 Are there additional Linked Accounts?				Overall
4 Is this a Clinical Study?				Overall
5 Are there patient care costs on this fund?				Overall
6 Are there any outstanding reports due from the PI to the agency (e.g., technical, progress, invention)?				Overall
7 Are there human and/or animal subjects associated with this award?				Compliance
8> Have all effort reports been certified via Effort Reporting System (ERS)?				Compliance
9 Have all key personnel payroll been reviewed against the approved budget to ensure actual paid/devoted effort is within sponsor guidelines?				Compliance
10 Have charges been reviewed for applicability and allowability and verified that they are directly related to this project/science?				Compliance
11 Have the ledgers been reviewed to verify that all object codes were recorded correctly. (i.e. 4771)?				Compliance
12 Has equipment been purchased within the last 90 days, or supplies within the last 30 days of the project period?				Compliance

Pre-Closeout Checklist: Highlights

- Ability to sort using filters

UCLA RAPID

FAU/PI Last Name: [Redacted]

Requirement	Complete? Y/N	Instructions	Comments	Category
7 Are there human and/or animal subjects associated with this award?				Compliance
8> Have all effort reports been certified via Effort Reporting System (ERS)?				Compliance
9 Have all key personnel payroll been reviewed against the approved budget to ensure actual paid/devoted effort is within sponsor guidelines?				Compliance
10 Have charges been reviewed for applicability and allowability and verified that they are directly related to this project/science?				Compliance
11 Have the ledgers been reviewed to verify that all object codes were recorded correctly. (i.e. 4771)?				Compliance
12 Has equipment been purchased within the last 90 days, or supplies within the last 30 days of the project period?				Compliance

Print Name Signature Date

Reminder:
Don't forget to save!

- Hyperlinks to referenced documents or websites

UCLA RAPID

FAU/PI Last Name: [Redacted]

Requirement	Instructions	Comments	Category
29> Is a "OCGA/Purchasing Subaward Checklist" required?	Link: http://www.purchasing.ucla.edu/docs/OCGAPurchasing-Subaward-checklist.doc	in closing packet to	Subagreements
30> Is a "Subaward Final Close-out Certification" required?			Subagreements

Print Name Date

Pre-Closeout Checklist: Highlights

- Dynamic instructions



FAU/PI Last Name:

Requirement	Complete? Y/N	Instructions	Comments	Category
29> Is a "OCGA/Purchasing Subaward Checklist" required?	Y	Complete form and include in closing packet to EFM.		Subagreements
30> Is a "Subaward Final Close-out Certification" required?	Y	Complete form and include in closing packet to EFM.		Subagreements

Print Name **Signature** **Date**

Outstanding items completed by:

Print Name **Signature** **Date**

TO DO: List items from checklist above that require follow-up. Include reference to line item above in the # column e.g. # 6: Final Progress Report to agency. Include detailed justification in comments of the corresponding line item.

#	TASK

Smart Closeout Tool

Smart Closeout Tool: Overview

- Smart Closeout pulls data from FS, PATS and other databases
- Generates list of reports (Excel Workbook; each report has its own tab)
- Only includes applicable Tabs
 - E.g.: If the FAU/fund is not a Training Grant, Training Grant tabs will not appear

Closeout Reports
Pre-Closeout Checklist (Recommended 2 months prior to fund end date)
Smart Closeout Tool
Summary - By Sub
Expenses - Unallowable and Warning Object Codes
Expenses - After End Date
Remaining Encumbrances
F&A Reconciliation Link (Now in PAMS)
Subawards/Subcontracts/Subgrants
1198XX (Intercampus/Carryforward/STIP)
Training Grant -Trainee Expense Worksheet
Training Grant – Postdoc Allowable/Unallowable Benefits
Training Grant Benefits
Detail - Closed
Detail - Open
Detail - All
Financial Reporting Application
TOF Zero Out Accounts/Subs
Detail - After Closeout
Payroll After Fund End Date
Employee Sum
Admin Salary
Detail - Closed Warning and Unallowable Expenses
Detail Equipment – Within 90 days of Expiration

Submission Process

Home vs. Linked Awards

- Linked Fund Manager submits a Closeout Packet for their linked Account/Cost Center to the Home Department Fund Manager
- Home Department Fund Manager submits the complete Closeout Packet for **ALL** Account/Cost Centers (home and linked) to EFM



Linked fund manager prepares closeout packet for a specific account/cost-center and submits to the home department



Home department prepares one closeout packet that incorporates all account and cost-centers for entire project and submits to EFM



EFM receives the closeout packet and only communicates with the home department fund manager about the packet.



Accessing Account Information

- Home Department Fund Manager
 - Run the Tool for the overall FAU
 - Enter the fund number only
 - Leave the “*” in the Account and cost center fields
- Linked Fund Manager
 - Run the Tool for a linked Account/CC
 - Enter the full FAU into the Account, Cost Center and Fund Fields




CLOSE-OUT

Enter a fund number. To specify all possible values for account, use an '*'. If account is specified, enter a cost center. Clear cost center if the account does not have a cost center.

Account	<input type="text"/>
Cost Center	<input type="text"/>
Fund	<input type="text"/>
Location Code	4

Cancel Back Run

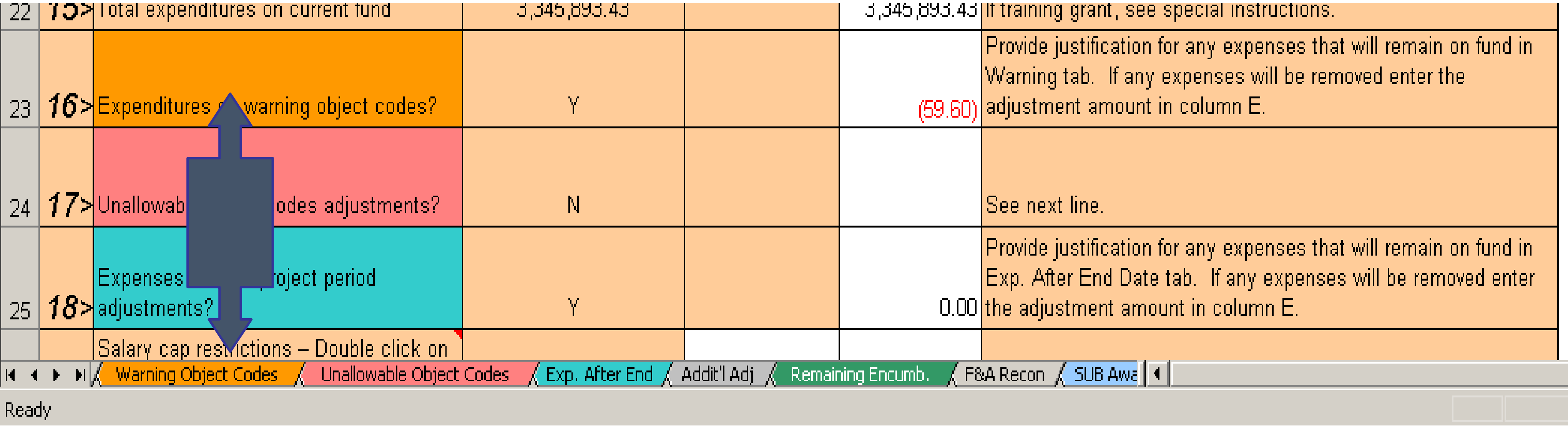


The Closeout Checklist

- Complete the Closeout Checklist once all changes have been made to the other closeout packet tabs
- Color coding
 - White Cells: completed by fund manager
 - Red Triangle: provides hyperlink to more information
- Locked cells Dynamic instructions
- Certification Form
- Total Unliquidated/Unobligated Balance

Overview: Color Coding

- **White Cells: Fund manager completes, if applicable**
 - In most cases, fillable fields should contain either a \$ amount or a Y/N
 - Other data fields are either auto-generated, or auto-calculated, and are locked
- **Peach: Data in fields should not be changed**
- **Other Colors: There is a tab associated with that cell within the Smart Closeout Packet**



22	15>	Total expenditures on current fund	3,345,893.43		3,345,893.43	If training grant, see special instructions.
23	16>	Expenditures on warning object codes?	Y		(59.60)	Provide justification for any expenses that will remain on fund in Warning tab. If any expenses will be removed enter the adjustment amount in column E.
24	17>	Unallowable object codes adjustments?	N			See next line.
25	18>	Expenses on project period adjustments?	Y		0.00	Provide justification for any expenses that will remain on fund in Exp. After End Date tab. If any expenses will be removed enter the adjustment amount in column E.
		Salary cap restrictions – Double click on				

Warning Object Codes / Unallowable Object Codes / Exp. After End / Addit'l Adj / Remaining Encumb. / F&A Recon / SUB Awa

Ready

Overview: Further Information Indicators

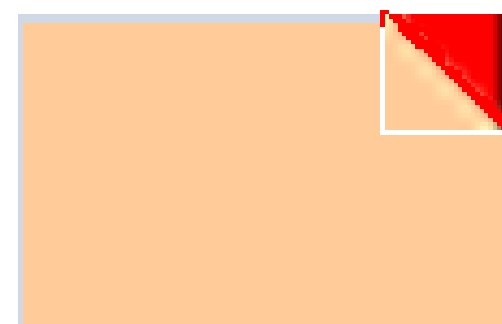
- The “>” symbol next to the line number: Additional information available within the row

9>	Are there prior year funds linked to this award?	Y	
----	--	---	--

- It can indicate one of two things:
 - The row has a tab associated with it
 - Double clicking on the “Requirements” fields within the row will navigate the user to the associated tab
 - A link to a website is contained within the field
 - Double clicking on the “Requirements” field navigates user to the website

Overview: Further Information Indicators

- Information in the red triangle can be accessed by clicking it



- **It can indicate one of two things:**
 - There is a link to a website (clicking will reveal the URL)
 - There is logic involved in how the Closeout Checklist auto-generated the data (clicking will reveal the logic)

