



Research Administration Forum

February 9, 2023

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**
 - <https://www3.research.ucla.edu/nih-data-management-and-sharing-policy>
- **UCOP ECAS Research Security Videos**
 - <https://www.ucop.edu/ethics-compliance-audit-services/compliance/export-control/research-security-video-shorts.html>
- **Reminder**

Dr. Robert Cooper

Professor, UCLA

cooper@gseis.ucla.edu

www.easeproject.ucla.edu

UCLA EASE Project

(Equity and Access Studies in Education)

Research Administration Forum

February 9, 2023

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**.

Equity-Minded Systems Thinking Leadership

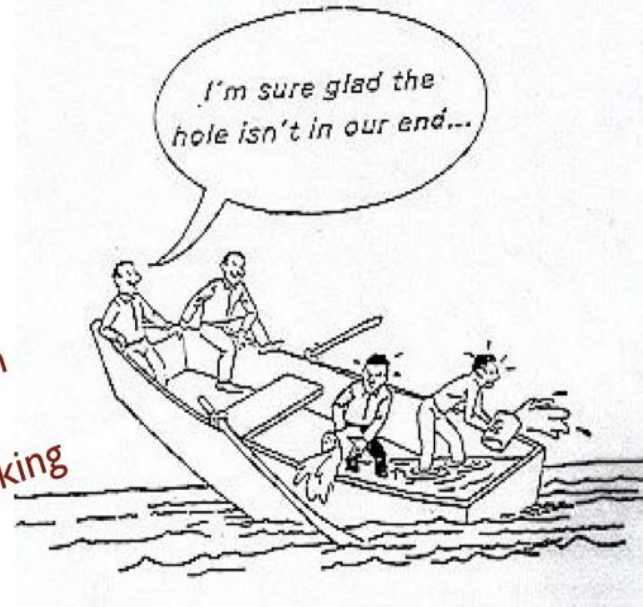
PRELIMINARY EDITION



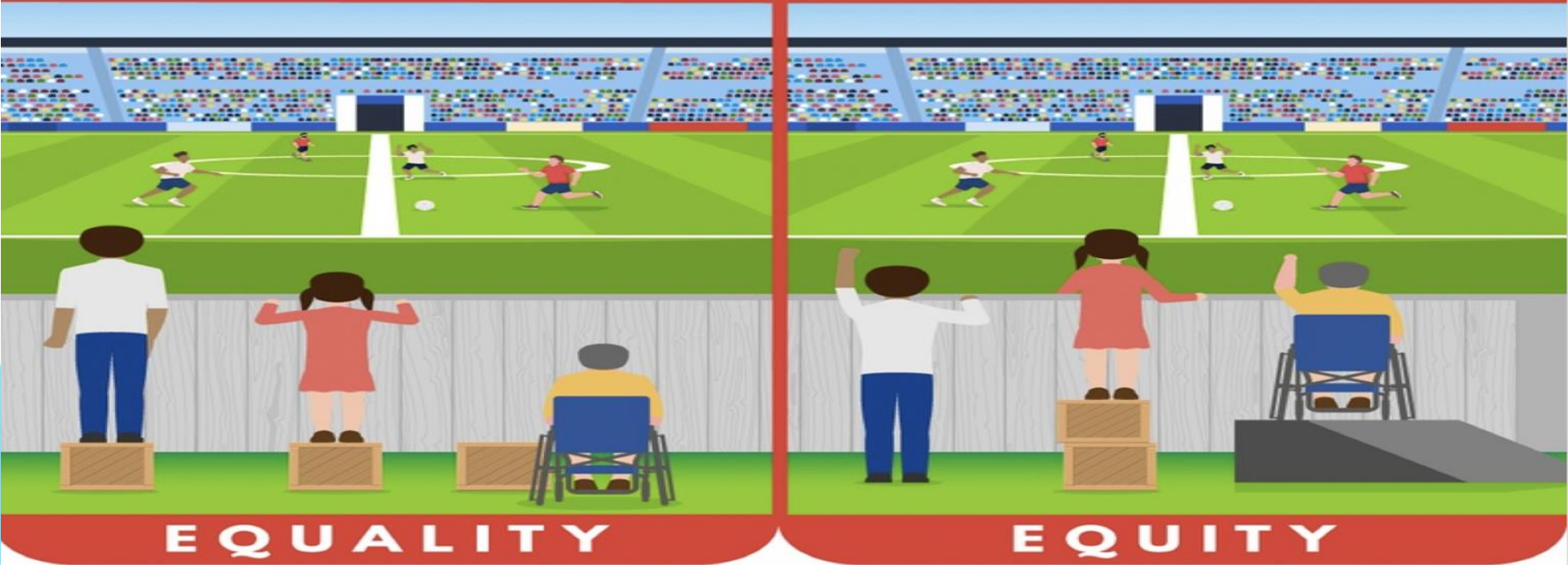
Edited by

ROBERT COOPER, III

- 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



Equality vs. Equity



Equity vs Equality

Dr. Susan K. Gardner, Oregon State University Dean of the College of Education is the narrator.

Black Joy

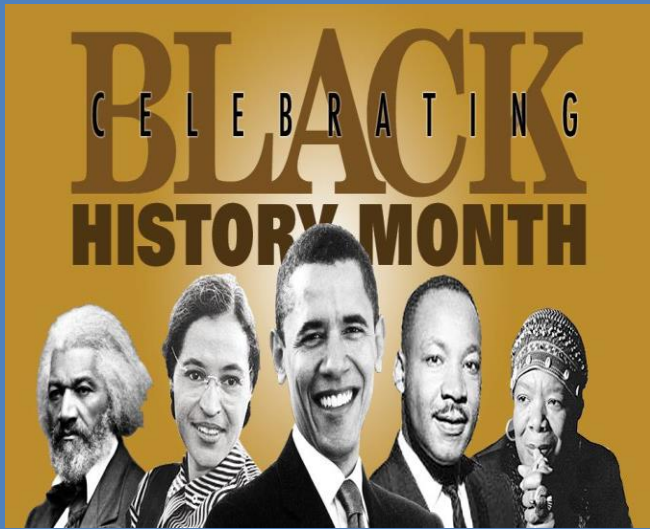
Acknowledging, Celebrating, & Valuing
Black Life, Black Culture, & Black People

S. Nzingha Dugas, 2023

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

Martin Luther King Jr.





