



# Research Administration Forum

---

April 13, 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*
- **Contract and Grant Administration** – *Tracey Fraser and Kathy Kawamura*
  - Applying F&A Rates to Proposals and Awards
- **Human Research Protection Program**
  - Migration of Reliance Studies from WebIRB to Bruin IRB – *Moore Rhys*
- **Extramural Fund Management**
  - Staff Update – *Yoon Lee*
  - Ascend 2.0: PPM Subledger and POETAF – *Katie Cadle*
  - Effort Reporting – *Val Gomez*
- **Open Discussion**

SECTION I: INDIRECT COST RATES

TYPE	EFFECTIVE PERIOD		RATE(%)	LOCATION	APPLICABLE TO
	FROM	TO			
PRED.	07/01/2019	06/30/2023	56.00	On-Campus	Organized Research
PRED.	07/01/2023	06/30/2024	57.00	On-Campus	Organized Research
PRED.	07/01/2024	06/30/2025	57.50	On-Campus	Organized Research
PRED.	07/01/2019	06/30/2025	26.00	Off-Campus	Organized Research
PRED.	07/01/2019	06/30/2023	40.00	On-Campus	Instruction
PRED.	07/01/2023	06/30/2025	42.00	On-Campus	Instruction
PRED.	07/01/2019	06/30/2025	26.00	Off-Campus	Instruction
PRED.	07/01/2019	06/30/2023	38.00	On-Campus	Other Sponsored Activities
PRED.	07/01/2023	06/30/2025	39.00	On-Campus	Other Sponsored Activities
PRED.	07/01/2019	06/30/2025	26.00	Off-Campus	Other Sponsored Activities
PRED.	07/01/2019	06/30/2025	8.00	Off-Campus	IPA (1)
PROV.	07/01/2025 Until Amended		Use same rates and conditions for June 30, 2025		



# Grant Updates

---

April 13, 2023

# F&A BASE TYPE

## Modified Total Direct Cost (MTDC)

Modified total direct costs, consisting of all salaries and wages, fringe benefits, materials, supplies, services, travel and subgrants and subcontracts up to the first \$25,000 of each subgrant or subcontract (regardless of the period covered by the subgrant or subcontract). Modified total direct costs shall exclude equipment, capital expenditures, charges for patient care, student tuition remission, rental costs of off-site facilities, scholarships, and fellowships, participant support costs and the portion of each subgrant and subcontract in excess of \$25,000.

# F&A Rates

## SECTION I: INDIRECT COST RATES

TYPE	EFFECTIVE PERIOD		RATE(%)	LOCATION	APPLICABLE TO
	FROM	TO			
PRED.	07/01/2019	06/30/2023	56.00	On-Campus	Organized Research
PRED.	07/01/2023	06/30/2024	57.00	On-Campus	Organized Research
PRED.	07/01/2024	06/30/2025	57.50	On-Campus	Organized Research

REMINDERS: Supplemental Proposal require the usage of current F&A rates  
 Do not attempt to blend two F&A rates to create one composite rate

<https://ocga.research.ucla.edu/facilities-and-administrative/>

# Split F&A Rates

**Budget Period: 1/01/2024 – 12/31/2024**

Total Direct 400,000

Total Exclusion 75,000

1/1/24– 6/30/24  
(6 months)

7/1/24 – 12/31/24  
(6 months)

UCLA F&A Rate **57%**

UCLA F&A Rate **57.5%**

Total Direct	200,000
<b>exclusions</b>	<b>37,500</b>
Base	162,500

Total Direct	200,000
<b>exclusions</b>	<b>37,500</b>
Base	162,500

Indirect 92,625

Indirect 93,438

Total Cost 292,625

Total Cost 293,438

# F&A BASE TYPE

## Modified Total Direct Cost (MTDC)

Modified total direct costs, consisting of all salaries and wages, fringe benefits, materials, supplies, services, travel and subgrants and subcontracts up to the first \$25,000 of each subgrant or subcontract (regardless of the period covered by the subgrant or subcontract). Modified total direct costs shall exclude equipment, capital expenditures, charges for patient care, student tuition remission, rental costs of off-site facilities, scholarships, and fellowships, participant support costs and the portion of each subgrant and subcontract in excess of \$25,000.

# Split F&A Rates

**Budget Period: 4/01/2024 – 3/31/2025**

Total Direct 400,000

Total Exclusion 75,000

4/1/24– 6/30/24  
(3 months)

UCLA F&A Rate **57%**

Total Direct	100,000
<b>exclusions</b>	<b>75,000</b>
Base	25,000

Indirect 14,250

Total Cost 114,250

7/1/24 – 3/31/25  
(9 months)

UCLA F&A Rate **57.5%**

Total Direct	300,000
<b>exclusions</b>	<b>0</b>
Base	300,000

Indirect 172,500

Total Cost 472,500



# CAMPUS TRAINING

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

## April

### What Constitutes a Complete Proposal Package?

Wednesday, April 19, 2023

9:30am-11:00 am

This session will address elements of a proposal needed to initiate a review. We will review and discuss minimum requirements for review and submission. This session is appropriate for anyone with responsibility for sending proposal materials to OCGA.

