• Introduction of Kristin Craun, Director, Human Research Protection Program (OHRPP)

• Other Support Reporting in Federal Grant Proposals

• Full disclosure of Affiliations and Commitments in Federal Grant Proposals

• Research Data Points for FY2019
FY2019 Research Data Points

Total Research Expenditures = $1,038,406,583 (up $35 M from FY2018)

Total Awarded Dollars = $1,271,780,515 (up $150 M from FY2018)
Number of Award Transactions = 6,175

Total Requested Dollars = $4,341,078,211 (up $59 M from FY2018)
Number of Proposals Submitted = 5,903
### FY2019 Research Expenditures

<table>
<thead>
<tr>
<th>Expenditure Category</th>
<th>FY 2018 Final</th>
<th>FY 2019 Final</th>
<th>Year-to-Year Variance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Salaries &amp; Benefits</td>
<td>$469,846,790</td>
<td>$481,762,733</td>
<td>$11,915,943</td>
</tr>
<tr>
<td>Academic Salaries</td>
<td>$151,905,804</td>
<td>$159,617,981</td>
<td>$7,712,177</td>
</tr>
<tr>
<td>Staff Salaries</td>
<td>$2,776,891</td>
<td>$6,259,576</td>
<td>$3,482,685</td>
</tr>
<tr>
<td>General Assistance Salaries</td>
<td>$201,186,466</td>
<td>$195,606,058</td>
<td>($5,580,408)</td>
</tr>
<tr>
<td>Employee Benefits</td>
<td>$113,977,629</td>
<td>$120,279,116</td>
<td>$6,301,489</td>
</tr>
<tr>
<td>Non-Salary Expenditures</td>
<td>$335,724,441</td>
<td>$351,532,715</td>
<td>$15,808,274</td>
</tr>
<tr>
<td>F&amp;A Recovered (Overhead)</td>
<td>$198,266,910</td>
<td>$205,111,134</td>
<td>$6,844,224</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$1,003,838,141</strong></td>
<td><strong>$1,038,406,583</strong></td>
<td><strong>$34,568,442</strong></td>
</tr>
</tbody>
</table>
FY2019 Awards by Sponsor Type

FY 2019: $1,271,780,515 Total Awards

- US Federal Government Agency: $747.5 M (58.8%)
- Higher Education: $100.5 M (7.9%)
- Industry Sponsored Research: $45.7 M (3.6%)
- Industry Sponsored Clinical Trials: $103.9 M (8.2%)
- Charitable & Non-Profit Organizations: $142.5 M (11.2%)
- State & Other Government: $131.7 M (10.4%)
Agenda

- **Research Policy and Compliance** – Ann Pham
  - Huawei Moratorium
  - Reminder about travel to/activities with Iran and Cuba

- **Contract and Grant Administration** – Kathy Kawamura
  - Grant updates

- **Extramural Fund Management** – Yoon Lee
  - Ascend: Preparing for Data Conversion – Robert De Jesus
  - UCPath updates – Will Murdoch
  - ERS Update – Will Murdoch
Export Control Update

Ann Pham
Export Control Officer
UCLA Research Policy & Compliance

September 12, 2019
AGENDA

- Export Control Overview

- Sanctioned Countries –Cuba and Iran

- Huawei Moratorium
ANNOUNCEMENT!

Aaron Taber
Senior Export Control Analyst
aaron.taber@research.ucla.edu
EXPORT CONTROLS

The **federal laws and regulations** that have been established by the U.S. government to control:

- The export of sensitive equipment, software, and technology
- Trade and financial transactions

These controls are in place to promote national security interests and foreign policy objectives.
REGULATING AGENCIES
OFAC

U.S. Department of the Treasury
Office of Foreign Assets Control (OFAC)

- Enforces trade embargoes and economic sanctions
- Sanctions Programs and Country Information
- Specially Designated Nationals
COMPREHENSIVE SANCTIONS