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

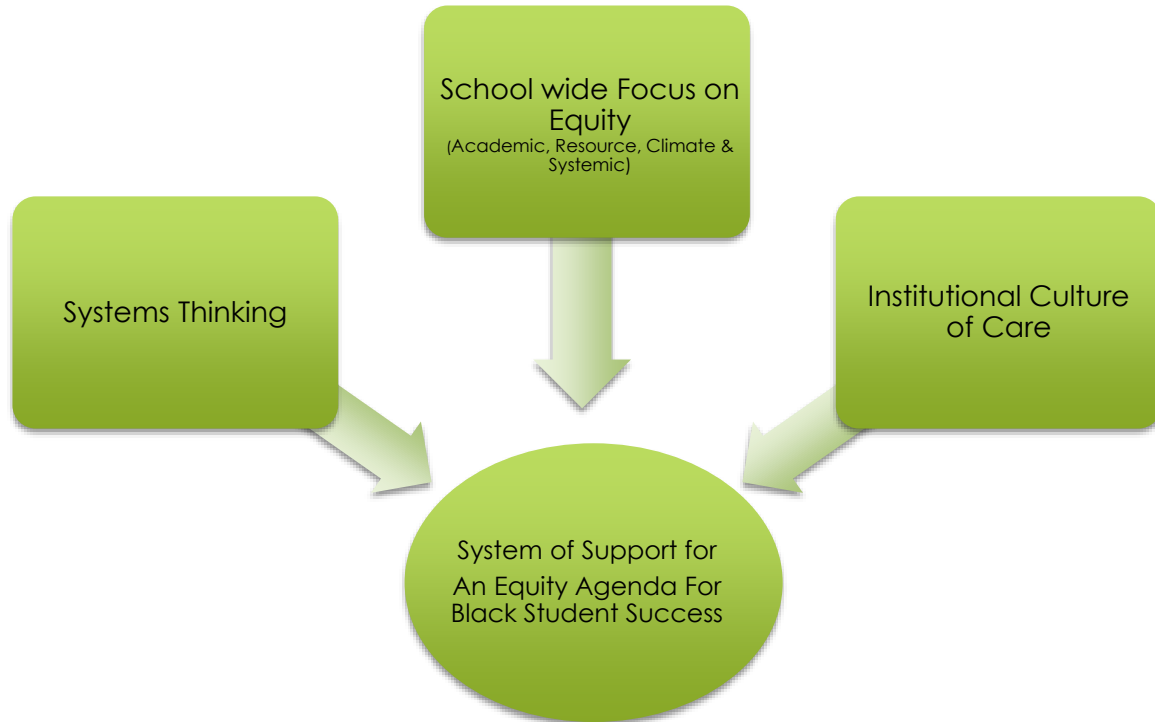
Developing A System of Support For The Education Success of Students

8

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 Sstudents.

- * 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



Mapping Your Journey to College (MyJTC)





Questions

UCLA
EASE
Project 10

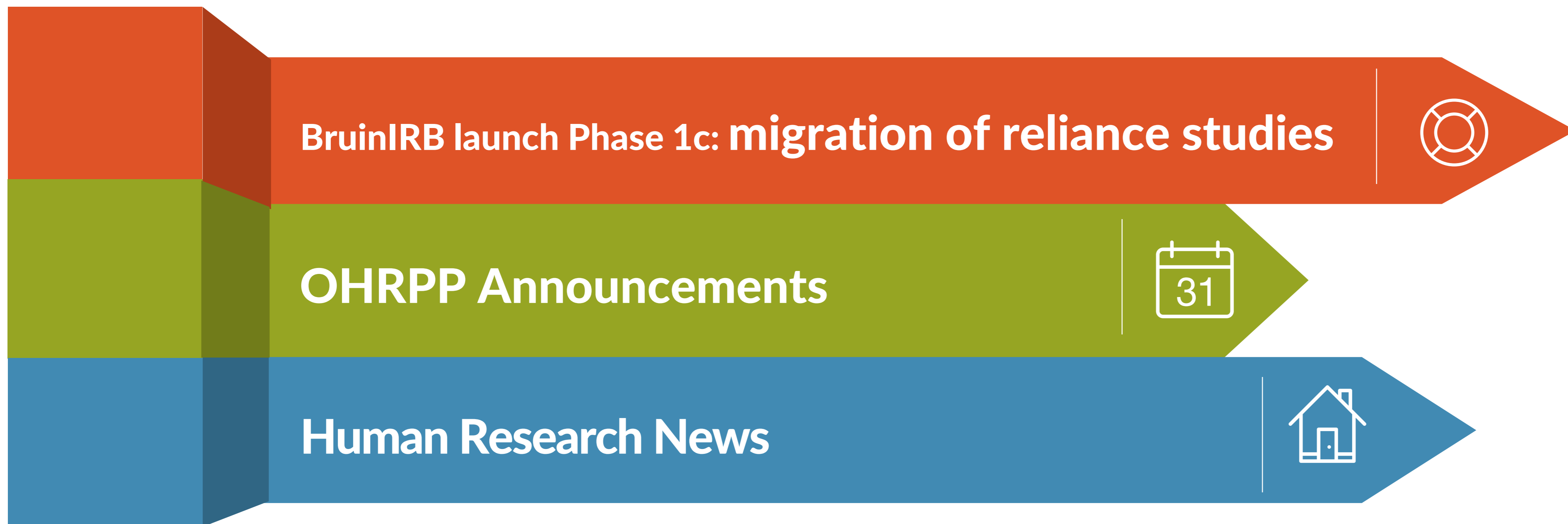
UCLA

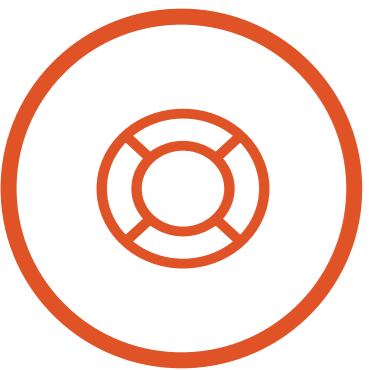
Research Administration

OHRPP Updates: Migration of Reliance studies to BruinIRB

February 9, 2023

OHRPP Updates





WebIRB to BruinIRB transition overview

Phase	Description	Status
<i>Phase 1a</i>	New Abbreviated application (HUD, Emergency Use, Expanded Access, Right to Try) submitted through BruinIRB	Currently active
<i>Phase 1b</i>	New Reliance applications submitted through BruinIRB	Currently active
<i>Phase 1c</i>	Migration of webIRB reliance applications to BruinIRB	NEXT: Estimated Spring 2023
<i>Phase 2</i>	<ul style="list-style-type: none">• New IRB applications (all remaining types) submitted through BruinIRB• Migration of remaining active webIRB applications to BruinIRB	Estimated late 2023/early 2024



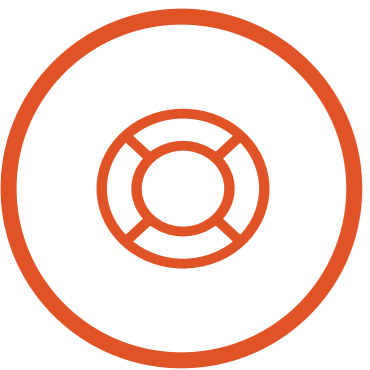
Migration of Reliance Studies to BruinIRB



