Welcome and Reminders

- This is NOT being recorded
- We will answer questions at the end of each segment as time permits
- Submit questions via Zoom Q&A window
- Use the “raise hand” option to ask a question orally. You will be allowed to unmute.
- Slides will be posted on the ORA website following the meeting
Agenda

• Welcome & Announcements – Marcia Smith

• UCLA School of Education & Information Studies (SEIS)
  ◦ Special Guest Researcher – Robert Cooper, Ph.D.

• Human Research Protection Program Hot Topics
  ◦ Migration of Reliance studies to BruinIRB – Moore Rhys

• Contract and Grant Administration Hot Topics
  ◦ Sponsor Updates – Tracey Fraser, Kathy Kawamura

• Ascend 2.0 – Yoon Lee

• Open Discussion
Announcements

• Data Sharing Plan requirement -- resources at VCR website, campus experts and sponsor websites

• UCOP ECAS Research Security Videos
  ◦ https://www.ucop.edu/ethics-compliance-audit-services/compliance/export-control/research-security-video-shorts.html

• Reminder
Robert Cooper, Ph.D

Education:
Native of Southern California
Pomona College (BA)
Brandeis University (Masters in Public Policy)
UCLA (Ph.D)

Employment:
Brandeis University – Student Affairs
Johns Hopkins University – Assistant Professor / Research Scientist
UCLA – Director of Principal Leadership Institute &
Director of the UCLA Ease Project

Research Focus: As an urban sociologist of education my research illuminates how the social context of schools shapes the implementation of equity-minded school reform. I explore the ways in which schools are influenced by the political, social, and cultural context of the urban environment and examine how the role of leadership can respond to the conditions and issues that exist there.
What the heck is a system?

Simple explanation: A system is a set of interacting parts that form a whole. It is both individual parts and how the parts interact.

Systems thinking helps us...
- See our assumptions
- Find patterns
- Create shared understanding when we do systems thinking together
- Find places in a system where we could experiment with making changes
Dr. Susan K. Gardner, Oregon State University Dean of the College of Education is the narrator.
Black Joy

Acknowledging, Celebrating, & Valuing Black Life, Black Culture, & Black People

S. Nzingha Dugas, 2023

Faith is taking the first step even when you don’t see the whole staircase.

Martin Luther King Jr.
None of these attacks came as a total surprise to me, because I counted the cost early in the struggle.

To believe in nonviolence does not mean that violence will not be inflicted upon you. The believer in nonviolence is the person who will willingly allow himself to be the victim of violence but will never inflict violence upon another. He lives by the conviction that through his suffering and cross bearing, the social situation may be redeemed.

Please Place Response in the Chat…

How will you CELEBRATE “Black Joy” this Black History Month?
Sunday
February 12, 2023

History
In The
Making!

Jalen Hurts

Patrick Mahomes
Equity Agenda For Student Success

An institutional commitment, grounded in racial, social and academic justice, that ensure that the school goes beyond normal means to achieve the goal of equity for Black Students.

* Identify specific systems in the school environment that are perpetuating educational inequities.
* Develop strategies to disrupt and transform the system.
* Assess the environment’s capacity for change.
* Set clear and measurable goals
* Identify resources required
* Pull up your sleeves and start to work
Questions
OHRPP Updates: Migration of Reliance studies to BruinIRB

February 9, 2023
OHRPP Updates

BruinIRB launch Phase 1c: migration of reliance studies

OHRPP Announcements

Human Research News
# WebIRB to BruinIRB transition overview

<table>
<thead>
<tr>
<th>Phase</th>
<th>Description</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Phase 1a</strong></td>
<td>New Abbreviated application (HUD, Emergency Use, Expanded Access, Right to Try) submitted through BruinIRB</td>
<td>Currently active</td>
</tr>
<tr>
<td><strong>Phase 1b</strong></td>
<td>New Reliance applications submitted through BruinIRB</td>
<td>Currently active</td>
</tr>
<tr>
<td><strong>Phase 1c</strong></td>
<td>Migration of webIRB reliance applications to BruinIRB</td>
<td><strong>NEXT</strong>: Estimated Spring 2023</td>
</tr>
</tbody>
</table>
| **Phase 2**  | • New IRB applications (all remaining types) submitted through BruinIRB  
• Migration of remaining active webIRB applications to BruinIRB                                                                                   | Estimated late 2023/early 2024   |
Migration of Reliance Studies to BruinIRB

- [http://Bruinirb.research.ucla.edu](http://Bruinirb.research.ucla.edu)
- Both webIRB and BruinIRB use SSO for logon
- Study numbers will be similar. For example:
  - webIRB IRB#20-000010
    will become
  - BruinIRB IRB-20-0010
Migration of Reliance Studies to BruinIRB

When an exact date for the migration is set, we will provide that information in the following places:

- On the OHRPP electronic submission systems page
- Via an email from the OHRPP listserv (“Human Research News”) (be sure to sign up for this listserv if you haven’t already)
Once the migration has taken place, you will see a change in the study header in webIRB:

- State will change to “migrated”
- Yellow highlighted box has a link to the migrated study in BruinIRB
Once the migration has taken place, you will see a change in the study history in webIRB:

The migration action will be documented.
Once the migration has taken place, you will see your study in BruinIRB. Here’s what the study header will look like:

**IRB-14-0001: webIRB to BruinIRB Reliance Migration (Initial)**

- **Principal investigator:** Joe Bruin
- **Lead principal investigator:**
- **Submission type:** IRB Site
- **Study type:** Reliance
- **Primary contact:** Zhaoping Li
- **PI proxies:** Michael Yuan
- **PI proxies (Lead site):**
- **External IRB:**

**Next Steps**
- View Site
- Printer Version
- Create Site Modification
- Update Study Details
- Report New Information
- Edit Study Personnel

**Active**

- Entered IRB: 1/11/2023 12:00 AM
- Anniversary Date: 1/11/2024
- Last updated: 1/17/2023 12:26 PM

**IRB office:** IRB
**IRB owner:** Wendy Brunt
**Review type:** Expedited
**External study ID:** Legacy webIRB ID: IRB#23-000001
**MRSC ID:** MRSC-2023-001
**MRSC Status:** Pre-Submission
Once the migration has taken place, you will see your study in BruinIRB. Here’s what the study history will look like:

The migration action will be documented.
Migration of Reliance Studies – after the migration

DATE: 1/13/2023 10:03 AM

JOE BRUIN

TO: P. Investigator
   P.I. Proxy

FROM: BruinIRB@research.ucla.edu

RE: webIRB study has migrated to BruinIRB

STUDY: webIRB to BruinIRB Reliance Migration (Initial)

LINK: IRB-14-0001

Your webIRB Study, titled Full Title - webIRB to BruinIRB Reliance Migration (Initial) IRB#14-000001 has been migrated to OHRPP’s new IRB electronic submission system, BruinIRB. All future submissions should be completed in BruinIRB, including amendments, PARs, and study closures.

Please use the above link to go to the study workspace.

For more information on our transition to BruinIRB, please visit our information page. If there are any questions, please contact OHRPP at ohrrp@research.ucla.edu or (310) 825-5344.
Migration of Reliance Studies – after the migration

Once a study has been migrated from webIRB to BruinIRB:

| WebIRB (archived) | • Find approval notices and correspondence *from before the migration*  
|                   | • *No sub-applications can be submitted through webIRB*          |
| BruinIRB (active) | • Submit AMs and PARs as needed  
|                   | • complete yearly PI assurance  
|                   | • message OHRPP staff  
|                   | • Find approval notices and correspondence *from after the migration* |
Migration of Reliance Studies – summary

- There will be a link in your old webIRB study to the same study, migrated to BruinIRB
- A similar study number will be assigned when your study is migrated
- The webirb version of your study will be inactive, the BruinIRB version will be active (correspondence, submission of sub-applications, yearly assurance, etc...)
- The process has been going through vigorous testing by ORIS and others, but if you experience any issues, please contact OHRPP at ohrpp@research.ucla.edu or (310) 825-85344
OHRPP Quality Improvement Unit staff are hosting **half-hour open Q/A sessions every other week** to answer your questions.

**Upcoming sessions**
- Thursday, February 16, 2023 2pm
- Thursday, March 2, 2023 2pm

Register once and you can join any session.

*If you registered for the previous Tuesday morning office hours, you’ll need to re-register for upcoming Thursday sessions.*
To be in the know when OHRPP releases updated guidance and offers training opportunities, please subscribe to *Human Research News*

➢ *To subscribe, visit [ORA news subscription]*
Presenter: moore.rhys@research.ucla.edu
NSF Safe and Inclusive Working Environment Plans for Fieldwork and Research Activities on Vessels & Aircraft

Tracey Fraser, Senior Director, Office of Contract and Grant Administration

2/9/2023
For proposals submitted on or after January 30, 2023, NSF requires PIs engaging in off-campus research activities to have in place a plan to nurture a safe and inclusive working environment.

- Underlying premise: all participants should know how to recognize and report inappropriate behavior and receive guidance in advance about how to feel safe and protected, when they are away from campus.