Cuba
Iran
North Korea
Sudan
Syria

Contact RPC to discuss proposed transactions:
Collaborations, Conference, Research, Shipments, Travel
CUBA

12 CATEGORIES OF AUTHORIZED TRAVEL

1. Family visits;
2. Official business of the U.S. government, foreign governments, and certain intergovernmental organizations;
3. Journalistic activity;
4. PROFESSIONAL RESEARCH AND PROFESSIONAL MEETINGS;
5. EDUCATIONAL ACTIVITIES;
6. Religious activities;
7. Public performances, clinics, workshops, athletic and other competitions, and exhibitions;
8. Support for the Cuban people;
9. Humanitarian projects;
10. Activities of private foundations or research or educational institutes;
11. Exportation, importation, or transmission of information or informational materials;
12. Certain export transactions that may be considered for authorization under existing Department of Commerce regulations and guidelines with respect to Cuba or engaged in by U.S.-owned or -controlled foreign firms.
CUBA GENERAL LICENSES

PROFESSIONAL RESEARCH AND PROFESSIONAL MEETINGS

- Authorizes attendance at professional meetings or conferences related to traveler’s profession, professional background, or area of expertise.
- NO free time or recreation allowed

EDUCATIONAL ACTIVITIES

- Authorizes faculty, staff, and students at U.S. academic institutions to engage in study abroad programs, academic exchanges, and joint non-commercial academic research

- Traveler: Retain receipts and records demonstrating a full-time schedule of authorized activities.
IRAN

IRANIAN TRANSACTIONS and SANCTIONS REGULATIONS

- Almost all direct or indirect commercial, financial, or trade transactions with Iran by U.S. persons or within the United States are prohibited

- Transactions require written authorization (license) from OFAC

- OFAC license takes more than 6 months
HUAWEI: The Company

Huawei Technologies Co., Ltd.
- Headquarters: Shenzhen, China
- Operates in 170+ countries
- Global provider of information and communications technology infrastructure and smart devices
- 70+ subsidiaries/affiliates, including Futurewei Technologies
HUAWEI: The Issues

January 2019 - U.S. Department of Justice
- Two business practice indictments against Huawei
- Theft of trade secrets, wire fraud, obstruction of justice, money laundering, conspiracy to defraud the U.S., and sanction violations

May 2019 - U.S. Department of Commerce
- Put Huawei and 68 of its non-U.S. affiliates on the Bureau of Industry and Security’s Entity List
- Imposed controls on exports to Huawei
HUAWEI: The UC Moratorium

July 18, 2019 : UC Office of the President

University of California’s Systemwide Restrictions on Engagements with Huawei

- UC will not accept new engagements or renew existing engagements with Huawei
- Prohibits:
  - Equipment or device purchases
  - Research grants or contracts
  - Gifts or membership agreements
  - MOUs
  - Technology transfers or licensing of UC IP
  - Exchanges of any technical information
HUAWEI: The UC Moratorium

August 22, 2019: UCLA Vice Chancellor for Research
Deans, Directors, Department Chairs, Administrative Officers, and Faculty Memo

- Comply with UC Systemwide moratorium

- OVCR will review each new engagement proposal with Futurewei and other Huawei subsidiaries on a case-by-case basis
CONCLUSIONS

- Contact RPC prior to activities with Cuba and Iran (and North Korea, Sudan, and Syria)

- Comply with UC Huawei Moratorium
CONTACT

export.controls@research.ucla.edu

Ann Pham
Export Control Officer

ann.pham@research.ucla.edu | 310.206.3727
Grant Updates

September 12, 2019
DOD FY19 General Application Guidelines

• “For all previous (award period of performance ending within the past 5 years), current, and pending research support, include the title, time commitments, supporting agency, name and address of the funding agency’s procuring Contracting/Grants Officer, performance period, level of funding, brief description of the project’s goals, and list of the specific aims. If applicable, identify where the proposed project overlaps with other existing and pending research projects. Clearly state if there is no overlap.”
NSF Current and Pending Support