- <http://Bruinirb.research.ucla.edu>
- 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*)



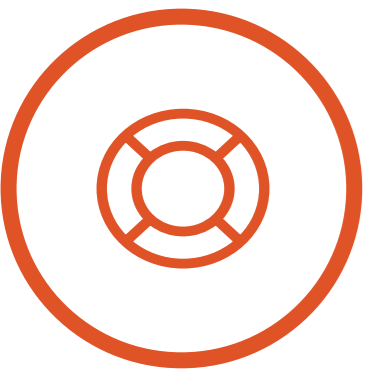
Migration of Reliance Studies – webIRB view

Once the migration has taken place, you will see a change in the study header in webIRB:

State will change to "migrated"

<p>Current State</p> <p>Migrated</p> <p>View Study</p> <p>Printer Version</p> <p>View Differences</p> <p>SS-Print All Request Notes</p> <p>Owner (IRB Staff): WENDY BRUNT</p> <p>PAR New Post-Approval Report</p>	<p>Study: webIRB to BruinIRB Reliance Migration (Initial)</p> <hr/> <p>Full Title of Study: Full Title - webIRB to BruinIRB Reliance Migration (Initial)</p> <p>Protocol ID: IRB#23-000001</p> <hr/> <table border="0"> <tr> <td>Principal Investigator:</td> <td>Joe Bruin</td> <td>Study Contact Person:</td> <td>ZHAOPING LI</td> </tr> <tr> <td>Faculty Sponsor:</td> <td>JEFFREY SAVER</td> <td>Initial Submission Date:</td> <td></td> </tr> </table> <hr/> <table border="0"> <tr> <td>Review Type:</td> <td>Expedited</td> <td>Committee:</td> <td>Reliance</td> </tr> </table> <hr/> <table border="0"> <tr> <td>PI Proxy:</td> <td>MICHAEL YUAN</td> <td>BruinIRB ID:</td> <td>IRB-14-0001</td> </tr> </table> <hr/> <p>PI Assurances: Completed</p> <p>FS Assurances: Completed</p>	Principal Investigator:	Joe Bruin	Study Contact Person:	ZHAOPING LI	Faculty Sponsor:	JEFFREY SAVER	Initial Submission Date:		Review Type:	Expedited	Committee:	Reliance	PI Proxy:	MICHAEL YUAN	BruinIRB ID:	IRB-14-0001
Principal Investigator:	Joe Bruin	Study Contact Person:	ZHAOPING LI														
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Review Type:	Expedited	Committee:	Reliance														
PI Proxy:	MICHAEL YUAN	BruinIRB ID:	IRB-14-0001														

Yellow highlighted box has a link to the migrated study in BruinIRB



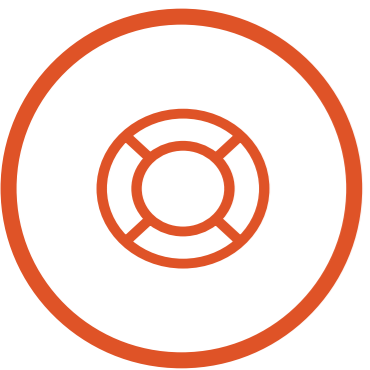
Migration of Reliance Studies – webIRB view

Once the migration has taken place, you will see a change in the study history in webIRB:

The migration action will be documented



History	Amendments	Continuing Review or Closure	Post-Approval Reports	Documents	Completed IRB Requests	Notices	Other Regulatory Documents	Training Log	Change Log
Filter by <input type="text" value="Activity"/> <input type="button" value="Go"/> <input type="button" value="Clear"/> <input type="button" value="Advanced"/>									
Activity	Author	Activity Date							
Studies to Migrated	Administrator, System	1/12/2023 8:10 AM							
Project Snapshot Generated	Administrator, System	1/11/2023 5:19 PM							
View Project Snapshot									
Letter/Notice Sent to PI: <i>External Review Accepted (Expedited)</i>	YUAN, MICHAEL C	1/11/2023 5:19 PM							
View Letter/Notice									
PI Assurances Completed	YUAN, MICHAEL C	1/11/2023 5:15 PM							
Project Snapshot Generated	Administrator, System	1/11/2023 5:13 PM							
View Project Snapshot									
Study Submitted for Review	YUAN, MICHAEL C	1/11/2023 5:13 PM							
FS Assurances Completed	YUAN, MICHAEL C	1/11/2023 5:13 PM							
Created Study	YUAN, MICHAEL C	1/11/2023 3:09 PM							



Migration of Reliance Studies – BruinIRB view

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

Active

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

Next Steps

View Site

Printer Version

Create Site Modification

Update Study Details

Report New Information

[Edit Study Personnel](#)

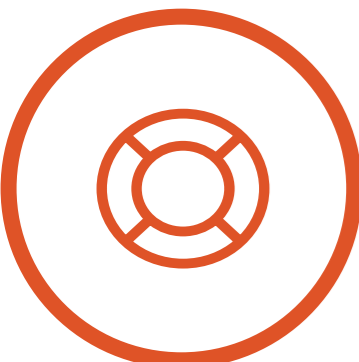
IRB-14-0001: webIRB to BruinIRB Reliance Migration (Initial)

Principal investigator:	JOE BRUIN	IRB office:	IRB
Lead principal investigator:		IRB owner:	Wendy Brunt
Submission type:	IRB Site	Review type:	Expedited
Study type:	Reliance	External study ID:	
Primary contact:	Zhaoping Li	Legacy webIRB ID:	IRB#23-000001
PI proxies:	Michael Yuan	MRSC ID:	MRSC-2023-001
PI proxies (Lead site):		MRSC Status:	Pre-Submission
External IRB:			

```

graph LR
    A([Pre-Submission]) --> B([Pre-Review])
    B --> C([Pending sIRB Review])
    C --> D([Post-Review])
    D --> E([Review Complete])
    D --> F([Modifications Required])
    F --> C
    B --> G([Clarification Requested])
    G --> B
  
```

UCLA Research Administration

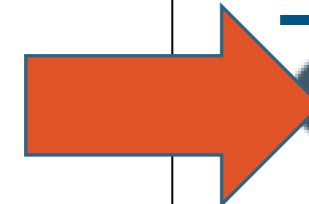


Migration of Reliance Studies – BruinIRB view

Once the migration has taken place, you will see your study in BruinIRB. Here’s what the study history will look like:

History	Funding	Contacts	Documents	Follow-on Submissions	Reviews	Snapshots
Filter by ? Activity <input type="text" value="Enter text to search for"/> <input type="button" value="Q"/> <input type="button" value="+ Add Filter"/> <input type="button" value="x Clear All"/>						
Activity	Author	Activity Date				
i WebIRB Migration Notification Migrated from webIRB: IRB#23-000001	Administrator, System	1/17/2023 12:26 PM				

The migration action will be documented





Migration of Reliance Studies – after the migration



DATE: 1/13/2023 10:03 AM
TO: JOE BRUIN
P. Investigator
P.I. Proxy
FROM: BruinIRB@research.ucla.edu
RE: **webIRB study has migrated to BruinIRB**
STUDY: webIRB to BruinIRB Reliance Migration (Initial)

BruinIRB
number



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.

