



# Research Administration Forum

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April 11, 2024

# Welcome and Reminders

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- 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

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- **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

UCLA

Health

Information Technology

# Overview Page



**UCLA** Health

Information Technology

About ▾

Services

Support ▾

Resources ▾

News and Events

## 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



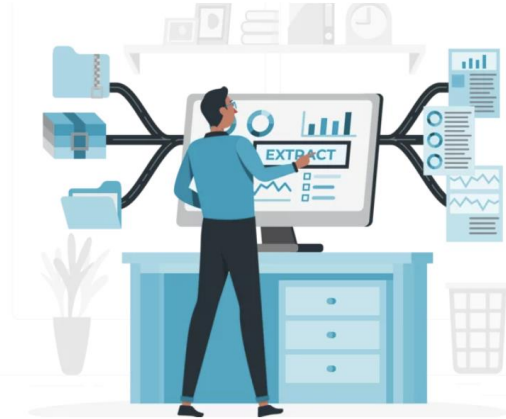
## Services to facilitate your research



### Computation, Storage, Software

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

[Learn more](#)



### Data Access and Collection

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

[Learn more](#)



### Study Activation and Development

Platforms and services involved in the process of activating and developing studies and clinical trials.

[Learn more](#)

# 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.

- |                               |   |                                       |   |
|-------------------------------|---|---------------------------------------|---|
| Account Transfer              | ▼ | Local Presentation Support            | ▼ |
| Conference Room Booking       | ▼ | New IT Project Request Intake Form    | ▼ |
| CTSI Researcher Resources     | ▼ | Onboarding Reminders                  | ▼ |
| Data Management Planning Tool | ▼ | UCLA Biomedical Library Key Resources | ▼ |

## Resource Facilities

- |   |   |
|---|---|
| Core Services                                 | ▼ |
| Division of Laboratory Animal Medicine (DLAM) | ▼ |

# Training and Consultations



## Training


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


[Bioinformatics Training](#) 

[Biostatistical Consults](#) 


[Data Management Consultation](#) 

[Citation Management](#) 

[Environmental Health & Safety](#) 


[NIH Data Management and Sharing Guidelines](#) 

[Research Workshops Portal](#) 

[Research Tech Talk Recordings](#) 

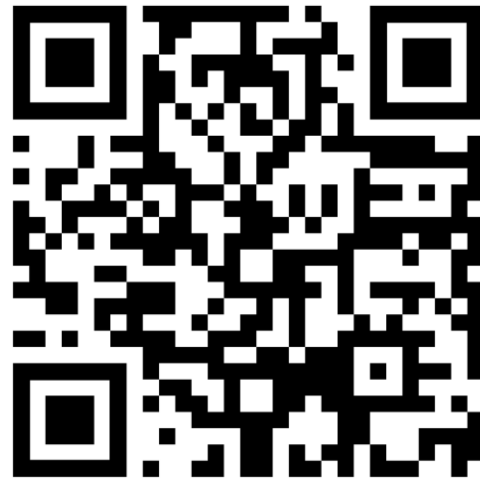
[Statistics Webinar](#) 

[UCLA Health Data Day Recordings](#) 

[ULEAD Training and Support](#) 

Bookmark This Page

<https://uclahs.fyi/researcher-resources>



# Questions

Contact UCLA Health IT Research Informatics Team

<https://uclahs.fyi/DGITresearchcontact>

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# OFFICE OF CONTRACT & GRANT ADMINISTRATION UPDATES

APRIL 2024

RESEARCH ADMINISTRATION FORUM

TRACEY FRASER, SENIOR DIRECTOR, OCGA

**UCLA** Research  
Administration

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# 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

