Research Administration Forum

October 12, 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

• Research Policy & Compliance
  ◦ UC Data Research Policy – Ann Pollack

• Extramural Fund Management
  ◦ UCPath New Salary Cost Transfer Tool – Val Gomez
  ◦ Effort Reporting October Release – Val Gomez

• Ascend 2.0
  ◦ Ascend Grant Team Current Status and Highlights – Katie Cadle
  ◦ Ascend Conversion – Stephanie Perez
UC RESEARCH DATA POLICY

The UC Research Data Policy was issued to clarify the long-standing precept that research data generated or collected during university research are owned by the UC Regents.

ALSO ADDRESSES MATTERS RELATED TO STEWARDSHIP, COLLECTION AND PRESERVATION, SHARING, TRANSFER, AND DISPOSITION OF RESEARCH DATA.
DEFINITION

The policy defines Research Data as recorded information embodying facts resulting from a scientific inquiry, regardless of the form or media in which they may be recorded.

Also lists things that are not research data, such as administrative records, or informal notes, preliminary analyses, drafts of scientific papers, communications with colleagues that do not include recorded information embodying facts resulting from a scientific inquiry or medical records.
UC RESEARCH DATA POLICY

PIS ARE EXPECTED TO:

- Provide scholarly leadership pertaining to Research Data, including collecting, recording, managing, and disposing of Research Data.

- Determine use of Research Data by other UCLA researchers and collaborators on the project in accordance with relevant agreements, the practices of their scholarly disciplines, and the needs of other academic appointees, postdoctoral scholars, degree candidates and other students who are using Research Data to complete ongoing projects and/or thesis or dissertations.

THE POLICY INDICATES THAT PIS ARE CONSIDERED THE PRIMARY STEWARDS OF RESEARCH DATA.
COMING SOON:

UCLA has drafted guidance that briefly addresses issues related to procedures for collecting or generating research data, for acquiring research data from other institutions, for taking data to other institutions when leaving UCLA, for sharing and preserving research data, and for disposing of research data.

The guidance will be posted in about 2 weeks and will include all relevant contact information and related resources.

Click here to see the full UC Research Data Policy
New UCPath Salary Cost Transfer Tool
New UCPath Salary Cost Transfer Tool

**Background**

- **Direct Retros (DR) in UCPath** are Salary Cost Transfers (SCT), correcting payroll charges to a funding source A to a funding source B.
  - It is an accounting entry not an actual payroll transaction processing a paycheck.

- **Current SCT process** goes through upstream Salary Distribution processes as if they are original payroll transaction goes through (when people are getting paid).
  - Salary distribution processes prior to Labor Ledger (LL) are important for the original payroll to be validated before a paycheck is processed; however, SCT does not have to go through these upstream processes because SCT is correcting an accounting entry in LL that flows to General Ledger (GL).

- **As a result, current SCT design is too complex and creates a number of unintended processing errors in the upstream processes prior to LL.**
  - Examples include approved DRs not appearing in LL, duplicate DRs in LL.

- **In addition, current SCT design is lacking certain controls and features to support efficient management of sponsored project funds.**
New UCPath Salary Cost Transfer Tool

Key Requirements

- **New SCT process is to simplify the process by directly pulling a payroll transaction from Labor Ledger and posting a correction directly to Labor Ledger.**
  - This will address common and major SCT errors reported to UCPath Center

- **Multiple enhancements will be included in the project. Key requirements UCLA requested include,**
  - Ability to select and transfer all payroll transactions based on the earn date: Currently a SCT gets into the lumpsum amount with a regular payroll of that pay period. This new feature will allow a retransfer of payroll without losing the original earn date.
  - Ability to select only transaction lines that need to be redistributed (instead of including all lines in the “Old Data” to the “New Data”): This will require validation of FAUs only affected by SCTs and will eliminate the need to reopen closed funds included in the original distribution even though they are not affected by SCTs.
  - Ability to select net zero paycheck for SCTs: Even if all transaction lines add up to zero in the paycheck, certain transaction lines in the paycheck may need to be corrected. This will allow user to make such correction.
  - Validation control on Old Data FAU: Currently validation runs only on the New Data FAUs. This will allow the user to be aware of any inactive FAUs they are trying to move salary from.
On September 26, 2023, Central Resource Unit (CRU) released an announcement introducing the new UCPath Salary Cost Transfer (SCT) tool scheduled to launch in November 2023.