# Any Questions?

<http://ocga.research.ucla.edu>

**UCLA**

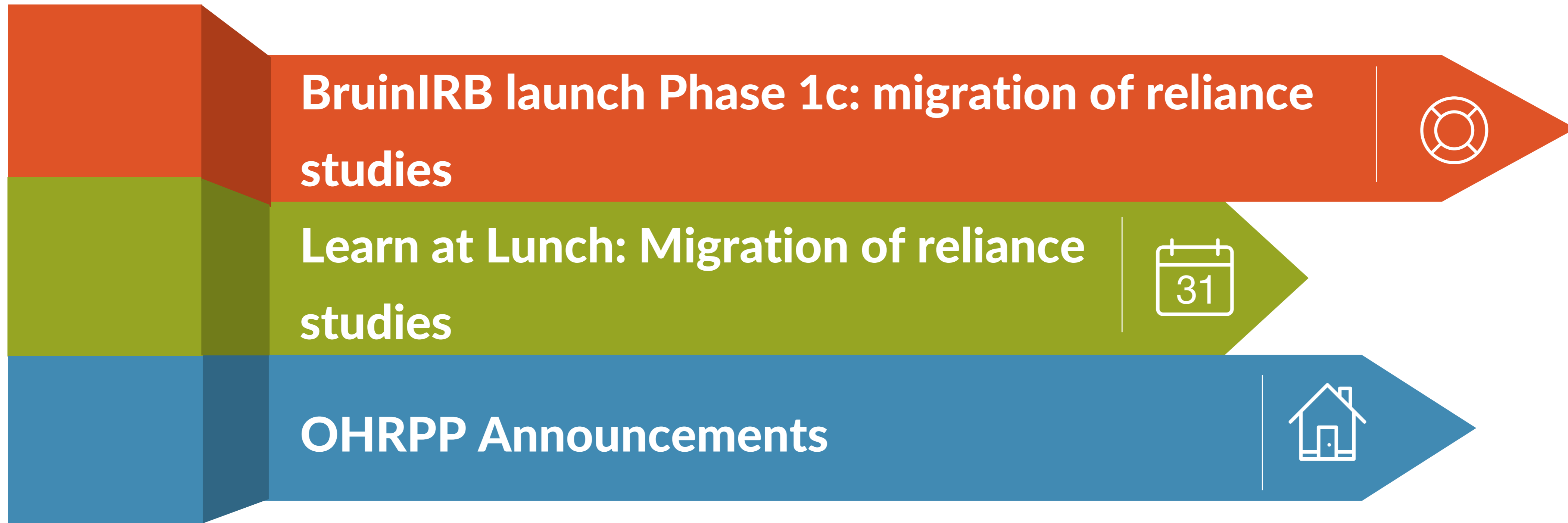
**Research Administration**

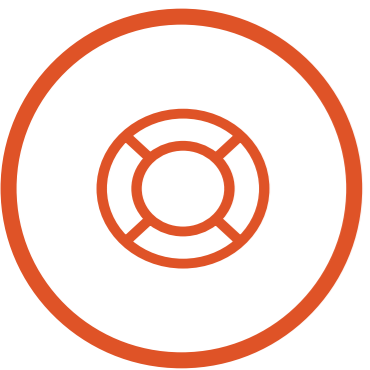
# **OHRPP Updates: Migration of Reliance studies to BruinIRB**

---

April 13, 2023

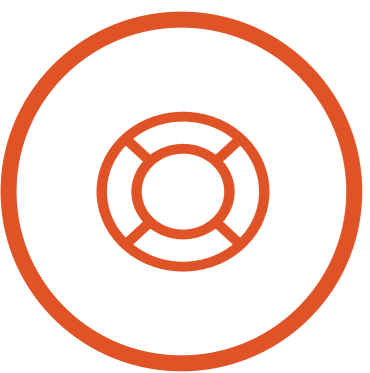
# OHRPP Updates





# 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	<i>Scheduled for Saturday, 4/15</i>
<i>Phase 2</i>	<ul style="list-style-type: none"><li>• New IRB applications (all remaining types) submitted through BruinIRB</li><li>• Migration of remaining active webIRB applications to BruinIRB</li></ul>	Estimated late 2023/early 2024



# Migration of Reliance Studies to BruinIRB



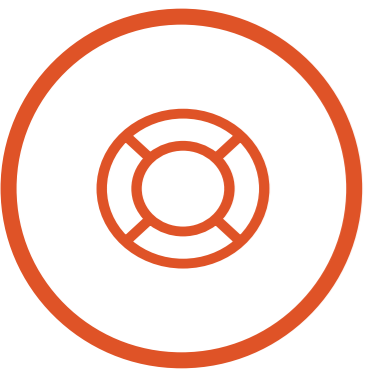
- <http://Bruinirb.research.ucla.edu>
- Both webIRB and BruinIRB use SSO for logon
- Study numbers will be similar. For example:
  - webIRB IRB#20-000010  
*will become*
  - BruinIRB IRB-20-0010

## Migration of Reliance Studies to BruinIRB

- Reliance studies are ***about 6% of the active studies*** in webIRB.
- *Most* of the reliance studies will be migrated
- A small number of webIRB reliance studies with active sub-applications (AM, PAR) will wait to be migrated until after those sub-applications are completed.
- ORIS has conducted a number of test-runs of the migration

## Migration of Reliance Studies to BruinIRB

- The migration will take place on ***Saturday 4/15 between 6am and 2pm***. Please refrain from using webIRB and BruinIRB during that time.
- We have prepared for a smooth transition, but if you encounter any glitches, please contact OHRPP at [irbreliance@research.ucla.edu](mailto:irbreliance@research.ucla.edu) or (310) 825-5344



# 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"

**Current State**

**Migrated**

View Study

Printer Version

View Differences

SS-Print All Request Notes

**Owner (IRB Staff):**  
WENDY BRUNT

PAR New Post-Approval Report

---

**Study: webIRB to BruinIRB Reliance Migration (Initial)**

**Full Title of Study:** Full Title - webIRB to BruinIRB Reliance Migration (Initial)

**Protocol ID:** IRB#23-000001

**Principal Investigator:** Joe Bruin

**Faculty Sponsor:** JEFFREY SAVER

**Study Contact Person:** ZHAOPING LI

**Initial Submission Date:**

**Review Type:** Expedited

**Committee:** Reliance

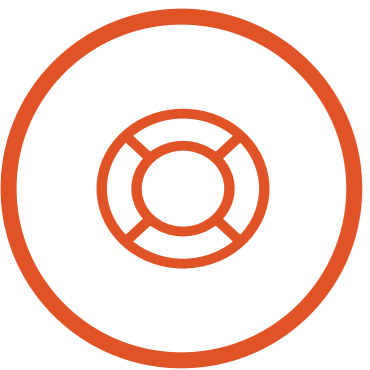
**PI Proxy:** MICHAEL YUAN

**BruinIRB ID:** [IRB-14-0001](#)

**PI Assurances:** Completed

**FS Assurances:** Completed

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



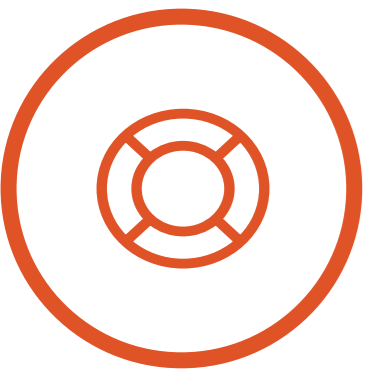
# Migration of Reliance Studies – webIRB view

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)