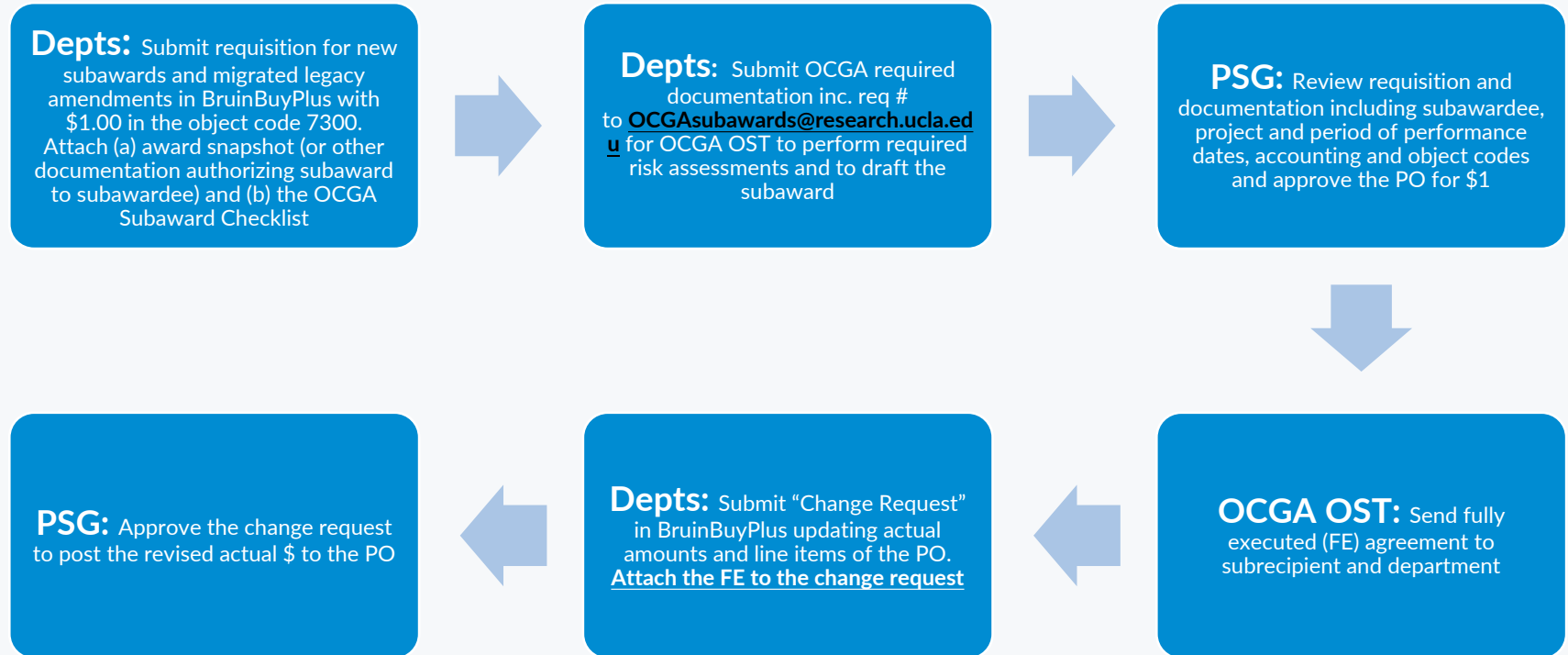
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**REVISED SUBAWARD PO PROCESS FOR  
OUTGOING AGREEMENTS UNDER GRANTS  
AND COOPERATIVE AGREEMENTS**

**Tentative Effective Date: May 1, 2024**

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# NEW SUBAWARDS & MIGRATED LEGACY AMENDMENTS




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## 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

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# AMENDMENTS TO NEW SUBAWARDS


**Depts:** Submit OCGA required documentation inc. req # to [OCGAsubawards@research.ucla.edu](mailto: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

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**NASA**  
**CHINA**  
**RESTRICTION**

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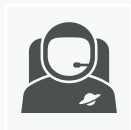
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# REVIEW: NASA PEOPLES REPUBLIC OF CHINA (PRC) RESTRICTION

Requirements & Process



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

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# DEFINITIONS

NASA China Restriction



## China or Chinese-owned Company means:

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

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



## Bilateral

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

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

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# 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 of whether the involvement is funded or performed under a no-exchange of funds arrangement
- We will flow requirements down to subawardees

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# 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:

- **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

## 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)

**NASA CHINA**

**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.)***

INFORMED PARTICIPATION LETTER:  
**CONTRACT**

# UCLA NASA Subaward Questionnaire

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

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

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

- A. Is any Participant enrolled at a Chinese university or does any Participant have a written agreement to become (or to return as) as a student of a Chinese university?
- B. If a Participant is a student, does such Participant receive any type of financial support (other than a scholarship) from the Chinese government or a Chinese owned company or university?
- C. Does any Participant receive research materials or any other type of goods from China or a Chinese owned company or university? (Do not include the purchase of commercial supplies needed to perform the NASA award scope of work.)
- D. Is any Participant co-authoring a paper with a person from China or a Chinese owned company or university that is the result of activity funded by NASA after April 2011?

