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.

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<th>Account Transfer</th>
<th>Local Presentation Support</th>
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<td>New IT Project Request Intake Form</td>
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<td>CTSI Researcher Resources</td>
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<td>Data Management Planning Tool</td>
<td>UCLA Biomedical Library Key Resources</td>
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</tbody>
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## Resource Facilities

<table>
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<tr>
<th>Core Services</th>
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</thead>
<tbody>
<tr>
<td>Division of Laboratory Animal Medicine (DLAM)</td>
</tr>
</tbody>
</table>
## 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>Consultations</th>
</tr>
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<tbody>
<tr>
<td>Bioinformatics Training</td>
<td>Research Workshops Portal</td>
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<td>Biostatistical Consults</td>
<td>Research Tech Talk Recordings</td>
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<td>Data Management Consultation</td>
<td>Statistics Webinar</td>
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<td>Citation Management</td>
<td>UCLA Health Data Day Recordings</td>
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<tr>
<td>Environmental Health &amp; Safety</td>
<td>ULEAD Training and Support</td>
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<tr>
<td>NIH Data Management and Sharing Guidelines</td>
<td></td>
</tr>
</tbody>
</table>

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[Image: UCLA Health Information Technology logo]
Bookmark This Page

https://uclahs.fyi/researcher-resources
Questions

Contact UCLA Health IT Research Informatics Team
https://uclahs.fyi/DGITresearchcontact
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.
NASA
CHINA
RESTRICTION
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

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

Contracts
• 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
• We will flow requirements down to subcontractors

Financial Assistance
• 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
• We will flow requirements down to subawardees
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
RESTRICTION:
Supplemental Information
I certify that I will not enter or cause The Regents to enter into a bilateral 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.)
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) 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.
DOE SPECIAL TERMS & CONDITIONS: **C&P SUPPORT**

Applicable to Most Grants And Cooperative Agreements

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

Participations

• 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
One Scientist Neglected His Grant Reports. Now U.S. Agencies Are Withholding Grants for an Entire University.

By Francie Diep APRIL 10, 2024

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
$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
(2) the Chief of Research Security determines the disclosures under this section indicate a threat to research security.
**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 of any current financial support that is $50,000 or more, including gifts and contracts, received directly or indirectly from a foreign source associated with a foreign country of concern.

**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 provided 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
EFFORT REPORTING

Val Gomez
UPCOMING RELEASE

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

<table>
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<th>Reporting Period</th>
<th>Non-Academics and 11/12 Academics</th>
<th>9/12 Academics</th>
<th>Certification Due Date</th>
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</thead>
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<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 11th, there are 17,233 open reports.

REMININDERS

- 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></td>
<td>Cert. %</td>
<td>Certified</td>
<td>Open</td>
<td>Cert. %</td>
</tr>
<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>
</tr>
<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 6th and Tuesday, May 7th from 8:30am - Noon

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

• **Effort Reporting:** Online course is covered in two half-day sessions
  • Monday, May 20th and Tuesday, May 21st 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
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 and chart showing financial data.]

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.
Expenditure 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?**

<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>
<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>

**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.

**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.

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*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.*
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.
  o The Primary Project will be essential for STIP allocation, revenue recognition for amount-based billing, and other future business processes.

• **Required Action:**
  o 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.
  o 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 \textbf{4/30/2024}.
  o Correct expenditure accounts with negative sub code appropriations by \textbf{6/30/2024}.
  o Resolve funds without an expenditure account belonging to the Home Dept & PI by \textbf{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 \textbf{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. \textit{Your future self will thank you!}
  o \textbf{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.

April 2024 Research Administration Forum Q&A

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Contract and Grant Administration
Q1: Will the BruinBuy Plus QRG be updated? Will these slides be distributed?
A1: It is our understanding that a QRG will be developed for this new process. RAF slides will also be available on the OCGA website.