On October 9, 2023, CRU released Preparing for Changes to Salary Cost Transfer announcement.

- In preparation for the change, location transactors must approve or deny any pending direct retro and funding transactions by November 3, 2023.

**Timeline:**

- **October 1 – November 3:** Approve or deny direct retro and funding entries
- **November 6:** UCPath processes approved direct retro and funding entries
- **November 9 – November 12:** Cutover weekend. UCPath will cancel pending direct retros and funding entries and notify transactors of the canceled transactions
- **November 13:** Go Live
New UCPATH Salary Cost Transfer Tool

• On October 10, 2023, CRU released information for upcoming UCPATH Salary Cost Transfer Training

• CRU to host webinar to go over all the need-to-know details of this new UCPATH initiative.
  ◦ Session will take place on Monday, October 23, from 1:00PM to 2:00PM

• Topics will include:
  • An overview of the Salary Cost Transfer project.
  • Demos of the exciting features coming your way.
  • Resources
  • Ability to have your questions answered in real time by the experts.

• Who should attend?
  ◦ UCPATH General Ledger administrators who have one or more of the following UCPATH roles: GL Inquiry, GL Initiator, GL Approver.

• Stay Tuned
  ◦ Next week CRU will share the registration link for our UCPATH Illuminated webinar.
New UCPath Salary Cost Transfer Tool

CRU will provide additional information leading up SCT Go-Live
- Providing a breakdown of the impacted pages
- Resources for training & support

Information about the decommissioning of the existing Direct Retro (DR) tool will be shared as it becomes available
- During a limited transition period both Direct Retro Tool and Salary Cost Transfer Tool will be active simultaneously.
  - The new SCT tool will be used for expenses paid on or after October 2021 and have not had a Direct Retro performed on the same paycheck.
  - The existing Direct Retro tool will be used for expenses paid prior to October 2021 or have had a Direct Retro performed on the same paycheck prior to the new SCT go-live.
- Salary cost transfer tool will assist with directing the transactor to the appropriate page for processing of DR or SCT
Effort Reporting

Val Gomez
Effort Report Certification Status

- Effort Report Certification Rates can be found in ORA Online Resource Center
  - Compliance Tab → Effort Report Certification Status

- As of 10/11/23, there are 14,779 open effort reports to be reviewed for certification.

- 54 contain PPS payroll

- 5,280 open effort reports include pay periods in FY22-23
  - Completion of effort reports released during our last fiscal year is crucial, as the Single Audit will include selections of funds with expenditures from 7/1/22 to 6/30/23.
  - Certify effort reports for the payroll periods in FY22-23, confirming that committed effort has been satisfied for key personnel
Upcoming Release

• Effort reports will be released for the following periods:

<table>
<thead>
<tr>
<th>Reporting period</th>
<th>Non-Academics and 11/12 Academics</th>
<th>9/12 Academics</th>
</tr>
</thead>
<tbody>
<tr>
<td>Spring 2023</td>
<td>April 2023 – June 2023</td>
<td>March 2023 – June 2023</td>
</tr>
<tr>
<td>Summer 2023</td>
<td>July 2023 – September 2023</td>
<td>June 2023 – September 2023*</td>
</tr>
</tbody>
</table>

(*) Additional Compensation earn codes only

• Target Release: Late October 2023

• Certification Due Date for Spring & Summer 23 Release: 1/28/2024

• ERS production site will not be available during release preparation
  ◦ Tentative downtime is scheduled starting Friday, 10/20/23 from 5pm – Monday, 10/23/23
  ◦ ERS downtime will be communicated through the ERS Listserv