***I have completed the NASA Questionnaire for Assistance Awards on behalf of myself and all individuals performing any part of the scope of work of project identified below and have determined and hereby certify that ..... :***

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

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

**INFORMED PARTICIPATION LETTER:  
FINANCIAL ASSISTANCE**

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**DEPARTMENT OF ENERGY (DOE)**  
**UPDATED SPECIAL TERMS &**  
**CONDITIONS**

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# 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.

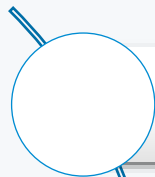
## UC Issues

- 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.

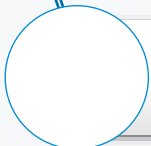
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# DOE SPECIAL TERMS & CONDITIONS: C&P SUPPORT

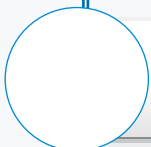
Applicable to Most Grants And Cooperative Agreements



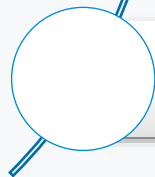
Any updates to previously submitted C&P disclosure statements require submission of an updated C&P disclosure statement **within thirty calendar days of the change.**



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

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# DOE SPECIAL TERMS & CONDITIONS: PARTICIPANTS

Applicable to Most Grants And Cooperative Agreements

## Participants

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

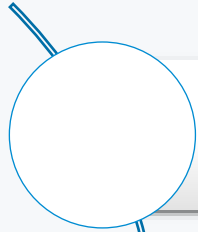
## Information Required

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

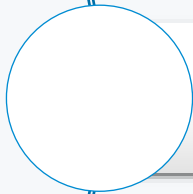
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# DOE SPECIAL TERMS & CONDITIONS: FOREIGN COLLABORATIONS

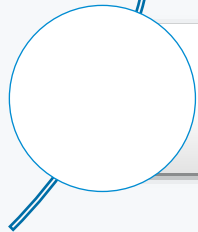
Applicable to Most Grants And Cooperative Agreements



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

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## 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



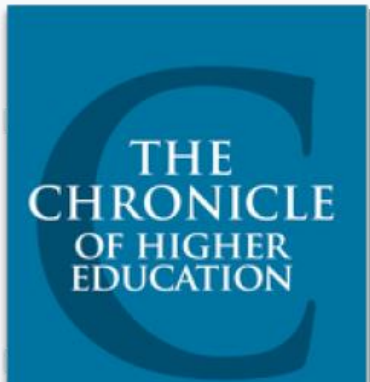
Budget and plan accordingly

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# LATE REPORTS

**FEDERAL AGENCIES ARE TAKING  
THIS VERY SERIOUSLY**

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## 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.”*

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# UPCOMING OCGA MONTHLY TRAINING

[Register for each session individually](#)

Submitting a Proposal for OCGA Review

April 17, 2024

NSF Research.gov

May 15, 2024

Preparing an NIH Multiple Component/Project  
Application NIH ASSIST

July 17, 2024

Award Processing

August 21, 2024

S2S Grants Basics

September 18, 2024

Completing the EPASS

October 16, 2024

Electronic EPASS System

October 23, 2024

Post-Submission Requirements

November 20, 2024



# NSF & Other Federal Grant Updates

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April 11, 2024

# CHIPS Act of 2022

<https://www.congress.gov/bill/117th-congress/house-bill/4346>

## 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.

## §19040. Foreign financial support

### (a) In general

The Director shall request, on an annual basis, from a recipient institution of higher education a disclosure, in the form of a summary document, from the institution, a foundation of the institution, and related entities such as any educational, cultural, or language entity, of the current financial support, the value of which is \$50,000 or more, including gifts and contracts, received directly or indirectly from a foreign source (as such term is defined in [section 1011f\(h\)\(2\) of title 20](#)) associated with a foreign country of concern.

