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 and Announcements – Marcia Smith
• UCLA Health IT
  ◦ Front Door for Research Tool – Ibraheem Ali and Clifford Kravit
• Contract and Grant Administration – Tracey Fraser
  ◦ Updated Subaward P.O. Request Process
  ◦ NASA China Restriction
  ◦ DOE updated terms
  ◦ NSF Proposal Updates – Kathy Kawamura
• Extramural Fund Management
  ◦ Effort Report – Val Gomez
• Ascend 2.0
  ◦ Award Budget Processes and Project Creation – Stephanie Perez
Front Door for Research

UCLA Health IT
Research Informatics and Technology
Ibraheem Ali, PhD
WELCOME TO THE UCLA HEALTH COMMUNITY!

This is your one-stop-shop for all IT services dedicated to supporting your research.

We understand your work is important and we want to make sure you can find everything you need in one centralized place. So, we've created this one-stop-shop for services we believe you commonly use.
Categories of Major Services Offered

Services to facilitate your research

**Computation, Storage, Software**
Services for High-Performance Computing (HPC), servers, cloud computing, data storage, and obtaining software.

**Data Access and Collection**
A range of services related to gaining access to datasets, cohort discovery, capturing and exploring data.

**Study Activation and Development**
Platforms and services involved in the process of activating and developing studies and clinical trials.
## Additional Resources on Overview Page

### Resources

These include services such as core research facilities for data collection, audiovisual support, UCLA Library Resources, data management planning tools, animal resource management and more.

<table>
<thead>
<tr>
<th>Account Transfer</th>
<th>Local Presentation Support</th>
</tr>
</thead>
<tbody>
<tr>
<td>Conference Room Booking</td>
<td>New IT Project Request Intake Form</td>
</tr>
<tr>
<td>CTSI Researcher Resources</td>
<td>Onboarding Reminders</td>
</tr>
<tr>
<td>Data Management Planning Tool</td>
<td>UCLA Biomedical Library Key Resources</td>
</tr>
</tbody>
</table>

### Resource Facilities

| Core Services |
| Division of Laboratory Animal Medicine (DLAM) |
## Training and Consultations

### Training

A collection of UCLA data services providers that offer workshops, trainings, webinars or consultations that support research.

<table>
<thead>
<tr>
<th>Training</th>
<th>Consultation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bioinformatics Training</td>
<td>Research Workshops Portal</td>
</tr>
<tr>
<td>Biostatistical Consults</td>
<td>Research Tech Talk Recordings</td>
</tr>
<tr>
<td>Data Management Consultation</td>
<td>Statistics Webinar</td>
</tr>
<tr>
<td>Citation Management</td>
<td>UCLA Health Data Day Recordings</td>
</tr>
<tr>
<td>Environmental Health &amp; Safety</td>
<td>ULEAD Training and Support</td>
</tr>
<tr>
<td>NIH Data Management and Sharing Guidelines</td>
<td></td>
</tr>
</tbody>
</table>
https://uclahs.fyi/researcher-resources
Questions

Contact UCLA Health IT Research Informatics Team
https://uclahs.fyi/DGITresearchcontact
OFFICE OF CONTRACT & GRANT ADMINISTRATION UPDATES
APRIL 2024
RESEARCH ADMINISTRATION FORUM
TRACEY FRASER, SENIOR DIRECTOR, OCGA
OCGA UPDATE TOPICS

01
SUBAWARD PROCESS
Revised Process For Requesting POs For Subawards

02
NASA
Review: China Restriction & Required Documentation

03
DEPT. OF ENERGY
Updated Special Terms & Conditions
REVISED SUBAWARD PO PROCESS FOR OUTGOING AGREEMENTS UNDER GRANTS AND COOPERATIVE AGREEMENTS

Tentative Effective Date: May 1, 2024
**NEW SUBAWARDS & MIGRATED LEGACY AMENDMENTS**

**Depts:** Submit requisition for new subawards and migrated legacy amendments in BruinBuyPlus with $1.00 in the object code 7300. Attach (a) award snapshot (or other documentation authorizing subaward to subawardee) and (b) the OCGA Subaward Checklist.

**Depts:** Submit OCGA required documentation inc. req # to OCGASubawards@research.ucla.edu for OCGA OST to perform required risk assessments and to draft the subaward.