• Payroll transactions through the pay end date of September 2023 have been loaded in ERS
  ◦ Subsequent loads of earnings are targeted to take place monthly

• Approximately 1% of the total number of effort reports released for the Spring and Summer 23 effort reporting periods are projected to be impacted by key UCPath defects.
  ◦ If you encounter a reported flagged as “Under preliminary Review”, please review the associated comment and proceed with certification based on the guidance provided on EFM’s special instructions page
ERS Resources

• Effort reports flagged with “Under Prelim Review” have been resolved as described in the table below. Please proceed with review effort reports following instructions below and certify.
  ◦ UCPath has implemented fixes to all major issues

• Below are the summary of instructions. More information can be found on EFM’s special instructions page

<table>
<thead>
<tr>
<th>Issue</th>
<th>Instruction Summary</th>
</tr>
</thead>
<tbody>
<tr>
<td>Missing payroll record(s) in effort report</td>
<td>Missing payroll record(s) have been loaded to ERS - Reconcile ERS to Labor Ledger and proceed with certification</td>
</tr>
<tr>
<td>Pending Mass Leave Correction (MLC) entry</td>
<td>Mass Leave Corrections (MLC) have been recorded to ERS - Review payroll details in ERS and proceed with certification</td>
</tr>
<tr>
<td>Y-OTC or N-OTC indicator is missing</td>
<td>Y-OTC or N-OTC indicator missing- Review effort report to ensure correct effort distribution and calculations</td>
</tr>
<tr>
<td>Incorrect percent of effort for effort bearing payroll line—review supplemental Excel file and job aid provided by EFM before certification</td>
<td>EFM will take inventory of effort reports flagged with the defect and distribute Excel Supplement files to ERS Coordinators.</td>
</tr>
</tbody>
</table>

• ERS Frequently Asked Questions
• Email: ershelp@research.ucla.edu
Upcoming LMS Courses Hosted by EFM

• **Post Award Research Administration**: Online course is covered in two half-day sessions
  ◦ Monday, November 6, 2023, 8:30am – Noon
  ◦ Tuesday, November 7, 2023, 8:30am – Noon

• **RAPID Closeout Tool**: Online course is covered in one half-day sessions
  ◦ Monday, November 13, 2023, 8:30am – Noon

• **Effort Reporting**: Online course is covered in two half-day sessions
  ◦ Monday, November 20, 2023, 8:30am – Noon
  ◦ Tuesday, November 21, 2023, 8:30am – Noon

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

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

Contact Information

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

ERS Help Desk
Email: ershelp@research.ucla.edu

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

Yoon Lee
Phone: (310) 794-0375
Email: yoon.lee@research.ucla.edu
Agenda

• Grant Team Status Update
• Preparing for Data Conversion
Grant Team Status Update
Project Status: Grant Team

- The project is currently in the **Deliver** phase of the timeline

- **Activities for the Grant Team in this phase include:**
  - Testing of User Stories (Sprint cycles)
  - Creating Design Specification Documents (DSD) for Reports and Integrations
  - Loading and validating of conversion
  - Refining design decisions and business processes
  - Collaborating with other modules (e.g., General Ledger, Fixed Assets, Capital Projects, and Procure to Pay) regarding processes which require cross-collaboration
  - Participating in various committees and forums related to the Research Enterprise

**Additional information on the overall project timeline is in the [Ascend 2.0 Project Roadmap](#) on the Ascend website.**
What are Sprint cycles?