PAPPG 19_1 (February 25, 2019)

“... all current and pending support for ongoing projects and proposals, including this project, and any subsequent funding in the case of continuing grants. All current project support from whatever source (e.g., Federal, State, local, foreign, public or private foundations, industrial or other commercial organizations, or internal funds allocated toward specific projects) must be listed. The proposed project and all other projects or activities requiring a portion of time of the PI and any other senior personnel must be included, even if they receive no salary support from the project(s). The total award amount for the entire award period covered (including indirect costs) must be shown as well as the number of person-months per year to be devoted to the project, regardless of source of support. Similar information must be provided for all proposals already submitted or submitted concurrently to other possible sponsors, including NSF. Concurrent submission of a proposal to other organizations will not prejudice its review by NSF. The Biological Sciences Directorate exception to this policy is delineated in Chapter II.D.2.

• If the project now being submitted has been funded previously by a source other than NSF, the information requested in the paragraph above must be furnished for the last period of funding.”
NIH Other Support

https://grants.nih.gov/grants/forms/othersupport.htm
NOT-OD-19-114

“other support includes all resources made available to a researcher in support of and/or related to all of their research endeavors, regardless of whether or not they have monetary value and regardless of whether they are based at the institution the researcher identifies for the current grant. This includes resource and/or financial support from all foreign and domestic entities, including but not limited to, financial support for laboratory personnel, and provision of high-value materials that are not freely available (e.g., biologics, chemical, model systems, technology, etc.).”
FAQs - Other Support & Foreign Components

A researcher at my institution has a 9-month appointment. They spend 2 months at a University outside of the United States during the summer conducting research under a foreign award. Does this count as Other Support?

Yes. Available resources support of and/or related to an investigator’s research endeavors should be disclosed even if they relate to work that is performed outside of a researcher’s appointment period.
FAQs - Other Support & Foreign Components

I am a Principal Investigator on an NIH award to a domestic university and have an unpaid appointment at a foreign university. At the foreign site I have access to lab space, research materials, and staff. Should I report this as Other Support?

Yes. While the researcher is not receiving monetary compensation, the lab space, materials, and staff are resources made available to them in support of and/or related to their research efforts. Other payments, such as travel or living expenses must also be reported. As outlined in NOT-OD-19-114 this appointment must be reported as Other Support. NIH requires applicants to list all positions & scientific appointments both domestic and foreign held by senior/key personnel that are relevant to an application including affiliations with foreign entities or governments. This includes titled academic, professional, or institutional appointments whether or not remuneration is received, and whether full-time, part-time, or voluntary (including adjunct, visiting, or honorary).
FAQs - Other Support & Foreign Components

What is an example of an activity that is not foreign component, but would meet the definition of Other Support? What is the difference?

This response is dependent upon specific details that surrounding the activity. For instance, one model could be that a PI on an NIH grant may have an appointment and a lab at a foreign university. The research being done at the foreign lab is unrelated to the PI’s NIH project. This would not qualify as a foreign component of the NIH research, as the foreign work is not part of the NIH-funded project. However, it is a resource made available to the researcher in support of their research. Therefore, it must be reported as Other Support.
FAQs - Other Support & Foreign Components

What are the consequences if “NIH determines that an institution is not complying with NIH policies for transparency & disclosure of all Other Support?”

...may include the following...