**PSG:** Review requisition and documentation including subawardee, project and period of performance dates, accounting and object codes and approve the PO for $1.

**PSG:** Approve the change request to post the revised actual $ to the PO.

**Depts:** Submit “Change Request” in BruinBuyPlus updating actual amounts and line items of the PO. Attach the FE to the change request.

**OCGA OST:** Send fully executed (FE) agreement to subrecipient and department.
REMINDERS

- Migrated POs may be invoiced against as long as your migrated PO has sufficient funds to pay the invoices
- Migrated Legacy BruinBuy POs CANNOT be extended or amended in BruinBuy Plus
- If any changes are needed to dates and / or dollars on a migrated PO, a BruinBuyPlus PO is required
AMENDMENTS TO NEW SUBAWARDS

**Depts:** Submit OCGA required documentation inc. req # to OCGAsubawards@research.ucla.edu for OCGA OST to perform required risk assessments and to draft the amendment

**OCGA OST:** Send fully executed (FE) amendment to subrecipient and department

**Depts:** Submit “Change Request” in BruinBuyPlus for the previously posted PO with the actual amounts and line items of the subaward amendment, extended period of performance, etc. Attach the FE to the change request

**PSG:** Approve the change request to post the revised $ to the PO
Since April 2011 the continuing appropriations acts that fund NASA have included the ‘China Restriction’

NASA is prohibited from engaging in, or funding, any joint scientific activity with the PRC (including Chinese Universities)

Impact: We must assure that we will not use NASA funds to participate, collaborate or coordinate bilaterally in any way with the PRC

Applies to NASA funded activities and cost share activities described in the NASA scope of work.

Impacts NASA Grants, Cooperative Agreements, Contracts and our Subawardees
DEFINITIONS

NASA China Restriction

China or Chinese-owned Company means:

The People’s Republic of China (PRC), any company owned by the People’s Republic of China, or any company incorporated under the laws of the People’s Republic of China, including Chinese universities. The PRC includes Hong Kong and Macau, but not Taiwan (Republic of China).

The statute does not restrict individual involvement based on citizenship or nationality.

Bilateral

As applied to a policy, program, order, or contract, means a reciprocal policy, program, order, or contract between China and a US entity, where there are no other international parties involved.

This is distinct from a multilateral arrangement with parties from multiple countries. The NASA funding restriction does not apply to multilateral arrangements.
## REPRESENTATIONS TO NASA

### Requirements and Process

<table>
<thead>
<tr>
<th>Contracts</th>
<th>Financial Assistance</th>
</tr>
</thead>
<tbody>
<tr>
<td>• We will not contract with China (including Chinese Universities) or Chinese-owned companies for any effort related to this contract except for the acquisition of commercial and non-development items</td>
<td>• We will not participate, collaborate or coordinate bilaterally with China (including Chinese Universities) or any Chinese-owned company regardless or whether the involvement is funded or performed under a no-exchange of funds arrangement</td>
</tr>
<tr>
<td>• We will flow requirements down to subcontractors</td>
<td>• We will flow requirements down to subawardees</td>
</tr>
</tbody>
</table>
FINANCIAL ASSISTANCE AWARDS
TWO STEP PROCESS

1. Questionnaire (see supplemental information)
   - PI must complete a questionnaire on their own behalf and on behalf of all other UC participants (including at other campuses)
   - The questionnaire is not required for subrecipients
     Subawardee certifications are collected as part of the subaward process

2. Informed Participation Letter (see supplemental information)
KEY TAKE AWAYS: NASA CHINA RESTRICTIONS

Apply To:
✓ Activities described in the scope of work of a NASA award
✓ Bilateral activities with China, regardless of whether the activities are funded or unfunded

Do NOT Apply to:
× General scientific discussions
× The purchase of commercial and non-developmental items, including the purchase of IT systems by the University under research awards (but other federal sponsor wide restrictions may apply)

Do NOT:
• Restrict individual involvement based on citizenship or nationality
• Apply to multilateral projects
• Prohibit dissemination of data/results arising from a NASA project
• Disqualify us from using the Fundamental Research Exclusion under the export control regulations
I certify that I will not enter or cause The Regents to enter into a bilatera l contract or subcontract with The People’s Republic of China (PRC), any company owned by the People's Republic of China or any company (including a Chinese university) incorporated under the laws of the People’s Republic of China (including Hong Kong and Macau, but not Taiwan) to perform the scope of work of the NASA prime contract identified below, whether or not such contracts or subcontracts are funded by the NASA prime contract. (Vendor agreements for acquisition of commercial and non-developmental items are excluded from this certification.)