For these purposes, off-campus or off-site research is defined as “data/information/samples being collected off-campus or off-site, such as fieldwork and research activities on vessels and aircraft”
The plan must describe how the following types of behavior will be addressed:

a. Abuse of any person, including, but not limited to, harassment, stalking, bullying, or hazing of any kind, whether the behavior is carried out verbally, physically, electronically, or in written form; or

b. Conduct that is unwelcome, offensive, indecent, obscene, or disorderly.
• In most instances, plans should not be submitted to NSF for review
• The Authorized Organizational Representative (AOR) must certify at proposal stage that a plan in place
  ◦ The plan must be provided to OCGA with the proposal so that we can complete the certification
• The plan for the proposal must be disseminated to individuals participating in the off-campus or off-site research prior to departure
• Plans should be adjusted, updated and disseminated as necessary
• NSF will be publishing FAQs and hosting webinars in the coming months
Forms required for proposal submission and award actions approved by OCGA are available on this page. Please refer to instructions for each form. For additional questions, please contact your OCGA Analyst or Officer.

General Forms

- EPASS Form | Instructions
- eDGE Annual Financial Disclosure/GCP Training Tracking Form for PHS or DOE Non-Competing Continuations, Progress Reports and No-Cost Extensions
- PHS NIH Signature Form and Instructions
- Financial Disclosure Forms
  - Forms
  - eDGE (Electronic Disclosure Gateway)
- NIH Loan Repayment Programs (LRP) - Institutional Business Official Certification
- PI Exception Form (Sample)
- Prior Approval Request Form
- RAS (Request for Authorization to Spend)
- Request of Institutional Profile in Cayuse

- NSF Safe and Inclusive Working Environments for Off-Campus or Off-Site Research
NSF Safe and Inclusive Work Environment
Plan for Off-Campus or Off-Site Research

The University of California Los Angeles is committed to addressing harassment and fostering a safe and healthy work environment. Policies and expectations for proper conduct apply to all staff, faculty, and students whether on-campus or working, doing research, or engaging in scholarly activities or study at an off-site location.

In addition, it is NSF policy to “ foster safe and harassment-free environments whenever science is conducted.” (NSF 2023 PAEP Guide 1.0.5). Grantees are required, effective with proposals submitted 1/30/23 or later, to certify that we have a plan in place to address:

1. Abuse of any person, including but not limited to harassment, stalking, bullying or harassing or any kind, whether the behavior is carried out verbally, physically, electronically, or in written form; and

2. Conduct that is unwelcome, offensive, indecent, obscene, or disorderly

The University meets NSF requirements (as well as its own expectations) by using the policies and procedures outlined below, and as further amended to cover special circumstances as dictated by the PI in the project-specific information shown in this document.

Principal Investigators are responsible for distributing a copy of this plan to each participant in an off-campus or off-site research prior to those individuals having campus to participate in the off-campus or off-site activities.

KEY POLICIES AND PROCEDURES

UCLA staff, faculty and student workers are required to complete the Sexual Harassment Prevention and/or Preventing, Discrimination, and Harassment courses. In addition, UCLA has a robust policy system designed to enforce the expectations for a safe and healthy work environment. The following is a list of applicable University of California (systemwide) and UCLA institutional policies. Note that the hyperlinks are publicly accessible and easy to view.

UC Policies:
- Conflict of Interest
- Sexual Violence and Sexual Harassment
- Discrimination, Harassment, and
  Affirmative Action in the Workplace
- Academic Integrity
- Compliant Resolution
- Gender Recognition and Inclusive Name

UCLA Policies and Resources:
- Procedures for Handling Allegations of
  Discrimination, Harassment, or Retaliation
- Conflict Resolution
- Student Mental Health Resources
- Sexual Harassment, Sexual Violence and
  Gender Discrimination
- Research Misconduct
- Faculty Code of Conduct
- Student Code of Conduct

REPORTING SUSPECTED MISBEHAVIOR

1. Contact your supervisor
2. Report an Incident or Recent Sexual Harassment
3. UCLA Police Department
   Email: info@police.ucla.edu
   Phone: (310) 825-1491

PROJECT SPECIFIC INFORMATION

Plan Date or Version (enter the date the plan was prepared or updated, or a version number). Prepare name may also be entered.

NSF Grant Number:

Principal Investigator Name
(plus Cell Phone and Email)

Off-Campus Location

Description of off-campus research activity (helicopter, research activities on vessels or aircraft, work in an off-campus location, etc)

Estimated Departure and Return Dates (begin and end dates of off-campus research)

Will participants have regular internet or cell service available? (If no, what alternate arrangements are in place for participants to report suspected misconduct)?

Will participants from other entities (governmental, company, sponsoring organization, or other) be involved? (Yes, are there any special arrangements or guidance participants need to make sure they know they should report misconduct involving these individuals?

Recommended contact for any suspected misconduct (note, participants must know the contact phone number. If the contact is not dialed, the call may not be answered and the participant may feel unsafe)

Any special circumstances that necessitate special plans (e.g., participants are in remote locations without ability to make contact with University police; transportation, etc. If yes, are there any special arrangements or guidance participants need to make sure they know they should report misconduct involving these individuals?

