

This session will *not* be recorded, but this PowerPoint can be found

<https://medschool.ucla.edu/research/research-infrastructure/administrative-support/department-of-medicine-office-of-research-3>

Postdocs and Grad Students

UCLA DEPARTMENT OF MEDICINE
OFFICE OF RESEARCH ADMINISTRATION
ZOOM TRAINING

Understanding Fund Purpose (or *Function*)

- Typical DOM Fund Manager Portfolio consists of (*not an exhaustive list*):
 - Research FAUs
 - Training/Instruction FAUs
 - Student Financial Aid FAUs
 - Gifts/Endowments/Other Unrestricted FAUs
- A Fund's Purpose (or *Function*) is determined by the assigned Account number, and guides management of those funds

Research FAUs (44xxxx)

- FAU established to support research-related activities, sponsored or un-sponsored, where there is an expectation of work and dedicated effort allocable to distinct research projects
- When established *without* the accompaniment of a linked 78xxxx or 40xxxx account, these funds support Employee-Employer relationships where all personnel dedicating measurable effort must have an established appointment in UC Path as an %FTE employee in order to receive income disbursements
- When used to support Graduate Student Researcher income, may incur costs for Fee Remissions as a mandatory benefit (sub o6)
- Assesses Indirect Costs according to the established Organized Research Indirect Cost Rate (currently 56% through FY23 for awards referring to Federal F&A Rate agreement)

Training/Instruction FAUs (40xxxx)

- FAU established to incur expenses associated with training or career development activities
- When established as a result of Individual Fellowship awards, where the sponsor **or federal law* require wages to be disbursed in the form of **income**, may support salaries and benefits in addition to other sponsored activity costs necessary to fulfill award requirements
- Unless approved to waive Indirect Costs *prior to award execution*, must assess indirect costs at the *established rate for Instruction* (currently 40% through FY23 for awards referring to Federal F&A Rate agreement)

**Medical Residents, while may be matriculated students of UCLA pursuing a degree, must receive income compensation and benefits commensurate to the work performed*

Student Financial Aid (78xxxx)

- FAU established to support student and or fellowship activities, where associated costs are limited to:
 - Subsistence Allowances to defray the cost of living (commonly referred to as “Stipend”). These disbursements are not associated with work or effort
 - Tuition and Fees distributed as Fellowship Award via GoGrad (not to be confused with Fee Remission! which is a *fringe benefit* unique to GSR Employees)
 - Benefits assessed against stipends distributed through UC Path (Earn code FEN; not income!)
- May not incur expenses such as textbooks, travel, computing devices, etc. Should the award include funds for these purposes, a 40xxxx linked FAU must be established to incur those distinct expenses.

Gifts/Endowments/Other Unrestricted

- Must be used in accordance with the fund's established "purpose", for gifts can be located on the "Consolidated Gift Fund Management" report

Fund Type:	CURRENT EXPENDITURE REGENTAL
Fund Number:	43517
Fund Title:	VRS DNRS/DUELL CONFERENCE
Department:	1553 - MEDICINE-CARDIOLOGY
Fund Purpose:	Instruction - Seminar/Lecture/Conference . . . ▶

- If the fund "purpose" allows for research, training/instruction, and fellowship/financial aid, may be linked to all account types previously mentioned.

Block Funds

- Student Support Allocations through the Graduate Division, typically administered by the Academic Department, that may only be used for distributions through GoGrad (Stipend, Tuition, NRST)
- “Use it or lose it” funds – must be fully expended by June each year (end of the academic year)
- Cannot be used to fulfill Fee Remission requirements (fringe benefits, sub o6)
- Cannot be used to cover “Balance of Fees” costs