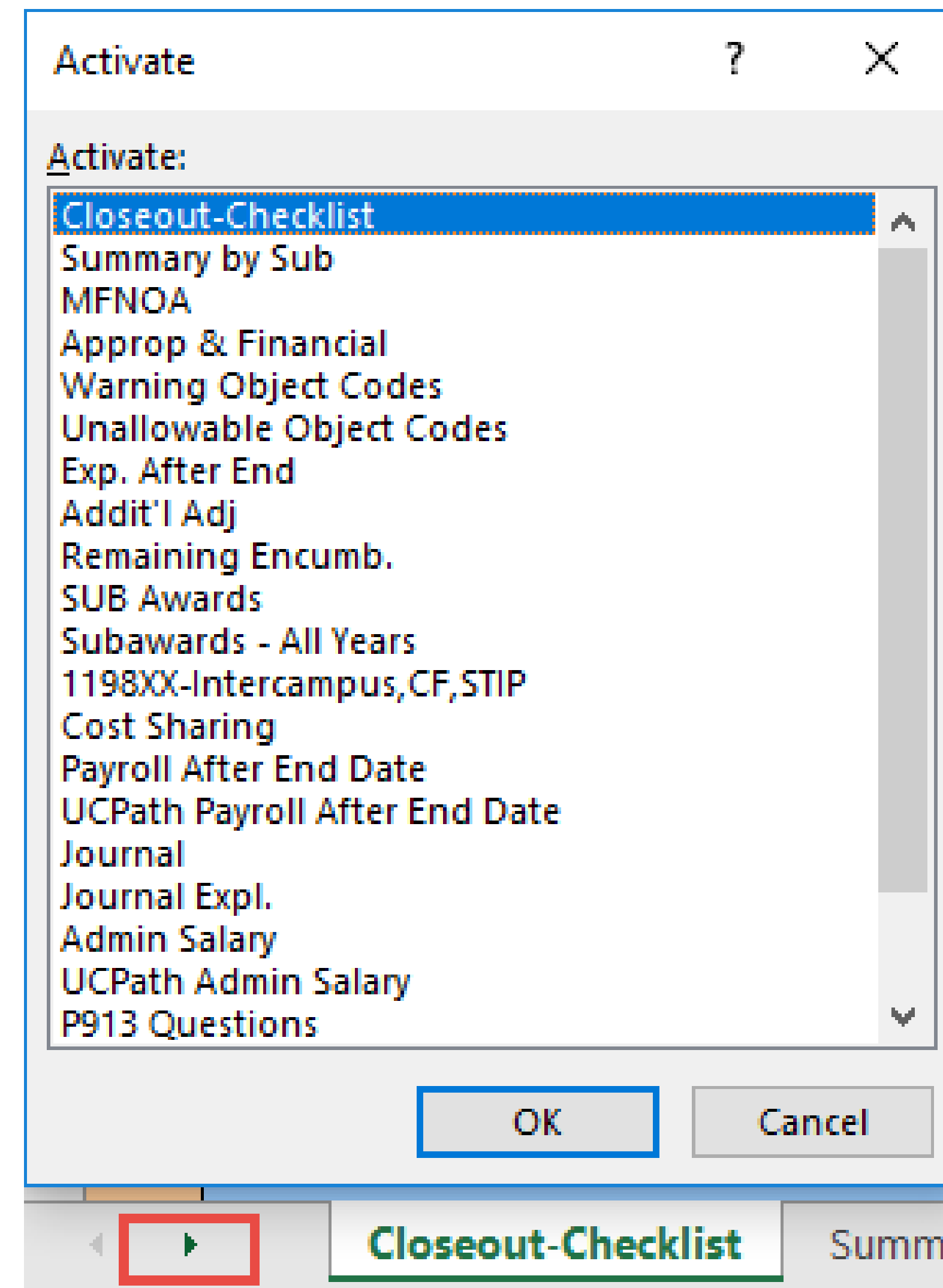
Overview: Dynamic Instructions

- Included in the Closeout Checklist and Pre-Closeout Checklist
- Instructions will change based on response
- Instructions will also change based on the Total Unobligated/Unexpended Balance in Line 26 of the Closeout Checklist

26	Total Unobligated/Unexpended Balance	Amount must match cell K24 of Summary by Sub.		3,218.99	Choose 1 of 3 options #27 or 29 or 30 by marking Y/N in col. D.
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Hints & Tips: Quick Navigation Tip

- Right clicking on the arrows at the bottom left of the Smart Closeout Packet reveals a menu of all tabs
- Clicking on any of the tab names will navigate the user to that tab



Hints & Tips

- **Save frequently!**
 - Save the packet frequently to prevent loss of work
- **If you save as an “Excel Macro-Enabled Workbook” (*.xlsm), you’ll be able to run macros embedded in the file even after saving**
 - This includes creating the certification page
- **Use the Smart Closeout Packet naming convention:**
 - Fund Number_Closing/Cert/Backup_vX
 - Ex: 12345_Closing_v1.xlsm

MFNOA: Multiple Fund Number, One Award

- Verify previous funds have been closed and no balances remain on the General Ledger
- If any balances remain in the previous fund(s), analyze and make the necessary adjustments to zero out the balance or contact EFM to prepare a revised report.

MFNOA - [redacted]
Report Date: 3/22/2010

R-Net Award N	Fund	Action Type	Project Title	PI Name or FS	Agency or FS	Agency Award N	Budget Begin	Budget End	Project Begin	Project End
1	31329	RENEWAL			NHATIONAL INSTITUTE OF MENTAL HEALTH		7/18/2006	6/30/2009	7/18/2006	6/30/2013
2	31329	MOD/AMEND			NHATIONAL INSTITUTE OF MENTAL HEALTH		7/18/2006	6/30/2009	7/18/2006	6/30/2013
3	31806	CONTINUATK			NHATIONAL INSTITUTE OF MENTAL HEALTH		7/1/2009	6/30/2010	7/18/2006	6/30/2013

Other associated fund numbers - NIH - For your information only.
Disregard any info that seems irrelevant. Data may not be all inclusive.

R-Net Award No.	Fund	Action Type	Project Title	PI Name or FS	Agency or FS	Agency Award No.	Budget Begin	Budget End	Project Begin	Project End
1		RENEWAL			NHATIONAL INSTITUTE OF MENTAL HEALTH		7/1/2003	6/30/2004	7/1/2003	6/30/2008
2		CONTINUATK			NHATIONAL INSTITUTE OF MENTAL HEALTH		7/1/2004	6/30/2005	7/1/2003	6/30/2008
3		MOD/AMEND			NHATIONAL INSTITUTE OF MENTAL HEALTH		7/1/2004	6/30/2005	7/1/2003	6/30/2008
4		CONTINUATK			NHATIONAL INSTITUTE OF MENTAL HEALTH		7/1/2005	6/30/2006	7/1/2003	6/30/2008
5		CONTINUATK			NHATIONAL INSTITUTE OF MENTAL HEALTH		7/1/2006	6/30/2007	7/1/2003	6/30/2008
6		CONTINUATK			NHATIONAL INSTITUTE OF MENTAL HEALTH		7/1/2007	6/30/2008	7/1/2003	6/30/2008

Approp. (Appropriation) and Financial

- Verify that the Current **F&A Base Code** and F&A Rate are correct according to the award snapshot and sponsor award documentation
 - Code A: Salaries & Wages (excluding employee benefits)
 - Code B: Total Direct Costs (with specified exception)
 - Code C: Total Direct Costs (with specified exception)
 - Code D: Salaries & Wages (including employee benefits)
 - Code J: Modified Total Direct Costs

Approp & Financial							Current F&A Base Code		Current F&A Rate	STIP Fund Notation
Report Date: 3/30/2010							F&A Base Code Description		F&A Rate	Notation
LYM	Account	CC	Fund	Approp.	Financial	Balance	Code	Description	Rate	Notation
201003				0.00	2,321.19	(2,321.19)				
201003				250,000.00	125,000.00	125,000.00				
201003				250,000.00	258,611.77	(8,611.77)	B	TDC - Total Direct Costs (with specified exception)	12.00	A

Approp. And Financial

- **Contact your EFM Accountant for corrections to the Current F&A Base Code, F&A Rate or STIP Notation**
 - 1198xx tab has more information on STIP fund Notation
 - Review the F&A Reconciliation in PAMS
 - **WARNING:** Changes to the F&A Base, F&A Code or STIP Fund Notation may impact the overall fund balance
 - **IMPORTANT:** For funds that have been assigned (and approved by sponsor) more than one F&A rate (e.g. on & off campus rates), work with OCGA and EFM to establish a separate Account/CC for each rate

Approp & Financial - [REDACTED]
Report Date: 3/30/2010

LYM	Accour	CC	Fund	Approp.	Financial	Balance	Current F&A Base Code	F&A Base Code Description	Current F&A Rat	STIP Fund Notatio
201003	[REDACTED]	[REDACTED]	[REDACTED]	0.00	2,321.19	(2,321.19)				
201003	[REDACTED]	[REDACTED]	[REDACTED]	250,000.00	125,000.00	125,000.00				
201003	[REDACTED]	[REDACTED]	[REDACTED]	250,000.00	258,611.77	(8,611.77)	B	TDC - Total Direct Costs (with specified exception)	12.00	A

Warning Object Code

- Provides list of Warning Object Codes transactions charged to the FAU/Fund
- Warning Object Codes: Based on Corporate Accounting's [Non-Payroll Object Codes – Warning List](#)
- ITD (Inception to Date) Financial column represents the total amount charged to the FAU/Fund for each object code listed
 - Detailed transactions for a particular Object Code is available on the last tab

OBJECT CODES - UNALLOWABLE & WARNING: ALL-ALL							AS OF APRIL 2017 (ITD) Date: 05/01/2017		
Non-Payroll Object Codes - Warning List									
Obj	Sub-Object Title	Su	Accoun	C	Fund	ITD Financial	Adjustments	Justification Comment	
4003	TELEPHONE-OTHER	07				11.63			
Object 4003						11.63			
6030	COPYING SERVICES	03				2,898.54			
Object 6030						2,898.54			
6200	BOOKS & MAPS FOR DEPT USE	03				237.07			
Object 6200						237.07			
Object Grand Total						3,147.24			

Unallowable Object Codes

- The “Unallowable Object Codes” tab provides a list of object codes that are generally not allowed on contract and grant funds, but were charged to the FAU/Fund
- Unallowable Object Codes: Based on Corporate Accounting’s [Non-Payroll Object Codes – Unallowable List](#)
- ITD (Inception To Date) Financial column represents the total amount charged to the FAU/Fund for each object code listed
 - Detailed transactions for a particular object code is available on the second to the last tab