Other Comments or Information that participants may need:
- Include local police and medical services numbers; for international trips, it is wise to include embassy/consulate contact information if not already provided.
BIO & GEO Directorates are conducting a pilot program that requires the safe & inclusive plans to be submitted to NSF with the proposal.

Will be a two-page supplemental document that will be merit reviewed.

Review solicitations to determine if the pilot program applies.

NSF recommend unique, project specific plans rather than standardized.
Pilot Program Reviewers will consider:

- Is there a compelling plan (including the procedures, trainings, and communication processes) to establish, nurture, and maintain inclusive off-campus or off-site working environments?
- Does the proposed plan identify and adequately address the unique challenges for the team and the specific off campus setting(s)?
- Are the organizational mechanisms to be used for reporting, responding to, and resolving issues of harassment, should they occur, clearly outlined?
Other Resources

Field Research Safety Resources & Training | Environment, Health & Safety (ucla.edu)
Any Questions?
Grant Updates

February 9, 2023
Proposal & Award Policies & Procedures Guide (PAPPG) (NSF 23-1) | NSF - National Science Foundation (PAPPG NSF 23-1)

Effective: January 30, 2023

Research.gov

- Fastlane – to be sunset on Friday, September 29, 2023
  - Submit - Proposal file updates/budget revision
  - Download – copies of Fastlane proposals

Biographical Sketch and Current/Pending (Other) Support

- Mechanism identified by automatic header/footer
  - Fillable pdf – enter name and date for certification (do not need to use electronic signature until SciENcv implemented until October 2023)
  - SciENcv **must** be used for proposals submitted due on/after October 23, 2023
Current & Pending Support

Senior Personnel include the individuals designated by the proposer/awardee organization and approved by NSF who contribute in a substantive, meaningful way to the scientific development or execution of a research and development project proposed to be carried out with a research and development award.

Where are these rules coming from?

National Defense Authorization Act
Public Law 116-283 – Jan 1, 2021

(d) DEFINITIONS.—In this section:
(1) The term “covered individual” means an individual who—
(A) contributes in a substantive, meaningful way to the scientific development or execution of a research and development project proposed to be carried out with a research and development award from a Federal research agency; and
(B) is designated as a covered individual by the Federal research agency concerned.
National Science Foundation (NSF)

Exhibit II-3: Definitions of Categories of Personnel - Proposal & Award Policies & Procedures Guide (PAPPG) (NSF 23-1)

<table>
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<tr>
<th>NSF - National Science Foundation</th>
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**Senior Personnel:**

- **(co) Principal Investigator (PI)** -- the individuals designated by the proposing/recipient organization and approved by the Federal research funding agency who contribute in a substantive, meaningful way to the scientific development or execution of a research and development project proposed to be carried out with a research and development award. NSF does not infer any distinction in scientific stature among multiple PIs, whether referred to as PI or co-PI. If more than one, the first one listed will serve as the contact PI, with whom all communications between NSF program officials and the project relating to the scientific, technical, and budgetary aspects of the project should take place. The PI and any identified co-PIs, however, will be jointly responsible for submission of the requisite project reports. For purposes of this document, when used throughout, the term Principal Investigator also includes Project Director (PD), and the term co-PI also includes co-PD.

- **Faculty Associate (faculty member) (or equivalent)** -- an individual other than the Principal Investigator(s) considered by the performing institution to be a member of its faculty (or equivalent) or who holds an appointment as a faculty member at another institution, and who will participate in the project being supported.

**Other Personnel**

Any personnel category for which NSF funds are requested must indicate, in the parentheses provided on the Proposal Budget, the number of persons expected to receive some support from those funds.

1. **Postdoctoral (Scholar, Fellow, or Other Postdoctoral Position)** - an individual who has received a doctoral degree (or equivalent) and is engaged in a temporary and defined period of mentored advanced training to enhance the professional skills and research independence needed to pursue his or her chosen career path. Postdoctoral scholars not identified under Senior Personnel above should be listed as Other Personnel.

2. **Other Professional** - a person who may or may not hold a doctoral degree or its equivalent, who is considered a professional and is not reported as a Principal Investigator, faculty associate, postdoctoral scholar, or student. Examples of persons included in this category are doctoral associates not reported under B1, professional technicians, physicians, veterinarians, system experts, computer programmers, and design engineers.

3. **Graduate Student (research assistant)** - a part-time or full-time student working on the project in a research capacity who holds at least a bachelor’s degree and is enrolled in a degree program leading to an advanced degree.

4. **Undergraduate Student** - a student who is enrolled in a degree program (part-time or full-time) leading to a bachelor’s or associate’s degree.

5. & 6. These categories include persons working on the project in a non-research capacity, such as secretaries, clerk-typists, draftsmen, animal caretakers, electricians, and custodial personnel regardless of whether they hold a degree or are involved in degree work.
SEC. 223. DISCLOSURE OF FUNDING SOURCES IN APPLICATIONS FOR FEDERAL RESEARCH AND DEVELOPMENT AWARDS.