Graduate Student Researcher Costs

- How to determine a GSR's minimum required UCLA Salary Point:
 - Salary Point (SP) determination is based on the record of experience as a GSR. This should include any Fellowship GSR activities where the fellowship program warrants enrollment into the Union.
 - GSRs will receive credit toward experience gained for each **Academic Quarter** engaged in GSR activities throughout the Academic Year. Summer experience may only be counted if the GSR did not engage in GSR activities for all 3 Academic Quarters:
 - *Example:*
 - Sally was hired as a GSR by Dr. Bruin with an Oct 1 start date. She worked as a GSR for Fall and Winter quarters, completed a TA-ship in the Spring, and worked over Summer as well. Sally normally would only have 2 quarters of experience, but may apply her Summer effort. This brings Sally's total GSR experience to 3 quarters.
 - Julie was also hired as a GSR by Dr. Bruin with an Oct 1 start date. She worked as a GSR for Fall, Winter, Spring and Summer! Julie also has 3 quarters experience! Because she worked all 3 Academic Quarters, Summer may not be applied.
 - A GSR may advance from SP₁ → SP₂ after 3 quarters experience is gained. SP₂ → SP₃ after 6 quarters.
 - As of June 2023, there is no requirement via the bargaining agreement mandating minimum support beyond SP₃; however, Academic Departments are likely to require a minimum SP₄ or SP₆ for all GSRs enrolled in their programs. Always verify with the GSR's SAO for Academic Department minimum support requirements.
 - If a Department elects to appoint a GSR above their minimum required SP, that GSR must always be appointed to that same SP or higher. This includes cases where the GSR transfers to a new Department.

Graduate Student Researcher Costs *cont.*

- Always confirm with the GSR's SAO if the Academic Department has guaranteed specific costs to be covered. It is typical for the academic department to guarantee:
 - Minimum annual wage distributed as a combination of stipend/income, dependent on available funds and mentor obligations
 - Effective 04/01/2023 GSRs engaged in employment activities **must** have wages calculated against an exact Salary Point established via [UC Table 22](#). Base rates that fall between salary points are no longer permitted. Base rates above scale may be approved by Labor Relations on a case-by-case basis.
 - Coverage of uniform costs typically guaranteed as [fee remissions](#):
These costs are identical across degree programs. Only these costs may be supported by grants that include a contractual term equal or similar to:
"Tuition remission and other support are provided, in accordance with established institutional policy, of the Institution **and consistently provided in a like manner to students in return for similar activities** conducted under Federal awards as well as other activities"
 - Tuition (Education)
 - Student Services Fee (Registration)
 - UCSHIP (Health Insurance)
 - Coverage of the "Balance of Fees"
 - The Balance of Fees is the \$\$ amount remaining against the student's total degree program fee schedule, where costs are not uniform among all degree programs and are not covered as a fringe benefit via fee remission when the GSR is appointed at 25% or more
 - [Example: 2022-2023 Academic Doctorate](#) total fees are \$18,036.05
 - Uniform costs = \$11,700 (Tuition) + \$1,152 (Student Services Fee) + \$4,714.06 (UCSHIP) = \$17,566.06
 - Balance of Fees = \$18,036.05 - \$17,566.06 (Uniform costs) = \$469.99
 - Balance of Fees may never be charged to research grant funds, and must always be awarded in GoGrad as a Tuition award

GSR Offer Letters

- Graduate Student Researchers ***must*** receive offer letters outlining Salary Point, FTE, Job Duties (employment), Fellowship Duties (if applicable), and a summary of costs covered. Hiring Departments are required to have offer letters signed **a minimum of 30 days prior to appointment start.**
 - Historically, GSR Offer Letters were strongly encouraged, but not mandated
- Departments can expect to send out revised offer letters when the new Table 22 is published for new rates effective Oct 1, 2023.
- New Letters should be routed when there are significant changes to the GSR's rate, duties, assigned mentors/supervisors, or any other terms outlined in their latest established agreement.
 - Changes in funding source only where the GSR's overall duties, level of support, and mentorship will remain consistent does not warrant a new offer letter.

GSR Offer Letters – More Changes Coming!

Greetings Campus Partners,

This Fall, the campus will launch a new process in Slate for creating centralized admissions and funding offer letters. All departments will be required to utilize Slate to prepare their admissions and funding offers to ensure consistent language that complies with new collective bargaining agreements/legal requirements, and Graduate Council Guidelines and Codification is used across campus.

The most significant change in Slate will be the addition of a new section designed to guide the user through various options to generate admissions and funding letters. This process will provide selections for segments that cover key admissions and funding elements currently offered by departments (such as various fellowship and employment options) but allow flexibility in which are included for which students—as funding packages and admissions conditions vary across students and departments.

This new process will allow for equitable and consistent communications that aim to remove multiple offer letters and consolidate funding offers to students, ultimately minimizing confusion.

The Division of Graduate Education plans to implement this process for the next admission cycle and will have the new letters ready for use when the application cycle opens in Fall 2023.

Further details about the centralized admissions and funding offer letters processes and related training opportunities will be shared in early Fall. Implementation of the new offer letters may require a change in the workflow of your area and adjustments to how your department has managed admissions and funding processes in the past. We strongly encourage department staff and faculty to work together on their internal timelines to accommodate this change.