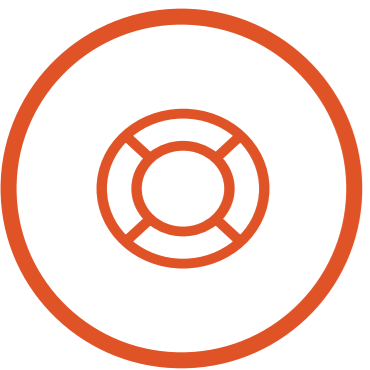


Old webIRB
number

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 ohrpp@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)	<ul style="list-style-type: none">• Find approval notices and correspondence <i>from before the migration</i>• <i>No sub-applications can be submitted through webIRB</i>
BruinIRB (active)	<ul style="list-style-type: none">• Submit AMs and PARs as needed• complete yearly PI assurance• message OHRPP staff• Find approval notices and correspondence <i>from after the migration</i>

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

31

OHRPP Office Hours

- 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



Subscribe to *Human Research News*

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](#)



Contact

Presenter: moore.rhys@research.ucla.edu



Research Administration
Contract & Grant Administration

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

NSF Safe and Inclusive Working Environment Plans

- **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”***

Plan Components

- **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.

Requirements

- **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 | UCLA Office of Contract and Grant Administration

Forms

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](#)
- [eEDGE 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](#)
 - [eEDGE \(Electronic Disclosure Gateway\)](#)
- [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 PAPPG Guide II-E.9). Grantees are required, effective with proposals submitted 1/30/23 or later, to certify that we have a plan in place that addresses:

- (1) Abuse of any person, including but not limited to harassment, stalking, bullying or hazing 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 amplified 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 leaving 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 Appointees](#)
- [Complaint Resolution](#)
- [Gender Recognition and Lived 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 [Report Sexual Harassment](#)
- (3) UCLA Police Department
Email: info@ucpd.ucla.edu
Phone: (310) 825-1491

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

PROJECT SPECIFIC INFORMATION

Plan Date or Version (<i>enter date the plan was prepared or updated, or a version number</i>). Preparer 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 (<i>fieldwork, research activities on vessels or aircraft, work in an off-campus location, etc</i>)	
Estimated Departure and Return Dates (<i>begin and end dates of off-campus research</i>).	
Will participants have regular internet or cell service available? (<i>If no, what alternate arrangements are in place for participants to report suspected misconduct?</i>)	
Will participants from other entities (governmental, company, sponsor, educational institutions, subrecipients) be involved? <i>If yes, are there any special arrangements or guidance participants need to make sure they know they should also report misconduct involving these individuals?</i>	
Recommended contact for any suspected misbehavior (<i>note: participants remain free to use this contact or any other contact they prefer to report misconduct; more than one contact may be listed</i>).	
Any special circumstances that necessitate special plans (<i>e.g., participants are at sea or other remote locations without ability to make contact with University reporting offices; only a single satellite phone is available for the group; there are physical or other barriers that may require special attention to ensure full participation; no local transportation to a safe space is likely to be available; variance in cultural norms might necessitate advance awareness training;</i>). If yes, what arrangements are in place to manage these special circumstances?	
Other Comments or Information that participants may find useful. <i>Include local police and medical services numbers; for international trips, it is wise to include embassy/consulate contact information if not already provided.</i>	

NSF 2023 Pilot Bio & Geo

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 \(ucla.edu\)](https://ehs.ucla.edu/field-research)

The screenshot shows a web browser window with the URL <https://ehs.ucla.edu/field-research>. The page header includes the UCLA logo and the text "Environment, Health & Safety". Navigation links include "About EH&S", "How Can We Help?", and "Programs & Tools", along with a search icon. The main heading is "Field Research Safety Resources & Training". Below the heading are three columns of content:

- Field Safety Planning**: Accompanied by an illustration of people around a clipboard and a shield. The text states: "You are required to submit a [field safety plan](#) before going into the field!" and "Don't forget to register with [UC Away](#) before your trip."
- Equipment Loaner Program**: Accompanied by an illustration of a red first aid kit. The text asks: "Do you need safety equipment for your next fieldwork assignment? [Check out](#) what is available and [request equipment](#)"
- Questions?**: Accompanied by the "Field Research Safety" logo. The text says: "Contact UCLA Field Research Safety at fieldresearch@ehs.ucla.edu or [book virtual office hours here](#)". Below this, it says "Email Field Safety Specialist [Claudia Alli](#)."



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

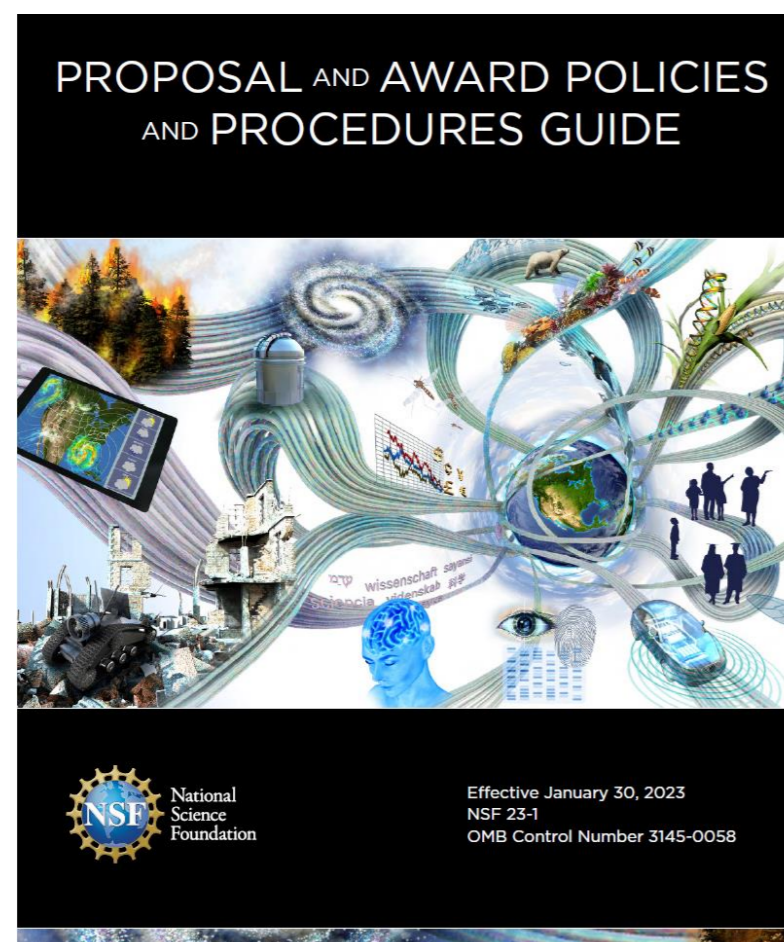
Public Law 116-283 – Jan 1, 2021

(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) | NSF - National Science Foundation

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.