(a) Disclosure Requirement.—Each Federal research agency shall require, as part of any application for a research and development award from such agency—

(1) that each covered individual listed on the application—

(A) disclose the amount, type, and source of all current and pending research support received by, or expected to be received by, the individual as of the time of the disclosure;

(B) certify that the disclosure is current, accurate, and complete; and

(C) agree to update such disclosure at the request of the agency prior to the award of support and at any subsequent time the agency determines appropriate during the term of the award; and

(2) that any entity applying for such award certify that each covered individual who is employed by the entity and listed on the application has been made aware of the requirements under paragraph (1).

Certification.

NSF Fillable PDF - Current & Pending Support

(v)*Certification

When the individual signs the certification on behalf of themselves, they are certifying that the information is current, accurate, and complete. This includes, but is not limited to, information related to current, pending, and other support (both foreign and domestic) as defined in 42 U.S.C. §§6605. Misrepresentations and/or omissions may be subject to prosecution and liability pursuant to, but not limited to, 18 U.S.C. §§ 287, 1001, 1031 and 31 U.S.C. §§3729-3733 and 3802.
Current & Pending Support – Hints & Tips

- *Statement of Potential Overlap: Provide a description of the potential overlap with any pending proposal or award and this proposal in terms of scope, budget, or person-months planned or committed to the project by the individual. If there is no potential overlap, enter N/A in this field.

- The individual also must report any proposal, other than the proposal currently being submitted, that will likely be submitted imminently or in the near future.

- (i) Prior to making a funding recommendation, the cognizant NSF program officer will request that an updated version of current and pending (other) support be submitted via Research.gov

- (f) **Do not submit any personal information in the Current and Pending (Other) support.** This includes items such as: home address; home telephone, fax, or cell phone numbers; home e-mail address; driver’s license number; marital status; personal hobbies; and the like.

- ORCID – heavily encouraged. Future systematic linkage of publications and awards(?)
National Science Foundation (NSF)

When to Submit C &P

Proposal Submission for all Senior Personnel

Prior to an Award being made

Corrective C&P

Research.gov – Post Award Disclosure of Current Support and In-Kind Contributions

“If an organization discovers that a PI or co-PI on an active NSF award failed to disclose current support or in-kind contribution information as part of the proposal submission process, the Authorized Organizational Representative (AOR) must submit the following information within 30 calendar days of the identification of the undisclosed current support or in-kind contribution. The post-award disclosure requirement applies to current support (including in-kind contributions) that was active as of the date the proposal was submitted to NSF.”

Annually – Active Project Reports: Annual and Final Report

October 23, 2023 – SciENcv Required for Biosketch and Current/Pending Support
NIH Salary Cap

  - Effective 1/1/2023
  - Executive Level II raised to $212,100 (formerly $203,700)
  - Salary Cap Summary (FY 1990 - Present) | grants.nih.gov - historic listing of NIH Salary Cap

### Research effort requested in application/proposal – 12 months (50% effort)

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<tbody>
<tr>
<td><strong>a.</strong> Individual’s institutional base salary for a FULL-TIME calendar year appointment</td>
<td><strong>$240,000.00</strong></td>
<td>(FTS)</td>
</tr>
<tr>
<td><strong>b.</strong> Direct Salary with research effort (50%)</td>
<td><strong>$120,000.00</strong></td>
<td>((a \times 0.50))</td>
</tr>
<tr>
<td><strong>c.</strong> Fringe Benefits requested at 25% of salary</td>
<td><strong>$30,000.00</strong></td>
<td>((b \times 0.25))</td>
</tr>
<tr>
<td><strong>d.</strong> SUBTOTAL</td>
<td><strong>$150,000.00</strong></td>
<td>((b + c))</td>
</tr>
<tr>
<td><strong>e.</strong> Requested F&amp;A (indirect) costs at 45% of subtotal</td>
<td><strong>$67,500.00</strong></td>
<td>((d \times 0.45))</td>
</tr>
<tr>
<td><strong>f.</strong> Total amount to be requested</td>
<td><strong>$217,500.00</strong></td>
<td>((d + e))</td>
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</table>