INFORMED PARTICIPATION LETTER:

CONTRACT
If the answer to any of the questions below is 'Yes' the participant will likely not be able to participate in the project. If the answer is no to all continue A-D

1. Is any Participant employed by the Chinese government or a Chinese owned company or university?
2. Does any non-student Participant receive salary support from the Chinese government or a Chinese owned company or university?
3. Does any non-student Participant receive any incidental financial compensation, such as housing or transportation, from the Chinese government or a Chinese owned company or university?
4. Does any Participant have a written agreement to become (or to return as) an employee of the Chinese government or a Chinese owned company or university?

If the answer to any of the questions below is Yes the participant is not necessarily excluded from participation but work with OCGA for additional analysis.

A. Is any Participant enrolled at a Chinese university or does any Participant have a written agreement to become (or to return as) as a student of a Chinese university?
B. If a Participant is a student, does such Participant receive any type of financial support (other than a scholarship) from the Chinese government or a Chinese owned company or university?
C. Does any Participant receive research materials or any other type of goods from China or a Chinese owned company or university? (Do not include the purchase of commercial supplies needed to perform the NASA award scope of work.)
D. Is any Participant co-authoring a paper with a person from China or a Chinese owned company or university that is the result of activity funded by NASA after April 2011?
I have completed the NASA Questionnaire for Assistance Awards on behalf of myself and all individuals performing any part of the scope of work of project identified below and have determined and hereby certify that ....

Bilateral participation, collaboration, or coordination with The People's Republic of China (PRC), any company owned by the People's Republic of China or with any company (including a Chinese university) incorporated under the laws of the People's Republic of China (including Hong Kong and Macau, but not Taiwan) will not take place as part of the NASA scope of work for this award, whether or not such participation, collaboration, or coordination is funded by the NASA award.

Further, I certify that I will not enter or cause The Regents to enter into a bilateral subaward, memorandum of understanding, collaboration agreement, or any other type of written bilateral agreement with the PRC as defined above. (Vendor agreements for acquisition of commercial and non-developmental items are excluded from this certification.)

INFORMED PARTICIPATION LETTER:
FINANCIAL ASSISTANCE
DEPARTMENT OF ENERGY (DOE)
UPDATED SPECIAL TERMS & CONDITIONS
DOE SPECIAL TERMS & CONDITIONS: FOREIGN NATIONALS

Applicable to Most Grants And Cooperative Agreements

Foreign National Participation (DOE)

- Requirement that if UCLA and any subrecipients anticipate involving foreign nationals in the performance of the award we must provide DOE with specific information (volume and nature will be dependent upon the SOW) about each foreign national to ensure compliance with the requirements for foreign national participation.
- Approval from DOE for foreign nationals from countries of concern must be obtained before they can participate. Includes foreign nationals on all subawards.
- DOE may elect to deny a foreign nationals participation in the award.

UC Issues

- UC does not restrict participation in research based on citizenship. If we need to provide information to DOE, we must provide the same information at the same time for all employees participating in the project, not limited to foreign nationals.
- If DOE determines someone cannot participate, depending on the circumstances, we may need to terminate the agreement.
Any updates to previously submitted C&P disclosure statements require submission of an updated C&P disclosure statement within thirty calendar days of the change.

Must include all sources of support including all gifts supporting a PI's research endeavors.

Must submit C&P disclosure statements and a CV or Biosketch for any new PI and senior/key personnel at the recipient and subrecipient level, added to the project funded under this Award within thirty calendar days of the individual joining the project.

Must ensure all PIs and senior/key personnel at the recipient and subrecipient level, are aware of the requirement to submit updated C&P disclosure statements to DOE.
DOE SPECIAL TERMS & CONDITIONS: PARTICIPANTS

Applicable to Most Grants And Cooperative Agreements

Participants

• If there are any changes in the information for senior and key personnel and each person who has worked, or is expected to work, at least one person month (160 hours) per year on the project, regardless of the source of compensation, UCLA must submit updated information within thirty calendar days after the end of the quarterly reporting period in which the change occurred.