Q2: Are we still using the subaward checklists?
A2: Yes, we are still using the OCGA Subaward Checklist for requests that are submitted to the OCGA Subaward Team.

Q3: Is the total amount on the change order just for year one of the estimated grand total for all years of the subaward?
A3: The total amount on the change order should be equal to the total amount actually allocated to the subrecipient -- not the total estimated award amount but the year 1 amount.

Q4: This process seems cumbersome for the Subaward Site. It sounds like they will first get an Award Notice for $1, and then they will get an Award Notice for the full amount. Subaward sites are going to be very confused by this.
A4: The Outgoing Subawards Team will process the subaward for the amount listed on the Subaward Checklist (the actual award amount), even though the PO is only being processed for $1. Once the subaward agreement is finalized and fully-executed, the department will use that FE’d copy in a change order request to Purchasing to have the PO updated to reflect the actual award amount. You can think of the $1 PO as the new Draft PO. It’s there as a placeholder. The Subaward Checklist and resulting Subaward agreement should always be for actual award amounts.

Q5: For Amendments to New Subawards, Step 1 says we should submit to OCGA the requisition #, do you mean the PO #? Because the original requisition will have already been converted into a PO by this point (if we’re doing an amendment), right? The PO is what we’ve always done.
A5: At amendment stage, the PO can be included on the Subaward Checklist.

Q6: Can you please clarify the process to request Purchasing to update an already migrated PO to reflect an already executed amendment? OCGA sent the amendment to Purchasing a few months ago but Purchasing didn’t update BruinBuy Plus.
A6: Even if your PO has migrated from BruinBuy to BruinBuy Plus, a change order to that migrated PO is not possible – you will need to request a new BruinBuy Plus PO (detail on that process can be found on page 13 of the Subaward/Subcontract Tips and Resources Guide). If you have already requested setup of a new PO in BruinBuy Plus, and are following up on that PO, (until May 1st) you can just follow-up on OCGA’s e-mail to Purchasing.
Q7: How do we closeout a subaward and release the remaining encumbrance? I have reached out to OCGA Subawards multiple times with the signed subaward closeout certification, but have not received any response.

A7: Please see: https://ocga.research.ucla.edu/closeout-subaward-mca/

Q8: When a purchase order gets issued, does the PO get automatically emailed to the email that the vendor has in PaymentWorks? Both during the $1 and then the change order?

A8: Subrecipients should not be receiving an automatically e-mailed PO (with attached PO terms). The only applicable terms under a subaward are the subaward terms of award, which are managed through OCGA. If your Subrecipients do receive PO email(s), please let your OCGA OST rep (the OCGA OST rep who issued the Subaward/Amendment) know, as we can follow-up with Subrecipient to confirm the Subaward terms are the ones that apply. We do understand those automated emails are causing some confusion.

Q9: Checklists typically need to include the requisition # and be signed by the PI. I’m assuming the checklist we attach in our BruinBuy Plus requisition does not need to include the requisition # nor the PI signature, correct?

A9: Our understanding is that Purchasing primarily uses the vendor information on the Subaward Checklist for their review. We would agree with your statement above.

Q10: On the subaward checklist that we submit on the initial $1 PO request, do we leave the PO blank or what do we enter?

A10: Please add the requisition # for OST’s reference.

Q11: Is there any update about the fact that PI’s are not able to approve incoming subaward invoices in BruinBuy Plus? There is a widespread problem with PI’s not being able to approve them, or the wrong PI receiving the notice to approve them. It has been ongoing for months with no resolution. It would be helpful if ORA could work with Purchasing/BruinBuy Plus/AP to resolve this in a timely manner.

A11: I can assure you that OCGA has been working night and day to resolve subaward issues with BruinBuy Plus. We are also frustrated, but we know that systems implementation projects are always difficult and rarely come without issues. Please understand that ORA is doing everything it can to help resolve issues with subaward processing.