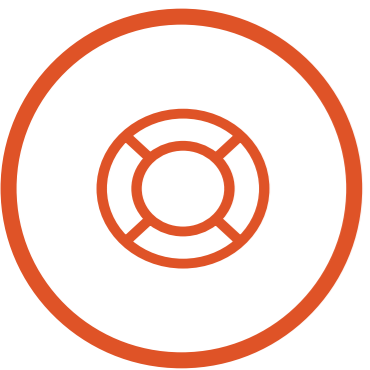
Principal investigator:	JOE BRUIN	IRB office:	IRB
Lead principal investigator:		IRB owner:	Wendy Brunt
Submission type:	IRB Site	Review type:	Expedited
Study type:	Reliance	External study ID:	
Primary contact:	Zhaoping Li	Legacy webIRB ID:	<a href="#">IRB#23-000001</a>
PI proxies:	Michael Yuan	MRSC ID: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

```

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

Link to history of the study in webirb

UCLA Research Administration

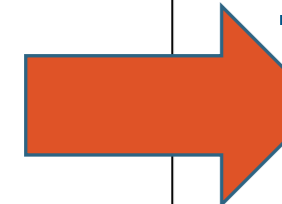


# Migration of Reliance Studies – BruinIRB view

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 <span>?</span> 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				
<span>i</span> 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](mailto: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.

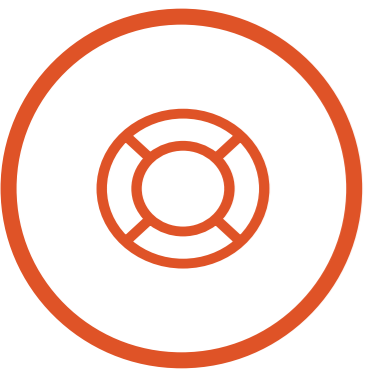


Old webIRB number

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](mailto: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:**

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

31

## OHRPP Learn at Lunch

### ***“Migration of Reliance Studies to BruinIRB”***

Presented by **Lubabah Helwani & Jon Orlin**, OHRPP

This session will help researchers and their teams understand how to manage existing reliance applications once they have been transferred from webIRB to BruinIRB.

Date: **Friday, April 21, 2023**

Time: **Noon-1pm**

Location: **Zoom** ([Register](#) for this meeting)



# 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, April 13 (today!), 2023 2pm
  - Thursday, April 27, 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](mailto:moore.rhys@research.ucla.edu)



# Extramural Fund Management

---

April 13, 2023

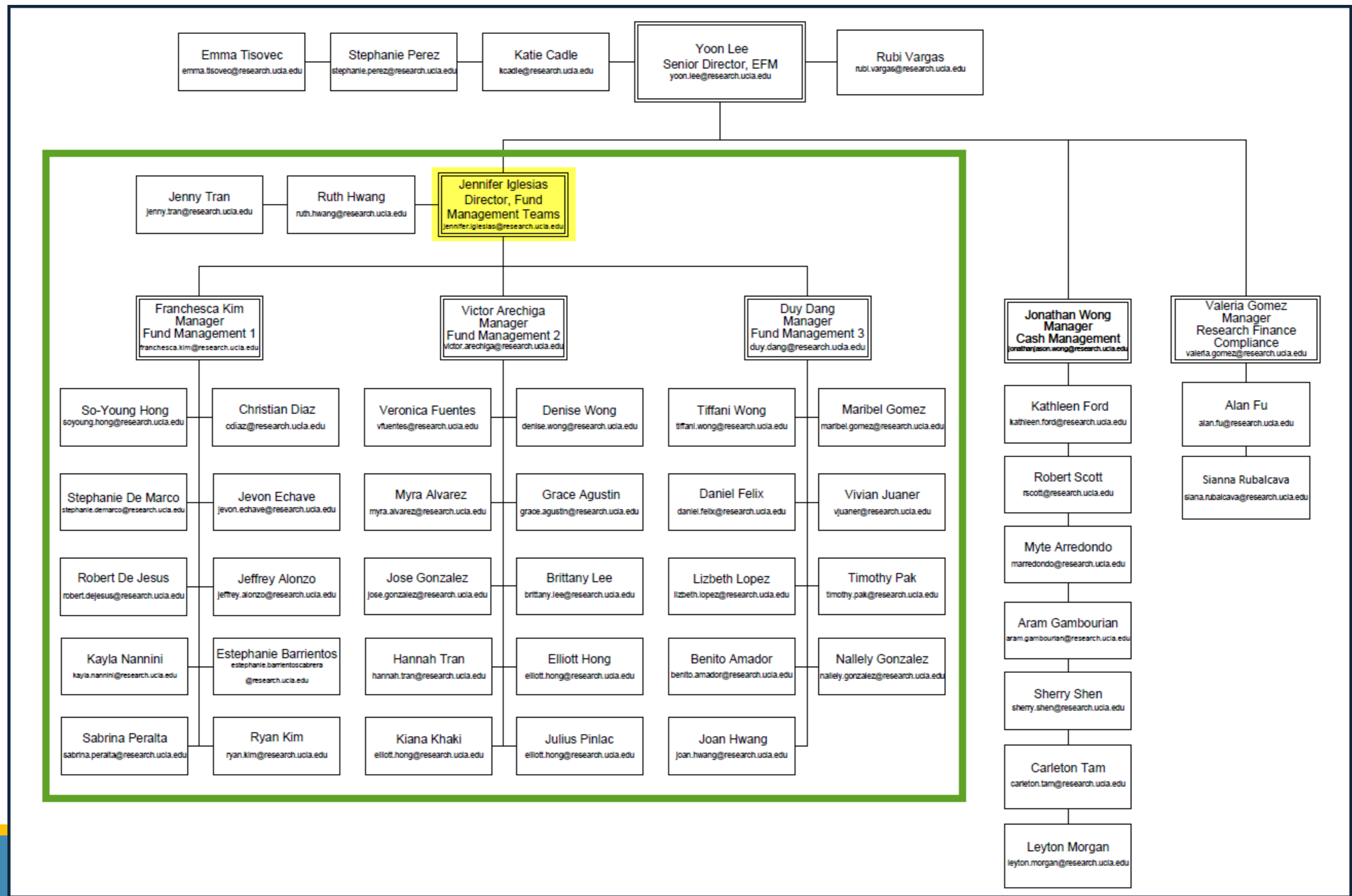
# Agenda

---

- **Staff Update**
- **Ascend 2.0: PPM Subledger and POETAF**
- **Effort Reporting**

# Congratulations!

- Jennifer Iglesias is Director of Fund Management Teams in EFM, effective April 1<sup>st</sup>.



# Ascend 2.0

Katie Cadle

# Agenda

---

- **Ascend 2.0**
  - PPM Subledger
  - FAU to POETAF and CoA
  - Project and Source
  - Expenditure Types

# PPM Subledger

## General Ledger and Subledgers in Oracle

- In **current state**, the **General Ledger (GL)** is the central repository for **detailed financial transactions**
- In the **future state** (Oracle), most transactions will **begin in subledgers** which will **contain subledger-specific information**:

### Project Portfolio Management (PPM) Subledger

- All sponsored contract and grant costs will begin in the Project Portfolio Management (PPM) subledger
- In PPM, detailed individual transactions will be recorded using POETAF



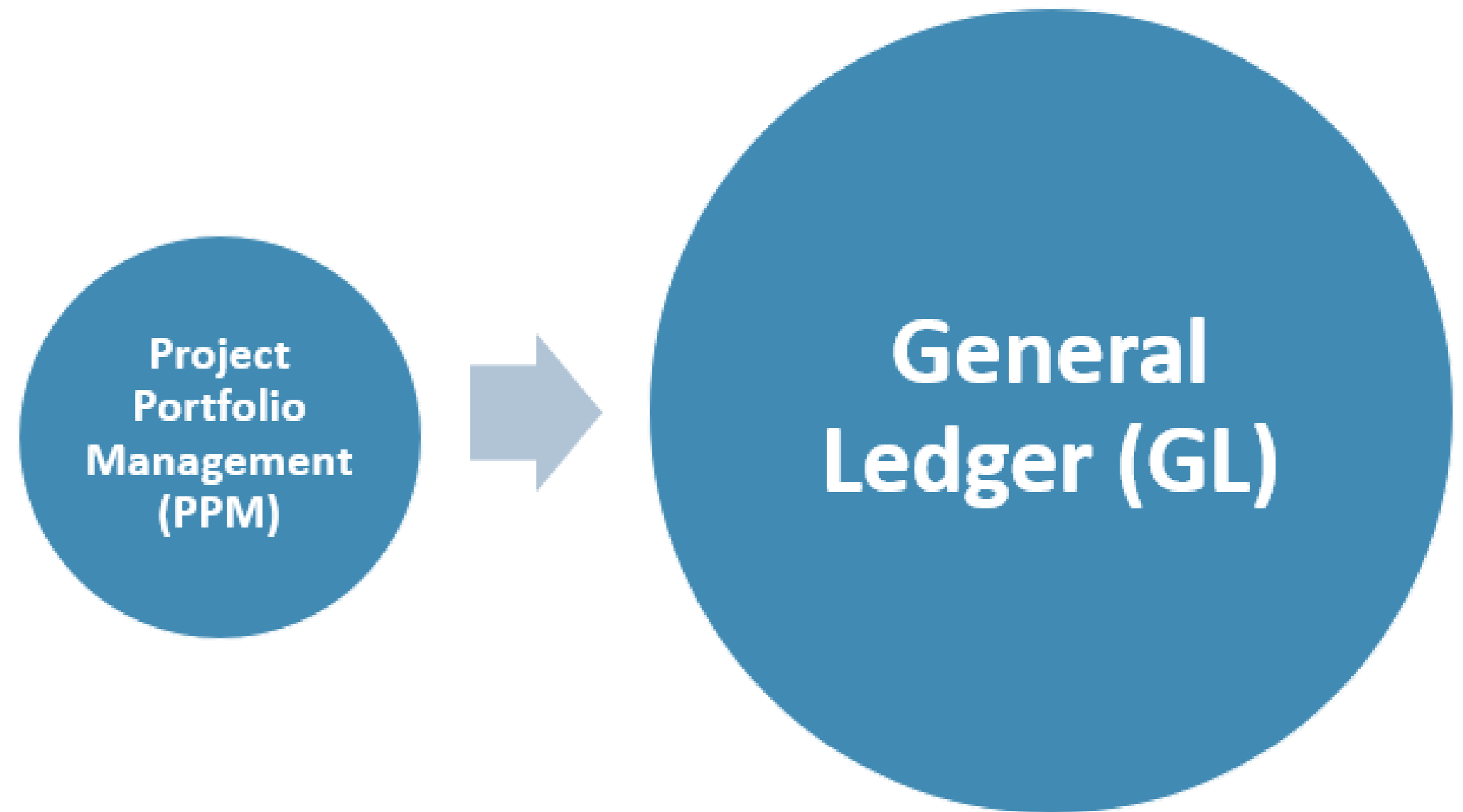
*All costs in subledgers will be recorded to the General Ledger based on Subledger Accounting Rules (SLA)*

### General Ledger (GL)

- In the General Ledger, summary level information will be recorded using the Chart of Accounts (CoA) chart string
- General Ledger will remain “General”

# PPM Subledger

PPM Features



- **PPM is more than a module to store costs! The PPM Subledger:**
  - Interfaces Awards and Projects from PATS
  - Houses expense approval workflow
  - Serves as the source of Financial Reporting and Invoicing to Sponsors
  - Facilitates setup of AR for Invoicing
  - Provides the location to run custom reports for PPM data

# FAU to POETAF and CoA Mapping

The diagram below outlines how each segment of the POETAF will be determined.

PPM

Project Number	Organization	Expenditure Type	Task	Award	Funding Source
A unique combination of <b>Account, Cost Center, and Fund values in FAU</b> will have one unique project. Project Number (8 digits) will be assigned in a sequential order by system.	Organization value is derived from <b>Financial Unit values</b> that have been confirmed through CoA mapping.	Expenditure Type value is derived from <b>Object Code value in FAU</b> .	Task has one to one relationship with Project. Task value is derived from <b>Project Number value</b> . No connection to any segment in FAU.	Award is set up in PPM for each unique sponsored award. Award value is derived from <b>Fund Number in FAU and award information in PATS</b> . For single fund number, one fund in FAU will be one award in PPM.	Funding Source values indicate if it is from sponsor, UCLA (cost sharing), Program income, or other source (e.g., STIP). Funding source values will be derived by <b>Fund Group codes and account numbers in FS</b> except for cost sharing. Separate effort will be planned to gather the cost sharing data.

 Campus is involved in mapping

 Program team will derive values from FAU values and related attributes

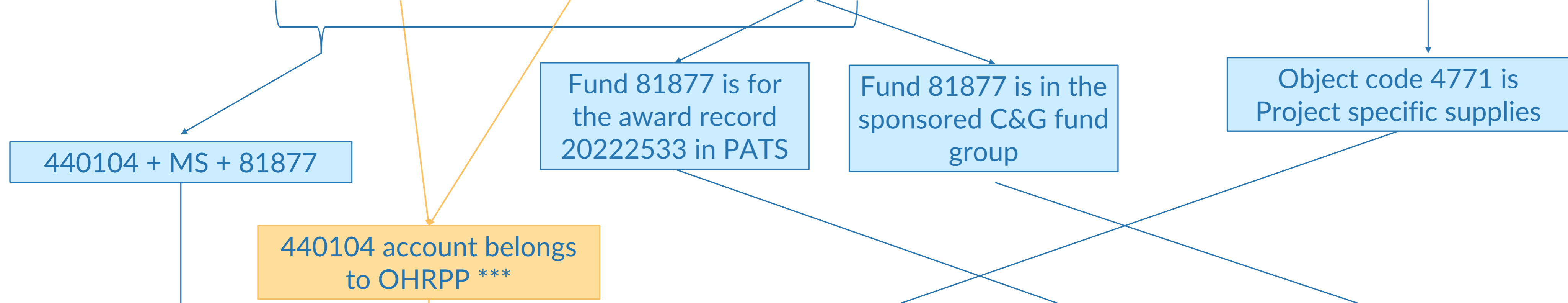
Note: Approach to POETAF mapping is still being finalized and is subject to change.

# FAU to POETAF and CoA Mapping

FAU

Example: FAU to POETAF

Location	Account	CC	Fund	Project	Sub	Object	Source
4	440104	MS	81877		03	4771	



POETAF

Project Number	Organization	Expenditure Type	Task	Award	Funding Source