- withdraw approval of PD/PI or other researchers on award
- adding special terms and conditions on award
- disallowing costs
- suspend or terminate award
OCGA Action Log - Intake

Send Action Request to Proposal/Award Intake

Logging of activity ensure assignment and processing by staff on hand

<table>
<thead>
<tr>
<th><a href="mailto:Proposals@research.ucla.edu">Proposals@research.ucla.edu</a></th>
<th><a href="mailto:Awards@research.ucla.edu">Awards@research.ucla.edu</a></th>
</tr>
</thead>
<tbody>
<tr>
<td>Proposal for Review/Submission</td>
<td>Award for Processing</td>
</tr>
<tr>
<td>Progress Report/RPPR</td>
<td>Carryforward Request</td>
</tr>
<tr>
<td>JIT/Pre-Award Request</td>
<td>No-Cost Extension (Requests 1, 2, 3)</td>
</tr>
<tr>
<td>Supplemental Information</td>
<td>Other Prior Approval Requests (Inc. Revised SOW)</td>
</tr>
<tr>
<td>Revised Budget</td>
<td>Relinquishment of Award Request</td>
</tr>
<tr>
<td>PI Change</td>
<td>Closeout Request (Technical, Invention/Patent, Equipment)</td>
</tr>
<tr>
<td>Department Change</td>
<td></td>
</tr>
</tbody>
</table>
Composite Benefit Rate

Do not escalate approved CBR Rates

<table>
<thead>
<tr>
<th>Composite Benefit Employee Group</th>
<th>Approved FY18-19 CBR</th>
<th>Approved FY19-20 CBR</th>
</tr>
</thead>
<tbody>
<tr>
<td>Faculty Summer</td>
<td>4.8%</td>
<td>4.9%</td>
</tr>
<tr>
<td>HCOMP Senior Faculty</td>
<td>24.8%</td>
<td>25.2%</td>
</tr>
<tr>
<td>Faculty</td>
<td>31.7%</td>
<td>32.3%</td>
</tr>
<tr>
<td>Other Academics</td>
<td>42.5%</td>
<td>43.4%</td>
</tr>
<tr>
<td>Post Docs</td>
<td>27.5%</td>
<td>28.4%</td>
</tr>
<tr>
<td>Staff Exempt</td>
<td>42.5%</td>
<td>43.4%</td>
</tr>
<tr>
<td>Staff Non-Exempt</td>
<td>51.6%</td>
<td>52.8%</td>
</tr>
<tr>
<td>Food-Custodian-Grounds</td>
<td>66.8%</td>
<td>68.3%</td>
</tr>
<tr>
<td>Employees &amp; Students with Limited Benefits</td>
<td>4.8%</td>
<td>4.9%</td>
</tr>
</tbody>
</table>

F&A Rate Agreement

<table>
<thead>
<tr>
<th>PROV.</th>
<th>7/1/2020</th>
<th>6/30/2021</th>
</tr>
</thead>
</table>

Use same rates and conditions as those cited for fiscal year ending June 30, 2020.
For Proposal Budgets

- Do not add Vacation Leave to CBR.
- Only request CBR in proposal budgets.
### Standard Application Deadlines

#### Upcoming NIH Cycle 2019

<table>
<thead>
<tr>
<th>Activity Code</th>
<th>Program Description</th>
<th>Due Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>P Series - ALL</td>
<td>Program Project/Center Grants</td>
<td>September 25</td>
</tr>
<tr>
<td>T Series - ALL</td>
<td>Institutional Training Grants</td>
<td>September 25</td>
</tr>
<tr>
<td>R01 – New</td>
<td>Research Grants</td>
<td>October 5</td>
</tr>
<tr>
<td>U01 - New</td>
<td>Research Grants - Cooperative Agreements</td>
<td>October 5</td>
</tr>
<tr>
<td>K01 - New</td>
<td>Research Career Development</td>
<td>October 12</td>
</tr>
<tr>
<td>R21 - New</td>
<td>Research Grants</td>
<td>October 16</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Activity Code</th>
<th>Program Description</th>
<th>Due Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>R01 – Renewal, Resubmission, Revision</td>
<td>Research Grants</td>
<td>November 5</td>
</tr>
<tr>
<td>U01 - Renewal, Resubmission, Revision</td>
<td>Research Grants - Cooperative Agreements</td>
<td>November 5</td>
</tr>
<tr>
<td>K01 - Renewal, Resubmission, Revision</td>
<td>Research Career Development</td>
<td>November 12</td>
</tr>
<tr>
<td>R21 – Resubmission, Revision</td>
<td>Research Grants</td>
<td>November 16</td>
</tr>
<tr>
<td>F – New, Renewal, Resubmission</td>
<td>Individual National Research Service Awards</td>
<td>December 8</td>
</tr>
</tbody>
</table>
Any Questions?