### (b) Records

Each disclosure to the Director under this section shall be made on the condition that the institution will maintain a true copy of the relevant records subject to the disclosure requirement until the latest of-

- (1) the date that is four years after the date of the agreement;
- (2) the date on which the agreement terminates; or
- (3) the last day of any period that applicable State public record law requires a true copy of such agreement to be maintained.

### (c) Documentation

Upon review of the disclosures under this section, the Director may request that a recipient institution provide true copies of any contracts, agreements, or documentation of financial transactions associated with disclosures made under this section.

### (d) Office of the Inspector General

The Director, acting through the Office of Research Security and Policy in coordination with the Foundation's Office of Inspector General and in consultation with the recipient institution, may reduce the award funding amount or suspend or terminate the award if the Director determines-

- (1) such institution fails to comply with the records retention requirement in subsection (b) or fails to provide information requested under this section; or
- (2) the Chief of Research Security determines the disclosures under this section indicate a threat to research security.

# CHIPS Act of 2022

<https://www.congress.gov/bill/117th-congress/house-bill/4346>

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[Proposal & Award Policies & Procedures Guide \(PAPPG\) \(NSF 24-1\) | NSF - National Science Foundation](#)

## 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.

# NSF

## Proposal & Award Policies & Procedures Guide (PAPPG) (NSF 24-1) | NSF - National Science Foundation (PAPPG NSF 24-1)

***Effective: May 20, 2024***

### 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.

# Malign Foreign Talent Recruitment Programs

## 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.

# NSF – PAPPG Updates

## 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**

The image shows a detailed form titled "UCLA OCGA Subrecipient Letter of Intent (LOI)". The form is for the University of California, Los Angeles (UCLA) Office of Contract & Grant Administration (OCGA). It includes sections for:

- UCLA Project Information:** Principal Investigator, Proposal Title, UCLA Sponsor.
- Subrecipient Information:** Legal Name, UEI Number\*, Principal Investigator, Project Start Date, Project End Date, Total Requested Costs (USD), Total Cost Share (USD), Indirect Cost Rate(s).
- Proposal Components:** Statement of Work (required), Detailed Budget (required), Negotiated Indirect Cost Rate Agreement (required), Budget Justification (required), Other.
- Project Use:** Human Subjects, Animal Subjects, Recombinant DNA, Stem Cells, Genomic Data Sharing, Dual Use Research of Concern (DURC).
- Additional Subrecipient Information:** Is Subrecipient a for-profit entity?, Is Subrecipient registered in SAM.gov?, Is Subrecipient a U.S. entity?, Payment Address.
- Conflict of Interest Requirement:** Information regarding NSF, DOE, NASA, or PHS funding and FCOI policy.
- NIH International Subrecipient Reporting Requirements:** For non-U.S. Subrecipients only.

At the bottom, there are fields for the Name and Title of the Authorized Official, Email Address for Subaward Issuance, Signature, and Date.

<https://ocga.research.ucla.edu/outgoing-subawards-overview/>

# NSF – Training Opportunity

[2024 NSF Policy Office Webinar Series – NSF Policy Office Outreach \(nspolicyoutreach.com\)](https://nspolicyoutreach.com)

NSF Policy Office Webinar:  
Implementing the Common  
Forms for the Biographical  
Sketch and Current and  
Pending (Other) Support  
**Thursday, April 25<sup>th</sup>, 2:00 – 3:00 PM EDT**

Please join us on Thursday, April 25<sup>th</sup> 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 SciENCv.

[Webinar Registration - Zoom \(zoomgov.com\)](https://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>

An aerial photograph of Los Angeles, California, showing the city skyline with several skyscrapers in the distance and the UCLA campus in the foreground. The campus features various academic buildings, a large green field, and a swimming pool. The image is used as a background for a presentation slide.