OBJECT CODES - UNALLOWABLE & WARNING: ALL-ALL-		AS OF AUGUST 2020 (ITD) Date: 08/18/2020						
Non-Payroll Object Code - Unallowable List								
Objc	Sub-Object Title	Su	Account	C	Fund	ITD Financial	Adjustments	Justification Comment
4700	OFFICE SUPPLIES	03				90.00		
Object 4700						90.00		
Object Grand Total						90.00		

Unallowable Object Codes

Object Code 3495: The Exception

- **PSC uses object code 3495 – Security/Safety Services to record the transport of payment to departments (e.g. armored courier services)**
 - For contract and grant awards, this object code is designated as “Unallowable”

OBJECT CODES - UNALLOWABLE & WARNING: ALL-ALL AS OF JUNE 2021 (ITD) Date: 06/15/2021									
Non-Payroll Object Code - Unallowable List									
Objc	Sub-Object Title	Sul	Account	C	Fund	ITD Financial	Adjustments	Justification Comment	
3495	SECURITY/SAFETY SERVICES	03				19.10			
Object 3495						19.10			
Object Grand Total						19.10			

- **Departments will need to provide a justification explaining the benefit of the expense to the project**
 - Upon receipt of a valid justification, EFM will leave the expense as originally recorded to the fund under object code 3495 (no NPEAR required to change the object code) and include the expenses in the financial deliverable
 - If no justification is provided, department must move expense off the fund to an unrestricted FAU

Warning & Unallowable Object Code Classification Changes

- **Effective 1/1/2017, changes have been made to the classifications of warning and unallowable object codes.**
- **For transactions with a Trans Doc Date after 1/1/17 on the Unallowable Object Code List, if the cost item belongs to the project, sufficient justifications will need to be provided, and a journal will need to be processed to correct the object code to an allowable object code.**
- **For transactions with a Trans Doc Date prior to 1/1/17 on the Unallowable Object Code List, if the cost item belongs to the project, sufficient justifications will need to be provided, but a journal will not need to be processed to correct the object code to an allowable object code.**
- **For the transactions on the Warning Object Code List, if the cost item belongs to the project, sufficient justifications will need to be provided, but a journal will not need to be processed to correct the object code to an allowable object code, regardless of the Trans Doc Date.**

Warning & Unallowable Object Code Classification Changes

- The transactions on the Unallowable Object Code List has a Trans Doc Date of prior 01/01/2017. Thus a journal does not need to be processed. Sufficient justifications will still need to be provided.

OBJECT CODES - UNALLOWABLE & WARNING: ALL-ALI										AS OF JULY 2017 (ITD) Date: 07/31/2017	
Non-Payroll Object Code - Unallowable List											
Objc	Sub-Object Title	Su	Account	C	Fund	ITD Financial	Adjustments	Justification Comment			
3195	MISCELLANEOUS FACILITIES SERVICES	03				256.28		Fixtures needed for Dr [redacted] lab to be set up and needed to work on the [redacted] project			
Object 3195						256.28					
4700	OFFICE SUPPLIES	03				170.08		Fixtures needed for Dr [redacted]'s lab to be set up and needed to work on the [redacted] project			
Object 4700						170.08					

DETAIL-CLOSED WARNING AND UNALLOWABLE EXPENSES ALL-ALL										Date: 07/31/2017						
Sub	Trans Ref GL	Ledger Year Month	Dept Code Acct	Project	Object	Account	CC Fund	Sub-Object Title	Source Code	TE	Trans ID GL	Trans Doc Date	Trans. Eff. Date	Description	Appropriation	Expense
03		201111		KL850	4700			OFFICE SUPPLIES		54		7/12/2011	11/30/2011	41999931OFFICEMAXI67		3.41
03		201111		KL850	4700			OFFICE SUPPLIES		54		7/15/2011	11/30/2011	41999931OFFICEMAXI72		8.68

How do I view transactions that make up the expenditures for Object Codes?

There are two options:

- **Access the Online Financial System Reports (OFSR)**
 - Fund Balance > Fund > Subj/Object Summary

Or

- **Smart Closeout Tool**
 - Run the Detail - All report for line item transactions

Detail – All Report

RAPID Project Quick Wins - Version Date: 9/26/2019



RAPID Project Quick Wins

Closeout Reports

- Pre-Closeout Checklist (Recommended 2 months prior to fund end date)
- Smart Closeout Tool
- Summary - By Sub
- Expenses - Unallowable and Warning Object Codes
- Expenses - After End Date
- Remaining Encumbrances
- F&A Reconciliation Link (Now in PAMS)
- Subawards/Subcontracts/Subgrants
- 1198XX (Intercampus/Carryforward/STIP)
- Training Grant -Trainee Expense Worksheet
- Training Grant – Postdoc Allowable/Unallowable Benefits
- Training Grant Benefits
- Detail - Closed**
- Detail - Open
- Detail - All
- Financial Reporting Application
- TOF Zero Out Accounts/Subs

ERS, Billing & A/R, and UCPath Reports

- ERS Detail report (11/12 Academics and Non Academics)
- ERS Detail report (9/12 Academics)
- Billing & Accounts Receivable
- UCPath Employee Sum
- UCPath Admin Salary
- UCPath Payroll After Fund End Date
- UCPath ERS Detail Report (11/12 Academic and Non Academics)
- UCPath ERS Detail Report (9/12 Academics)
- UCPath Training Grant -Trainee Expense Worksheet

Detail – All Report

- Type in the object codes you want to see details for, separated by commas
- Or use “*” to see all object codes

FAU for Detail - All


Enter the components of an FAU to report on. To enter multiple values, separate the values with commas. To specify all possible values, use an *.

Account:	*
CC:	*
Fund:	<input type="text"/> <input type="button" value="Find Accounts"/>
Project:	*
<input type="checkbox"/> Non-Sal. Sub <input type="checkbox"/> Sub:	*
Object:	4007,4380
Source Code:	*
Dept:	*


Batch Processing

Load Collate Reports Detail reports on the same Sheet

Convert FAU to upper case



Get Last FAU



Detail – All Report

- Use Fund inception date

Date for Detail - All

MOST RECENT CLOSED LEDGER MONTH
MARCH, 2010

Enter a date on which to report.
Choose 'All' in order to get all available QDB data for your selected FAU.

EITHER select here

OR here

Since August 2006

All

Next >

Detail - All

Check the types of transactions you would like to see on your report.
You must select at least one field.

Appropriations Include Reapprop.

Expenses

Encumbrance and Memo Lien

Next >

Detail – All Report

- If the report is for one Object Code: use default organization to create a standardized spreadsheet
- If the report is for two or more object codes: Move the “object” field to the top of the Sort box by highlighting “Object” and clicking “Up”

of Columns & SubTotals for Detail - All

Arrange the fields in the box, from top to bottom, in the order you want your report sorted. Select a field in the box, and click the Up or Down button to move the field accordingly in the box.

Object
Sub
Trans Ref GL
Ledger Year Month
Project
Account
CC
Fund
Sub-Object Title
Source Code
TE
Trans ID GL
Trans Doc Date
Trans. Eff. Date
Description

Move Selected Field

Up

Down

How many levels of subtotals do you need? 1

Go to ADHOC Cancel < Back Next > Finish

Detail – All Report

- The resulting “Detail – All” report will appear in the Smart Closeout Packet as a new tab

GL: ALII-ALL		Date: 04/20/2010														
Object	Sub	Trans Ref GL	Ledger Year Month	Project	Account	CC Fund	Sub-Object Title	Source Code	TE	Trans ID GL	Trans Doc Date	Trans. Eff. Date	Description	Appropriation	Expense	
4007	03		200812				TECHNOLOGY INFRASTR	59			12/31/08	12/31/2008	TECHNOLOGY INFRASTRU		55.01	
4007	03		200812				TECHNOLOGY INFRASTR	59			12/31/08	12/31/2008	TECHNOLOGY INFRASTRU		40.75	
4007	03		200812				TECHNOLOGY INFRASTR	59			12/31/08	12/31/2008	TECHNOLOGY INFRASTRU		8.15	
4007	03		200812				TECHNOLOGY INFRASTR	59			12/31/08	12/31/2008	TECHNOLOGY INFRASTRU		50.94	
4007	03		200812				TECHNOLOGY INFRASTR	59			12/31/08	12/31/2008	TECHNOLOGY INFRASTRU		81.59	
4007	03		200812				TECHNOLOGY INFRASTR	59			12/31/08	12/31/2008	TECHNOLOGY INFRASTRU		21.19	
4007	03		200812				TECHNOLOGY INFRASTR	59			12/31/08	12/31/2008	TECHNOLOGY INFRASTRU		30.26	
4007	03		200812	JH151			TECHNOLOGY INFRASTR	59			12/31/08	12/31/2008	TECHNOLOGY INFRASTRU		2.56	
4007	03		200812	VWVEGR			TECHNOLOGY INFRASTR	59			12/31/08	12/31/2008	TECHNOLOGY INFRASTRU		12.23	
4007	03		200812	VWVEGR			TECHNOLOGY INFRASTR	59			12/31/08	12/31/2008	TECHNOLOGY INFRASTRU		4.08	
4007	03		200912				TECHNOLOGY INFRASTR	59			12/31/09	12/31/2009	TECHNOLOGY INFRASTRU		55.01	
4007	03		200912				TECHNOLOGY INFRASTR	59			12/31/09	12/31/2009	TECHNOLOGY INFRASTRU		68.58	
4007	03		200912				TECHNOLOGY INFRASTR	59			12/31/09	12/31/2009	TECHNOLOGY INFRASTRU		8.15	
4007	03		200912				TECHNOLOGY INFRASTR	59			12/31/09	12/31/2009	TECHNOLOGY INFRASTRU		20.37	
4007	03		200912				TECHNOLOGY INFRASTR	59			12/31/09	12/31/2009	TECHNOLOGY INFRASTRU		2.51	
4007	03		200912				TECHNOLOGY INFRASTR	59			12/31/09	12/31/2009	TECHNOLOGY INFRASTRU		81.51	
4007	03		200912				TECHNOLOGY INFRASTR	59			12/31/09	12/31/2009	TECHNOLOGY INFRASTRU		(21.19)	
4007	03		200912				TECHNOLOGY INFRASTR	59			12/31/09	12/31/2009	TECHNOLOGY INFRASTRU		12.19	
4007	03		200912	GANG			TECHNOLOGY INFRASTR	59			12/31/09	12/31/2009	TECHNOLOGY INFRASTRU		3.99	
4007	03		200912	JH151			TECHNOLOGY INFRASTR	59			12/31/09	12/31/2009	TECHNOLOGY INFRASTRU		4.09	
4007	03		200912	VWVEGR			TECHNOLOGY INFRASTR	59			12/31/09	12/31/2009	TECHNOLOGY INFRASTRU		12.23	
4007	03		200912	VWVEGR			TECHNOLOGY INFRASTR	59			12/31/09	12/31/2009	TECHNOLOGY INFRASTRU		4.08	
Object 4007														0.00	7,347.84	
4380	03		200906				COMPUTING SUPPLIES OI	53			7/2/09	6/30/2009	VENDOR REBATE ON FED		(61.66)	
4380	03		200907				COMPUTING SUPPLIES OI	41			7/13/09	7/20/2009	CDVGOVINC PPT1358		55.99	
4380	03		200807				COMPUTING SUPPLIES OI	41			7/1/08	7/11/2008	KSTDATAINC464037		3,083.18	
Object 4380														0.00	3,077.51	
Object Grand Total														0.00	10,425.35	