### The salary cap for the above individual will be calculated as follows:

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<tbody>
<tr>
<td><strong>g.</strong> Salary Cap – FY 2023</td>
<td><strong>$212,100.00</strong></td>
<td></td>
</tr>
<tr>
<td><strong>h.</strong> Salary Cap with research effort (50%)</td>
<td><strong>$106,050.00</strong></td>
<td>((g \times 0.50))</td>
</tr>
<tr>
<td><strong>i.</strong> Fringe Benefits calculated at 25% of allowable salary</td>
<td><strong>$26,512.50</strong></td>
<td>((h \times 0.25))</td>
</tr>
<tr>
<td><strong>J.</strong> SUBTOTAL</td>
<td><strong>$132,562.50</strong></td>
<td>((h + i))</td>
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<tr>
<td><strong>k.</strong> Associated F&amp;A (indirect) costs at 45% of subtotal</td>
<td><strong>$59,653.13</strong></td>
<td>((j \times 0.45))</td>
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<tr>
<td><strong>l.</strong> Total amount to be awarded due to salary limitation</td>
<td><strong>$192,215.63</strong></td>
<td>((j + k))</td>
</tr>
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</table>
# NRSA Stipend Levels FY2023

<table>
<thead>
<tr>
<th>Career Level</th>
<th>Years of Experience</th>
<th>Stipend for FY 2020</th>
</tr>
</thead>
<tbody>
<tr>
<td>Predoctoral</td>
<td>All</td>
<td>$27,144</td>
</tr>
<tr>
<td>Postdoctoral</td>
<td>0</td>
<td>$56,484</td>
</tr>
<tr>
<td></td>
<td>1</td>
<td>$56,880</td>
</tr>
<tr>
<td></td>
<td>2</td>
<td>$57,300</td>
</tr>
<tr>
<td></td>
<td>3</td>
<td>$59,592</td>
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<tr>
<td></td>
<td>4</td>
<td>$61,572</td>
</tr>
<tr>
<td></td>
<td>5</td>
<td>$63,852</td>
</tr>
<tr>
<td></td>
<td>6</td>
<td>$66,228</td>
</tr>
<tr>
<td></td>
<td>7 or More</td>
<td>$68,604</td>
</tr>
</tbody>
</table>

**Tuition & Fees**
- 60% of actual tuition up to $16,000
- or if dual degree, 60% of actual tuition up to $21,000

**Training Related Expenses (Institutional Training Grants)**
- Predoc: $4,550
- Postdoc: $12,200

**Institutional Allowance (Individual Fellows)**
- Predoc: $4,550
- Postdoc: $12,200
NOT-OD-22-195: New NIH "FORMS-H" Grant Application Forms and Instructions Coming for Due Dates on or after January 25, 2023

NIH Forms H

G.100 - How to Use the Application Instructions (nih.gov)
For use on Applications with due dates on or after January 24, 2023
- New/Revised Funding Opportunities will in cooperated Forms-H requirement

G.120 - Significant Changes (nih.gov)
Instructions for Data Management and Sharing (DMS) Plans
- Modular Budget Form
- Research Plan Form
- Career Development Award Supplemental Form
- Research Training Program Plan Form (future plans)
- Fellowship Supplemental Form (future plans)

high-level-form-change-summary-FORMS-h.pdf (nih.gov)
This session will provide information to get new users started with the S2S Grants (Cayuse) system for preparation and submission of proposals. Topics include: how to get access to the system, best practices, user resources, and hints and tips. This session is appropriate for individuals responsible for preparation or review of proposals in S2S Grants.
Any Questions?

https://ocga.research.ucla.edu
Agenda

• Ascend 2.0
• Closing expired funds
Ascend 2.0

Yoon Lee
Ascend 2.0

- January 19, 2023: Announcement of Ascend 2.0 | Financial System Transformation Relaunch from the Ascend 2.0 Executive Sponsors;
  - Allison Baird James, Interim Vice Chancellor/CFO
  - Michael Beck, Administrative Vice Chancellor
  - Roger Wakimoto, Vice Chancellor, Research & Creative Activities

- The Ascend 2.0 program is comprised of three major strands of work.

**BRUIN BUY PLUS**
Replace the legacy system with BruinBuy Plus, supported by JAGGAER technology

**CHART OF ACCOUNTS**
Replace the Full Accounting Unit (FAU) with the new Chart of Accounts (CoA)

**BRUIN FINANCE**
Replace the mainframe financial system with Bruin Finance, supported by Oracle Financials Cloud technology
# High Level Program Timeline

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**CHART OF ACCOUNTS**
- CoA Value Development
- CoA Structure Design and Mapping
- CoA Enhancement Design

**BRUIX BUY PLUS**
- Procurement Release 1 Delivery
- Procurement Release 2 Delivery
- Training Delivery - R3
- User Satisfaction Surveys

**BRUIX FINANCE**
- Launch
- Design Thinking
- Configure, Retrofit/Build, and Prototype
- Test
- Ready
- Cut
- Support
- Training Delivery
- Evaluation & Continued Support
Functional Modules Overview

Our functional leads are aligned with sub-ledger modules. There will also be leads for Planning + Budgeting tools and the CoA/Reporting, which crosses all modules.

Expenditures of all contract and grants will be managed through PPM (Project Portfolio Management).

The Procurement module is the only one dedicated to customizing business processes for JAGGAER software, instead of Oracle Fusion Cloud.