National Defense Authorization Act

Public Law 116-283 – Jan 1, 2021

42 USC 6605. **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;

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

Update. (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).

NSF Fillable PDF - Current & Pending Support

Effective 01/30/2023 NSF CURRENT AND PENDING (OTHER) SUPPORT OMB-3145-0058

*Name:
ORCID ID (Optional):
*Position Title :
*Organization:
*Location:

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.



Signature (Please type out full name): Date:

(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

- [NOT-OD-23-056: Guidance on Salary Limitation for Grants and Cooperative Agreements FY 2023 \(nih.gov\)](#)
 - 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)

a.	Individual's institutional base salary for a FULL-TIME calendar year appointment	\$ 240,000.00	(FTS)
b.	Direct Salary with research effort (50%)	\$ 120,000.00	(a x .50)
c.	Fringe Benefits requested at 25% of salary	\$ 30,000.00	(b x .25)
d.	SUBTOTAL	\$ 150,000.00	(b + c)
e.	Requested F&A (indirect) costs at 45% of subtotal	\$ 67,500.00	(d x .45)
f.	Total amount to be requested	\$ 217,500.00	(d + e)

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

g.	Salary Cap – FY 2023	\$ 212,100.00	
h.	Salary Cap with research effort (50%)	\$ 106,050.00	(g x .50)
i.	Fringe Benefits calculated at 25% of allowable salary	\$ 26,512.50	(h x .25)
j.	SUBTOTAL	\$ 132,562.50	(h + i)
k.	Associated F&A (indirect) costs at 45% of subtotal	\$ 59,653.13	(j x .45)
l.	Total amount to be awarded due to salary limitation	\$ 192,215.63	(j + k)

NIH- NRSA

[NOT-OD-23-076: Ruth L. Kirschstein National Research Service Award \(NRSA\) Stipends, Tuition/Fees and Other Budgetary Levels Effective for Fiscal Year 2023 \(nih.gov\)](#)

NRSA Stipend Levels FY2023

Career Level	Years of Experience	Stipend for FY 2020
Predoc	All	\$27,144

Postdoctoral	0	\$56,484
	1	\$56,880
	2	\$57,300
	3	\$59,592
	4	\$61,572
	5	\$63,852
	6	\$66,228
	7 or More	\$68,604

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

[NRSA FAQs](#)

[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

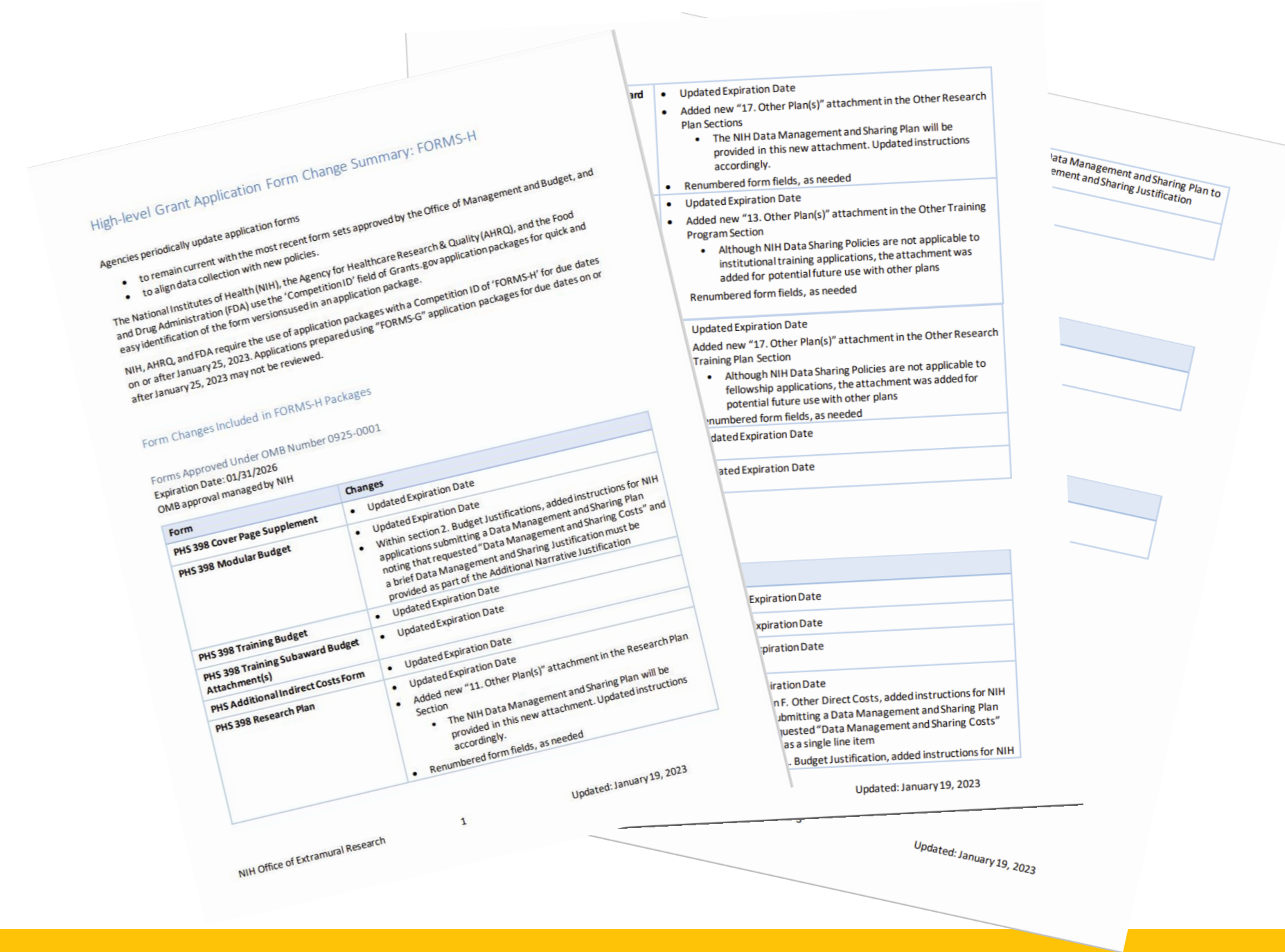
- New/Revised Funding Opportunities will in cooperated Forms-H requirement