Information Required

i. Name
ii. Organization
iii. Job Title
iv. Role in the project
v. Start and end date (month and year) working on the project
vi. State, U.S. territory, and/or country of residence
vii. Whether this person collaborated with an individual or entity located in a foreign country in connection with the scope of this Award, and
viii. If yes to vii, whether the person traveled to the foreign country as part of that collaboration, and, if so, where and what the duration of stay was.
DOE SPECIAL TERMS & CONDITIONS: FOREIGN COLLABORATIONS

Applicable to Most Grants And Cooperative Agreements

We must identify all foreign collaborators and for each, provide name, UEI, zip code or latitude/longitude, role in the project, contribution to the project and start and end date.

We must provide DOE with advanced written notification of any potential collaboration with foreign entities, organizations or governments in connection with its DOE-funded award scope.

We must await further guidance from DOE prior to contacting the proposed foreign entity, organization or government regarding the potential collaboration or negotiating the terms of any potential agreement.
**DOE SPECIAL TERMS & CONDITIONS: TRANSPARENCY OF FOREIGN CONNECTIONS**

Applicable to Most Grants And Cooperative Agreements

Requirement to report within 15 days: Any changes to the recipient or the subrecipients board of directors, including additions to the number of directors, the identity of new directors, as well as each new director's citizenship, shareholder affiliation (if applicable); each notification shall include a complete up-to-date list of all directors (and board observers), including their full name, citizenship and shareholder affiliation, date of appointment, duration of term, as well as a description of observer rights as applicable.

Several additional reporting requirements related to UCLA and subrecipients interactions or involvement with countries of risk

While these terms maybe especially challenging for for-profit subrecipients, UCLA cannot negotiate out these, or any of the other special T&C, in subawards.
DOE SPECIAL TERMS & CONDITIONS: CONSIDERATIONS

Applicable to Most Grants And Cooperative Agreements

There is little to no room for negotiation on any of the special terms and conditions.

Depending on the size, scope and potential volume of participants and/or type of subawardees and collaborators that will be involved with the project – including in an unfunded capacity – there could be significant additional administrative effort and potential risk to managing these projects.

Budget and plan accordingly.
LATE REPORTS

FEDERAL AGENCIES ARE TAKING THIS VERY SERIOUSLY
The National Institutes of Health, the Office of Naval Research, and the U.S. Army are withholding all of their grants from the University of California at San Diego because one scientist failed to turn in required final reports for two of his grants, according to a message sent to the campus community on Tuesday.

“This action is the result of one Principal Investigator’s extended non-submission of final technical reports for two awards,” Corinne Peek-Asa, vice chancellor for research and innovation, wrote in the message. “If you are a PI receiving a new or continuing award from one of these agencies, you will receive a notice that the award will be delayed.”
UPCOMING OCGA MONTHLY TRAINING
Register for each session individually

- Submitting a Proposal for OCGA Review
  April 17, 2024

- NSF Research.gov
  May 15, 2024

- Preparing an NIH Multiple Component/Project Application NIH ASSIST
  July 17, 2024

- Award Processing
  August 21, 2024

- S2S Grants Basics
  September 18, 2024

- Completing the EPASS
  October 16, 2024

- Electronic EPASS System
  October 23, 2024

- Post-Submission Requirements
  November 20, 2024
NSF & Other Federal Grant Updates

April 11, 2024
CHIPS Act of 2022

SUMMARY
Public Law No: 117-167 (08/09/2022) This act provides funds to support the domestic production of semiconductors and authorizes various programs and activities of the federal science agencies.

Example:
(Sec. 10339B) The NSF must request annually from a recipient institution of higher education a disclosure, in the form of a summary document, from the institution, a foundation of the institution, and related entities such as any educational, cultural, or language entity, of the current financial support, the value of which is $50,000 or more, including gifts and contracts, received directly or indirectly from a foreign source (as such term is defined in section 1011f(h)(2) of title 20) associated with a foreign country of concern.