There is an Ascend Research Newsletter coming out today or tomorrow that reports a list of PIs and Fund Managers assigned to POs, along with instructions on how to correct errors in assignments. I hope the list will be available soon and that it will help resolve some of the PO approval issues.

Q12: If there are subawards on an application that needs to go out and if they are not using the new thresholds for equipment, should we go back to them to use new dollar amounts?

A12: If there is time we recommend changing.

Q13a: Uniform Grants Guidance 2024 Revision, increased threshold effective when? 1/1/2024?

A13a: October 1, 2024 but agencies can potentially adopt earlier (60 days after its been posted in the fed register). It’s currently in pre-publication status. We will be providing a deeper dive after we and our professional organizations have
had an opportunity to read through the 600 pages. So we encourage departments to include the new thresholds now so that you have sufficient budgets.

**Q13b: Will OCGA’s indirect cost MTDC language be updated to reflect this update?**

A13b: October 1, 2024 is the effective date. I don’t know if our rate agreement will be modified, but ORA guidance will be updated to reflect this update.

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**Ascend 2.0**

**Q1: What if Negative Appro was a Carry-forward from previous years? There is no way to correct.**

A1: Please send this example to Stephanie Perez (stephanie.perez@research.ucla.edu) for further review.

**Q2: Sub 03 is not only materials and supplies, Sub 03 is also used for services. I don’t see services on here. Is this being mapped elsewhere?**

A2: There will be a dedicated budget/expense category for ‘Services’ in Oracle PPM. The project team will revisit the decision to map all Sub 03 expenses to ‘Materials and Supplies’ and share if any changes are made.

**Q3: Do we need to reallocate Sub 08 appropriations to other subs before the conversion?**

A3: It is best practice to reallocate the budget according to the sponsor-approved budget. This can help identify when prior sponsor approval is required for re-budgeting, if expenses exceed the budgeted line item, etc. If the appropriation remains in Sub 08, it will be converted to PPM as ‘Other Direct Costs’.

**Q4: We don’t usually allocate funds between the subs as most of our grants are modular. We therefore don’t allocate within the subs until either the end of the budget or project to avoid having to do TOFs between subs on a monthly basis.**

A4: Thank you for sharing. The Ascend conversion team recommends reallocating the budget according to the latest internal budget. In the future state, departments will only be able to reallocate budgets using the new Budget Tool when the sponsor restricts rebudgeting (more information can be found at the [March 2024 RAF](#)). Therefore, we recommend reallocating the budget accordingly in the current financial system.

**Q5: Just to clarify, the negative balances we’re required to eliminate via TOF by 4/30 are those in the appropriations column for each sub, rather than the figures in the fund balance column? And does this apply to each account, or only to the home department’s account?**

A5: This applies to all expenditure accounts that are being converted to Oracle. Yes, the figures to correct are in the appropriation column, not the fund balance column.

**Q6: What about those C&G accounts in negative balance, but waiting for next budget appropriation?**

A6: These recommendations apply only to appropriations (budget), not to balances. Balances in overdraft will not fail the conversion.
Q7: A guide on how to find each of our populations for these data conversion action items would be helpful. Having a quick guide to refer to in order to run each report for our departments would assure we are looking at the correct population of items needing correction.

A7: Thank you for the feedback! The project team will work on developing a quick guide for these conversion action items.

Q8: Sorry this question is not directly related to Ascend 2.0. Can you please clarify consultant payments (professional services payments) should be charged to 03 or 07?

A8: The financial system allows consultant expenses (object code 3455) to be charged to various sub codes: 03-Supplies and expense, 05-Special items (generally travel), 07-Special use (generally subaward/subcontract expenses) and 08-Unallocated funds. If departments would like to track consultant expenses separately for a financial reporting need, then any of these sub codes can be utilized.

Q9: Did you address PI approvals on subaward invoices?

A9: No, this Ascend presentation did not address PI approvals for subaward invoices. If you have specific questions, please reach out to BruinBuy Plus Support at help@it.ucla.edu.