- Repeatable phases of the development cycle which break down the development into smaller, more manageable pieces
- Last approximately six weeks in length with eight cycles overall
- Includes testing of User Stories which are user requirements and testing of reports and integrations
- Cycles started Spring 2023 and go through Spring 2024

Sprint Highlights

- Sprint cycle four ends Tuesday, October 17, 2023
- Sprints one – two focus was configuration User Stories
- Sprint three and four focus expanded to include central office report testing
- Configurations tested in Accounts Receivable Module include Managing Cash Receipts/Receivables, Cash/Receivables Adjustments, and Month End Close
- Configurations tested in PPM include: Award/Project Creation and Update, Month End Close

What is coming in the remaining in Sprint cycles?

- Transition to testing of integrations and system builds including PATS, PAMS, and Project Cost Imports
- Continued central office report testing
- Testing of campus reports designed in collaboration with Research Reporting Sub-Committee
- Retesting as needed
Collaboration: Research Reporting Sub-Committee

• The Research Reporting Subcommittee, within the Campus Reporting Workgroup, was established to ensure the Ascend 2.0 central Reporting Team develops reports that meet the Research community’s needs.

• The Subcommittee is responsible for developing a list of reports needed for campus at go live, in collaboration with the Ascend 2.0 Financial Reporting and Business Analytics (FR&BA) and Grant Teams.

• Upon finalizing the list of reports the respective owning team oversees the creation of the Design Specification Documents (DSD) and development of the report.

• Collaboration between the Subcommittee and Grant team ensures:
  ◦ Reports include data relevant to campus users
  ◦ Reports developed for campus users are consistent in look and feel
  ◦ Creation of duplicate reports is avoided
Design Specification Document (DSD) Breakdown

What are Design Specification Documents (DSD)?

• Documents containing the functional and technical requirements for a report or integration
• Used as the source document for the technical team during development

DSD Highlights: Reports

• Examples of reporting DSDs being created by the Grants Team for central office use:
  • Reports needed during the billing and reporting process including Pre-Bill reports, invoice and financial report templates for submission to sponsors, and Letter of Credit Reports.
  • Other management and Quality Assurance reports utilized by ORA

DSD Highlight: Integrations & Conversions

• Examples of integration DSDs being created by the Grants Team:
  • Integrations from PATS for Award/Project creation and update
  • Integration from PAMS for Award/Project creation and update and fixed amount billing
  • Project Cost imports from boundary systems such as UCPath
Beyond the functionalities covered in the demos, the Grants team has accomplished significant work during Sprints 1-4.

**Sprint 1 – 4 Milestones**

- Wrapping up testing of Grants & Accounts Receivable system configuration user stories. Testing for all user stories will continue through sprint 8 (March ~ April 2024).

- Research Conversion Design Specification Documents (DSDs) have been completed. DSD creation for integration in process and will continue through future sprints.

- Alignment and collaboration with Financial Reporting and Business Analytics team completed for campus facing reports. Design Specification Documents (DSD) creation proceeding according to alignment for all Research related reports.
Ascend: Preparing for Data Conversion
Data Conversion: Overview

• **Sponsored Awards Scope:**
  ◦ Funds open in the financial system as of the conversion cutover date (TBD).
  ◦ Funds closed in the financial system but associated to the same sponsored award as one of the open funds. These are Multiple Fund Numbers under One Award (MFNOA) cases.

• **Costs Scope:** All individual expense transactions on these funds will be converted to Oracle.
  ◦ This level of detail is being converted to facilitate review and necessary adjustments for invoicing, financial reporting, and award closeout in a single system.

• **What if there is a need to revise a financial deliverable for a fund that was closed in the current financial system and NOT converted to Oracle?**
  ◦ There will be a plan in place to perform ad-hoc conversion of all award costs for these scenarios.
Data Conversion: Population

- **Conversion of sponsored project funds involves significant volume and complexity.**
  - In addition to detailed expenditures conversion, complex cutover steps are required to accurately capture the total invoiced amount and outstanding payments on each award.