§19040. Foreign financial support
(a) In general
The Director shall request, on an annual basis, from a recipient institution of higher education a disclosure, in the form of a summary document, from the institution, a foundation of the institution, and related entities such as any educational, cultural, or language entity, of the current financial support, the value of which is $50,000 or more, including gifts and contracts, received directly or indirectly from a foreign source (as such term is defined in section 1011f(h)(2) of title 20) associated with a foreign country of concern.
(b) Records
Each disclosure to the Director under this section shall be made on the condition that the institution will maintain a true copy of the relevant records subject to the disclosure requirement until the latest of-
(1) the date that is four years after the date of the agreement;
(2) the date on which the agreement terminates; or
(3) the last day of any period that applicable State public record law requires a true copy of such agreement to be maintained.
(c) Documentation
Upon review of the disclosures under this section, the Director may request that a recipient institution provide true copies of any contracts, agreements, or documentation of financial transactions associated with disclosures made under this section.
(d) Office of the Inspector General
The Director, acting through the Office of Research Security and Policy in coordination with the Foundation's Office of Inspector General and in consultation with the recipient institution, may reduce the award funding amount or suspend or terminate the award if the Director determines-
(1) such institution fails to comply with the records retention requirement in subsection (b) or fails to provide information requested under this section; or
(2) the Chief of Research Security determines the disclosures under this section indicate a threat to research security.
2. Postaward Disclosures

In accordance with Section 10339B, *Foreign Financial Support*, of the CHIPS and Science Act of 2022, (42 U.S.C. § 19040) each institution of higher education that receives NSF funding must disclose annually, all “current financial support, the value of which is $50,000 or more, including gifts and contracts, received directly or indirectly from a foreign source” which is associated with a foreign country of concern. See Chapter VII.D.3 for additional information on the preparation and submission of the foreign financial disclosure report. Additional postaward disclosure requirements are specified in Chapter IX.C.
Foreign Considerations

Cover Page: check box indicating “Funding of a Foreign Organization or Foreign Individual”

Justification of Foreign organizations or foreign individuals MUST provide a justification addressing at minimum:

• why support from the foreign counterpart’s in-country resources is not feasible;

• why the foreign organization or foreign individual can carry out the activity more effectively than a U.S. organization or U.S. individual

• what unique expertise, organizational capability, facilities, data resources, and/or access to a geographic location not generally available to U.S. investigators the foreign organization or foreign individual brings to the project; and

• what significant science and engineering education, training, or research opportunities the foreign organization or foreign individual offers to the U.S.
Foreign Considerations cont.

**(b) Parties to Malign Foreign Talent Recruitment Programs** — Individuals who are a current party to a *Malign Foreign Talent Recruitment Program* are not eligible to serve as a senior/key person on an NSF proposal or on any NSF award made after May 20, 2024. See PAPPG Chapter II.D.1.e for additional information on required certifications associated with *Malign Foreign Talent Recruitment Programs*.

**(ii) Malign Foreign Talent Recruitment Programs**
Pursuant to Section 10632 (42 U.S.C. § 19232), each individual identified as senior/key person must certify prior to proposal submission that they are not a party to a malign foreign talent recruitment program and annually thereafter for the duration of the award.

False representations regarding either of the above certifications in (i) and (ii), 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.

**Reminder:**
In accordance with Section 223(a)(1) of the *William M. (Mac) Thornberry National Defense Authorization Act for Fiscal Year 2021* (42 U.S.C. § 6605(a)(1)), each individual identified as a senior/key person is required to certify in SciENcv that the information provided in the Biographical Sketch and Current and Pending (Other) Support documents are accurate, current, and complete.
Other Highlights

- Biosketch - no page limit
  - Synergistic Activities removed from NSF Bio
  - 1 page max - must be included for all Senior/Key Persons

- Mentoring Plan required for all postdoc/gsr supported on project (1 pg)

- Revised instructions for projects that require large scale resources

- Prior Approval required from Tribal Nation(s) officials if impact on Tribal Resources or Interest

- Supplements may be longer than six months

- Individual Development Plan required to be updated annually
  - Required for Postdocs & GSRs with one person month or more of support annually