A0000053	OHRPP	Office supplies for direct use for the project	A0000053	20222533	External sponsor

\*\*\*A combination of Financial unit and Entity from CoA mapping will be used for Organization

Note: (1) Approach to POETAF mapping is still being finalized and is subject to change.  
 (2) Expenses in the future will map to the appropriate expense account.

# FAU to POETAF and CoA Mapping

## FAU

Example: POETAF to CoA

Location	Account	CC	Fund	Project	Sub	Object	Source
4	440104	MS	81877		03	4771	

## POETAF

Project Number	Organization	Expenditure Type	Task	Award	Funding Source
A0000053	OHRPP	Supplies - for Project	A0000053	20222533	External sponsor

## CoA

Entity	Financial Unit	Account	Fund	Transaction Class ***	Program	Portfolio	Flex	Activity	Inter-company
UCLA Campus	OHRPP	Expenses - Supplies	C&G Funds	Research ***		A0000053	N/A	N/A	

- Campus is involved in mapping
- Program team will derive values from FAU/POETAF values

\*\*\* Transaction Class:  
Account 440104 in FAU means research

Note: Approach to POETAF mapping is still being finalized and is subject to change.

# Project and Source


Mapping

<b>FAU</b>	Location	Account	Cost Center	Fund	Sub	Object	<b>Project</b>	<b>Source</b>
------------	----------	---------	-------------	------	-----	--------	----------------	---------------

Currently, in FAU “**Project**” and “**Source**” are available for **departmental discretionary use as user-entered text fields**



<b>POETAF (PPM)</b>	Project	Organization	Expenditure Type	Task	Award	Funding Source
---------------------	---------	--------------	------------------	------	-------	----------------

 In POETAF, **user-entered text fields for discretionary use are unavailable**, as Oracle does not offer this functionality

# Project and Source

## Our Approach

Lack of user-entered text fields for discretionary use in Oracle will be a **significant change**. The Grants Team is working through the steps outlined below to **develop business solutions** where possible; however, there will be cases in which **some** of the information you are currently tracking using the FAU cannot be tracked using POETAF.

### Completed Steps

- Gather business scenarios** from Departments and EFM (**46** business scenarios received!)
- Assign Grants Team resources** from UCLA and Deloitte

### In Progress

- Review each case to identify solutions** for data originating in current financial system and data originating in Oracle (projected completion by 6/2/23)

### Next Steps

- Review solutions at Research Advisory Committee (RAC)** for feedback (5/25/23)
- Communicate solutions** to campus at **future RAF** (summer 2023)

# Expenditure Types | Feedback Requested

The Grants Team has reviewed all Object Codes used in the past three fiscal years and is working to eliminate underused Object Codes, combine Object Codes where possible, and add more descriptive detail with the aim of streamlining the list of Expenditure Types in POETAF. (The total number of Object Codes in the current FS that can be used on C&G is around 840.)

## Please share your input!

The Grants team is seeking departmental feedback on a proposed list of 189 Expenditure Types by May 15, 2023.

- Do you see any expenditure type that is too general or not clear to use?
- Do you have specific expenditure type to add to the list?
- Any other suggestions?

The list will be shared via the ORA News mailing list after this meeting.

	A
1	<b>Expenditure Types:</b>
2	Administrative Services for Project - Recharge
3	Advertising for Project
4	Alteration and Renovation for Project
5	Animal Laboratory Services - External
6	Animal Laboratory Services - Recharge
7	Banking & Investment Manager Fees for Project
8	Blood and Blood Products
9	Blood Donor Credit
10	Books, Collections for Library for Project
11	Cleaning Supplies for Project
12	Composite Benefit Rate
13	Computer Software Rental Fee
14	Computer Supplies & Hardware
15	Computers and Network Infrastructure
16	Conference Fee
17	Consultant Services
18	Current Assets - Inventory - Other
19	Current Assets - Inventory - Resale
20	Database Services
21	Demurrage
22	DOE Laboratories Expense - Other - LBNL
23	Electricity for Project
24	Emergency Childcare

---

# Effort Reporting

Val Gomez

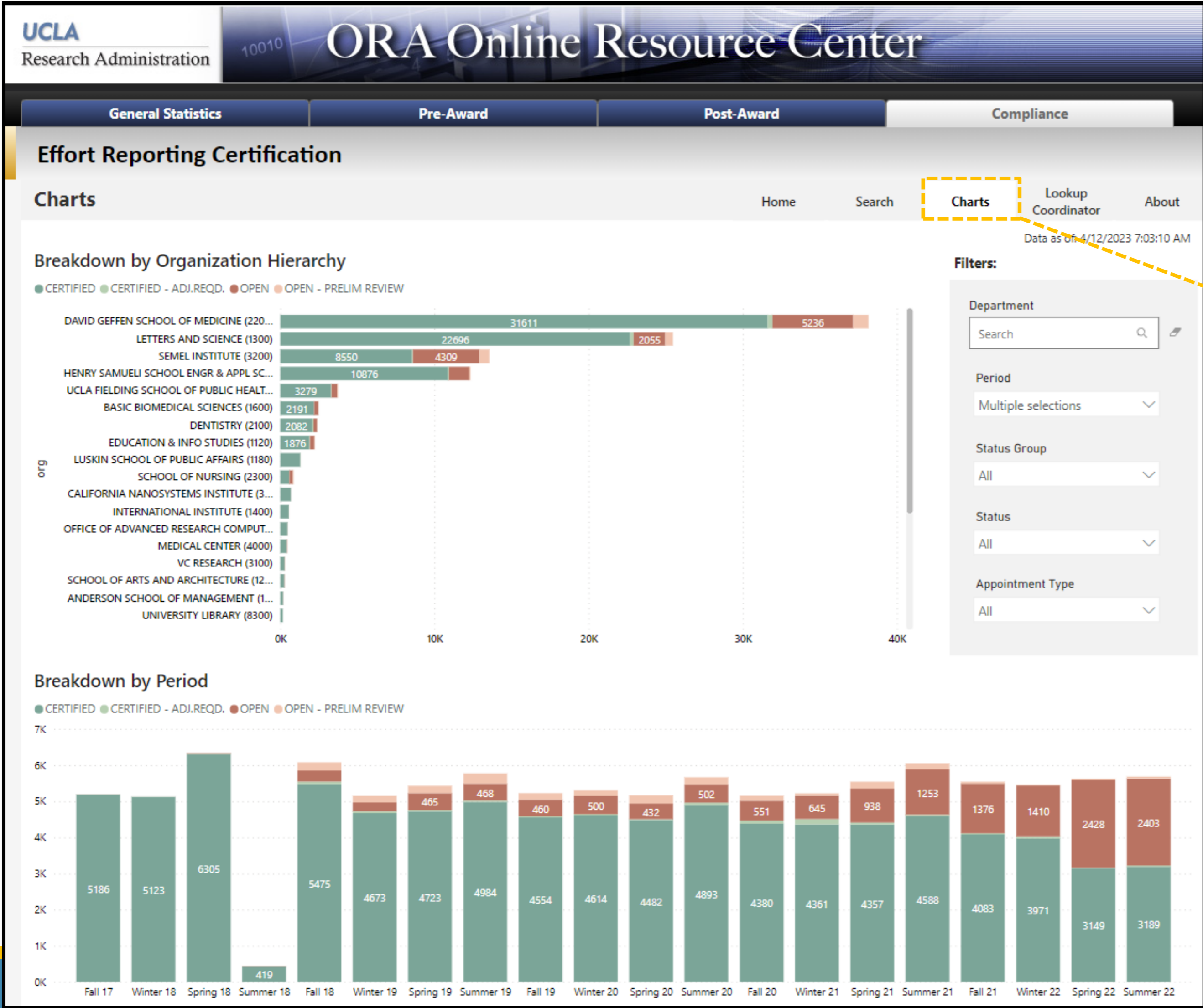
# Effort Report Certification Status

Academic Year	Fall			Winter			Spring			Summer		
	Cert. %	Certified	Open	Cert. %	Certified	Open	Cert. %	Certified	Open	Cert. %	Certified	Open
2021-2022	74%	4,115	1,428	73%	4,030	1,430	56%	3,160	2,463	56%	3,223	2,460
2020-2021	86%	4,467	689	86%	4,509	709	79%	4,413	1,130	76%	4,631	1,421
2019-2020	87%	4,583	641	87%	4,646	660	87%	4,505	662	87%	4,964	700
2018-2019	91%	5,547	531	91%	4,726	425	87%	4,760	670	86%	5,021	751
2017-2018	99%	5,186	4	99%	5,124	2	99%	6,316	18	96%	420	13
2016-2017	99%	5,126	1	99%	5,180	3	99%	5,267	4	99%	5,795	5
2015-2016	99%	5,224	3	99%	5,266	1	99%	5,390	2	99%	5,702	2
2014-2015	100%	5,267	0	99%	5,343	1	99%	5,346	2	99%	5,862	2
2013-2014	99%	5,372	1	100%	5,337	0	100%	5,502	0	100%	5,898	0
2012-2013	100%	5,777	0	99%	5,844	1	100%	5,814	0	99%	6,119	1