- **Funds within the conversion scope as of 10/10/2023**
  - Total number of open funds: 8,415
  - Total number of open awards: 8,285
  - Total number of costs: Over 7 million transactions

![Award Status Chart]

- Funds associated to these 1,714 expired awards should be closed out as soon as possible.
- Timely closeouts should be completed for the funds associated to these 1,163 awards.
Data Conversion: Cleanup

• To convert sponsored research awards as accurately and efficiently as possible, data cleanup in the current financial system is needed.
  ◦ Expired awards should be closed (Y/N) before conversion cutover.
  ◦ Data should be recorded to the ledger in a consistent manner.
    ◦ Focusing on Awards with Multiple Payment Bases in today’s presentation.

• 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!
  
  ◦ Additionally, this will reduce the volume of data that needs to be converted to Oracle.
  
  ◦ Expired awards under MFNOA are a top priority since one fund being open can result in multiple other closed funds having to be converted.

Refer to February 2023 RAF Presentation for resources you can use to close expired funds.
On 6/25/23, a new field for Payment Basis was added to the AF table in OASIS to help identify the payment basis for each expense account.

- For awards with a single payment basis, the Payment Basis Code will automatically populate based on a nightly feed from PATS.

The available values for this new field are:
- 1 – Cost Reimbursable
- 2 – Firm Fixed Price
- 3 – Firm Fixed Rate

Reference the July 2023 RAF Presentation for more information.
Awards with Multiple Payment Bases

• 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.
  ◦ This allows both department and central office to easily see which expenses correspond to which payment basis and will enable us to set up revenue recognition and billing method accurately in Oracle PPM.

• For existing awards with multiple payment bases, if the fund will be eligible for conversion (meaning needs to stay open by Ascend go-live in January 2025):
  ◦ Coordinate with your EFM Accountant to link the necessary Account/CCs to segregate budget and expenses per payment basis.

• As of 10/10/23, there are 130 expenditure accounts within the conversion scope that do not have a payment basis code assigned in OASIS.
  ◦ The Ascend Grants team will collaborate with EFM and impacted departments to identify the appropriate Payment Basis Code for the expenditure account if it cannot be determined independently.
  ◦ Please continue to indicate the Payment Basis when submitting linkage requests to EFM for Awards with Multiple Payment Bases.
Any Questions?

Contact Information

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

Katie Cadle
Email: kcadle@research.ucla.edu

Ascend Website
https://ascend.ucla.edu/

Stephanie Perez
Email: Stephanie.Perez@research.ucla.edu
Research Policy and Compliance

Q1: There are data sharing instructions from TDG/UC Health on the TDG website. These instructions confuse a lot of our investigators. Will the instructions from TDG/UC Health be removed and replaced with your new guidance?

A1: The guidance you have cited refers specifically to Material Transfer and Data Use Agreements. These are generally used when UCLA has an interest in protecting materials and/or data to be shared, limiting its use to certain purposes, and/or defining UCLA's interests. This would be a small component of an overall research data policy.

Q2: Does the research data policy apply to non-employees performing research at UCLA?

A2: I assume the question is about whether data generated or created by students (who are not concurrently employed) belongs to the Regents.

If a student is participating in the design, conduct, or reporting of a Principal Investigator’s research, then any research data arising from that work is owned by the Regents. In addition, if the student received gift, grant, contract funding from or through the University for the work or utilized special resources, then research data may also be owned by the Regents. The Policy also indicates, however that, PIs must retain data that if a student is participating in university research, the research data connected to that research must be retained until the student has been awarded a degree, is no longer working on the project or is not enrolled in the University. If, however, a student is solely performing research as a part of their coursework or conducting independent scholarship activities, then research data is not owned by the Regents. Such research Data is the property of the student.

Extramural Fund Management

Q1: What is the Go Live date?

A1: November 13, 2023. and you can find more information on the CRU website.

Q2: What if we have direct retros between November 3 and the go live date?

A2: Campus should not submit funding entries and direct retros between 11/4/23 and 11/12/23.

In preparation for the change, location transactors must approve or deny any pending direct retro and funding transactions by November 3, 2023. UCPath will cancel pending direct retros and funding entries and notify transactors of the canceled transactions.