Contact Information
Website URL  http://ocga.research.ucla.edu
Agenda

- Ascend: Preparing for Data Conversion
- UCPath updates
- ERS update
Ascend: Preparing Data for Conversion

Yoon Lee and Robert De Jesus
Data Conversion: Overview

- **Sponsored Project Data conversion scope.**
  - Funds open in the Financial system as of June 30, 2021 (Closed flag = N in the FN table).
  - Funds closed but connected to the same sponsored award as one of open funds. These are MFNOA cases.

- **All individual expense transactions on these funds will be converted to the PPM in Oracle.**
  - To facilitate review and necessary adjustments for invoicing, financial reporting and closeout in one new system.

- **What if revision of the financial deliverable is necessary for the fund closed in the current financial system after Oracle go-live?**
  - Our current plan is to have a process in place to perform ad-hoc conversion of all costs for these scenarios.
Conversion of sponsored project funds involves significant volume and complexity. Following expense data conversion, labor intensive and complex cutover steps are required to correctly capture the total invoiced amount and outstanding payment.

Funds reviewed for conversion for CRP3 (July-August 2019)
- Total number of open funds as of May 31, 2019: 7,487
- Total number of expense transactions: over $7 million lines

<table>
<thead>
<tr>
<th>Sponsored project period ending in</th>
<th>Number of funds</th>
</tr>
</thead>
<tbody>
<tr>
<td>2010 or prior years</td>
<td>40</td>
</tr>
<tr>
<td>2011 ~ 2015</td>
<td>491</td>
</tr>
<tr>
<td>2016</td>
<td>220</td>
</tr>
<tr>
<td>2017</td>
<td>388</td>
</tr>
<tr>
<td>2018</td>
<td>860</td>
</tr>
<tr>
<td>2019</td>
<td>2,710</td>
</tr>
<tr>
<td>2020 or later</td>
<td>2,778</td>
</tr>
<tr>
<td><strong>Total number of funds</strong></td>
<td><strong>7,487</strong></td>
</tr>
</tbody>
</table>

1,999 funds
Most of these funds could have been closed by May 31, 2019

7,487 \(\rightarrow\) 5,488 funds
Timely closeout can reduce conversion volume by 27%
Data Conversion: Goal

• “Complete” and “Accurate”: To achieve this goal, it is critical to
  ◦ Reduce the volume of funds for conversion only for necessary population.
  ◦ Record the data in a consistent manner.

• Reduce the Volume:
  ◦ Close (Y/N) all funds expired 12/31/2019 or prior by 6/30/2020 and stay current.
  ◦ Target MFNOA first: If one expired fund is open in FS for the year 5 for the 5 year award, 4 closed funds need to be converted with 1 open fund to close the sponsored award properly.
  ◦ EFM has reached out to Dean’s offices at School of Medicine, School of Engineering, and College of Letters and Science to seek for campus leadership’s support.

• Record the data in a consistent manner:
  ◦ A number of areas EFM will bring campus’ attention to at future RAFs.
  ◦ Starting with “Multiple Payment Basis” today.
• Review expired funds you manage and take actions to close them.
  ◦ Does the total expense in general ledger match to the final expenditure reported to the sponsor?
    ◦ If not, reconcile and contact your EFM accountant.
  ◦ Does the expired fund have unallowable and/or inapplicable expenses that were excluded from final expenditure reported to the sponsor?
    ◦ Transfer those expenses off from the fund and contact your EFM accountant.
  ◦ Does the expired fund have encumbrance?
    ◦ Take actions to clear encumbrance and contact your EFM accountant.
  ◦ Does the expired fund have a cost overrun?
    ◦ Provide unrestricted FAU to your EFM accountant.
  ◦ Does the expired fund have the balance eligible for transfer under policy 913?
    ◦ Submit documents required by policy 913 to your EFM accountant.
  ◦ Does the fund have outstanding accounts receivable?
    ◦ If you are unaware of the status of payment collection, contact your EFM accountant.
**Types of Payment Basis**

- Most awards have one type of following payment bases.