2011-2012	100%	6,212	0	100%	6,286	0	100%	6,277	0	100%	6,609	0
2010-2011	100%	6,576	0	100%	6,621	0	100%	6,774	0	100%	7,082	0
2009-2010	100%	6,433	0	100%	6,680	0	100%	6,899	0	100%	7,798	0
2008-2009	100%	5,832	0	100%	5,879	0	100%	6,129	0	100%	7,393	0
2007-2008	100%	5,828	0	100%	5,873	0	100%	5,997	0	100%	6,499	0
2006-2007	100%	6,111	0	100%	6,049	0	100%	6,196	0	100%	6,575	0
2005-2006							100%	6,682	0	100%	6,983	0

- Effort Report Certification Rates can be found in [ORA Online Resource Center](#)
  - Compliance Tab → Effort Report Certification Status
- As of 4/12/23, there are **18,836** open effort reports to be reviewed for certification
  - A higher number of effort reports starting Fall 2018 requires certification
- ERS Helpdesk to work with ERS Coordinators to address growing population of open effort reports
  - Identify and addressing obstacles impeding certification

# Effort Report Certification Status

Breakdown by Organizational Hierarchy



Filtered Effort Report Certification Rates Are Accessed Through the Charts Tab

- Department, Period, Status

# Upcoming Release

- **Effort reports will be released for the following periods:**

Reporting period	Non-Academics and 11/12 Academics	9/12 Academics
Fall 2022	October 2022 – December 2022	July 2022 – October 2022
Winter 2023	January 2023 – March 2023	November 2022 – February 2023

- **Target Release:** Late April 2023
- **Certification Due Date for Fall 22 & Winter 23 Release:** July 2023
- **ERS production site will not be available during release preparation**
  - Tentative downtime is scheduled starting Friday, 4/21/23 from 5pm – Monday, 4/24/23
  - ERS downtime will be communicated through the ERS Listserv
- **ERS will account for earnings through March 2023**
  - Subsequent loads of earnings are targeted to take place 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.

# Upcoming LMS Courses Hosted by EFM

---

- **Post Award Research Administration:** Online course is covered in two half-day sessions
  - Monday, May 1<sup>st</sup> and Tuesday, May 2<sup>nd</sup> from 8:30am - Noon
- **RAPID Closeout Tool:** Online course is covered in one half-day sessions
  - Monday, May 8<sup>th</sup> from 8:30am - Noon
- **Effort Reporting:** Online course is covered in two half-day sessions
  - Monday, May 15<sup>th</sup> and Tuesday, May 16<sup>th</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.

# Any Questions?

## Contact Information

**EFM Website**

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

**Ascend Website**

<https://ascend.ucla.edu/>

**Katie Cadle**

Phone: (310) 794-0223

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

**ERS Help Desk**

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

**Val Gomez**

Phone: (310) 794-0103

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



# April 2023 Research Administration Forum Q&A

## Contents

Contract and Grant Administration .....	1
Human Research Protection Program Hot Topics .....	3
Extramural Fund Management Hot Topics .....	3

## Contract and Grant Administration

**Q1: Do the new F&A rates affect existing funds that were tagged with the 56% F&A? Or does the new F&A rate only apply to new funds after 7/1/23?**

A1: In some cases, active fund accounts will be adjusted to the new rate (e.g. industry-sponsored research). In cases in which the sponsor will not accept a rate change (e.g. NSF), we will continue using the old rate for the remainder of the project period. If you have a specific example, please let us know so we can give you a definitive answer.

**Q2: Please send us the info for the training you just mentioned.**

A2: Here is a link to the [Monthly OCGA Training Calendar](#) web page. Reminders are also communicated using ORA News. If you have not done so already, you can [subscribe here](#).

**Q3: When will the new F&A agreement be posted on the OCGA website?**

A3: The current F&A agreement is now available on the [Facilities and Administrative Costs \(F&A\)](#) web page.

**Q4: Do you have an updated F&A breakdown for CIRM?**

A4: CIRM rates will be forthcoming.

**Q5: Can you please explain how we will deal with situations with proposals that have been already submitted with old rates and if they are awarded after July 1?**

A5: Once determined, information will be provided to campus.

**Q6: What is OCGA's policy on answering phones during WFH? As you know, sometimes the direct interaction of a phone call is the only way to sort out a complicated issue. It seems to me that people should be just as available to answer phones as when we were all in the office yet, during WFH, some OCGA personnel refuse to pick up the phone, and even refuse to acknowledge email requests to talk.**

A6: Please bring this matter to the Assistant Director or Senior Director with any specifics that you have.

**Q7: On ASSIST do we have to break it to 2 lines for F&A rates or just 1 line to show the average rate? I am working on a PPG submission via ASSIST, start date is 4/1/24.**

A7: Rates should be used as indicated on the Rate Agreement – do not combine or average F&A rates; Yes, you should use two lines in ASSIST to display the rates just as they appear in your internal budget.