- Scientific Integrity definition updated
Uniform Grants Guidance 2024 Revision

New Equipment & Subaward Thresholds **MUST** be used in current Federal Proposals (grant / cooperative agreement) submissions, unless otherwise noted

**Equipment Threshold**
Current threshold $5,000
Increase to $10,000

**Subaward Threshold**
Current threshold $25,000
Increase to $50,000

https://ocga.research.ucla.edu/outgoing-subawards-overview/
NSF – Training Opportunity


NSF Policy Office Webinar: Implementing the Common Forms for the Biographical Sketch and Current and Pending (Other) Support

Thursday, April 25th, 2:00 – 3:00 PM EDT

Please join us on Thursday, April 25th at 2:00 PM EDT for a webinar covering NSF’s implementation of the National Science and Technology Council-approved Common Forms for the Biographical Sketch and Current and Pending (Other) Support. This session will cover the policy behind NSF’s implementation in the Proposal and Award Policies and Procedures Guide (PAPPG) (NSF 24-1). In addition, our colleagues from NIH/National Library of Medicine will provide a demonstration of the revised capability to create and download these required proposal documents in SciENev.

Webinar Registration - Zoom (zoomgov.com)
OCGA CAMPUS TRAINING
https://ocga.research.ucla.edu/training-calendar/

April

Submitting a Proposal for OCGA Review

Wednesday, April 17, 2024
9:30am-11:00 am

Zoom Meeting Registration Link
Any Questions?

https://ocga.research.ucla.edu
UPCOMING RELEASE

Effort reports for the following periods will be released by mid-April 2024

<table>
<thead>
<tr>
<th>Reporting Period</th>
<th>Non-Academics and 11/12 Academics</th>
<th>9/12 Academics</th>
<th>Certification Due Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fall 2023</td>
<td>October 2023 – December 2023</td>
<td>July 2023 – October 2023</td>
<td>July 29, 2024</td>
</tr>
<tr>
<td>Winter 2024</td>
<td>January 2024 – March 2024</td>
<td>November 2023 – February 2024</td>
<td>July 29, 2024</td>
</tr>
</tbody>
</table>

- The ERS production site will be unavailable during release preparation, with tentative downtime scheduled to begin Friday at 6 p.m., 4/19/24, and last until Monday, 4/22/24. EFM will communicate the downtime via the ERS listserv.
- Earnings through March 2024 have been loaded into ERS, with additional earnings set to be loaded monthly.
- Effort reports impacted by key UCPath defects will continue to be flagged as “Under preliminary Review” with an associated comment. Please visit EFM’s special instructions page, to view an example of “Under Preliminary Review” flag, along with explanation of known UCPath issues and the necessary actions to take to complete certification.
CERTIFICATION METRICS

Effort Report Certification Rates can be found in the ORA Online Resource Center – As of April 11\textsuperscript{th}, there are 17,233 open reports

REMINDERS

• Federal regulation, Uniform Guidance requires that an entity receiving federal funding to have adequate documentation to support that compensation charged to federal grants is reasonable for the work performed (2 CFR.\$200.430 Compensation - personal services).

• Effort reporting is UCLA’s current method of complying with the requirement and certifying to granting agencies that the effort required as a condition of the award has been met.

• The ERS Helpdesk will continue to engage in campus outreach, collaborating with ERS Coordinators to address open effort reports.

GOAL - Reduce ERS backlog & increase on-time certification

<table>
<thead>
<tr>
<th>Academic Year</th>
<th>Fall</th>
<th>Winter</th>
<th>Spring</th>
<th>Summer</th>
</tr>
</thead>
<tbody>
<tr>
<td>2022-2023</td>
<td>75%</td>
<td>4,144</td>
<td>1,362</td>
<td>74%</td>
</tr>
<tr>
<td>2021-2022</td>
<td>86%</td>
<td>4,781</td>
<td>767</td>
<td>85%</td>
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<tr>
<td>2020-2021</td>
<td>92%</td>
<td>4,749</td>
<td>407</td>
<td>91%</td>
</tr>
<tr>
<td>2019-2020</td>
<td>92%</td>
<td>4,853</td>
<td>373</td>
<td>93%</td>
</tr>
<tr>
<td>2018-2019</td>
<td>95%</td>
<td>5,779</td>
<td>298</td>
<td>95%</td>
</tr>
</tbody>
</table>
UPCOMING LMS COURSE HOSTED BY EFM