<table>
<thead>
<tr>
<th>Payment Basis</th>
<th>Definition</th>
<th>Invoicing</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cost Reimbursement</td>
<td>Payment and Revenue is based on actual cost incurred.</td>
<td>Invoice amount is based on the expenses that have been posted to the ledger.</td>
</tr>
<tr>
<td>Firm Fixed-Price</td>
<td>Payment and Revenue is based on a fixed specified amount, regardless of cost incurred.</td>
<td>Invoice amount is based on fixed specified amount, typically milestones.</td>
</tr>
<tr>
<td>Firm Fixed-Rate</td>
<td>Payment and Revenue is based on the number of units performed X fixed rate, regardless of cost incurred.</td>
<td>Invoice amount is based on number of units performed X fixed rate, typically patients seen in Clinical Trial.</td>
</tr>
</tbody>
</table>

- There are cases where an award can have more than one payment basis.
Types of Payment Basis

“How do you currently manage Awards with multiple payment basis?”
Managing Awards with Multiple Payment Basis

• Challenges when one expense account-cost center is used to record expenses for multiple payment basis:
  ◦ Lack of transparency in financial status of the fund.
    ◦ For example, a cost overrun on the cost reimbursable budget is not apparent if a high unexpended balance is available on the fixed rate portion.
  ◦ Review of all expenses transaction lines is required to identify.
    ◦ Expenses for cost reimbursable invoicing.
    ◦ Expenses to confirm unexpended balance for transfer in accordance with policy 913.
  ◦ Manual review and reconciliation leads to a delay in issuing an invoice and closing the fund.

• Best practice:
  ◦ More than one expense account-cost center should be linked to the fund to segregate budget and expenses for different payment basis.

• For data conversion to Oracle:
  ◦ Separate expense account-cost center for each type of payment basis is required.
  ◦ Otherwise, invoicing will be inaccurate and revenue will not be recognized correctly.
Managing Awards with Multiple payment Basis

**Review and Reconcile**

- **For existing Awards:**
  - Identify Awards that have Multiple Payment Basis.
  - Ensure this population of Awards have an Account-Cost Center linked per each type of Payment Basis.
  - Upon identification of Awards with Multiple Payment Basis with only one Account-Cost center linked, contact your EFM Accountant to link the necessary Account-Cost center.

- **For future Awards:**
  - Review your Award Snapshot and Fund and Account-Cost center set up in Financial system to ensure Multiple Payment Basis are tracked accordingly.
UCPath Updates

Will Murdoch
• What is the current status of UCPath issues?
  ◦ Roughly 25 outstanding issues reported to UCPath Center by various UC campuses that are in queue for resolution as of September 2019
    ◦ Includes both C&G-impacting issues and non-C&G issues
    ◦ Roughly 9 issues resolved by UCPC since July 2019

• What is being done to address outstanding UCPath issues?
  ◦ Weekly meetings with the workgroup formed to address these issues with support from AVC Marcia Smith (ORA), AVC/Controller Allison Baird-James (CFS), and Executive Director Omar Noorzai (BTO).
    ◦ 12+ people from the UCLA UCPath Central Resource Unit (UCPath CRU), CFS (General Accounting), BTO, and ORA (EFM) are participating.
    ◦ Bi-weekly calls with UC Controllers and UCPath Center in Riverside to discuss and prioritize issues across UC campuses.
# UCPath Updates