Refer to Chapter 5.19 of the ASSIST User Guide for detailed instructions.

**Q8: If a proposal was submitted at the current rate and an award is received on or after July 1, what rate is applied, the proposed old rate or new rate?**

A8: Once determined, information will be provided to campus.

**Q9a: How would the \$25,000 exclusion work for a subaward? Do we apply the entire \$25k exclusion to the start of the budget period, or do we need to wait until the subaward invoices for their work? If the latter, then would we not be able to budget the F&A rates during budget creation?**

A9a: Because the F&A assessment is based on the transaction date, we cannot provide an exact estimate in the proposal budget. When preparing proposal budgets, you need to consider both the amount and programmatic requirements of the subaward to provide a best estimate. If a subaward budget is \$250,000 for one year, you would likely want to exclude the \$25,000 at beginning or lower rate. However, if the budget is \$25,000 for one year, you would likely distribute the exclusion across the entire year.

**Q9b: The problem with budgeting during a split year with the rate increasing, if we have the \$25k for a subaward budgeted in the initial period where the rate is 57%, but the subaward can't get set up until we are in the 57.5% period, the F&A will start charging in the system based on the expense posted date, so we would have budgeted for 57%, and by the time we receive an invoice, we're being assessed 57.5%, and are overcharging F&A.**

A9b: Same reply as 9a above.

**Q10: Where is the post of CIRM current F&A and IDC rates with UCLA?**

A10: CIRM has a slightly different base than the federal negotiated definition of MTDC. The following is the current CIRM definition of the F&A Base: "These rates are applied to the Adjusted Project Costs which exclude Equipment, Tuition and Fees, Research Patient Care Costs, and the total cost of each service contract, Subcontract and Consultant agreement in excess of \$25,000." CIRM also allows for "Facilities Costs" of 14% and 16% and indirect of 20% and we have a standard F&A Waiver for CIRM.

CIRM's facilities (category A and category B) rates are based on UCLA's federally negotiated F&A rate agreement. We will look into the rate for Operation/Maintenance Expenses, rate for Library Expenses, rate for Depreciation or Use Allowances, and rate for Interest on Capital Debt in Exhibit A of the new F&A rate agreement.

**Q11: Should we start using the new F&A breakdown for the proposal with the few years project periods, starting today?**

A11: Yes - as long as you have time before the deadline to recalculate and update the budget.

**Q12: Does Department of Energy review the F&A rates?**

A12: Yes

**Q13: For NIH proposals submitted in Cayuse: If we don't have any exclusions, but the rate is split during the budget period, do we need to split the rate in Cayuse, or can we use a single average rate?**

A13: Whether there are exclusions or not, you do need to display both rates in the S2S Grants (Cayuse) application, just as they appear in your internal budget. The UCLA institutional profile has been updated in S2S Grants (Cayuse) to reflect our current rate agreement.

**Q14: Has the off-campus rate changed?**

A14: No

**Q15: For RPPR that's due, there is a question about F&A rate change. We should answer that question Yes, correct?**

A15: The RPPR question states, "Is there a change in performance sites that will affect the F&A costs". If the performance site remains the same, the answer would be No.

## Human Research Protection Program Hot Topics

**Q1: Is UCLA getting a whole new IRB system/platform? When will it launch?**

A1: UCLA is changing to a new system for IRB submissions. It's not completely new, as it's from the same vendor and many functions work the same. We are in the middle of the transition. For details on the current stage of the transition, please visit the [Electronic Submission Systems](#) web page.

## Extramural Fund Management Hot Topics

**Q1: Will expense approval workflow to FMs or Purchasing?**

A1: When a transaction posts to Oracle it will be the responsibility of the department to approve the transaction. The expected process is that departments will set up assignments in PAMS and these assignments will interface to specific roles in Oracle. Users with the appropriate role will then be expected to review and approve transactions in Oracle.

**Q2: With respect to NPEAR for example, what are we relying on: PPM or GL?**

A2: There will be a new Cost Transfer tool to replace NPEAR and the user will be able to look up transactions using either POETAF or CoA depending on where the expense is currently charged. From there, users will enter the applicable chartstring where the expense should be transferred to, which will be POETAF when moving an expense to PPM.