Applicability / Allowability of Object Codes

- <https://ga.accounting.ucla.edu>

OPTION 1: FILTERED SEARCH

By Group: [All Groups]

By Title: [All Titles]

By Restriction: [All Restrictions]

Alphabetical Listing [All Alphabets]

By Object Code [All Object Codes] or

Show Results **Reset**

ING, COMPUTER SOFTWARE, AUDIO/VISUAL MATERIALS AND SERVICES

Object Code	Applicable Subs							Restrictions	Object Code Title	Description
	03	04	05	07	08	09	9H			
	X	-	X	X	X	-	-	WARNING	COPYING SERVICES	

Expenses After End Date

GL: ALL-ALL SINCE FEBRUARY 2017 Date: 05/08/2017										Award end date 1/31/2017						
Trans Ref GL	Suf	Ledger Year	Month	Projec	Objc	Account	Fund	Sub-Object Title	Source Code	Trans ID GL	Trans Doc Date	Trans. Eff. Date	Description	Expense	Adjustments	Justificati
	03	201702			4007			TECHNOLOGY INFRASTR	59		2/28/17	2/28/2017	TECHNOLOGY INFRASTR	(40.74)		
	03	201702		R01	4007			TECHNOLOGY INFRASTR	59		2/28/17	2/28/2017	TECHNOLOGY INFRASTR	14.34		
	03	201702		R01	4007			TECHNOLOGY INFRASTR	59		2/28/17	2/28/2017	TECHNOLOGY INFRASTR	(14.34)		
Trans Ref GL														(40.74)		
	03	201703		FLOREN	4007			TECHNOLOGY INFRASTR	59		3/31/17	3/31/2017	TECHNOLOGY INFRASTR	(34.82)		
	03	201703		ROUSSO	4007			TECHNOLOGY INFRASTR	59		3/31/17	3/31/2017	TECHNOLOGY INFRASTR	(64.53)		
Trans Ref GL														(99.35)		
17-FEB	03	201704		PETTYC	3455			CONSULTANTS/PROFESS	54		3/7/17	4/10/2017	53082942DUNBAR SERVI	10.05		
Trans Ref GL 17-FEB														10.05		
17-JAN	03	201704		PETTYC	3455			CONSULTANTS/PROFESS	54		2/2/17	4/13/2017	53072627DUNBAR SERVI	10.05		
Trans Ref GL 17-JAN														10.05		
17-MAR	03	201704		PETTY	3455			CONSULTANTS/PROFESS	53		4/12/17	4/12/2017	DUNBAR SERVICE	10.05		
Trans Ref GL 17-MAR														10.05		
	07	201704			3401			LABORATORY TESTING SKETAMI	54		2/6/17	4/11/2017	59073275MRI STUDY-BM	1,150.00		
Trans Ref GL 62006														1,150.00		
	03	201702			3401			LABORATORY TESTING S	59		2/17/17	2/17/2017	2017-002-ECT	6,017.00		
Trans Ref GL 62920														6,017.00		
CASH	03	201704		PETTYC	3355			HUMAN SUBJECTS	33		4/13/17	4/13/2017	UNUSED CASH	(1,000.00)		
Trans Ref GL CASH														(1,000.00)		
	03	201704		PETTY	3355			HUMAN SUBJECTS	53		4/27/17	4/27/2017	IRB 10-000830	1,584.00		
Trans Ref GL (1,584.00		
Trans Ref GL Grand Total														7,641.06		

Reviewing Expenses After End Date

- Review each transaction for allowability
- To determine allowability, it may be necessary to review:
 - BruinBuy order dates
 - Packing slip receipt dates
 - Check with the UCLA recharge service center for original service/order date/ receipt date
- **If allowable, provide a justification** stating the benefit of the transaction to the project in the Justification Comment column as well as provide back-up documentation to substantiate the expense.

Reviewing Expenses After End Date

- If unallowable, must remove transaction from ledgers via:
 - NPEAR
 - Journal Entry – For transactions too old (i.e. > current fiscal year + 2 prior fiscal years) to process via NPEAR
- **NPEARs, take the following steps:**
 - Process the NPEAR(s)
 - Wait one business day and re-run Smart Closeout Packet *or* Include on the Additional Adjustment tab
- **The NPEAR'd transactions should no longer appear on report**
- **The NPEAR amount will be incorporated into the Total Expenditures on ledgers**

Additional Adjustments

- The blank template is provided so that the fund manager can manually enter transactions that meet **ALL** of the following criteria:
 - Transaction does **not** appear on the **current open or closed ledger**
 - Transaction is expected **to be charged** to the FAU/Fund **prior to closing**
 - Transaction is **NOT** accounted for in **any other tab**
- For all adjustments, backup documentation is required to be provided with the closeout packet

1	Date:	10/07/19			
2	Additional Adjustments			Detail <u>Direct Costs</u> - for fund:	12345
3					
4	Account	CC	Sub	Description	Adjustments
5			00	Direct Retro for J. Bruin (Salary after end)	(2,348.00)
6			06	Direct Retro for J. Bruin (Benefits after end)	(913.21)
7			03	TIF	(40.75)
8			05	Travel for Dr. Cruise -- Travel taken during project	143.77
9					
10				Total	(3,158.19)

Additional Adjustments

- Review each transaction manually entered on the spreadsheet
- Ensure action has already been taken to process the debits/credits
 - Direct Retros have been processed
 - NPEARS have been submitted
- The closeout packet should account for **ALL** applicable transactions – past, present, and future. The “Additional Adjustments” tab accounts for “future” applicable transactions not yet accounted for in the Financial System

21>	Additional Adjustments +/- (direct costs only)		Y	(3,159.19)	Complete Addit'l Adjustments tab and enter total amount in column E.
-----	--	--	---	------------	--

10 Minute Break

F&A Reconciliation

- **Accessible in PAMS:**
 - Under the Billing and Reporting tab
 - Under the Fund Details Tab, once you search by fund number
- Provides a calculation and reconciliation of the Computed F&A (what the F&A *should be*) and the Assessed F&A (F&A *actually charged*) for each Account/CC linked to the fund

Reconcile F&A

F&A Summary for fund 4 as of Apr 8, 2021

Account	CC	Period	Base	Rate	Total Expenses (Ledger)	Total Direct Cost (Ledger)	Direct Cost Adjustments	Default and Custom Exemptions	Exemptions from Adjustment	Adjusted Total Direct Cost	Assessed F&A (Ledger)	Computed F&A	F&A Variance
		03/16-04/21	TDC	20%	\$11,826.73	\$9,855.67	\$0.00	\$0.00	\$0.00	\$9,855.67	\$1,971.06	\$1,971.13	\$0.07
		03/16-04/21	TDC	20%	\$710,872.10	\$592,393.23	\$0.00	\$0.00	\$0.00	\$592,393.23	\$118,478.87	\$118,478.65	(\$0.22)
		03/16-04/21	TDC	20%	\$7,219.00	\$6,015.83	\$0.00	\$0.00	\$0.00	\$6,015.83	\$1,203.17	\$1,203.17	\$0.00
		03/16-04/21	TDC	20%	\$160,536.55	\$133,780.51	\$0.00	\$0.00	\$0.00	\$133,780.51	\$26,756.04	\$26,756.10	\$0.06
		03/16-04/21	TDC	20%	\$63,142.38	\$52,618.55	\$0.00	\$0.00	\$0.00	\$52,618.55	\$10,523.83	\$10,523.71	(\$0.12)
TOTAL					\$953,596.76	\$794,663.79	\$0.00	\$0.00	\$0.00	\$794,663.79	\$158,932.97	\$158,932.76	(\$0.21)

F&A Reconciliation

- **If the total variance is:**
 - **Negative**
 - Too much F&A was charged to the FAU/Fund
 - EFM needs to credit 9H by the Variance amount
 - Subtract variance amount from the current ledger F&A
 - **Positive**
 - Not enough F&A was charged to the FAU/Fund
 - EFM needs to debit 9H by the variance amount
 - Add variance amount from the current ledger F&A

Remaining Encumbrance

- Reflects all encumbrance activity for the current open ledger on the FAU/Fund except transactions with a zero net effect
- Adjustments should only reflect the encumbrances that will remain on the ledger