Oracle modules

Jaggaer
Committee Formation: The “Four Corners of the University” are meeting as Advisory Committees to help the program build a final product that benefits the greater good of the university. Five Advisory committees have been formed and had the first meeting last month in January.

- Research
- Finance
- Technology Enablement
- Change management
- Sustainment

Stakeholder Analysis: The Change Management team conducted a stakeholder analysis to better the UCLA community and the impact on and influence of key stakeholder groups relative to Ascend 2.0. The Team interviewed members of Ascend 2.0 Advisory Committees and other key leaders across the "four corners" of the University (Academic, Non-Academic, Research, and DGSOM).
The program leadership recognizes the importance of supporting research community for successful Ascend 2.0.

Research is represented in multiple levels across the Ascend 2.0 program team.
- **Executive Program Sponsors**: Roger Wakimoto, Vice Chancellor for Research
- **Program Owners**: Marcia Smith, Associate Vice Chancellor for Research and Yoon Lee, EFM Senior Director
- **Research Workstream Business Analysts**: Katie Cadle (Lead), Stephanie Perez, and Emma Tisovec in EFM
- **Research Workstream Subject Matter Experts**: 15 + experts in ORA are devoted to provide their expertise to support the success of the program.

Campus Engagement
- **Subject Matter Experts**: For the processes impacting the department, the research team will reach out to SMEs in the relevant area on campus to listen to the department’s perspectives in exploring solutions and solicit feedback on the design of the processes.
- **Research Advisory Committee**: Ascend 2.0 will rely on guidance, insight and perspective from the advisory committee to design the processes that will work for the research community. It is co-chaired by Marcia and Yoon and includes 11 committee members, including 10 department representatives across campus.
- **Research Stakeholders Analysis**: The change management team interviewed 28 stakeholders so far in the research (Department fund managers and the management (CAO/CFO/MSO/Directors)) across campus to get insights into our business processes, challenges and opportunities for improvement.
Research Team: Current Key Activities

- Confirmed different roles and refined user stories from the Ascend 1.0
- Reviewed and updated 39 business process maps so far from the Ascend 1.0 to reflect changes occurred in the system and business processes.
- Discussed conversion scope and approach for research data and started data mapping for conversion.
- Identified an inventory of reports to develop to support research operation.
- Close to finalize fit-gap analysis.
- Started assessing and reviewing integration documents from Ascend 1.0.
February Town Hall

• **What:** This Town Hall is an opportunity for stakeholders across the UCLA community to learn about the Ascend 2.0 program, including its mission, guiding principles, and benefits; program leadership and governance; and ways to engage with the program and share feedback. The event will culminate with a live Q&A session, during which members of program leadership and Subject Matter Experts will answer stakeholder questions.

• **When:** Wednesday, February 15, 2023, from 8:30 AM – 9:30 AM PST

• **Where:** Virtual Webinar

• **Why:** Ascend 2.0 is an ambitious, multi-year initiative to transform the landscape of UCLA’s financial systems. This Town Hall is an opportunity to understand how the program is structured, what is changing, and how to engage with and prepare for the implementation.

**REGISTER HERE:**
https://ucla.zoom.us/webinar/register/WN_QwQmuFDNrn-_3ON5-N5_vw

**ASCEND 2.0 WEBSITE:** Visit [https://ascend.ucla.edu/](https://ascend.ucla.edu/) for more information
Closing Expired Funds

Yoon Lee
Closing Expired Funds

• Ascend 2.0 Conversion of sponsored project funds involves significant volume and complexity.

• To support successful conversion, extensive effort will need to be devoted to clean up and enhance then data. More details will be shared in future RAF meetings.

• One thing we can do now is to close expired funds to reduce the volume.

• As of February 7, 2023, we had 2,513 funds expired 120 days or earlier that have not been closed.
  ◦ Everyone in EFM is dedicated to close expired funds while maintaining on-time submission of the financial deliverables to the sponsor.
  ◦ EFM needs your help in closing these funds. See resources in the next slide you can use to close funds.
Closing Expired Funds

- PAMS: A report of expired funds to close

**“Expired Funds to Close” Report**

- It contains funds that expired 120 days ago or earlier and have not been closed in the Financial System.
- It is updated nightly.
- It shows the information relevant to closing funds (e.g., fund end date, the final financial deliverable status, AR balance, operating balance, etc.).
- All PAMS users can run the report for the cluster they have access to.
ORC: Department Dashboard

- ORA Online Resource Center: [https://portal.research.ucla.edu](https://portal.research.ucla.edu)

**Newly added**

Data as of 2/8/23

- Expired Funds to Close
  - All balances > $0
  - Only Open AR
  - Balance in one area only (Encumbrance or AR)
  - Only non-Zero Operating Balance
  - Multiple Balances
  - Financial Deliverables in a Non-terminal Status

A closeout packet is a workbook that the department communicates the final expenditures of the project with EFM. To recover project costs in full and stay in compliance, submitting a closeout packet to EFM by the due date is essential. Click the chart to see more detailed data of closeout packet by due dates, organization, and/or sponsor type. More information about the closeout packet can be found [here](https://portal.research.ucla.edu).

