

UNDERSTANDING POLICY 913

Revised July 8, 2021

What is UCLA Policy 913 (revised 06/15/09)?

This policy applies if there is an unexpended balance remaining after close-out of an expired or terminated fixed price or fixed rate contract or nonrefundable grant. Upon the Principal Investigator's (PI) request, and with appropriate assurances and approvals, the total unobligated balance will be transferred to the PI as unrestricted funds. The funds will be transferred into the PI's account/cc linked to Fund 69970.

REMINDER: EFM will transfer the Total Cost balance (Direct + F&A) to the PI's 69970 account. After each quarter end, the Department of Medicine will deappropriate the F&A portion of each Policy 913 transfer processed by EFM in the previous quarter. Be sure to encumber the F&A portion, so that the PI does not spend it.

Where can the full UCLA Policy 913 be found?

["Disposition of Unexpended Balances in Fixed Rate and Fixed Contracts and Nonrefundable Grants"](#)

Steps to Converting Funds into Policy 913 (Fund 69970) Funds

1. Submit a close-out packet to the appropriate [EFM Fund Manager](#)
2. Confirm the contract or grant is covered by Policy 913 by reviewing the Award Synopsis (see screen shot below)
 - a. Type of Award – can be CONTRACT OR GRANT
 - b. [Payment Basis](#) – must be FIRM FIX PRICE or FIRM FIX RATE
 - c. Comments – under General, look for a comment stating the award is subject to Policy 913. If the Award Synopsis does not state it, but the two criteria (a & b above) are confirmed, follow up with your OCGA Officer or Analyst to confirm eligibility.
3. Provide your EFM Fund Manager with the following:

➤ If the unexpended balance is 25% or less of the total amount received, have the PI confirm the following via written endorsement, with the Division Chief Cced, to the EFM Fund Manager:

- 1) All the work under the award has been completed and if any, all reports have been submitted
- 2) All costs of conducting the work have been appropriately charged to the fund established for the award
- 3) All invoices have been submitted
- 4) All anticipated payments have been received

➤ If the unexpended balance is greater than 25% of the total amount received from the sponsor, the PI must provide a **detailed** written explanation of the variance **as well as confirmation** of the following, with the Division Chief Cced, to the EFM Fund Manager:

- 1) All the work under the award has been completed and if any, all reports have been submitted
- 2) All costs of conducting the work have been appropriately charged to the fund established for the award
- 3) All invoices have been submitted
- 4) All anticipated payments have been received

4. Follow up with EFM until the TOF to 69970 has been processed.
5. Do NOT spend the F&A portion of the transfer.

University of California, Los Angeles Award Synopsis

UCLA L-Fund No: 4-84575 Inst. No: 20064099 Award Status: ACTIVE Action Type: MOD/AMENDMENT
Principal Investigator: Admin. Unit: 1568 MEDICINE

Sponsor: TIBOTEC PHARMACEUTICALS LTD.
Sponsor Award/Modification No: TMC114HIV3004:Amend #1
Prime Sponsor:
Project Title: AN OPEN-LABEL, MULTICENTER TRIAL TO COMPARE THE EFFICACY, SAFETY, AND TOLERABILITY OF PREZISTA/R BY GENDER AND RACE, WHEN ADMINISTERED IN COMBINATION WITH AN INDIVIDUALLY OPTIMIZED BACKGROUND REGIMEN OVER A 48 WEEK TREATMENT PERIOD

2a

Type of Award: **CONTRACT** Activity Type: CT DRUG Program Type: Regular ARRA: No e-Verify: No

Project Period Start: 7/24/2006 Budget Period Start: 7/24/2006
Project Period End: 7/24/2009 Budget Period End: 7/24/2009

Follow up in 3 months from this date to have EFM move unobligated funds to unrestricted Policy 913 fund 69970. See requirements above.

<u>AWARD AMOUNTS</u>			
Previous Cumulative Total			95,864.00
Direct This Period, This Action:	0.00		
F & A This Period, This Action:	0.00		
Subtotal:		0.00	
Unobligated Funds from Prior Years: (off-set)		0.00	
Total, This Period, This Action			0.00
Cumulative Total All Years:			95,864.00

<u>F&A Rate</u>	<u>F&A Type</u>	<u>FY Ending 6/30</u>	<u>Campus</u>
26.00	03 TOTAL DIRECT COST	2007	Off

SUBAWARDS, COST SHARING AND SPECIAL REVIEWS

Subaward Data

- No Subawards

Cost Sharing Type

- No Cost Sharing

<u>FY Ending 6/30</u>	<u>Amount</u>
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Special Review

	<u>Approval Status</u>	<u>Protocol No.</u>	<u>Begin Date</u>	<u>End Date</u>
Human Subjects	Approved	08-09-050-01	11/21/2008	11/20/2007

REPORTING AND PAYMENT DATA

LOC No: CFDA No: **Payment Basis: 3 FIRM FIXED RATE**
Fiscal Report Type: Payment Method: 18 AUTO MILE PMT
Fiscal Report Frequency: Payment Frequency: 7 ANNUAL (12 months)

2b

<u>Report Due</u>	<u>Report Class</u>	<u>Report Type</u>	<u>Frequency</u>
	TECHNICAL/MANAGEMENT MILESTONE	AS REQUIRED	

COMMENTS

Award Terms

Referenced Documents:

1. Protocol

General

1. The Principal Investigator is responsible for advising all project investigators and staff of the terms and conditions of this agreement. Particular attention is called to the Master Agreement.
2. The Award Amount represents the estimated amount expected for this award based on \$9,072 per patient for 10 patients plus fixed costs. The actual amount appropriated to this fund will be limited to payments received from the Sponsor.
3. This award is subject to UCLA Policy 913. Any earned, unexpended balance remaining six months after the expiration of the award will be transferred to a central fund and made available for use by the Principal Investigator through his or her school.
4. The Sponsor will reimburse the University for subject injury treatment costs. The patient's insurer or other third party payer may not be billed for these costs.
5. The principal investigator is responsible for obtaining updated approval from the IRB for the use of human subjects beyond the current approved period. No expenses related to the use of humans are to be charged to this award during any gap between approval periods, unless the IRB has specifically issued a statement that subjects can continue to be followed according to the previously approved protocol.
6. This study is subject to IRB Review Fees. An initial fee of \$1500 will be transferred by EFM, from the study fund to the Office of Protection for Research Subjects (OPRS), upon receipt of the first check from the sponsor. During each additional year of the study, fees of \$350 will be transferred to OPRS.
7. \$5,144 is due upon execution of the Agreement. The Principal Investigator should invoice the Sponsor as soon as possible.

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This Synopsis - New Comments

Hints & Tips

- Unobligated balances will *not automatically* be transferred to a Policy 913 fund (69970). Action needs to be taken to initiate this process (i.e. Smart Closeout Packet submitted to EFM).
- Closeout Packets must be submitted to EFM within 3 months of the project end date, if no other activity, such as a No-Cost Time Extension, is expected.
- All final payments from the Sponsor should be received *prior* to submitting the Closeout Packet.
- On a quarterly basis, Raellen will process a TOF to deappropriate the F&A portion from the total cost transferred by EFM. Be sure not to spend the F&A portion prior to Raellen's transfer.
- During the course of the original contract or grant project period, ensure the PI expends the funds appropriately, in a timely manner, and as budgeted for the project so that the balance is below 25% of the total amount received at the end of the project period. Excessive unobligated balances, i.e. >25% of total amount received, require strong, detailed justification.