GL: ALL-ALL-3 Date: 04/09/2010

Trans Ref G	Sul	Month	Projec	Objc	Account	Fund	Sub-Object Title	Trans ID GL	Trans Doc Da	Trans. Eff. Date	Description	Encumbrance and Memo Lien	To Appear	Action on Encumbrance
	03	201004		4630			LAB/SHOP INSTRUMENTS EN		4/6/10	4/6/2010	JULE INC	790.20		
Trans Ref GL												790.20	790.20	Full invoice
	07	200907	USC	7300			SUBCONTRACTS > \$25K EN		7/20/09	7/20/2009	UNIVERSITY OF SOUT	1.00		Cancel order
	07	200908	USC	7300			SUBCONTRACTS > \$25K EN		8/3/09	8/3/2009	UNIVERSITY OF SOUT	95,940.00		Change order
	07	200909	USC	7300			SUBCONTRACTS > \$25K EN		8/3/09	9/2/2009	UNIVERSITY OF SOUT	(3,405.07)		Full invoice
	07	200909	USC	7300			SUBCONTRACTS > \$25K EN		8/3/09	9/29/2009	UNIVERSITY OF SOUT	(2,338.53)		Partial invoice
	07	200911	USC	7300			SUBCONTRACTS > \$25K EN		8/3/09	11/9/2009	UNIVERSITY OF SOUT	(8,090.76)		Unliq. Oblig.
	07	201001	USC	7300			SUBCONTRACTS > \$25K EN		8/3/09	1/8/2010	UNIVERSITY OF SOUT	(16,858.95)		
	07	201002	USC	7300			SUBCONTRACTS > \$25K EN		8/3/09	2/9/2010	UNIVERSITY OF SOUT	(5,729.43)		
	07	201003	USC	7300			SUBCONTRACTS > \$25K EN		8/3/09	3/4/2010	UNIVERSITY OF SOUT	(3,120.57)		
	07	201003	USC	7300			SUBCONTRACTS > \$25K EN		8/3/09	3/31/2010	UNIVERSITY OF SOUT	(4,977.11)		
Trans Ref GL												51,420.58		Change order
	03	200909		4630			LAB/SHOP INSTRUMENTS EN		9/22/09	9/22/2009	FISHER SCIENTIFIC	154.03		
	03	200909		4630			LAB/SHOP INSTRUMENTS EN		9/22/09	9/25/2009	FISHER SCIENTIFIC	(139.03)		
Trans Ref GL												15.00		Cancel order
	03	200911		4630			LAB/SHOP INSTRUMENTS EN		11/18/09	11/18/2009	DENVILLE SCIENTIFIC	315.53		
Trans Ref GL												315.53	143.43	Partial invoice
Trans Ref GL Grand Total												52,541.31	933.63	

Sub Awards

- Provides a list of all non-UC sub awards and subcontracts that were charged to the FAU/Fund for the current budget period

SUBAWARDS/SUBCONTRACTS/SUBGRANTS: ALL-ALL SINCE FEBRUARY 2009 Date: 02/12/2010

Trans Ref GL	Su	Ledger Year	Projec	Objc	Account	Fund	Sub-Object Title	Source Cod	Trans ID GL	Trans Doc Da	Trans. Eff. Date	Description	Expense	Encumbrance and Memo Lier
	07	200908		7300			SUBCONTRACTS > \$25K	41		7/28/09	8/18/2009	USC 10(FINAL)5	2,496.88	
	07	200908		7300			SUBCONTRACTS > \$25K	41		7/29/09	8/18/2009	USC 10A(FINAL)	2,453.40	
	07	200908		7300			SUBCONTRACTS > \$25K	41		8/6/09	8/28/2009	USC 1 53-5107-	11,691.51	
	07	200908		7300			SUBCONTRACTS > \$25K	53		8/27/09	8/27/2009	USC	(2,453.40)	
	07	200908		7300			SUBCONTRACTS > \$25K	53		8/27/09	8/27/2009	USC	(2,496.88)	
	07	200908		7300			SUBCONTRACTS > \$25K	53		9/1/09	8/31/2009	USC	6,257.81	
	07	200910		7300			SUBCONTRACTS > \$25K	41		9/9/09	10/6/2009	USC 2 53-5107-	20,556.84	
	07	200911		7300			SUBCONTRACTS > \$25K	41		10/15/09	11/16/2009	USC 3 53-5107-	28,265.76	
	07	201001		7300			SUBCONTRACTS > \$25K	41		12/7/07	1/25/2010	USC 5 53-5107-	43,777.60	
	07	200906		7300			SUBCONTRACTS > \$25K	EN		6/12/09	6/12/2009	UNIVERSITY OF SOUTHE		1.00
	07	200907		7300			SUBCONTRACTS > \$25K	EN		7/1/09	7/1/2009	UNIVERSITY OF SOUTHE		343,281.00
	07	200908		7300			SUBCONTRACTS > \$25K	EN		7/1/09	8/18/2009	UNIVERSITY OF SOUTHE		(4,950.28)
	07	200908		7300			SUBCONTRACTS > \$25K	EN		7/1/09	8/28/2009	UNIVERSITY OF SOUTHE		(11,691.51)
	07	200910		7300			SUBCONTRACTS > \$25K	EN		7/1/09	10/6/2009	UNIVERSITY OF SOUTHE		(20,556.84)
	07	200911		7300			SUBCONTRACTS > \$25K	EN		7/1/09	11/16/2009	UNIVERSITY OF SOUTHE		(28,265.76)
	07	201001		7300			SUBCONTRACTS > \$25K	EN		7/1/09	1/25/2010	UNIVERSITY OF SOUTHE		(43,777.60)
	07	201002		7300			SUBCONTRACTS > \$25K	41		1/12/10	2/3/2010	USC 6 53-5107-	33,352.73	
	07	201002		7300			SUBCONTRACTS > \$25K	EN		7/1/09	2/3/2010	UNIVERSITY OF SOUTHE		(33,352.73)
Trans Ref GL													143,902.25	200,687.28
Trans Ref GL Grand Total													143,902.25	200,687.28

Sub Awards

What to do with this information?

- **Review each sub award transaction**
 - Determine allowability
 - Verify amounts listed for each sub award (budget AND PI approved invoices)
- **If an encumbrance remains, determine disposition**
 - Cancel remaining encumbrance?
 - Carry forward to next budget period, etc.?
- **Verify ALL invoices received and all payments processed from each sub recipient, including the FINAL invoice**
 - Include a copy of the final invoice with the Closeout Packet submission to EFM

Sub Awards – All Years

What to do with this information?

- Provides a summary of each sub award purchase order (PO) charged for all budget periods within the project period, including previous fund numbers associated with this award

SubK Report - Date: 2/12/2010

Sum of Expense		Object <input type="button" value="v"/>		
Trans Ref GL <input type="button" value="v"/>	Fund <input type="button" value="v"/>	7300	7310	Grand Total
<input type="text" value=""/>	<input type="text" value=""/>	488,088	25,000	513,088
		143,902		143,902
<input type="text" value=""/>	Total	631,990	25,000	656,990
Grand Total		631,990	25,000	656,990

Sub Awards – All Years

What to do with this information?

- **Review each sub award P.O.**
 - Verify first \$25,000 for each sub award was coded correctly under object code 7310 (or the entire amount for subcontracts less than \$25,000)
 - This is only for MTDC awards (Indirect Base code J)
 - The remaining amount of each sub award greater than \$25,000 should be coded under object code 7300
- **If the sub award P.O. was not coded correctly, process an NPEAR to adjust for the correct amount and reach out to EFM to process the F&A adjustment.**

***If a transaction is older than 120 days and to another contract or grant fund, if possible, wait to run the Smart Closeout Tool until EFM has approved the cost transfer for processing**

Sub Awards – All Years

What to do with this information?

- **If the sub award P.O. was not coded correctly on a previous fund number that has already been closed**
 - Contact EFM to make the necessary adjustments
 - Override Results column in Line 43 of the Closeout Checklist by placing “Y”
 - Notes to EFM section of the Closeout Checklist

43	Special instructions for EFM?		Y	Type your comments to EFM in the Notes to EFM section at the bottom of this form.
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- **Detailed Transactions**
 - Double click on any cell containing an amount
- **Include any backup documentation with the Closeout Packet submission to EFM**

1198xx: MCAs, Carryforward, STIP

- Report represents cumulative results of transactions not charged to Expenditure or Revenue Accounts
- Examples of activity within this account includes:
 - Multiple Campus Awards (MCAs)
 - Carryforward entries
 - STIP (Short Term Investment Pool) transactions
- Review the synopsis and award terms and conditions for any MCAs, Carryforwards or STIP on the project

SUBAWARDS-INTERCAMPUS: MULTIACT-ALL SINCE FEBRUARY 2006 Date: 03/30/2010

Sub	Ledger Year	Month	Projec	Objc	Account	Fund	Trans Ref GL	Sub-Object Title	Source Code	Trans ID GL	Trans Doc Del	Trans. Eff. Date	Description	Appropriation	Financial
16	200802			7000				FUND BALANCES	0802	14	2/14/08	2/14/2008	APPROPRIATE FUNDS	(165,224.00)	
16	200806	UCSF		7000			IRR 7-R	FUND BALANCES	0802	53	6/27/08	6/27/2008	T: UCSF-		(67,955.39)
16	200901			7000				FUND BALANCES		14	2/3/09	1/31/2009	CLOSING	97,268.61	
Sub 16														(67,955.39)	(67,955.39)
Sub Grand Total														(67,955.39)	(67,955.39)

1198xx: MCAs, Carryforward, STIP

Multiple Campus Award (MCA)

- **Verify the final invoice has been received and the final transactions for each MCA appear on this report**
 - The Description column will reference a 'T: UCXX' if payments are sent **to** another campus
 - The Description column will reference a 'F: UCXX' if payments were received **from** another campus