# EXTRAMURAL FUND MANAGEMENT

APRIL 11, 2024



# EFFORT REPORTING

*Val Gomez*

# UPCOMING RELEASE

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

Reporting Period	Non-Academics and 11/12 Academics	9/12 Academics	Certification Due Date
Fall 2023	October 2023 – December 2023	July 2023 – October 2023	July 29, 2024
Winter 2024	January 2024 – March 2024	November 2023 – February 2024	July 29, 2024

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

# CERTIFICATION METRICS

Effort Report Certification Rates can be found in the [ORA Online Resource Center](#) – As of April 11<sup>th</sup>, there are **17,233 open reports**

## REMINDERS

- Federal regulation, Uniform Guidance requires that an entity receiving federal funding to have **adequate documentation to support that compensation** charged to federal grants is reasonable for the work performed (2 CFR. §200.430 Compensation - personal services).
- **Effort reporting** is UCLA's current method of complying with the requirement and certifying to granting agencies that the effort required as a condition of the award has been met.
- The ERS Helpdesk will continue to engage in campus outreach, collaborating with ERS Coordinators to address open effort reports.

## GOAL - Reduce ERS backlog & increase on-time certification

Academic Year	Fall			Winter			Spring			Summer		
	Cert. %	Certified	Open	Cert. %	Certified	Open	Cert. %	Certified	Open	Cert. %	Certified	Open
2022-2023	75%	4,144	1,362	74%	4,248	1,435	54%	3,180	2,690	54%	3,276	2,723
2021-2022	86%	4,781	767	85%	4,699	770	80%	4,570	1,075	80%	4,667	1,159
2020-2021	92%	4,749	407	91%	4,797	368	87%	4,875	667	86%	5,262	798
2019-2020	92%	4,853	373	93%	4,939	368	92%	4,794	374	92%	5,242	423
2018-2019	95%	5,779	298	95%	4,899	250	92%	5,030	400	92%	5,351	420

# UPCOMING LMS COURSE HOSTED BY EFM

- **Post Award Research Administration:** Online course is covered in two half-day sessions
  - Monday, May 6<sup>th</sup> and Tuesday, May 7<sup>th</sup> from 8:30am - Noon
- **RAPID Closeout Tool:** Online course is covered in one half-day sessions
  - Monday, May 13<sup>th</sup> from 8:30am - Noon
- **Effort Reporting:** Online course is covered in two half-day sessions
  - Monday, May 20<sup>th</sup> and Tuesday, May 21<sup>st</sup> from 8:30am - Noon
- You may register via the UCLA Learning Management System (LMS) at <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](mailto:valeria.Gomez@research.ucla.edu)

### ERS Helpdesk

Email: [ershelp@research.ucla.edu](mailto:ershelp@research.ucla.edu)



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# ASCEND 2.0

STEPHANIE PEREZ

04/11/2024

# AGENDA

- **Conversion: Project Funding & Project Budget**
  - Expenditure Account Data Cleanup
  - Budget Conversion Process
  - 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.

