

**UCLA** Research Administration

# Extramural Fund Management

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October 10, 2019

# Agenda

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- **UCPath updates**
- **ERS update**
- **Ascend: Expense Approval Workflow**

# UCPath Updates

Will Murdoch & Andrew Merki

# UCPath Updates

## UCPath Updates

- **What is the current status of outstanding UCPath issues?**
  - EFM is aware of roughly 33 outstanding issues reported to UCPath Center by various UC campuses that are in queue for resolution as of October 2019
    - Includes both C&G-impacting issues and non-C&G issues
- **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).
    - Individuals from 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.
  - Weekly calls with UCPath Center and other UC campuses to discuss issues that are specifically impacting ERS/effort reporting.

# UCPath Updates

## Key Resolved Issues

Key Resolved Issue*	Current Status / Next Steps
GAEL incorrectly charged**	<ul style="list-style-type: none"> <li><b>Resolved.</b> Fund Manager will be contacted by EFM if revision is required for previously submitted financial deliverable</li> </ul>
Duplicate Direct Retros**	<ul style="list-style-type: none"> <li><b>Resolved.</b> Fund Manager will be contacted by EFM if revision is required for previously submitted financial deliverable</li> </ul>
UCPath preventing funding setup for funds with future start dates	<ul style="list-style-type: none"> <li><b>Resolved.</b> Departments can now set up funding using funds with future start dates</li> </ul>
Direct Retros blocked for MCOP employees when VAC offset is present	<ul style="list-style-type: none"> <li><b>Resolved.</b> Departments now able to process Direct Retros for MCOP employees when VAC offset is present</li> </ul>
Departments unable to process Direct Retros for employees that had department change	<ul style="list-style-type: none"> <li><b>Resolved.</b> Departments now able to process Direct Retros for employees that had a department change</li> </ul>

\*Includes key issues that have been resolved. Not a comprehensive list of all UCPath issues that have been resolved.

\*\*Resolution included historical data cleanup component for GAEL & Duplicate Direct Retros

# UCPath Updates

## Key Outstanding Issues

Key Outstanding Issue*	Current Status / Next Steps
Exception Earn Codes (VAC, SKL, etc.) for employees with MCOPs are being applied to only 1 FAU vs. full funding distribution	<ul style="list-style-type: none"> <li>Fix for new transactions: <b>Resolved.</b></li> <li>Fix for historical transactions: UCLA CRU reviewing impacted funds and will communicate cleanup effort to campus.</li> </ul>
Exception Earn Codes (VAC, SKL, etc.) distributing to current month funding distribution vs. funding distribution at time exception was taken	<ul style="list-style-type: none"> <li>Fix for new transactions: Issue still ongoing and in queue for UCPC to resolve. Resolution date TBD.</li> <li>Fix for historical transactions: UCLA CRU reviewing all impacted funds and will communicate cleanup effort to campus.</li> </ul>
Recall and Limited Employees Accruing Vacation (VLA)	<ul style="list-style-type: none"> <li>Fix for new transactions: Issue still ongoing and in queue for UCPC to resolve in October 2019.</li> <li>Fix for historical transactions: Fund Manager will be contacted by EFM if any revisions are required once issue is corrected in UCPath.</li> </ul>

\*Includes key outstanding issues. Not a comprehensive list of all outstanding issues.

# UCPath Updates

## Key Outstanding Issues

Key Outstanding Issue* (continued)	Current Status / Next Steps
Inability to report benefits by person by earn period	<ul style="list-style-type: none"> <li>UCPC developing UCPath enhancement to break out benefits by earn period. UCPC target resolution date is November 2019.</li> </ul>
Benefit Cost Transfer (BCT) not available yet	<ul style="list-style-type: none"> <li>Per CRU, target date for BCT release is mid-November 2019 pending successful testing.</li> <li>In the intermediate, please submit benefit journal requests to CRU following guidance from CRU newsletter sent 8/26/19 – Volume 1 Issue 7               <ul style="list-style-type: none"> <li>Link: <a href="https://centralresourceunit.ucla.edu/s/article/CRU-Newsletter-Volume-1-Issue-7">https://centralresourceunit.ucla.edu/s/article/CRU-Newsletter-Volume-1-Issue-7</a></li> </ul> </li> </ul>
Incorrect derived effort %	<ul style="list-style-type: none"> <li>EFM is aware of cases where derived effort % is incorrect.</li> <li>Issue has been reported to UCPC as high priority. Resolution date TBD.</li> </ul>

\*Includes key outstanding issues. Not a comprehensive list of all outstanding issues.

# UCPath Updates

## Key Outstanding Issues

Key Outstanding Issue* (continued)	Current Status / Next Steps
Purged recycled funds	<ul style="list-style-type: none"><li>• In certain cases, funds that were purged after UCPath Go Live and have been recycled for use on new awards are preventing users from entering funding and/or processing Direct Retros.</li><li>• Issue being researched by EFM, Central Resource Unit, and ITS</li><li>• <b>Workaround has been identified.</b> Please contact EFM accountant if you encounter an issue related to effective dating in UCPath.</li></ul>
Federal Flow Through High Risk Direct Retros not routing through EFM	<ul style="list-style-type: none"><li>• Per UCPC, UCPath fix is currently underway and on track for mid-October 2019 delivery.</li></ul>

\*Includes key outstanding issues. Not a comprehensive list of all outstanding issues.