SUBAWARDS-INTERCAMPUS: MULTICACCT-ALL- SINCE JUNE 2004 Date: 05/12/2010

Suf	Ledger Year	Month	Projec	Obje	Account	Fund	Trans Ref GL	Sub-Object Title	Source Code	Trans ID GL	Trans Doc Da	Trans. Eff. Date	Description	Appropriation	Financial
16	200911	UCR	7000	119800			FNL-10/09	FUND BALANCES	0805 53		11/17/09	11/17/2009	T: UCR-		(1,440.29)
16	200912	UCD	7000	119800			10-FINAL	FUND BALANCES	0803 53		12/14/09	12/14/2009	T: UCD-		(43,701.35)
16	200912	UCD	7000	119800			IRR 7	FUND BALANCES	0803 53		12/14/09	12/14/2009	T: UCD-		(100,272.92)
16	200912	UCD	7000	119800			IRR 8	FUND BALANCES	0803 53		12/14/09	12/14/2009	T: UCD-		(35,880.02)
16	200912	UCD	7000	119800			IRR 9	FUND BALANCES	0803 53		12/14/09	12/14/2009	T: UCD-		(29,731.97)
16	200912	UCR	7000	119800			PART-10/09	FUND BALANCES	0805 53		12/14/09	12/14/2009	T: UCR-		(10,725.58)
16	200912	UCR	7000	119800			PART-10/09	FUND BALANCES	0805 53		12/14/09	12/14/2009	T: UCR-		(3,418.44)
16	200912	UCR	7000	119800			PART-10/09	FUND BALANCES	0805 53		12/14/09	12/14/2009	T: UCR-		(20,709.87)
16	200912	UCR	7000	119800			PART-10/09	FUND BALANCES	0805 53		12/14/09	12/14/2009	T: UCR-		(3,684.72)
16	200912	UCSB	7000	119800			10/09 FNL	FUND BALANCES	0808 53		1/4/10	12/31/2009	T: UCSI		(28.59)
16	200912	UCSB	7000	119800			10/31/2009	FUND BALANCES	0808 53		12/7/09	12/7/2009	T: UCSI		(5,318.04)
16	200912	UCSB	7000	119800			8/31/2009	FUND BALANCES	0808 53		12/7/09	12/7/2009	T: UCSI		(28,656.68)
16	200912	UCSB	7000	119800			9/30/2009	FUND BALANCES	0808 53		12/7/09	12/7/2009	T: UCSI		(37,360.65)
16	201001		7000	119800				FUND BALANCES		14	1/29/10	1/29/2010	CLOSING	83,563.13	
16	201001	UCD	7000	119800			#10A FINAL	FUND BALANCES	0803 53		1/19/10	1/19/2010	T: UCD-		(38.03)
16	201001	UCR	7000	119800			10/31/2009	FUND BALANCES	0805 53		1/26/10	1/26/2010	T:UCR-		(12,727.01)
16	201001	UCR	7000	119800			10/31/2009	FUND BALANCES	0805 53		1/26/10	1/26/2010	T:UCR-		(27,459.01)
16	201001	UCR	7000	119800			10/31/2009	FUND BALANCES	0805 53		1/26/10	1/26/2010	T:UCR-		(12,845.87)
16	201001	UCR	7000	119800			FNL-10/09	FUND BALANCES	0805 53		1/15/10	1/15/2010	T: UCR-		(5.48)
Sub 16														(5,306,912.30)	(5,306,912.30)

1198xx: MCAs, Carryforward, STIP

Multiple Campus Award (MCA)

- **Verify Total appropriation and expenses on MCAs**
 - Increase Total Awarded Amount by the amount appropriated to all MCAs on Closeout Checklist Line 14
 - Increase Total Expenditures by the amount expensed to all MCAs on Closeout Checklist Line 15

5	Agency	NIH-NIDA NATIONAL INSTITUTE ON DRUG ABUSE			
6	Agency Award No.				
7	Budget Period	8/1/2016 - 7/31/2017			
8	Project Period	9/15/2014 - 7/31/2017			
9>	Are there prior year funds linked to this award?	Y			
10	Prior Year Operating Balance - Yr 1	9/15/2014 - 7/31/2015,		Same Fund	
11	Prior Year Operating Balance - Yr 2				
12	Prior Year Operating Balance - Yr 3				
13	Prior Year Operating Balance - Yr 4				
14>	Total Award Amt - appropriation on current fund	607,567.00			607,567.00
15>	Total expenditures on current fund	599,550.91			599,550.91
16>	Expenditures on warning object codes?	Y			If training grant, see special Provide justification for any Warning tab. If any expens adjustment amount in colour

1198xx: MCAs, Carryforward, STIP

Multiple Campus Award (MCA)

- **Verify Total appropriation and expenses on MCAs**
 - Replace “Recharge” on Sub 09 line and replace it with “MCA”
 - Fill in the columns with relevant information

CLOSING - SUMMARY REPORT BY SUB (INCEPTION TO DATE)									
Account/Fund: All-All- Fund Name:		All-All- P.I.:		project: *		Budget Year(s): 08/01/2016 - 07/31/2017		Project Period: 09/15/2014 - 07/31/2017	
Fund Mgr:						Recharge ID:		Overhead Rate: %	
Sub	1	2	3	4	5	6	7	8	9
	Closed Approp. ITD (09/17)	Closed Expenses ITD (09/17)	Open Approp.	Open Expenses	Open Encumbr. & Memo Lien	Action on Encumbrances To 07/31/17	Adjustments	Cumulative Exp to be Reported Cols 2+4+7	Projected Balance Cols 1-2+3-4-5-6-7
00	Salaries-Academic	40,415.66	24,562.24				3,272.79	27,835.03	12,580.63
01	Salaries-Staff Career							0.00	0.00
02	General Assistance	106,957.26	143,362.80					143,362.80	(36,405.54)
06	Employee Benefits	76,579.41	85,740.34				1,191.67	86,932.01	(10,352.60)
03	Supplies & Expense	39,842.60	39,771.92				584.66	40,356.58	(513.98)
04	Equipment							0.00	0.00
05	Special Items	5,519.39	5,269.42					5,269.42	249.97
07	Special Items	112,543.11	112,543.11					112,543.11	0.00
08	Unallocated	34,537.38	0.00					0.00	34,537.38
09	MCA	100.00	100.00					100.00	0.00
Total Direct		416,554.81	411,349.83	0.00	0.00	0.00	5,049.12	416,398.95	155.86
9H	F & A	191,112.19	188,301.08	0.00			2,727.07	191,028.15	84.04
Total		607,667.00	599,650.91	0.00	0.00	0.00	7,776.19	607,427.10	239.90
COMMENTS								Direct Balance	239.90
								Indirect Balance	0.00
									239.90

1198xx: MCAs, Carryforward, STIP

Short Term Investment Pool (STIP)

- **Disposition of interest earned on unexpended funds**
 - When award terms and conditions read “to be deposited into an interest-bearing account”, UCLA establishes STIP
- **The Financial System does this automatically if the award was coded correctly at the set-up stage**

SUBAWARDS-INTERCAMPUS: MULTIACCT-ALL SINCE AUGUST 2008 Date: 03/24/2010																
	Ledger Year								Source	Trans ID	Trans	Trans. Eff.				
Sub	Month	Projec	Objc	Account	Fund	Trans Ref	GL	Sub-Object Title	Code	GL	Doc Del	Date	Description	Appropriation	Expense	
16	200902		7000	119800				FUND BALANCES	0703	53	3/4/09	2/28/2009	STIP DIST QTR 2		390.29	
16	200905		7000	119800				FUND BALANCES	0703	53	6/3/09	5/31/2009	STIP DIST QTR 3		888.51	
16	200906		7000	119800				FUND BALANCES	0703	53	7/17/09	6/30/2009	STIP DIST QTR 4		734.68	
16	200911		7000	119800				FUND BALANCES	0703	53	12/3/09	11/30/2009	STIP DIST QTR 1		307.71	
Sub 16														0.00	2,321.19	
Sub Grand Total														0.00	2,321.19	

1198xx: MCAs, Carryforward, STIP

Short Term Investment Pool (STIP)

- **Depending on the award terms, one of the following three options will apply to the STIP interest income:**
 - Fund Notation A: Return to the sponsor
 - Fund Notation B: Used for the project
 - Fund Notation C: Not designated in award terms
 - Interest earned is placed in UCLA Chancellor's account

Cost Sharing

- Provides a blank Cost Sharing Contribution Report form
- Completion and submission to EFM of this form, and sufficient support documentation, is required for any awards requiring cost sharing
 - Check Award Snapshot for Cost Sharing requirements

Cost Sharing Contribution Report										
Retention Period: Subject to Terms of Award										
								Fund Number		
I. AWARD INFORMATION										
1. Principal Investigator				2. Department						
3. Project Title				4. Sponsor						
5. Award Amount (inception to		\$ -	5. Award No.		7. Frequency (check one)		Quarterly	Semi		
8. Project Start Date			9. Project End Date		10. Budget Start Date		Annual	Final		
								11. Budget End Date		
II. COST SHARING INFORMATION										
A. Commitments					B. Contributions					
12. This Period		\$ -	13. All Periods		\$ -	14. This Period		\$ -	15. All Periods	\$ -
IMPORTANT: Attach the spreadsheets showing the detail line item per FAU supporting this report										
16. Salary Contributions										
Employee Name		FAU Charged		Non-Federal Gross Salaries		Cost Contribution				
						%		Amount		
				\$ -				\$ -		
				\$ -				\$ -		
				\$ -				\$ -		
				\$ -				\$ -		
				\$ -				\$ -		
				\$ -				\$ -		
TOTAL SALARY								\$ -		
17. Benefit Contributions										
Employee Name		FAU Charged		Non-Federal Employee Benefits		Cost Contribution				
						%		Amount		
				\$ -				\$ -		
				\$ -				\$ -		
				\$ -				\$ -		
				\$ -				\$ -		
				\$ -				\$ -		
TOTAL BENEFIT								\$ -		
18. Other Contributions (including in-kind)										
Description		FAU Charged		Reference No./PO Number		Cost Contribution				
						%		Amount		
								\$ -		
								\$ -		

Payroll After End Date

- Provides payroll transactions after the end date of the fund
 - Process Direct Retros in UCPATH, if needed, to remove salary that posted after fund end date
 - Note: if you need to remove salary that posted after the fund end date, calculate the associated benefits manually.