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

Account/CC	Sub	Curr Month Financial	Fiscal Year		Inception to Date	
			Appropriation	Financial	Appropriation	Financial
<b>220950 LOCAL GOVERNMENT GRANTS &amp; CONTRACTS</b>						
	20		1,445,193.23	251,609.34	1,574,390.00	380,806.11
<b>220950</b>		<b>0.00</b>	<b>1,445,193.23</b>	<b>251,609.34</b>	<b>1,574,390.00</b>	<b>380,806.11</b>
<b>1</b>	00			32,749.34	17,302.25	50,051.59
	01	200.00		98,376.00	32,330.68	130,706.68
	03	35.20	4,635.91	3,238.67	18,768.95	17,371.71
	06	245.80		54,027.42	23,248.60	77,276.02
	07			550.00	3,625.00	4,175.00
	9H	125.06		49,124.83	23,566.27	72,691.10
		<b>606.06</b>	<b>4,635.91</b>	<b>238,066.26</b>	<b>118,841.75</b>	<b>352,272.10</b>
<b>2</b>	00	8,618.25	21,627.76	8,618.25	21,627.76	8,618.25
	01	7,797.00	352,505.36	7,797.00	352,505.36	7,797.00
	03	7,457.35	190,753.75	48,285.02	190,753.75	48,285.02
	06	8,664.35	194,303.69	9,972.76	194,303.69	9,972.76
	07	3,075.00	340,469.00	38,437.00	340,469.00	38,437.00
	9H	9,259.12	287,116.68	29,408.61	287,116.68	29,408.61
		<b>44,871.07</b>	<b>1,386,776.24</b>	<b>142,518.64</b>	<b>1,386,776.24</b>	<b>142,518.64</b>
<b>3</b>	01	13,708.68	28,233.72	63,223.47	36,131.97	71,121.72
	03	215.32	575.69	1,281.75	744.32	1,450.38
	06	4,814.12	13,874.05	25,859.67	17,704.67	29,690.29
	9H	4,871.92	11,097.62	23,494.94	14,191.05	26,588.37
		<b>23,610.04</b>	<b>53,781.08</b>	<b>113,859.83</b>	<b>68,772.01</b>	<b>128,850.76</b>
<b>Fund Balance</b>		<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
<b>Revenue</b>		<b>0.00</b>	<b>1,445,193.23</b>	<b>251,609.34</b>	<b>1,574,390.00</b>	<b>380,806.11</b>
<b>Expenditure</b>		<b>69,087.17</b>	<b>1,445,193.23</b>	<b>494,444.73</b>	<b>1,574,390.00</b>	<b>623,641.50</b>
<b>TOTAL</b>		<b>(69,087.17)</b>	<b>0.00</b>	<b>(242,835.39)</b>	<b>0.00</b>	<b>(242,835.39)</b>

# 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.

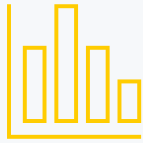
- Project budgets should be a positive amount.
- Project budgets will be derived from the amount budgeted per sub code.

Account/CC	Sub	Curr Month Financial	Fiscal Year		Inception to Date		
			Appropriation	Financial	Appropriation	Financial	
220950	LOCAL GOVERNMENT GRANTS & CONTRACTS						
	20		1,445,193.23	251,609.34	1,574,390.00	380,806.11	
220950		0.00	1,445,193.23	251,609.34	1,574,390.00	380,806.11	
	00				17,302.25	50,051.59	
	01	200.00		38,370.00	32,330.68	130,706.68	
	03	35.20	4,635.91	3,238.67	18,768.95	17,371.71	
	06	245.80		54,027.42	23,248.60	77,276.02	
	07			550.00	3,625.00	4,175.00	
	9H	125.06			23,566.27	72,691.10	
		606.06	4,635.91		118,841.75	352,272.10	

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# 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

Data as of 4/5/24

*\*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

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.

Account/CC	Sub	Curr Month Financial	Fiscal Year		Inception to Date	
			Appropriation	Financial	Appropriation	Financial
229000 FEDERAL PHS GRANTS						
	20		34,882.22	34,743.34	40,828.00	40,689.12
229000		0.00	34,882.22	34,743.34	40,828.00	40,689.12
	00		53,189.92	1,414.09	56,018.00	4,242.17
	02		135,719.00		135,719.00	
	03		(285,591.04)	14,620.27	(285,584.00)	14,627.31
	05		3,000.00		3,000.00	
	06		73,645.72	276.34	74,622.00	1,252.62
	08					
	9H		(11,220.38)	9,134.02	(9,086.00)	11,268.40
		0.00	(31,256.78)	25,444.72	(25,311.00)	31,390.50

Account/CC	Sub	Curr Month Financial	Fiscal Year		Inception to Date	
			Appropriation	Financial	Appropriation	Financial
258000 PRIVATE GRANTS						
	20				750,000.00	750,000.00
258000		0.00	0.00	0.00	750,000.00	750,000.00
	03	16,780.00		16,780.00		16,780.00
	07	7,537.50		7,537.50		7,537.50
		24,317.50	0.00	24,317.50	0.00	24,317.50