# ERS Updates

Will Murdoch & Andrew Merki

# ERS Updates

## Current Certification Rate

- Current campus certification rate is 80% as of 10/10/19 (6% increase from last RAF meeting)
- All outstanding reports are now past due and need to be certified ASAP

Academic Year	Fall			Winter			Spring			Summer		
	Cert Rate	Cert #	Open #	Cert Rate	Cert #	Open #	Cert Rate	Cert #	Open #	Cert Rate	Cert #	Open #
2005-2006	N/A	N/A	N/A	N/A	N/A	N/A	100%	6683	0	100%	6984	0
2006-2007	100%	6112	0	100%	6050	0	100%	6195	0	100%	6575	0
2007-2008	100%	5828	0	100%	5872	0	100%	5997	0	100%	6498	0
2008-2009	100%	5830	0	100%	5877	0	100%	6128	0	100%	7394	0
2009-2010	100%	6434	0	100%	6681	0	100%	6899	0	100%	7798	0
2010-2011	99%	6573	3	100%	6621	0	99%	6772	1	99%	7081	2
2011-2012	99%	6211	2	99%	6278	6	99%	6273	4	99%	6606	1
2012-2013	99%	5773	3	99%	5843	3	99%	5815	1	99%	6117	4
2013-2014	99%	5372	2	99%	5335	3	99%	5503	2	99%	5898	4
2014-2015	99%	5265	2	99%	5340	3	99%	5344	6	99%	5859	6
2015-2016	99%	5223	4	99%	5265	4	99%	5388	4	99%	5697	7
2016-2017	99%	5120	9	99%	5176	9	99%	5231	45	98%	5730	67
2017-2018	97%	5067	121	97%	4994	134	80%	5015	1249	N/A	N/A	N/A

**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 Announcements

- **Next effort report release**
  - Test data is being generated for next round of effort reports. Release schedule pending review of data.
- **ERS Past Due and Open Effort Report Listserv**
  - Previously shared that starting October 15<sup>th</sup> 2019, Past Due and Open Effort Report listserv will be automated to only include ERS Coordinators. **Transition is slightly delayed until November 15<sup>th</sup>, 2019.**
- **Next ERS Class scheduled and available for registration – please sign up!**
  - 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 1:00p.m. - 4:30 p.m.

# Ascend: Expense Approval Workflow

Yoon Lee

# Expense Approval Workflow

Non-payroll expenses

- **Change from Post Authorization to Prior Approval.**

Current	Ascend
PAN (Post Authorization Notification) → Prior Approval in system is not required.	Prior Approval will be required. → Requisitions for purchase, invoices for payment, expense reimbursements, cost transfers, etc.

- **Ascend: Different approver(s) depending on whether it is a charge to GL funds vs. PPM Projects.**

GL funds	PPM C&G projects
<b>Financial Unit Manager</b> <ul style="list-style-type: none"> <li>• It can be an individual or a group of approvers.</li> </ul>	<b>PPM project manager</b> <ul style="list-style-type: none"> <li>• An individual. It cannot be a group of approvers.</li> <li>• Note: Subaward POs and invoices will have a different workflow.</li> </ul>
<b>For expense reimbursement</b> <ul style="list-style-type: none"> <li>• The same <b>Financial Unit Travel Approver Group</b> is planned for both GL funds and PPM projects. (Please note that this is not a final decision yet)</li> </ul>	

# PPM C&G Project Manager

- **Current design of approval workflow in PPM**
  - Requisitions, invoices, and cost transfers are routed to the PPM Project Manager.
  - Self-approval is not allowed.
- **This model may not fit for certain departments where**
  - The person most equipped to approve transactions is the one who initiates a transaction.
  - The person most equipped to approve requisitions and invoices is different from the person responsible for approving cost transfers.
  - Other scenarios?
- **Grant team is gathering information to provide feedback to Ascend Access Security and Workflow team to develop most appropriate design that meets the campus need.**

# PPM C&G Project Manager

- **Questions to identify appropriate individuals for the right set of tasks to properly design access security and approval workflow for non-payroll expenses:**
  - Who creates a requisition?
  - Who would be the most appropriate person to approve the requisition (except for sub-award)?
    - This may be one of recipients of PANs.
    - Availability of the approver must be considered for timely approval. Until approval is obtained, a transaction will not be processed.
  - Who would be the most appropriate person to approve the invoices (except for sub-award)?
  - Who prepares and submits cost transfers?
  - Who currently approves cost transfers if the department has an approval in place?
- **If you believe the delivered approval workflow is not adequate for your departments, send your scenarios highlighting gaps to Yoon Lee at [yoan.lee@research.ucla.edu](mailto:yoan.lee@research.ucla.edu).**
  - Your response by Wednesday October 23<sup>rd</sup> would be appreciated.

# Any Questions?

## Contact Information

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<http://ora.research.ucla.edu/efm/>

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