PAYROLL: PAYROLL AFTER FUND END DATE ALL-ALL EARNED FROM SEPTEMBER 2012 TO APRIL 2013 Date: 05/14/2013

Award end date 8/31/2012

Fun	Account	C	S	Employee Name	Employee	Proj	L	ET N	ET F	L	Cod	Earned Date	DC	Time	H	Pay Rate	Gross Earnings	Total Benefits	Total Pay	Trf Ind	Delete?
		ML	00			CALPAI 4		201303	32101	1	3220	9/30/12	REG	0.0800	%	6,266.67	501.33	218.68	720.01	Y	
		ML	00			CALPAI 4		201304	30552	1	3220	10/31/12	REG	0.0800	%	6,266.67	501.33	218.68	720.01	Y	Delete
		ML	00			CALPAI 4		201309	34056	1	3220	10/31/12	REG	-0.0800	%	6,266.67	(501.33)	(218.68)	(720.01)	Y	Delete
		ML	00			CALPAI 4		201305	30498	1	3220	11/30/12	REG	0.0800	%	6,266.67	501.33	218.68	720.01	Y	Delete
		ML	00			CALPAI 4		201309	34056	2	3220	11/30/12	REG	-0.0800	%	6,266.67	(501.33)	(218.68)	(720.01)	Y	Delete
		ML	00			CALPAI 4		201306	30608	1	3220	12/31/12	REG	0.0800	%	6,266.67	501.33	210.80	712.13	Y	Delete
		ML	00			CALPAI 4		201309	34056	5	3220	12/31/12	REG	-0.0800	%	6,266.67	(501.33)	(210.80)	(712.13)	Y	Delete
		ML	00			CALPAI 4		201307	31049	1	3220	1/31/13	REG	0.0800	%	6,266.67	501.33	210.80	712.13	Y	Delete
		ML	00			CALPAI 4		201309	34056	4	3220	1/31/13	REG	-0.0800	%	6,266.67	(501.33)	(210.80)	(712.13)	Y	Delete
		ML	00			CALPAI 4		201308	31359	1	3220	2/28/13	REG	0.0800	%	6,266.67	501.33	210.80	712.13	Y	Delete

- There are separate reports for PPS and UCPATH Payroll

Payroll After End Date	UCPATH Payroll After End Date
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Journal

- Provides a blank template for non-payroll cost transfer adjustments unable to be processed via the NPEAR System (e.g. current fiscal year + 2 previous fiscal years)
- For adjustments to payroll benefits,
 - For UCPath: contact your EFM accountant
 - For PPS: contact your EFM Accountant

***To be used for NPEAR requests > 120 days that cannot be submitted online.**

LOC	Account	CC	Fund	Project	Sub	Obj	Source	Description	Reference	Debit	Credit	Document Date

Journal

- **Data entered on this Tab will be directly uploaded to the Financial System by EFM, upon EFM approval of the transactions**
- **Data fields:**
 - Full accounting unit (FAU)
 - i.e.: Location, Account, Cost Center (CC) and Fund Number
 - Project Code
 - Sub Code
 - Object Code
 - Source
 - Description
 - Reference
 - Debit/Credit
 - Document Date
- **Transactions listed on this tab must be accounted for on one of the other tabs (e.g. “Warning Object Code” tab, etc.)**

Journal Explanation

- **Provides a template for the required six justification questions**
 - Each of the six questions must be answered for each journal entry requested on the Journal Tab
 - Review each question carefully
 - Provide full justification to each of the questions for each Journal Entry
 - Include back up documentation with the Closeout Packet submission to EFM

Provide the 6 justifications, as applicable, for EACH Journal Entry request from Journal Tab. Copy & paste additional rows as necessary.

Explanation of Expenditure Adjustment, State:	Department Response:
1) Why the transfer is being made?	1)
2) Why it was originally charged as it was?	2)
3) What is the benefit of the cost to the project?	3)
4) Who made the determination for the transfer of the cost item and their connection to the project?	4)
5) Strong reason why cost adjustments are being done in violation of University Policy if past the required time of 120 days from original transaction date or 90 days after the fund end date, whichever is applicable.	5)
6) The steps being taken to prevent this in the future.	6)

Admin Salary

- Report provides Administrative Job Titles included as Payroll Expense
 - Administrative Salary is recoverable under F&A
 - Disallowed cost unless approved by the sponsor
 - Process Direct Retros, if needed, to remove Admin Salary
 - If applicable, include justification
 - Reference: <https://efm.research.ucla.edu/administrative-salaries/>

PAYROLL: UCPath ADMIN SALARY ALL-ALL PAID FROM JULY 2017 TO SEPTEMBER 2021 (ITD) Date: 10/22

Capped Fund

In UCPath, when Direct Retros were processed, the earn date of the benefits associated with the original payroll transaction was lost. This resulted in a blank earn date for the benefit expense in the labor ledger. Due to this reason, benefits transferred with Direct Retros with an earn date of July 2020 and prior may have blank earn dates in this report.

Employee Name	Employee ID	UCPath Employee ID	LYM	Earned Begin Date	Earned End Date	Account	CC	Fund	Project	Sub	Object	Earn Code	Title Code	Title Description	Hours/ Effort	H %	Pay Rate	Gross Earnings	Total Benefits	Total Pay	OTC	Line Description	Adjustments	Justification
			202103	2021-03-01	03/31/2021					02	1100	DEE	7242	ADMIN ANL SR	0.0000	%	0.00	571.79	0.00	571.79				
			202103	2021-03-01	03/31/2021					06	8850		7242	ADMIN ANL SR	0.0000	%	0.00	0.00	245.87	245.87		CBR Assessment - Expense		
			202103	2021-03-01	03/31/2021					06	8930		7242	ADMIN ANL SR	0.0000	%	0.00	0.00	40.03	40.03		Leave Assessment - Expense		
			202106	2021-03-01	03/31/2021					06	8850		7242	ADMIN ANL SR	0.0000	%	0.00	0.00	(243.58)	(243.58)		CBR Assessment - Expense		
			202106	2021-03-01	03/31/2021					06	8930		7242	ADMIN ANL SR	0.0000	%	0.00	0.00	(37.17)	(37.17)		Leave Assessment - Expense		
Employee Name																		571.79	5.15	576.94				
			202103	2021-02-21	03/06/2021					02	1100	REG	7646	ADMIN SPEC	33.2000	H	21.50	713.80	0.00	713.80				
			202103	2021-02-21	03/06/2021					02	1100	REG	7646	ADMIN SPEC	33.2000	H	21.50	713.80	0.00	713.80				
			202103	2021-03-07	03/20/2021					02	1100	REG	7646	ADMIN SPEC	66.4000	H	21.50	1,427.60	0.00	1,427.60				
			202103	2021-02-21	03/06/2021					06	8850		7646	ADMIN SPEC	0.0000	H	0.00	0.00	699.52	699.52		CBR Assessment - Expense		
			202103	2021-02-21	03/06/2021					06	8930		7646	ADMIN SPEC	0.0000	H	0.00	0.00	99.94	99.94		Leave Assessment - Expense		
			202103	2021-03-07	03/20/2021					06	8850		7646	ADMIN SPEC	0.0000	H	0.00	0.00	699.52	699.52		CBR Assessment - Expense		
			202103	2021-03-07	03/20/2021					06	8930		7646	ADMIN SPEC	0.0000	H	0.00	0.00	99.93	99.93		Leave Assessment - Expense		
Employee Name Grand Total																		2,855.20	1,598.91	4,454.11				
																		7,728.04	3,754.58	11,482.62				

- There are separate reports for PPS and UCPath Payroll

Admin Salary | **UCPath Admin Salary**

Policy 913

- **Provides a template for the four required assurances**
 - Review each question carefully
 - Each of the four questions must be answered by the PI
 - PI to provide a written justification explaining the balance >25%
 - Must be endorsed by the Department Chair or ORU Director

<i>Provide the 4 justifications as necessary.</i>	
Policy 913 Assurance:	Department Response:
1) Has all work under the award been completed?	1)
2) Have all reports been submitted to the sponsor?	2)
3) Have all costs of conducting the work been appropriately charged to the fund established for the award?	3)
4) Have all invoices been submitted and all payments received?	4)
<i>If the remaining unexpended balance is 25% or less of the total amount received from the sponsor please include a written endorsement of the Department Chair or ORU Director.</i>	
<i>If the remaining unexpended balance is greater than 25% of the total amount received from the sponsor please include a written explanation of the variance by the PI in addition to the documentation required above</i>	

Detail – Closed Equipment

- Provides a detail list of equipment transactions charged to the FAU/Fund within 90 days of the fund expiration
- Be prepared to justify how equipment purchased so late in the project directly benefited the award

DETAIL EQUIPMENT – WITHIN 90 DAYS OF EXPIRATION ALL-ALL OBJECT:9110,9111,9112,9113,9114,9115,9116,9117,9118,9119,9120 Date: 11/03/2021													Award end date 12/31/2019					
Sub	Trans Ref GL	Ledger Year Month	Dept Code Acct	Project	Object	Account	CC	Fund	Sub-Object Title	Source Code	TE	Trans ID GL	Trans Doc Date	Trans. Eff. Date	Description	Expense	Adjustments	Justification
04	PXA397	201912		KG6S	9118				INVENTORIAL EQUIPMENT		41		10/25/19	12/3/2019	HARRICKPLA7787	7,816.32		
Sub 04																7,816.32		
Sub Grand Total																7,816.32		

Detail – Warning / Unallowable Object Code

- Provides a detail list of the Warning object code transactions charged to the FAU/Fund
- Same detail is generated for the Unallowable Object Code transaction list

DETAIL-CLOSED WARNING AND UNALLOWABLE EXPENSES ALL-ALL) Date: 04/11/2017																
Sub	Trans Ref GL	Ledger Year Month	Dept Code Acct	Project	Object	Account	CC Fund	Sub-Object Title	Source Code	TE	Trans ID GL	Trans Doc Date	Trans. Eff. Date	Description	Appropriation	Expense
03		201405	1580		6030			COPYING SERVICES	142353	59		5/31/14	5/31/2014	COPY SERVICES		122.72
03		201405	1580		6030			COPYING SERVICES	142489	59		5/31/14	5/31/2014	COPY SERVICES		544.05
03		201406	1580		6030			COPYING SERVICES	142521	59		6/30/14	6/30/2014	COPY SERVICES		92.04

Overview: Adjustments

What are “Adjustments” and where can they typically be found?