• **Post Award Research Administration**: Online course is covered in two half-day sessions
  • Monday, May 6\textsuperscript{th} and Tuesday, May 7\textsuperscript{th} from 8:30am - Noon

• **RAPID Closeout Tool**: Online course is covered in one half-day sessions
  • Monday, May 13\textsuperscript{th} from 8:30am - Noon

• **Effort Reporting**: Online course is covered in two half-day sessions
  • Monday, May 20\textsuperscript{th} and Tuesday, May 21\textsuperscript{st} from 8:30am - Noon

• You may register via the UCLA Learning Management System (LMS) at [http://lms.ucla.edu](http://lms.ucla.edu). If you have any questions about this course, feel free to e-mail [EFMOperations@research.ucla.edu](mailto:EFMOperations@research.ucla.edu).

• Please share this information with others in your department who may be interested.
QUESTIONS?

Contact Information

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

Val Gomez
Phone: (310)794-0103
Email: valeria.Gomez@research.ucla.edu

ERS Helpdesk
Email: ershelp@research.ucla.edu
ASCEND 2.0
STEPHANIE PEREZ
04/11/2024
AGENDA

• Conversion: Project Funding & Project Budget
  o Expenditure Account Data Cleanup
  o Budget Conversion Process
  o Data Conversion Reminders
### BACKGROUND

- Each expenditure account within the conversion scope will become a **project** in PPM.
- Projects will be a sub-grouping of the Award and will be used as a vehicle to **separate budget and expenses** within an award.

---

**Table: LOCAL GOVERNMENT GRANTS & CONTRACTS**

<table>
<thead>
<tr>
<th>Account/CC</th>
<th>Sub</th>
<th>Curr Month Financial</th>
<th>Fiscal Year</th>
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<td>16</td>
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<td>138,776.24</td>
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<td>17</td>
<td>142,518.64</td>
<td>138,776.24</td>
<td>142,518.64</td>
</tr>
</tbody>
</table>

---

*This award has 3 expenditure accounts on the ledger. This will result in 3 projects being created in Oracle PPM.*
**PROJECT FUNDING AND PROJECT BUDGET**

**Project Funding** is the total amount allocated to the project.

- Projects are required to have a positive, non-zero funding amount.
- Project funding will be derived from the appropriation of the expenditure account.

**Project Budget** is the breakdown of the project funding into budget categories.

- Project budgets should be a positive amount.
- Project budgets will be derived from the amount budgeted per sub code.
EXPENDITURE ACCOUNT CLEANUP

To convert project funding and budgets as accurately and efficiently as possible, data cleanup in the current financial system is needed.

- Total number of projects to be converted: 15,637
- Total number of projects with negative or zero funding: 630*
- Total number of projects with negative sub code appropriations: 1,059

*This includes projects for clinical trial awards that do not yet have an award budget appropriated in the financial system. Clinical trial projects are being addressed separately by the Ascend Grants Team.
Expended accounts with negative or zero funding will fail conversion to Oracle PPM.

**Required Action**

- Departments should take prompt action to reallocate the award budget via a Transfer of Funds (TOF).

- The “Account Summary by Dept” report from the Online Financial System Reports (OFSR) can be used to identify C&G accounts requiring cleanup.

- The Ascend Grants Team is requesting this population to be cleaned up by **4/30/2024**. This will allow the corrected data to be included in the next conversion round taking place May 2024.
EXPENDITURE ACCOUNTS WITH NEGATIVE SUB CODE APPROPRIATIONS

This scenario is likely a result of an incorrect TOF and should be corrected for data conversion to PPM.

Required Action

- Departments to reallocate the award budget via a Transfer of Funds (TOF).

- The “Account Summary by Account” report from the Online Financial System Reports (OFSR) can be used to identify C&G accounts requiring cleanup.

- The Ascend Grants Team is requesting this population to be cleaned up by 6/30/2024. This will align with department’s review of funds for fiscal close.
HOW WILL PROJECT BUDGETS BE CONVERTED?

1:1 Mapping:
If a sub code is generally used for a single purpose (e.g., 01 - Salaries-Staff), then it will map to the corresponding PPM budget category.