[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 \(nih.gov\)](#)





CAMPUS TRAINING

<https://ocga.research.ucla.edu/training-calendar/>

February

S2S Grants Basics

Wednesday, February 15, 2023

9:00am-11:30 am

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>



Extramural Fund Management

February 9, 2023

Agenda

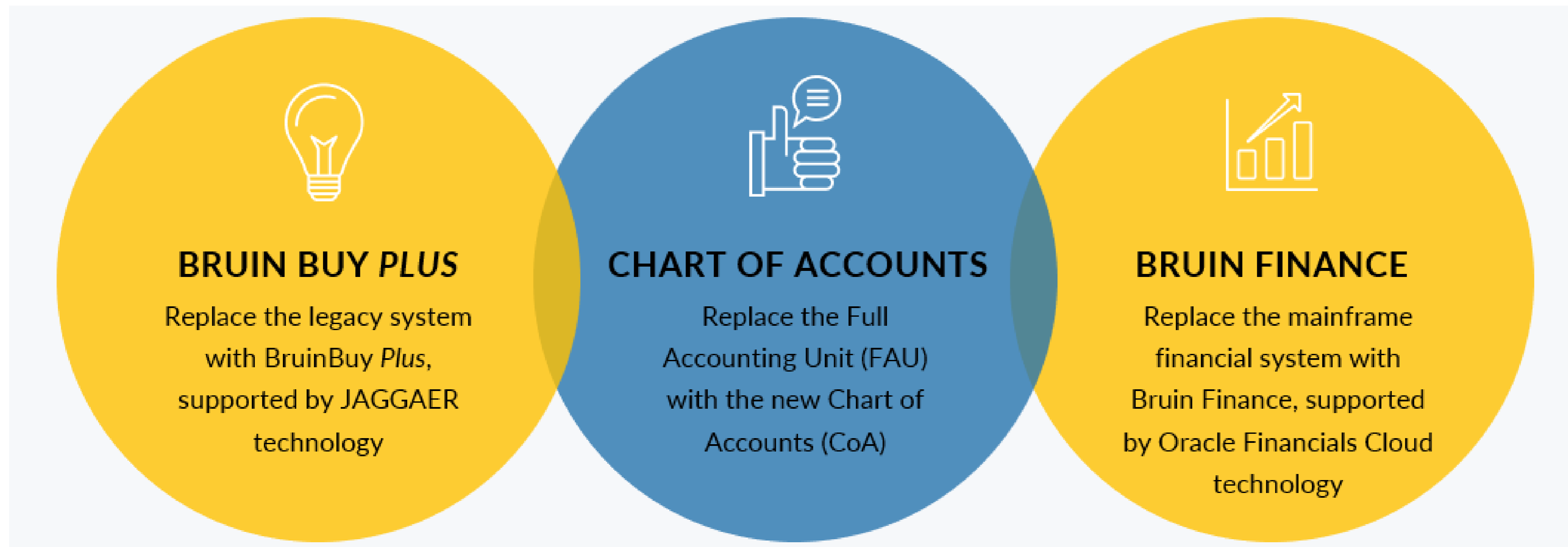
- **Ascend 2.0**
- **Closing expired funds**