**Q3: Will the billing section provide invoice templates for clinical trials?**

A3: Invoicing for industry sponsored Clinical Trials will continue to be completed outside of Oracle and templates for CTs will not be available in Oracle. We are currently working with CT staff to determine what changes will occur due to the transition to Oracle and how this will impact CT billing.

**Q4: Transferring from PPM to CoA, is it because it's easier to be audited by a CPA Firm, or is it easier for outsourcing the fund management? Just curious, because it seems to be a large change.**

A4: Yes, this is a large change. The reason behind it is that the chartstring is designed based on the location of the transaction. POETAF is designed to include segments relevant to transactions which will be posted within the PPM

subledger, while CoA is designed for a General Ledger. There are segments within the POETAF chartstring which are not available in CoA and essential for the management for sponsored projects.

**Q5: As far as Object Code is concerned, is it no longer used or is it replaced by Commodity Code?**

A5: For Contract and Grant expenses, Expenditure Type will replace the Object Code used today, and Expenditure Type is a segment in the POETAF. We will map all Object Codes to Expenditure Types as part of the conversion process. Transactions posted in PPM using POETAF will then map to the Account segment within the CoA.

**Q6: Can you please clarify the purpose of having task since it is same as Project Number?**

A6: Task is a required field within the POETAF chartstring used in PPM, and is required to be managed centrally. At UCLA, the Project field will provide the granularity needed to manage C&G awards so task has been mapped to this value.

**Q7: For expenditure type, do we type in the description "project supplies", or will we use numeric codes as we do now?**

A7: The Project team is currently working with each individual boundary system (e.g., Concur, JAGGAER) to design the interface. More information on how expenditure type will appear and be selected in each system will be shared as it becomes available.

**Q8: For training grants where we separate out stipends on 78XXXX vs. other admin expense 40XXX, how would that be reflected on POETAF & CoA?**

A8: For conversion all Account-CC-Fund combinations will be set up as separate Projects in PPM. The Project segment will map to the Portfolio segment in the CoA. This means the segregation for expenses currently charged to 78xxxx and 40xxxx Accounts will remain.

**Q9: In a nutshell, in future Monthly Statements run, should we go by Portfolio/Award? Or in other words, just for practice, what Identify (now it is FAU) are we going to look for?**

A9: In PPM, Award will correspond to the PATS Institution Number which is identified on the Award Snapshot. Awards will then be broken down by Projects, which correspond to Account-CC-Fund today. For conversion, all Account-CC-Funds will convert to separate Projects in POETAF and the Project segment will map to the Portfolio segment in the CoA. To get an overall view of the entire award, in the same manner as Fund in current state, you will look at the Award within PPM. To isolate an Account-CC-Fund combination you will refer to Project.

**Q10: Will there be a permanent report somewhere in the Ascend environment that will show the FAU, POETAF, and CoA? I'm sorry, but how are staff expected to remember the linkage between POETAF and CoA for 100+ research funds?**

A10: Staff will not be expected to remember the FAU, CoA and POETAF values. We will share this feedback with the Project team and look into the options available for users to easily understand the relationship between values.

**Q11: Could you explain in what occasions we will use the POETAF vs the CoA with contracts and grants accounts?**

A11: POETAF will be used for the recording of transactions to the PPM subledger, which will house all C&G awards. This means all users posting transactions to C&G awards will use this chartstring. All transactions posted to subledgers will be summarized in the GL using the CoA.

**Q12: Will be there a Central Place where we can draw GL, as well as Payroll?**

A12: Yes, the Technical team is working on solutions to provide for the reporting needs of campus. More information regarding reporting can be found on the Technical Overview page on the [Ascend website](#).

**Q13: Suppose all these new things are going to be Web based. Is campus ready for heavy reliance on the Server?**

A13: Please provide additional context and/or clarifying details to [ascend2@ucla.edu](mailto:ascend2@ucla.edu) to help us better understand your concern.