## Recently Resolved Issues

<table>
<thead>
<tr>
<th>Recently Resolved Issue*</th>
<th>Current Status / Next Steps</th>
</tr>
</thead>
</table>
| GAEL incorrectly charged | • **Resolved.** SQL delete was done in UCPath to remove transactions from Labor Ledger. Corresponding journal entry was done by CFS to remove transactions from GL.  
• Departments will be contacted if revision is required for previously submitted financial deliverable |
| Duplicate Direct Retros | • **Resolved.** SQL delete was done in UCPath to remove transactions from Labor Ledger. Corresponding journal entry was done by CFS to remove transactions from GL.  
• Department will be contacted if revision is required for previously submitted financial deliverable |
| Direct Retros blocked for MCOP employees when VAC offset present | • **Resolved.** Departments now able to process Direct Retros for MCOP employees |
| Direct Retro with Department Change | • **Resolved.** Departments now able to process Direct Retros for employees with department change |

*List is not comprehensive of all issues resolved by UCPath Center or internally at UCLA*
## UCPath Updates

### Key Outstanding Issues

<table>
<thead>
<tr>
<th>Outstanding Issue</th>
<th>Issue Description</th>
<th>Current Status / Next Steps</th>
</tr>
</thead>
</table>
| Exception Earn Codes (e.g., VAC, SKL) for employees with MCOPs are being applied to only 1 FAU | Exception Earn Codes are not being distributed amongst all FAUs for an employee, instead they are applied to 1 FAU | • Issue has been fixed in UCPath for new Exceptions going forward as of July 2019. Historical data cleanup still needs to occur  
• UCLA CRU reviewing all impacted funds and will communicate cleanup effort to campus |
| Exception Earn Codes (e.g., VAC, SKL) Reported in Arrears vs. Funding Change | In UCPath exceptions are recorded to the current FAU instead of the original FAU where exception was taken. This results in the exception distributing to a wrong FAU if a funding source changed between when the exception was taken and when it was posted. | • Issue is still ongoing and in queue for UCPC to resolve.  
• Marked high priority by multiple UC campuses  
• UCLA CRU reviewing all impacted funds and will communicate cleanup effort to campus |
| Recall and Limited Employees Accruing Vacation (VLA) | Employee with Title Codes which should not accrue vacation are accruing vacation | • Issue still ongoing and in queue for UCPC to resolve in September 2019  
• Marked high priority by multiple UC campuses |
## UCPath Updates

### Key Outstanding Issues

<table>
<thead>
<tr>
<th>Outstanding Issue</th>
<th>Issue Description</th>
<th>Current Status / Next Steps</th>
</tr>
</thead>
</table>
| Inability to report benefits by person by earn date | Currently benefits are combined into one lump sum in Labor Ledger when different earn periods are included in a single pay period | • Business Requirement Document currently under review by UC Controllers to initiate system redesign process  
• Marked high priority by multiple UC campuses |
| Benefit Cost Transfer (BCT) | Benefit Cost Transfer (BCT) functionality is not yet available in UCPath | • BCT functionality pending release in UCPath  
• In the intermediate, please follow guidance from CRU newsletter sent 8/26/19 – Volume 1 Issue 7 |
| MCOP worksheet not enforcing C&G restriction for salary OTC | C&G funds should not be used for salary OTC portion, but MCOP only restricts federal funds | • In queue for UCPC to resolve in September 2019  
• Departments should not be using any C&G funds for OTC portion of salary in the meantime |
### Key Outstanding Issues