Q3: Has the CRU sent out the invitation for the webinar yet? I want to make sure I don’t miss their demo of the new changes.

A3: Invitation has not been sent. Next week CRU will share the registration link for their UCPath Illuminated webinar.
Q4: Can the university put a time limit on UCPATH Mass Corrections that hit very old, already closed C&G awards? Re-opening awards that have already been closed because some mass correction was applied way after the fact and resulted in a tiny dollar amount change is such a waste of everyone's time and makes UCLA look incompetent to sponsors. So many wasted man hours!!

A4: UCPATH has completed all key mass corrections in the prior fiscal years and there should not be any mass correction happening now. If there is mass correction you are aware of, can you please let me know? I would appreciate you bringing it to my attention and I will look into it.

Q5: Did you say October 21st, or October 2021?

A5: October 2021

Q6: Why can’t we simplify Cost Transfers (i.e., Direct Retros) so they are done the same way as funding entries, where we only need to enter the %efforts (or total dollars) for each fund, and the earn code/fund combos are allocated automatically?

A6: Feedback will be shared with UCPATH

Q7: Will we still use the MCOP Worksheet?

A7: MCOP Worksheet will no longer be needed for transactions processed using the SCT Tool

Q8: What is the cut-off time for DRs on 11/3?

A8: EFM has not received the exact cut-off time and is waiting to hear more updates from CRU. We anticipate that CRU will release more detail updates as we get closer to the go-live. The latest CRU update on the new SCT is available on the CRU website.

Q9: The current retro does not allow you to process retros on the same check date even if the check had multiple position numbers. We basically have to wait until one position is approved in order to do the next one. Will the new system allow us to do multiple retros with multiple positions under the same paycheck?

A9: Process will remain the same with SCT Tool. Initiator will need to wait for SCT to be processed before initiating additional SCT for the same paycheck.

Q10: What if we have direct retros between November 3 and the go live date?

A10: The scenario will be shared with CRU to see if any additional guidance or clarification can be provided.
Q1: Once A2 is up and running down the road, is there a central place to seek help? Hopefully, it is not similar to CRU when PATH arrived.

A1: The Ascend 2.0 Program acknowledges the need for centralized support capabilities in support of the Ascend 2.0 release, which will include service sites, training, end-user support, and consultations. The Ascend 2.0 dedicated support email will be announced in the months leading up to the launch of Bruin Finance (Oracle Financials Cloud), which is scheduled for December 2024. Until that time, please use our existing communications channels to stay up to date on important Ascend 2.0 updates, including the Ascend 2.0 website and the Ascend 2.0 newsletter (email ascend2@ucla.edu to subscribe).

Q2: Will the transition to ASCEND have any impacts, positive or negative, to the functionality, ease of use, of the PI Portal?

A2: The PI Portal will be retrofitted to ensure its compatibility with Bruin Finance (Oracle Financials Cloud). Additionally, the Ascend 2.0 Financial Reporting & Business Analytics team is working with PI data as part of their development of the future Financial Report Suite. Research leaders involved in Ascend 2.0 are in the process of establishing a Researcher Focus Group, in which select PIs from a variety of departments will meet on an as-needed basis to share feedback with members of Ascend 2.0 Research leadership and ask questions. One of the aims of this new group will be to discuss potential ways to enhance the PI Portal with a streamlined PI-specific dashboard.

Q3: Will A2 have any functionality for complex C&G expense reporting? In other words, if we have a sponsor who wants us to report on very specific line item expenses, will we be able to run reports that meet those needs instead of creating shadow ledgers internally (at the dept level) to get that level of granularity?

A3: Oracle's reporting capabilities are driven by the Expenditure Categories and Expenditure Types which are set up as part of configuration. These segments are similar to Sub Code and Object Code in the current state. For complex reporting based on sponsor budget line items which either differ, or are more granular, than Expenditure Types, Departments will need to continue to maintain this level of detail as they do today.