# 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.

Account/CC	Sub	Curr Month Financial	Fiscal Year		Inception to Date	
			Appropriation	Financial	Appropriation	Financial
	02		(57,446.00)		(57,446.00)	
	03		(35,293.00)		(35,293.00)	
	05				766.09	766.09
	06		(30,745.00)		(30,745.00)	
	08		161,012.00		161,012.00	
	9H		9,757.00		9,956.18	199.18
		0.00	47,285.00	0.00	48,250.27	965.27
<b>Fund Balance</b>		0.00	0.00	0.00	0.00	0.00
<b>Revenue</b>		0.00	0.00	0.00	0.00	0.00
<b>Expenditure</b>		0.00	47,285.00	0.00	48,250.27	965.27
<b>TOTAL</b>		0.00	(47,285.00)	0.00	(48,250.27)	(965.27)

# HOW WILL PROJECT BUDGETS BE CONVERTED?

## **1:1 Mapping:**

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

## **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.

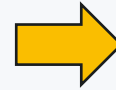
Current Financial System Sub Codes	Oracle PPM Budget Category
00 – Salaries-Academic	Salaries and Wages
01 – Salaries-Staff	
02 – General Assistance	
03 – Supplies and Expense	Materials and Supplies
04 – Equipment and Facilities	Equipment
06 – Employee Benefits	Employee Benefits
9H – Overhead Expense	Facilities and Administration Costs
<b>05 – Special Items</b>	<b>Other Direct Costs</b>
<b>07 – Special Items</b>	
<b>08 – Unallocated Funds</b>	
<b>09 – Recharges</b>	

*In the current financial system, accounts are budgeted at the [sub code level](#). There are no detailed budgets in the financial system at the [sub-object code level](#).*

# CONVERTED PROJECT BUDGET - EXAMPLE

## Financial System

Account/CC	Sub	Curr Month Financial	Fiscal Year		Inception to Date	
			Appropriation	Financial	Appropriation	Financial
44						
	02				3,194.40	3,194.40
	03	97.50	111,453.39	500.76	120,093.42	9,140.79
	06				1,712.18	1,712.18
	08					
	9H	14.63	16,717.96	75.12	18,750.00	2,107.16
44		112.13	128,171.35	575.88	143,750.00	16,154.53



## Oracle PPM

Task	Resource	Budget Amount
▶ 44		143,750.00
▶ 1	Salary and Wages	3,194.40
▶ 1	Materials and Supplies	120,093.42
▶ 1	Employee Benefits	1,712.18
▶ 1	Facilities and Administration Co...	18,750.00

*Note: The Ascend Grants Team will provide further guidance on rebudgeting converted data in PPM.*

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# FUNDS WITHOUT A HOME EXPENDITURE ACCOUNT

- In PPM, at least one project under each award should belong to the Award-Owning Organization (Home Department) and Principal Investigator. This project will be designated as the **Primary Project** in PPM.
  - The Primary Project will be essential for STIP allocation, revenue recognition for amount-based billing, and other future business processes.
- **Required Action:**
  - Ensure that C&G funds have at least one expenditure account belonging to the Home Department and Home PI. This account must have a positive appropriation to be successfully converted to Oracle PPM.
  - Expenditure accounts without a cost center will automatically be associated to the Home PI as part of the conversion process.

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# DATA CONVERSION REMINDERS

- **Recap: Expenditure Account Cleanup**
  - Correct expenditure accounts with negative or zero funding by **4/30/2024**.
  - Correct expenditure accounts with negative sub code appropriations by **6/30/2024**.
  - Resolve funds without an expenditure account belonging to the Home Dept & PI by **6/30/2024**.
  - 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:**
  - Closing Expired Awards: Closing out funds in the current financial system will be more efficient than closing out in Oracle due to the learning curve of the new system. **Your future self will thank you!**
  
  - 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.

October 2023 RAF – Ascend 2.0 Slides: <https://ora.research.ucla.edu/wp-content/uploads/RAF-2023-10-EFM-ascend-updates.pdf>

# April 2024 Research Administration Forum Q&A

## Contents

Contract and Grant Administration .....	1
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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 sub-award?**

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.

## 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](mailto: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](mailto:help@it.ucla.edu).