<table>
<thead>
<tr>
<th>Outstanding Issue</th>
<th>Issue Description</th>
<th>Current Status / Next Steps</th>
</tr>
</thead>
</table>
| Fund Effective Date in UCPath*        | In certain cases, updates to the Fund Table in FS are creating Fund Effective Dates in UCPath that prevent users from entering funding distribution and/or processing Direct Retros | • Issue is being researched by UCLA CRU, ITS, and EFM  
• If you become aware of a case related to effective dates in UCPath, report case to UCLA CRU and inform EFM Accountant |
| High Risk Direct Retros              | High Risk Direct Retros are not routing through EFM for approval in certain cases   | • BCT functionality pending release in UCPath  
• In the intermediate, please follow guidance from CRU newsletter sent 8/26/19 – Volume 1 Issue 7 |

*Explanation of Fund Effective Date*
- **Fund Effective Date**: date in UCPath that designates when a fund is active and available for use. Default Fund Effective Date is the Fund Begin Date in OASIS FS Table.
- This is different from **Funding Effective Date**: date entered on Funding Entry Page in UCPath which represents the date that the Earnings Distribution will take effect.
- Issues occur when department is entering a **Funding Effective Date** that is earlier than **Fund Effective Date**.
UCPath Updates

Announcements

• CRU Newsletter
  ◦ Effective Monday 9/16 ORA listserv will no longer be forwarding CRU Newsletter
  ◦ Please sign up for the CRU newsletter here:
    ◦ https://www.centralresourceunit.ucla.edu/s/cru-newsletter
ERS Updates

Will Murdoch
ERS Updates

Recent Effort Report Release

• The latest round of effort reports
  ◦ Released to campus on July 11, 2019
  ◦ Deadline to certify: August 31, 2019

• Periods released
  ◦ April to July 2018: 11/12 Academics
  ◦ April to July 2018: Non-Academics
  ◦ March to July 2018: 9/12 Academics

• Starting this release period, departments are required to certify effort reports for certain LA County awards that are subject to timesheet requirements
**ERS Updates**

**Current Certification Rate**

- Current campus certification rate is **74% as of 9/11/19**
- All outstanding reports are now past due and need to be certified **ASAP**

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<th>Academic Year</th>
<th>Fall Cert Rate</th>
<th>Fall Cert #</th>
<th>Fall Open #</th>
<th>Winter Cert Rate</th>
<th>Winter Cert #</th>
<th>Winter Open #</th>
<th>Spring Cert Rate</th>
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<th>Spring Open #</th>
<th>Summer Cert Rate</th>
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*Note: Academic Year 2017 - 2018 Spring effort reports include a modified effort reporting period of April to July 2018 for 11/12 Academics, April to July 2018 for Non-Academics, and March to July 2018 for 9/12 Academics.*
ERS Updates

General Reminders

• Please see ERS FAQs web page for helpful information related to effort reports: http://efm.research.ucla.edu/ers-faq/

• Principal Investigators (PIs) are required to include committed cost sharing when certifying effort reports.

• PIs must self-certify their own effort reports.

• Non-PI effort reports can be certified by either the PI, the employee, or an authorized certifier with first-hand knowledge of the employee’s effort. Unless an effort report status is “Certified” the report is considered “Open” and requires review and certification.

• Effort reports with a “Not Required” status should be reviewed and verified to determine if effort or cost sharing should be reported.
ERS Updates

General Announcements

• Next effort report release
  ◦ Next release is currently being scheduled and dates will be shared with campus soon

• ERS Past Due and Open Effort Report Listserv
  ◦ Starting October 15\textsuperscript{th} 2019, listserv will be automated to only include ERS Coordinators. Anyone who is not an ERS Coordinator will be removed
  ◦ ERS Coordinators will be responsible for distributing listserv emails to appropriate individuals in department
  ◦ This will allow streamlined process of listserv maintenance and eliminate need for ongoing manual requests and listserv updates

• Next ERS Class scheduled and available for registration
  ◦ Session 1 (Lecture): Tues, Oct 22, 8:30 a.m. - 12:00 a.m.
  ◦ Session 2 (Lab): Wed, Oct 23, 8:30 a.m. - 12:00 p.m. or 1:00 p.m. - 4:30 p.m.
Any Questions?

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