Financial Deliverables represent interim or final invoices or financial reports. UCLA is required to submit to the sponsor per terms and conditions of the sponsored awards. Submitting accurate financial deliverables on time to the sponsor is critical to recover costs and stay in compliance. Click the chart to see more detailed data by due dates, organization, and/or sponsor type. All PAMS users can see tailored dashboard and worklist of financial deliverables in PAMS.

The pie chart above shows funds expired 120 days ago or earlier from today. Reconciling expenses in the general ledger to the final expenses to the sponsor and closing the fund is the last step of managing sponsored project funds. Current status shows items that require the department’s actions to close funds. Click the chart to see more detailed data by fund expiration dates, organization, and/or sponsor type. A report of expired funds to close can be downloaded from PAMS anytime with detailed financial data.
Additional benefits of the ORC Department Dashboard

- Data analytics are available including a trend analysis.
- You can see expired funds and their trends at different organizational levels; at the department, at division, or at school.
Review expenses, encumbrance, and memo-lien on expired funds to reconcile and clean up GL.

Out of 2,513 funds, now 16 funds are flagged with UCPath issues after all major mass corrections were completed.

Progress has been made in closing old expired funds since February 2021. With growing research portfolio, more diligent effort is needed to close funds timely.

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As of 2/10/21, Number of funds expired in
Decrease in the number of funds expired in

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<td>91</td>
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<td>144</td>
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<td>296</td>
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<td>713</td>
<td>(467)</td>
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<tr>
<td>921</td>
<td>(600)</td>
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<td>2,426</td>
<td>(1,558)</td>
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Any Questions?

Contact Information

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

Yoon Lee
Phone: (310) 794-0375
Email: yoon.lee@research.ucla.edu
February 2023 Research Administration Forum Q&A

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Contract and Grant Administration Hot Topics ...................................................................................................................... 2
Extramural Fund Management Hot Topics ............................................................................................................................. 2

Associate Vice Chancellor
Q1: When will in-person RAFs begin?
A1: Good question! We will discuss. We get more attendees with the webinar - today 322! But I understand the pros and cons of this on-line presentation.

UCLA School of Education & Information Studies (SEIS)
Q1: Is there a link to the video we saw on the 9th grader program and more information on the My Journey to College program?
A1: On the UCLA EASE Project website, scroll down to the bottom of the page and click the “Learn More” button in the My Journey to College section.

Q2: What are the beginning and end dates for your program this summer?
A2: Summer program dates are July 12-15, 2023

Q3: Where can we buy your book?
A3: UCLA Bookstore

Q4: How can we learn more/get involved with Mapping Your Journey to College (MyJTC) program?
A4: Please contact me directly via email.

Human Research Protection Program Hot Topics
Q1: Is there an option for fund managers or DRAs to access the IRB approval letters? Often times, our PIs do not know where to download this document for OCGA.
A1: The drop-down choices (in webIRB and BruinIRB) for staff who can access the application without conducting human subjects research are:

“Regulatory Coordinator (CITI not required if only serving in this role)”
“Fund Manager (CITI not required if only serving in this role)”
Q2: Will all amendments need to go through Bruin IRB for reliance studies or will we only need to submit amendments that are site specific? (Change of Key Staff/PI)

A2: The requirements/instructions relating to what types of amendments are needed for reliance studies has not/will not change with the BruinIRB system. You can find the guidance on reliance amendment at the What is required when UCLA relies on another IRB web page. Once a study is migrated from webirb to BruinIRB, all sub-applications (AMs, PARs) will need to be submitted through BruinIRB. The webIRB version of the application will be read-only after migration.

Contract and Grant Administration Hot Topics

Q1: NIH doesn’t require Other Support until the JIT phase. Does NSF require Other Support at the time of the application, or does it work similarly to NIH?

A1: NSF requires at proposal and then will be asked for again at pre-award stage (new requirement) - PO will reach out and ask for it.

Q2: 2023 NIH Data Management & Sharing Policy

A2: See 2023 NIH Data Management & Sharing Policy

Extramural Fund Management Hot Topics

Q1: Regarding Ascend: I’ve heard that the new CoA system will do away with the project code and won’t have anything in place to replace it. We use project codes regularly to track expenses at a more granular level of detail (which is required by some sponsors). Is there any way to encourage the Ascend team to include some sort of memo field or project code field or SOMETHING that would allow us to continue to do that?

A1: We will bring this to the CoA team. There may be another way to do it.