We are working to make this process as transparent as possible and will provide additional details about the Slate workflow, along with multiple training opportunities to help alleviate some of the uncertainty that comes with changes of this scale. We appreciate your time and patience as we navigate these changes together.

Please always feel free to reach out to us at askgrad@grad.ucla.edu.

GSR % FTE

- To determine the % FTE for a GSR's UC Path appointment, evaluate on the realistic, actual weekly schedule for the student.
 - A 100% FTE appointment is commensurate to 40hrs/wk
 - GSRs may only engage in employment for up to 20hrs/wk (50%) without exception from Graduate Division
 - If a GSR genuinely will only work for:
 - 5hrs/wk: $5 \div 40 = 12.5\%$ FTE Appointment
 - 10hrs:=25% FTE
 - 15hrs:=37.5% FTE
- Departments should **NEVER** assign an arbitrary FTE% that does not directly align with the GSR's proposed schedule.
- Departments should be prepared to substantiate all appointment FTEs if/when questioned by the Union.

GSR TBD Logistics

- Per the bargaining agreement, GSRs are entitled to vacation. Official guidance regarding assessment of VLA against GSR appointments is still pending as of this training. Updates will be provided via email as guidance is received for payroll reconciliation and budgeting.
- GSR Stipends for activities covered by the Union will be disbursed in UC Path, whereas “other” stipends will continue to be disbursed via GoGrad. Official Guidance for the full “Heritage List” of Fellowship Activities to be administered through Path is pending as of this training. NIH/NSF Training Grants and Fellowships will be administered through Path. Many (if not all) Mentored Individual Fellowships can be expected to be administered through Path. Further guidance will be provided via email as guidance is received for appointment structures.
- Title Code(s) to be used for GSRs in UC Path are being developed. Departments should be prepared to initiate UC Path GSR Fellow appointments as soon as these title codes are made available. DOM Admins will be prompted to initiate these appointments by DOM ORA when guidance is received from UCOP/Grad Division/Labor Relations.
- UCOP is actively evaluating what the appropriate %FTE for GSR’s should be in UC Path when engaged in Fellowship vs. Employment. Typically GSRs are limited to 50% FTE when engaged in employment; however many training grants and fellowships require 100% Effort, NIH included. Guidance will be received regarding UCOP’s stance on what is considered “Full Time Effort” for a GSR and how this will factor in to Fellow appointment %s.
- Fee Remissions typically assess against employment efforts for GSRs. As select fellowship activities will be monitored and covered through the bargaining agreement, further guidance is pending regarding whether Fellowship %FTEs will factor into the trigger for Fee Remissions.

GSR Questions??

- Postdocs and Funding Models next!

Postdoc Costs

- Appointment level (minimum wage requirement) is determined by months of experience at the time of appointment, according to [Table 23](#)
- If pursuing an additional degree, the hiring department typically determines if these costs will be covered
- If supported via Stipend (partially or fully) these are always distributed via UC Path, not GoGrad
 - This ensures benefits for Postdocs assess against these wages, as approved and negotiated by their union

Kirschstein-NRSA Awards (NIH Training Grants and Fellowships)

- Expectation of “full-time training” upon acceptance of the award (40 hours/wk)
 - The Training Plan is defined during pre-award and will clearly outline expectations of trainees throughout the course of their appointments on these awards. Training Grant Administrators are responsible for providing these details to the trainees and their mentors.
 - If you manage a Training Grant and do not already have a document outlining all required terms, please use the [DOM Training Grant Mentor-Fund Manager Assurance Letter](#) Template as a starting point. This document outlines general administrative requirements of a Training Grant. Training Grant Program Directors are encouraged to add points that address the specific aims and/or training plans for the specific award.
- Funds are distributed in the form of Stipends, as activities approved under NRSA awards do **not** require **work** from appointed trainees. These stipends are defined as “subsistence allowance[s]... to help defray living expenses during the research training experience”, to ensure the trainee may devote full-time effort toward training and educational pursuits
- Typically does not fulfill minimum wage guarantees to Postdocs or GSRs, as [stipend levels are capped](#)
 - Mentor must confirm if shortfall needs to be covered as:
 - Stipend Supplementation: Awarding *additional stipends (no work)* via unrestricted funds, or
 - Coincidental Appointment: up to 25% FTE, with the expectation of measurable effort and **work** in addition to training grant efforts, via any fund that may support salary costs
 - If this 2nd option is elected, the trainee must understand this requires *additional time commitment* beyond the 40-hour/wk training commitment, commensurate to the %FTE appointment
- Does not support all benefits costs, and NRSA funds cannot be used to pay for Balance of Fees
 - [Benefits Exclusions](#): FY23 rates. See [EFM Announcements](#) for prior and/or future rate schedules.
 - 13.40% of CBR is unallowable for Trainees appointed “Postdoc”
 - 21.70% of CBR is unallowable for Trainees appointed to an “Other Academics” title code (Example: Clinical Instructor)
 - 72.00% of CBR is unallowable for Trainees with Limited Benefits (Example: Resident Physician)