<table>
<thead>
<tr>
<th>Current Financial System Sub Codes</th>
<th>Oracle PPM Budget Category</th>
</tr>
</thead>
<tbody>
<tr>
<td>00 – Salaries-Academic</td>
<td>Salaries and Wages</td>
</tr>
<tr>
<td>01 – Salaries-Staff</td>
<td></td>
</tr>
<tr>
<td>02 – General Assistance</td>
<td></td>
</tr>
<tr>
<td>03 – Supplies and Expense</td>
<td>Materials and Supplies</td>
</tr>
<tr>
<td>04 – Equipment and Facilities</td>
<td>Equipment</td>
</tr>
<tr>
<td>06 – Employee Benefits</td>
<td>Employee Benefits</td>
</tr>
<tr>
<td>9H – Overhead Expense</td>
<td>Facilities and Administration Costs</td>
</tr>
</tbody>
</table>

1-to-Many Mapping:
If a sub code is used for a variety of purposes (e.g., 07 – Special Items), then map that sub code to the “Other Direct Costs” category.

<table>
<thead>
<tr>
<th>Current Financial System Sub Codes</th>
<th>Oracle PPM Budget Category</th>
</tr>
</thead>
<tbody>
<tr>
<td>05 – Special Items</td>
<td>Other Direct Costs</td>
</tr>
<tr>
<td>07 – Special Items</td>
<td></td>
</tr>
<tr>
<td>08 – Unallocated Funds</td>
<td></td>
</tr>
<tr>
<td>09 – Recharges</td>
<td></td>
</tr>
</tbody>
</table>

In the current financial system, accounts are budgeted at the sub code level. There are no detailed budgets in the financial system at the sub-object code level.
CONVERTED PROJECT BUDGET - EXAMPLE

Financial System

<table>
<thead>
<tr>
<th>Account/CC</th>
<th>Sub</th>
<th>Curr Month Financial</th>
<th>Fiscal Year</th>
<th>Inception to Date</th>
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<tbody>
<tr>
<td></td>
<td></td>
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<td>Appropriation</td>
<td>Financial</td>
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<td>06</td>
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<td>1,712.18</td>
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</table>

Oracle PPM

<table>
<thead>
<tr>
<th>Task</th>
<th>Resource</th>
<th>Budget Amount</th>
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</thead>
<tbody>
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<tr>
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<td>Materials and Supplies</td>
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<tr>
<td>1</td>
<td>Employee Benefits</td>
<td>1,712.18</td>
</tr>
<tr>
<td>1</td>
<td>Facilities and Administration Costs</td>
<td>18,750.00</td>
</tr>
</tbody>
</table>

Note: The Ascend Grants Team will provide further guidance on rebudgeting converted data in PPM.
Funds Without a Home Expenditure Account

- In PPM, at least one project under each award should belong to the Award-Owning Organization (Home Department) and Principal Investigator. This project will be designated as the Primary Project in PPM.
  - The Primary Project will be essential for STIP allocation, revenue recognition for amount-based billing, and other future business processes.

- Required Action:
  - Ensure that C&G funds have at least one expenditure account belonging to the Home Department and Home PI. This account must have a positive appropriation to be successfully converted to Oracle PPM.
  - Expenditure accounts without a cost center will automatically be associated to the Home PI as part of the conversion process.
DATA CONVERSION REMINDERS

• Recap: Expenditure Account Cleanup
  o Correct expenditure accounts with negative or zero funding by 4/30/2024.
  o Correct expenditure accounts with negative sub code appropriations by 6/30/2024.
  o Resolve funds without an expenditure account belonging to the Home Dept & PI by 6/30/2024.
  o The Ascend Grants Team will monitor these populations and reach out to Home Departments as needed.

• Refer to the October 2023 RAF for additional conversion cleanup:
  o Closing Expired Awards: Closing out funds in the current financial system will be more efficient than closing out in Oracle due to the learning curve of the new system. Your future self will thank you!
  o Multiple Payment Bases Awards: For new awards with multiple payment bases, ensure that a separate Account/CC is set up for each payment basis and the payment basis is indicated in the AF table. Please continue to indicate the Payment Basis when submitting linkage requests to EFM for Awards with Multiple Payment Bases.