**Q14: If it was known that not using project/source codes would be an issue, why was Oracle/ASCEND selected? Why wasn't the ability to enter these (or something equivalent) part of the requirements for this software during the acquisition period?**

A14: Oracle was selected as the best modern financial system to meet UCLA's complex requirements. Most modern financial systems do not contain "free form" fields like today's Project and Source fields. Free form fields are not accommodated in new systems because they hinder data accuracy and related reporting. To prepare for this upcoming change, the Program Team is working with over 300 campus mapping experts across every organization to understand how these fields are used today. Using this information, the following options exist for elements held in Project and Source today:

1. Some of the data elements will be available in the Ascend 2.0 CoA, but will be available in a standardized set of values for use across the institution to improve accuracy and reporting. For example, identifying information for a faculty member will be held in the Portfolio segment, and identifying information for a Conference will be held in the Activity segment.
2. Other data elements will not be held the CoA, but will instead be held in subledgers or other sub-systems. For example, one current use of the Source field is to identify how receipts come in (e.g., ACH, Wire, etc.). In the future, this same information will be identified in the Cash Management module of Oracle.
3. Finally, some data will admittedly be required to be tracked in separate systems, if it is not appropriate for a financial system. For example, identifying information for staff members attending a conference will not be held in the central finance systems.

**Q15: It would be great if people had access to a production version of this before it goes live. Is that possible?**

A15: Thank you for this suggestion and we will share this with our Project team. We are also looking for users who are interested in testing prior to go live. If you are interested, please reach out to Katie Cadle at [kcadle@research.ucla.edu](mailto:kcadle@research.ucla.edu).

**Q16: Will we still have the current tools to run financial reports? Dean's office Excel add-ins?**

A16: The Project team is currently working on assessing which reporting tools will be retrofitted and which tools will be replaced. This process includes the creation of a sub-committee of the Reporting Workgroup to ensure campus users have the reports they need after go-live. More information on reporting tools specific to C&G will be shared as it is available. For general information regarding the future reporting structure refer to the Technical Overview page on the [Ascend website](#).

**Q17: In PPM, will we be able to see all the projects that roll up into an award?**

A17: Yes, there are pages within PPM which will allow users to see all Projects on a single Award.

**Q18: How will POETAF (project number vs. fund number) appear in snapshot? Will there be a presentation on any changes (minor or major) to the snapshot with the conversion?**

A18: There are expected to be minor changes to the Award Snapshot to capture the way in which Awards will be structured in PPM. We will share updates at future RAF meetings as decisions are finalized.

**Q19: When is the anticipated go live date?**

A19: The anticipated go-live date is early January 2025.

**Q20: Will we have a rapid closeout tool equivalent? Will existing funds data migrate into PPM?**

A20: The Project team is currently working on assessing which reporting tools will be retrofitted and which tools will be replaced. We have included the RAPID Tool on this list, and more information on all C&G specific tools will be shared as it is available. Yes, existing fund data will be migrated to PPM through the conversion process.

**Q21: Currently, when we look at an FAU, we can see the cost center by direct inspection, and thus know which PI it belongs to. The new Project Number in the POETAF doesn't seem to allow that. Will there be an easy way to extract that information from the project number without having to run a report – e.g., a translator we can install on our computers?**

A21: At the moment, PI information will have to be pulled via a report. Cost Center information can be derived from Organization which is the "O" in POETAF.

**Q22: Why should we believe that Oracle will be an improvement over our current financial system?**

A22: The Ascend 2.0 Program is managed completely by UCLA. We have taken the opportunity to incorporate lessons learned from UCPATH and from other UC schools' financial systems implementations. We have instituted an effective governance model, prioritized change management and the balance of internal and external resources, invested in a robust hypercare support model, and planned early for post go-live sustainment.

**Q23: Are we going to be able to run historical reports after we transition to Oracle?**

A23: The Project team understands that information housed within our current financial system will still be required after we go-live with Oracle. The Project team is looking into how this data will be made available and will share updates as decisions are made in the future.

**Q24: Has UCPATH FAU to COA migration been discussed?**

A24: Yes, this has been discussed and there is a workstream focused on UCPATH retrofit to Oracle within the Project team.