Fellowship Appointments for Medical Residents, Clinical Instructors and Postdocs

- Best Practice is to ensure all stipends are distributed using the correct title codes and earn codes via UC Path; however may be distributed via GoGrad *if* the trainee is pursuing a formal degree
 - UC Path title codes
 - Use title code 2750 for Medical Resident Training Grant stipends
 - Use title code 2749 for Clinical Instructor Training Grant stipends
 - *Note:* Clinical Instructors **must** receive clearance from Academic Compensation prior to signing on to a Training Grant. Due to employment obligations exceeding the maximum 25% allowable by NIH, they are typically ineligible.
 - Use title code 3253 for Postdoctoral Scholar Training Grant stipends
 - *GSR title code is pending*
 - GoGrad
 - Departments can expect the majority (if not all) Fellowship stipends will be administered in UC Path, future-state. Further guidance is pending from UCOP/Graduate Division/Labor Relations.
 - Tuition awards not assessed as GSR Fee Remissions, when applicable, must always be processed in GoGrad
 - *Note:* GSR Fee Remissions must still be executed via Jasmine (accessed through GoGrad)

Income or Allowance (stipend)?

- The determination to provide direct support to any individual should bear on their relationship to the Department
- Questions a Fund Manger should ask whenever new trainees are introduced into the lab:
 - Are you bringing this person on to work on your research project(s) (R01?) – Income
 - If yes, what %FTE is appropriate for the number of hours they will work for us?
 - Have you agreed to mentor this individual through an established training/education program**? – Review program's guide for mentors to determine financial responsibilities
 - Academic programs outline coursework and training requirements for the student. Research funds cannot support time expended on these activities when it cannot be uniquely identifiable, and conflicts with the scope of work of the sponsored research project (falls outside of the specific aims of the research project). Always confirm with the PI the funding sources used for salary support align with effort expended!
 - Has this individual been awarded fellowship funds which will contribute to their support?
 - Be mindful of award restrictions. Fellowship awards typically impose programmatic restrictions, limiting which other PI funds may cover shortfall costs. Not all funding will work well together, and the hiring department is responsible for ensuring awards are distributed effectively
 - Do not assume the all fellowships award support in the form of Stipend! While this is typical, some fellowships provide salary.

**Example: [MBIDP Handbook](#)

Scenario: GSR or Postdoc, with no outside funding

- Fund Managers can typically make the following assumptions:
 - Individuals without outside funding (no fellowships or “block funds”) will also not have time/activity commitments outside of their relationship with your PI
 - If the above is true, and your PI confirms this individual commits measurable effort toward 1 or more research projects, this individual should be supported entirely in UC Path via salary (**income**)
- GSR-specific considerations:
 - If the student falls below full-time credit enrollment or 3.0 GPA, they are ineligible to have a GSR appointment in UC Path. Your PI may elect to use unrestricted funds via GoGrad to continue support. If they elect to do this, any minimum wages/fee coverage outlined by the Academic Department are typically void until the student is back in good standing (**Always** confirm with the SAO)
 - This practice is subject to change in light of the newest bargaining agreement. Further guidance is pending from UCOP/Graduate Division/Labor Relations.

