

UNDERSTANDING POLICY 913

Revised April 27, 2023

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 Snapshot**

Section I: Award Summary

Principal Investigator:	██████████	Fund Number:	██████
Sponsor:	PFIZER INC. (INCL WARNER-LAMBER AND PARKE-DAVIS) [004090]	Sponsor Award Number:	C0221002
Administering Unit:	MEDICINE-NEPHROLOGY [1561]	Prime Sponsor:	N/A
Project Title:	An Adaptive, Phase 2 Trial to Evaluate the Efficacy, Safety, Tolerability and Pharmacokinetics of PF-06730512 Following Multiple Injections in Adult Subjects with Primary Focal Segmental Glomerulosclerosis (FSGS) (Protocol#C0221002)		
Current Budget Period:	5/1/2019 - 4/30/2023	Current Action:	New
Project Period:	5/1/2019 - 4/30/2023	Funds Awarded this Action:	\$86,248
		Total Funds Awarded to Date:	\$86,248

• See Section VII for Other Investigators
 • For a History of Actions on this award, refer to the Award Snapshot Attachment

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

Section II: Special Attention Needed

1. This award is subject to [UCLA Policy 913](#). An earned, unexpended balance remaining 90 days after the expiration of the award may be transferred to a central fund for use by the Principal Investigator through his or her school.
2. Review the Award Snapshot Attachment and the Award document for additional terms and conditions.

Section III: Award Demographics

Sponsor Award Number:	C0221002	UCLA PATS Number:	20184081
Proposal Type:	New	Award Type:	Contract
Program Type:	CT Drug	Special Program Type:	Not applicable
Award Status:	Awarded/Fully Executed	Location:	Off Site
Payment Basis:	Firm Fixed Rate	Special Payment Type:	None

Budget Period	Transaction Budget Period	Direct Costs	F&A Costs	Total	F&A Rate	F&A Base	Award Status	Action Type
1	05/01/2019 - 04/30/2023	\$68,451	\$17,797	\$86,248	26.0 %	TDC	Awarded/Fully Executed	New

2a

2b

General

1. Particular attention is called to Articles 11 (Confidential Information), 15 (Inventions), and 16 (Publications) of the Master Clinical Study Agreement and Attachment A to Exhibit 1 (Study Budget and Payment Terms) of Study.

2. The Award Amount represents the estimated amount expected for this award based on \$25,206.93 per patient for 3 patients plus fixed costs. The actual amount appropriated to this fund will be limited to payments received from the Sponsor.

2c

3. This award is subject to UCLA Policy 913. Any earned, unexpended balance remaining 90 days 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.

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.