- Adjustments are transactions that need to be included in the “Amount EFM will report to the Sponsor” (Line 26 of the Closeout Checklist), but that are not currently posted to the ledger
- Tabs where adjustments may be found:
 - Warning Object Codes
 - Unallowable Object Codes
 - Additional Adjustments
 - Expenses after End Date
 - Remaining Encumbrance
 - F&A Reconciliation from PAMS
 - Subawards
 - Trainee Expense Worksheet
 - Post Period Payroll

26	Amount EFM will report to sponsor			1,922,881.98
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Overview: Adjustments

- Adjustments must be entered in **3** separate locations within the Closeout Packet
 1. The “Adjustment” column in the tab where the finding originals (e.g., Warning Object Codes tab)
 - For tabs that do not have an “Adjustment” column, include the adjustment on the Additional Adjustments tab
 2. The “Adjustment” column in the Summary by Sub tab for the appropriate Sub Code
 3. The appropriate line within the Closeout Checklist

Summary By Sub

- “Closed Approp.” column includes carryforward amounts
- Serves as a tool to assist EFM in the preparation of the Financial Deliverable to the Sponsor, and to help track outstanding adjustment by Sub Code

CLOSING - SUMMARY REPORT BY SUB (INCEPTION TO DATE)										
Account/Fund: All-All-12345 project: *					Budget Year(s): 04/01/2018 - 09/30/2018		1/29/19 9:51 AM			
Fund Name: FDP-NIH MH123456 BRUIN 9/18 54%					Project Period: 06/07/2012 - 09/30/2018					
P.I.:					Recharge ID:					
Fund Mgr:					Overhead Rate: 54.00 %					
		1	2	3	4	5	6	7	8	Projected
	Sub	Closed Approp. ITD (12/18)	Closed Expenses ITD (12/18)	Open Approp.	Open Expenses	Open Encumbr. & Memo Lien	Action on Encumbrances To 09/30/18	Adjustments	Cumulative Exp to be Reported Cols 2+4+7	Balance Cols 1-2+3-4-5-6-7
00	Salaries-Academic	445,553.00	434,983.18						434,983.18	10,569.82
01	Salaries-Staff Career								0.00	0.00
02	Salaries-General Assistance	629,580.17	715,810.74		1,243.61			(15,089.26)	701,965.09	(72,384.92)
06	Employee Benefits	367,816.01	394,139.34		745.56			(7,542.89)	387,342.01	(19,526.00)
03	Supplies & Expense	268,392.43	197,572.09		180.59	819.25	(819.25)	(611.45)	197,141.23	71,251.20
04	Equipment								0.00	0.00
05	Special Items	36,071.76	35,349.84						35,349.84	721.92
07	Special Items	246,894.97	236,678.37			1.00	(1.00)		236,678.37	10,216.60
08	Unallocated	17,573.35	0.00						0.00	17,573.35
09	Recharge								0.00	0.00
Total Direct		2,011,881.69	2,014,533.56	0.00	2,169.76	820.25	(820.25)	(23,243.60)	1,993,459.72	18,421.97
9H	F & A	999,736.31	1,001,707.41	0.00	1,171.68			(12,551.85)	990,327.24	9,409.07
Total		3,011,618.00	3,016,240.97	0.00	3,341.44	820.25	(820.25)	(35,795.46)	2,983,786.95	27,831.05
									Direct Balance	18,072.11
COMMENTS									Indirect Balance	9,758.94
										27,831.05

Submission Process

Home vs. Linked Awards

- **Home Department fund manager submits the complete Closeout Packet for ALL Account-cost centers to EFM**
- **Linked fund manager submits a Closeout Packet only for their linked Account-Cost Center to the Home Department fund manager**
- **EFM only requires a closeout packet from the Home Department**

Submission Process

Certification Form

- **Complete Checklist and then double-click line 48 to generate Certification Form**
- **Signatures required:**
 - Principal Investigator: mandatory
 - Fund Manager: mandatory
 - Others: by departmental policies/processes
- **Certification means all financial figures and justifications are complete and accurate**

Double Click on the “Generate Certification Form”

Run Date 9/2/21 3:35 PM					
Update Date					
While completing this form please compile all necessary back-up documentation so it can be included with submission to EFM.					
Note to users: Please complete all applicable white boxes.					
Line	Requirements	Auto Results	Override Results	\$ Amount	Instructions
39>	Multi-campus agreements? See 1198XX	Y	Y		Review 1198XX tab to confirm final invoice has been received by EFM. If not, contact other campus for final invoice.
40	Program Income?	N	N		Skip to line 42.
41	Program Income separate expense account				
42	Training Grant?	N	N		See next line.
43	Special instructions for EFM?		N		See next line.
44	Fund Manager Name/Phone		Len Lam	x70922	
45	Dept Approver 1 (if applic.) Name/Phone				
46	Dept Approver 2 (if applic.) Name/Phone				
47	Did you complete the Pre-Closeout Checklist?		Y		Nice job!
48>	Double click to generate Certification Form				Fill out 44 to 46 first, so names appear on Certification Form.
NOTES to EFM:					
Closeout-Checklist-30906 Summary by Sub MFNOA Approp & Financial Warning Object Codes Unallowable Object Codes Pre-Award Expenses Exp					



Certification Form



- **Auto-populated results**
 - Will recognize if Linked department/account
- **3 items to fill out**
 - Date submitted to EFM
 - EFM contact
 - Name of PI
- **Obtain required signatures**

Run Date: 5/8/2017 3:35:40 PM RAPID Project Quick Wins - Version Date: 1/3/2017
Smart Form Closeout Certification

1 Date Submitted to EFM:

2 FS Code: Home Dept

3 Account-CC- Fund:

4 Agency: NIH-NATIONAL CENTER FOR COMPLEMENTARY & ALT

5 Project Title:

6 Agency Award No.:

7 Investigator Name (Last Name, First Name):

	Begin	End
8 Project Period:	4/1/2011	1/31/2017
9 Budget Period:	2/1/2016	1/31/2017

10 Total Awarded Amount - (Appropriation on current fund, incl. SH):	4,027,828.00
11 Total Expenditures- (On current fund, incl. SH):	4,026,906.84
12 Total +/- adjustments (incl. SH):	0.00
13 Total Unobligated / Unexpended Balance (incl. SH):	921.16

14 EFM Contact: Name Extension

X _____
 Signature of Fund Manager
 Name: Fund Manager
 Phone/Ext: (310) 555-1234

X _____
 Signature of Departmental Approver 1
 Name: Supervisor
 Phone/Ext: (310) 555-5678

X _____
 Signature of Investigator

By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and objectives set forth in the terms and conditions of the Federal award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (U.S. Code Title 18, Section 1001 and Title 31, Sections 3729-3730 and 3501-3512)

Uniform Guidance Certification Statement

- **CFR §200.415 Required certification on Federal and Federal pass-through reports and invoices:**
- **(a) To assure that expenditures are proper and in accordance with the terms and conditions of the Federal award and approved project budgets, the annual and final fiscal reports or vouchers requesting payment under the agreements must include a certification, signed by an official who is authorized to legally bind the non-Federal entity, which reads as follows:**
- **“By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and objectives set forth in the terms and conditions of the Federal award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (U.S. Code Title 18, Section 1001 and Title 31, Sections 3729-3730 and 3801-3812).”**

Items to Submit Through PAMS



- Use PAMS to submit the following 2-3 files to EFM:
 1. **Completed Closeout Packet (Excel-based version)**
 1. Closeout Checklist
 2. All applicable reports/tabs
 2. **Signed Closeout Certification Form (PDF)**
 3. **Any backup documentation (if applicable)**

Uploading through PAMS



- Upload RAPID Closeout Packet through PAMS
- For questions about PAMS:
 - Online training materials: <https://efm.research.ucla.edu/fund-management-training-resources/#pams>
 - PAMS Help: pamshelp@research.ucla.edu

UCLA Research Administration Post Award Management System

My Funds Fund Details Deliverables Reports Administration Tools

Overview Fund Balance and Approvals

Get Fund x
Go

Fund: PI: L
Budget Period: 09/30/16 - 09/30/21 Sponsor: DOD-STRATEGIC ENVIRONMENTAL RESEARCH DEV
Project Period: 09/30/16 - 09/30/21 Sponsor Award No:

Fund Balance and Approvals

Approvals History Approval Comments: Retrieve

Dept Preparer (F <input type="text"/>):	Pending Approval
Dept Reviewer (<input type="text"/>):	
PI (<input type="text"/>):	<input type="button" value="Upload RAPID COP"/>
EFM Preparer (<input type="text"/>):	
EFM Reviewer (<input type="text"/>):	

EFM Closeout, Fund Review & Report Submission

EFM Review & Report Submission Process

- **Review:**
 - UCLA Award Snapshot
 - Sponsor Award Documentations
 - Notice of Award (NOA) terms and conditions
 - Reporting requirements
 - Carryforward provisions
 - Cost sharing (if required)
 - Other restrictions

Restricted Funds

- **EFM will require the balance of restricted funds, if any**
 - Most commonly seen with NIH awards
- **Best Practice:**
 - Link a separate Account/CC to the fund to record restricted funding

EFM Review & Report Submission Process

- **Review:**
 - Completeness of submitted closeout packet
 - Final invoice for sub awards/subcontracts, if any
 - Cost Share report and documentation, if any
 - Other required documents
 - Final invoices for Subcontracts/MCAs
 - Invoices for expenses after end date
 - Other backup documents as needed

EFM Review & Report Submission Process

- **Review:**
 - Unusual award transactions
 - Equipment & Supplies expenses incurred close to the end of the award period
 - Pre- award expenses
 - Warning items and justifications
 - Unallowable items
 - Any other “adjustments”
- **Determine action on encumbrances, if any**

EFM Review & Report Submission Process

- **Reconcile award amounts**
 - Sponsor System Documents vs. Notice of Awards vs. Snapshot vs. General Ledger
- **Perform F&A reconciliation**
- **Verify balance of restricted components, if any**
- **Re-compute total expenditures**
- **Verify total unliquidated obligations**
- **Re-compute total unobligated balance**
- **Transfer any overdraft to a department unrestricted FAU**

EFM Review & Report Submission Process

- **Submit:**
 - Final Financial Reports
 - Final Invoices
 - Final IRR- Intercampus Request for Reimbursement

EFM Review & Report Submission Process

- Track adjustments
- Collection of remaining A/R balance or refund
- Y:Close / N:Reappropriate (Y/N) of funds in Fund Table
- Archive fund folders
- Record Retention: 6 years (per UC Regents)
- Carryover Transfer of Funds (TOF) after sponsor approval of carryforward funds

Department Contacts

Office of Research Administration	https://ora.research.ucla.edu/
Extramural Fund Management	https://efm.research.ucla.edu/
Office of Contract and Grant Administration	https://ocga.research.ucla.edu/
Business & Finance Solutions	https://www.finance.ucla.edu/

Other Resources

- **RAPID Smart Closeout Tool User Guide**
 - <https://efm.research.ucla.edu/wp-content/uploads/rapid-tool-manual.pdf>
- **ORA Online Resource Center**
 - <http://portal.research.ucla.edu/>
- **Post Award Departmental Responsibilities (Policy 910)**
 - <http://www.adminpolicies.ucla.edu/app/Default.aspx?&id=910>

Questions?



Thank you for joining the RAPID Closeout Tool Class!

If you have any questions, we are here to answer

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Vivian Juaner

vjuaner@research.ucla.edu

EFM Website

<https://efm.research.ucla.edu>