Scenario: GSR with “Block Funds”, otherwise no commitments outside of Research Appointment

- Typically ~\$16,000 annual per student. Remember:
 - *Cannot be used for Balance of Fees*
 - *Cannot be used to fulfill Fee Remission obligations*
- *Recommended strategy:*
 - Cover 1 whole quarter (monthly wage and Tuition/Fees) exclusively with block funds via GoGrad. Apply the remainder as a small monthly stipend to supplement the remaining support funded by the Mentor’s FAUs.
 - Block Funds may **only** be used for GoGrad awards. If your GSR is not eligible to receive GoGrad awards, and must receive all support via UC Path, this will ultimately mean returning Block Funds awarded.
 - If a UC Path appointment is extended, Ensure %FTE is >25% if the Academic Department requires coverage of Fee Remission (and ensure the mentor is aware if federal grants are used there will be Effort Reporting requirements in ERS)
 - Cover Balance of Fees with PI Unrestricted

Scenario: NIH Training Grant appointee with shortfall minimum wage obligation

- Remember: T32s require a full-time commitment from appointed trainees.
- Recommended: Provide Stipend Supplementation in UC Path via PI unrestricted funds
 - Further guidance is pending from UCOP regarding Appointment % for T32 appointments. The below is subject to change
 - Presumed: GSR Fellow 50% FTE is considered “full time effort” at UCLA, and the GSR is appointed to SP6: \$44,357 annual support
 - Execute one GSR Fellow appointment for 50% FTE: \$44,357 Annual
 - Funding Entry Distribution:
 - 61.19% (\$27,144 NIH Predoctoral Stipend awarded) charged to T32 78-FAU
 - 38.81% (\$17,213) charged to PI Unrestricted 78-FAU
 - To ensure the academic growth of the trainee is prioritized, it is recommended to not request additional work effort of the student unless absolutely necessary.
 - Alternate: Execute an %FTE Employee appointment in UC Path for up to 25% FTE – NIH limit for “coincidental appointments”
 - Mentors should discuss trainees willingness to commit effort beyond the 40hr training grant weekly commitment. If confirmed, a UC Path Employee appointment may be extended. Revised offer letters updating job vs. fellow duties will be necessary.
 - If the Training Grant Stipend allocation + UC Path %FTE does not satisfy the minimum wage requirement for the trainee, any remaining shortfall must be compensated as stipend supplementation via the Fellow appointment.

Disbursement Schedules

- Stipends from GoGrad distribute at the end of the month, prior to the month of support.
 - Remember: Stipends are not distributed due to work obligation, therefore no timesheets or effort reporting is conducted
 - <https://financialaid.ucla.edu/staff-employers/disbursement-calendars>
- UC Path distributes at the end of the pay period, after the period of support has concluded and time is recorded into timesheets.
 - Income must be commensurate to actual work performed, and verified by the trainee's supervisor
 - <https://ucpath.universityofcalifornia.edu/pages/payroll-processing-schedules-working-hours>

Notifying Trainees of Upcoming **Overlapping** Pay Disbursements (Salary to Stipends)

- Example: Transitioning a trainee from Salary to **GoGrad** Stipends

Date	Disbursement
Apr-21	May '22 Stipends
May-19	June '22 Stipends
Jun-01	May '22 Salary
Jun-13	July '22 Stipends
Jul-01	June '22 Salary
Aug-01	July '22 Salary

- Say we discontinue UC Path salary effective 5/31, start GoGrad Stipends effective 6/1
 - The final payroll distribution of **income** will distribute on June 1 to the trainee, but they will also receive their first **Stipend** distribution just prior to that on May 19th, and their second distribution shortly thereafter on June 13th. **Total of 3 distributions within 22 days.**
 - *The trainee must be notified of these overlapping distributions in advance, so they know this frequency of distribution is not typical, and that they should expect to only receive 1x disbursement monthly after the overlap period has concluded.*

Notifying Trainees of Upcoming **Gaps** in Pay Disbursements (Stipends to Salary)

- Example: Transitioning a trainee from GoGrad Stipends to Salary

Date	Disbursement
Apr-21	May '22 Stipends
May-19	June '22 Stipends
Jun-01	May '22 Salary
Jun-13	July '22 Stipends
Jul-01	June '22 Salary
Aug-01	July '22 Salary

- Say we discontinue GoGrad Stipends effective 5/31, start UC Path salary effective 6/1
 - Because the final GoGrad **stipend** is distributed on **April 21**, there are *no stipend distributions in May or June*. The first **salary** disbursement will not occur until **July 1** (*Gap of 70 days*)
 - *The trainee must be notified to expect a gap in distributions during this time period, well in advance, so they may financially prepare*
 - *Whenever possible, it is recommended the Mentor float additional stipends from unrestricted funds during this gap period to prevent financial distress to the trainee.*

Q&A - Live

Survey Link

<http://goo.gl/forms/C3gdjsL5y1>

We appreciate if you would take a few moments to complete a short 5 question anonymous survey to help us improve your training experience. Thank you!