Ascend 2.0

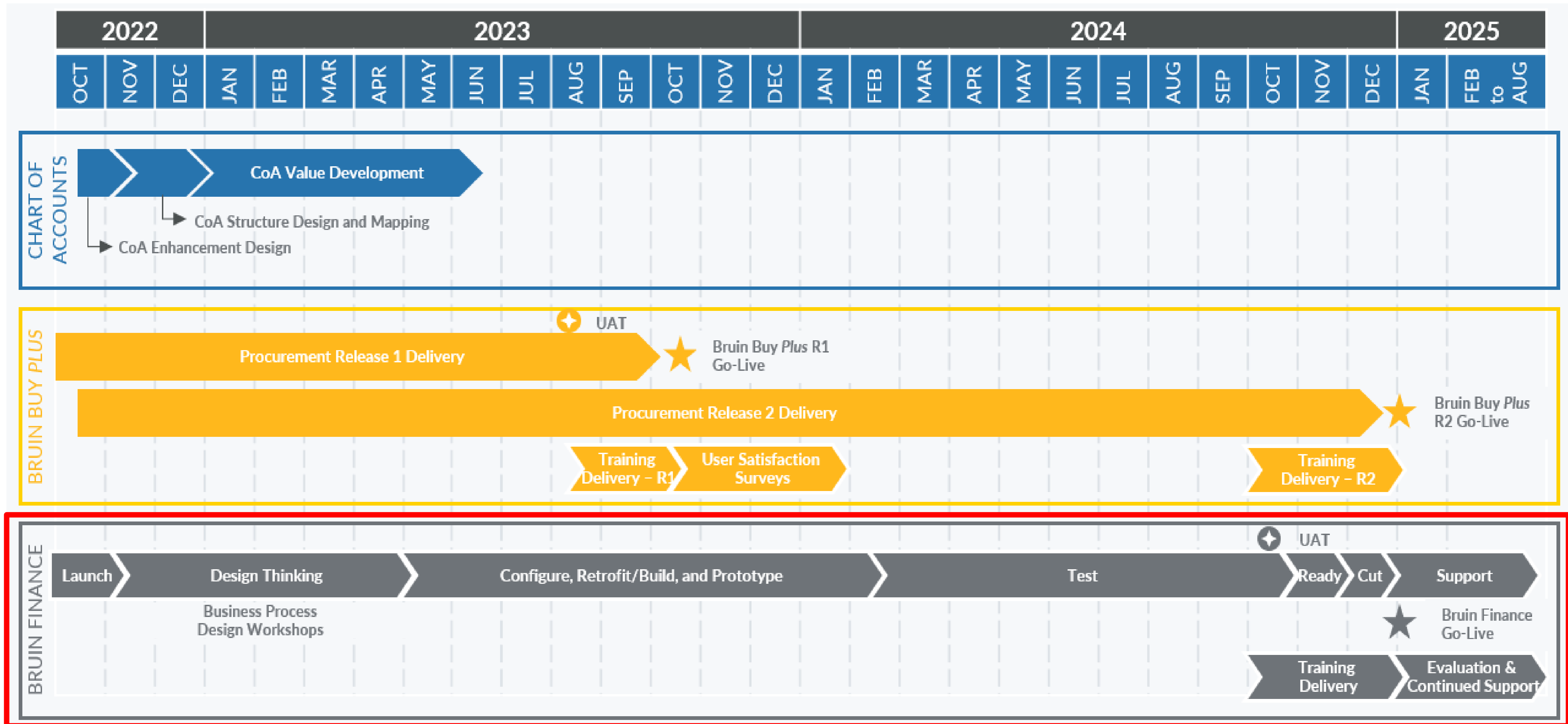
Yoon Lee

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.**

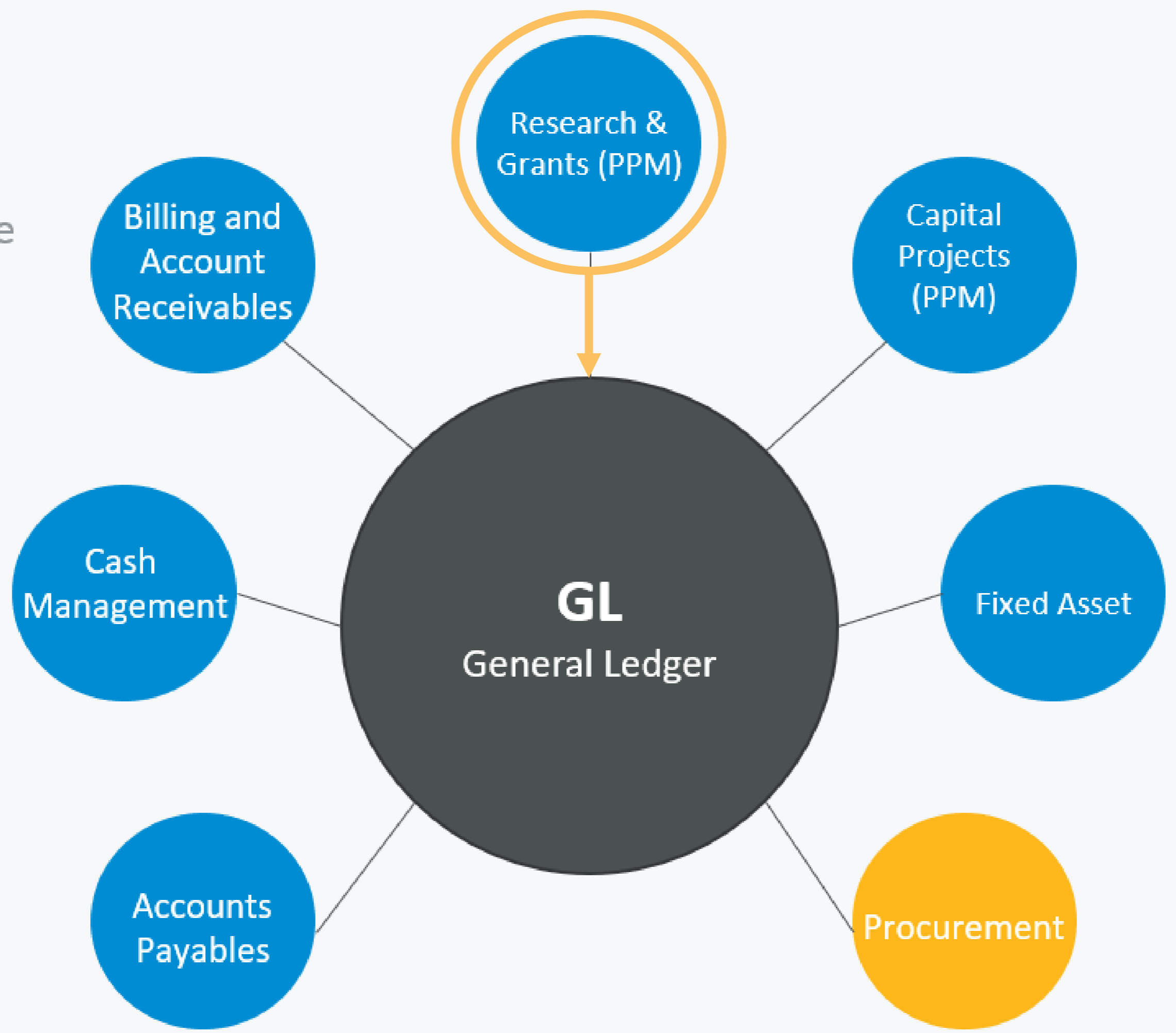


High Level Program Timeline



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

Ascend 2.0: Campus Engagement

- **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).

Research Engagement

- 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/W_N_QwQmuFDNRn-_3ON5-N5_vw

ASCEND 2.0 WEBSITE: Visit <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 Fund to Close: Report

PAMS UCLA Research Administration Post Award Management System

Worklist | Award Overview | Financial Deliverables | Billing and Reporting | Accounts Receivable | Closeout | **Management Reports** | Administration

Overview | F&A Reconciliation | Reports | ORA Only Reports

Overview

F&A Reconciliation

[F&A Reconciliation](#)
This link directs you to the Billing and Reporting tab to review the reconciliation of a fund's indirect costs.

Reports

[Expired Funds to Close](#) *click here!*
This report contains funds that expired 120 days ago or earlier, and have not been closed. This report updates nightly.

[Funds Pending UCPATH Resolution](#)
This report details which funds cannot be fiscally closed due to UCPATH issues, and what issues are impacting each fund.

“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.

11

*From RAF
in February 2021
(More detailed info is available in
the slide 12 in Feb 2021 RAF)*

ORC: Department Dashboard

- ORA Online Resource Center: <https://portal.research.ucla.edu>

UCLA Research Administration 10010 **ORA Online Resource Center**

General Statistics Pre-Award Post-Award Compliance

REPORTS

- Award Data Reports
 - Current Year Award Stats by Dept, PI
 - Prior Year Data Download by Dept
 - Advanced Search & Snapshot Report
- Proposal Data Reports
 - Current Year Proposal Stats by Dept, PI
 - Prior Year Proposal Data Download by Dept

LATEST STATISTICS

- Current FY Awarded-to-Date Dollars and Counts
\$1,295,798,095 (5,873) FY 2021-2022
- Current FY Requested-to-Date Dollars and Counts
\$3,749,407,933 (4,475) FY 2021-2022

DASHBOARDS

- Department Dashboard **NEW**

Expired Funds to Close

2,490

Only Non-Zero Operating Balance: 1,131

■ All balances = \$0
■ Only Open AR
■ Balance in one area only (Encumbrance or AP)
■ Only non-Zero Operating Balance
■ Multiple Balances
■ Financial Deliverables in a Non-terminal Status

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.

Closeout Packets 2,640

■ Not Submitted (EFM Started)
■ Submitted Late
■ Submitted On-Time

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.

Financial Deliverables 14,691

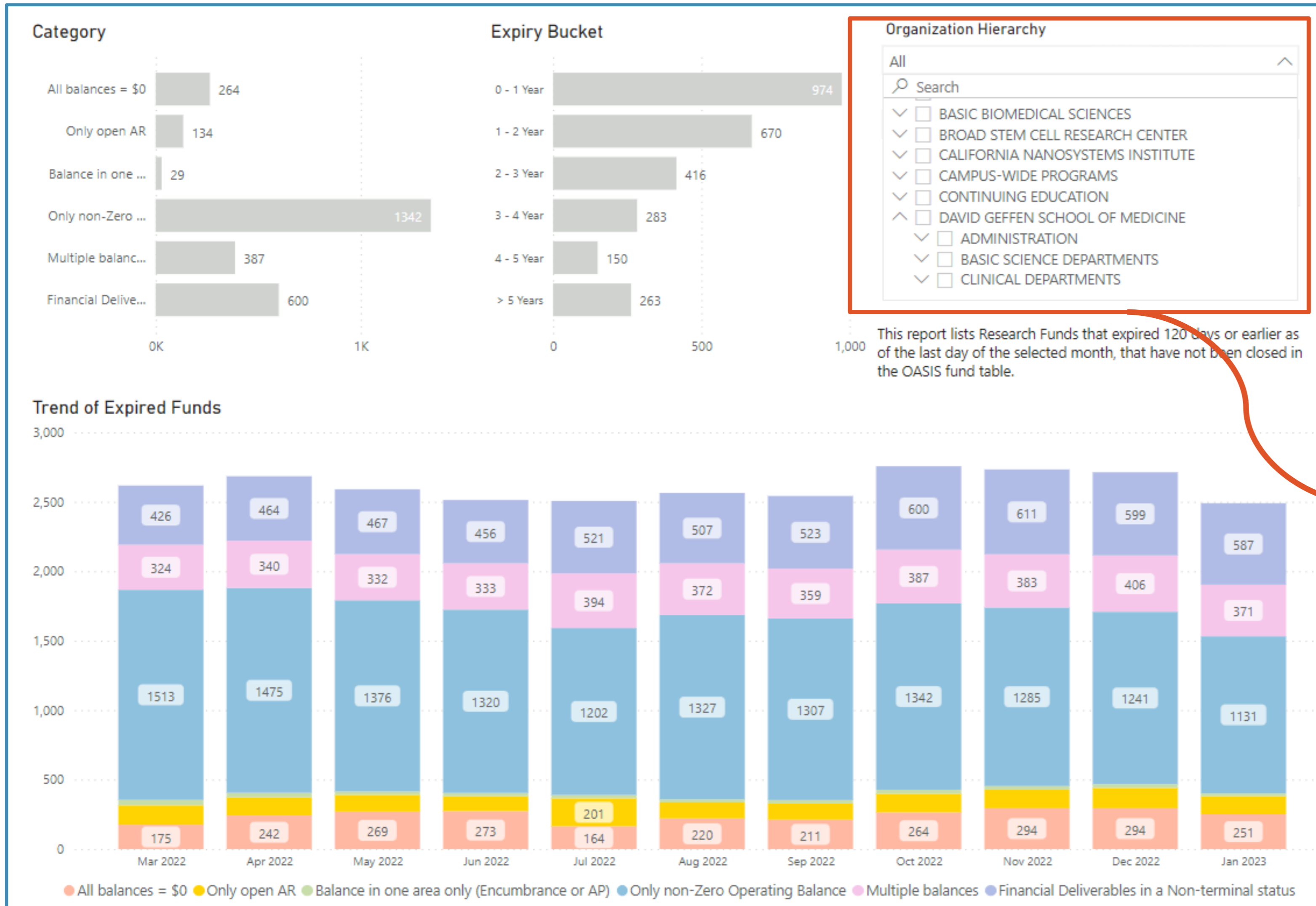
■ Not Started
■ Pending Department Action
■ Pending CONT/NCE
■ In Progress
■ Completed

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.

Newly added

Data as of 2/8/23

ORC: Department Dashboard



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.

Expired Fund to Close: Status and Summary

Number of funds expired in by school as of 2/07/23	2015 or prior	2016	2017	2018	2019	2020	2021	2022	Total
ADMINISTRATIVE VICE CHANCELLOR						1	2	3	6
ANDERSON SCHOOL OF MANAGEMENT	1					1		4	6
BASIC BIOMEDICAL SCIENCES	2			1	2		3	11	19
BROAD STEM CELL RESEARCH CENTER	1						1	1	3
CALIFORNIA NANOSYSTEMS INSTITUTE		1			1	1	1	1	5
CAMPUS-WIDE PROGRAMS							2		2
DAVID GEFFEN SCHOOL OF MEDICINE	15	8	10	37	98	122	302	446	1,038
DENTISTRY	7		6	3	5	1	6	14	42
EDUCATION & INFO STUDIES	3		2	3	3	14	15	32	72
ENROLLMENT MANAGEMENT				1		1	1	1	4
GRADUATE EDUCATION ORG							1		1
HENRY SAMUELI SCHOOL ENGR & APPL SCIENCE	19	2	21	17	36	40	64	113	312
HERB ALPERT SCHOOL OF MUSIC				1					1
INSTITUTE OF AMERICAN CULTURES			1					6	7
INTERNATIONAL INSTITUTE	2		1				1	5	9
LETTERS AND SCIENCE	19	7	13	32	57	72	95	223	518
LUSKIN SCHOOL OF PUBLIC AFFAIRS	4	3	1	8	9	12	12	28	77
MEDICAL CENTER	2		1		4	1	2		10
SCHOOL OF ARTS AND ARCHITECTURE	2	1	2	2	1	1	2	10	21
SCHOOL OF LAW				2	2	3	5	12	24
SCHOOL OF NURSING		2		1		1	1	6	11
SCHOOL OF THEATER, FILM & TELEVISION	1								1
SEMEL INSTITUTE	4	1	5	13	23	41	70	90	247
UCLA FIELDING SCHOOL OF PUBLIC HEALTH	3	1	2	1	5	8	15	36	71
VC RESEARCH	1								1
VC STUDENT AFFAIRS	2					1	2		5
Total	88	26	65	122	246	321	603	1,042	2,513
As of 2/10/21, Number of funds expired in	261	91	144	296	713	921			2,426
Decrease in the numbe of funds expired in	(173)	(65)	(79)	(174)	(467)	(600)			(1,558)

- 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.

Any Questions?

Contact Information

EFM Website

<https://efm.research.ucla.edu>

Yoon Lee

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Email: yoan.lee@research.ucla.edu



February 2023 Research Administration Forum Q&A

Contents

Associate Vice Chancellor	1
UCLA School of Education & Information Studies (SEIS)	1
Human Research Protection Program Hot Topics	1
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.