



Extramural Fund Management

October 8, 2020

Agenda

- **Cost Sharing**
- **Effort Report: Special Instructions**

Cost Sharing

Yoon Lee

Cost Sharing

- **Effective today, October 8th, for new awards that are processed, cost sharing will be indicated in the award snapshot following the procedure presented by OCGA today.**
 - When “mandatory cost sharing” is indicated in the award snapshot,
 - The cost sharing contribution form must be submitted to EFM.
 - EFM will review the form and report cost sharing to the sponsor as required.
 - When “mandatory cost sharing” is not indicated in the award snapshot,
 - The cost sharing contribution form is not required for submission to EFM.
 - If cost sharing was voluntarily committed in the proposal, the department is responsible for fulfilling cost share commitment and retaining documentation to provide evidence upon request.
- **For existing awards with cost sharing indicated in the award snapshot,**
 - When “mandatory cost sharing” is indicated, there is no change to the procedure.
 - The cost sharing contribution form must be submitted to EFM.
 - EFM will review the form and report cost sharing to the sponsor as required.
 - When “voluntary committed cost sharing” is indicated, does the sponsor require cost sharing reporting?
 - If yes, this is the scenario where cost sharing will be indicated as “mandatory” in the award snapshot for new awards going forward following the new procedure presented by OCGA. The cost sharing contribution form must be submitted to EFM. EFM will review the form and report cost sharing to the sponsor as required.
 - If no, the cost sharing contribution form is not required for submission to EFM. The department is responsible for fulfilling cost share commitment and retaining documentation to provide evidence upon request.
- **Cost sharing contribution form and the instruction for completing the form can be found at EFM website:**
 - <https://efm.research.ucla.edu/cost-sharing/>

Effort Report: Special Instructions

Andrew Merki

Release Overview

- Effort reports were released on Thursday, September 24th for the following periods:

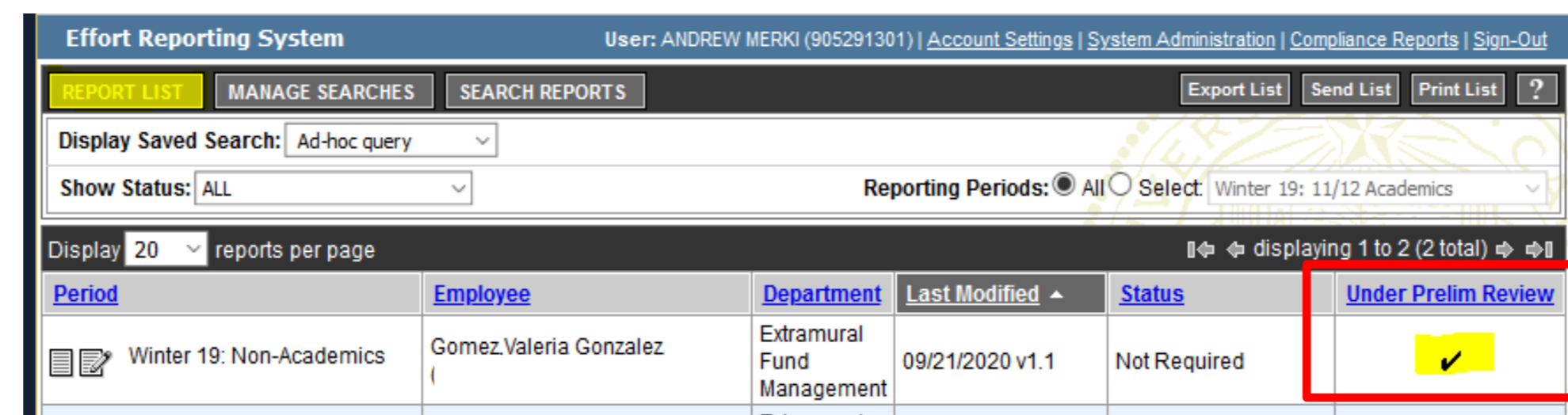
Reporting Period	Non-Academic and 11/12 Academics	9/12 Academics
Summer	N/A	June 2018 – September 2018 (*)
Modified Fall	August – December 2018	August – October 2018
Winter	January – March 2019	November 2018 – February 2019

(*) Additional Compensation DOS codes only

- **Certification due date:** Friday, November 13th
- In total **11,589** reports were release across the Summer, Modified Fall, and Winter periods
- General information on certifying effort reports can be found on the ERS section of the EFM website: <https://efm.research.ucla.edu/ers-overview/>
- All payroll transactions through July 2020 are loaded in ERS so all direct retros processed through that period are reflected in the effort reports.
- A schedule to load subsequent direct retros processed for August 2020 through current is being finalized in coordination with UCPath Center.

Exception Reports Flagged as “Under Prelim Review”

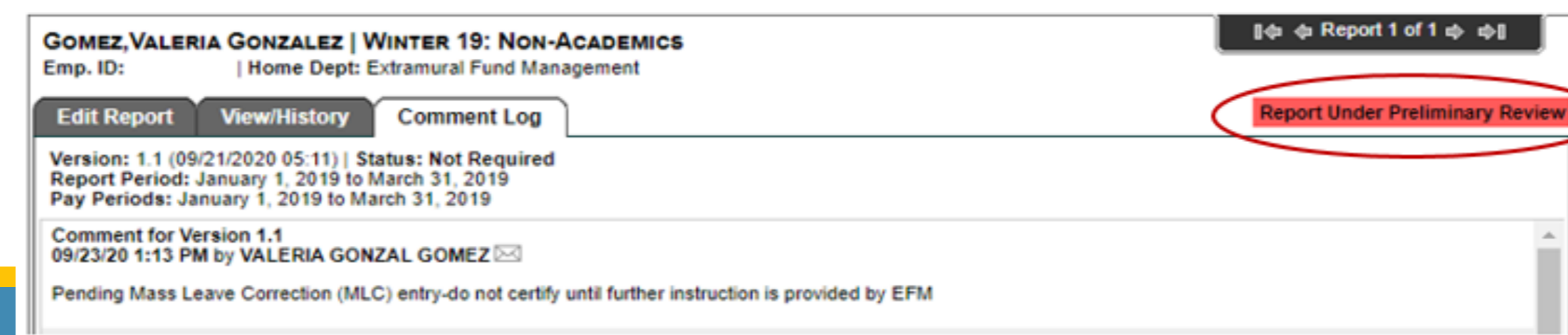
- As noted at September RAF and in the ERS release announcement to campus, some reports have been flagged as “Under Prelim Review” in ERS due to unresolved UCPATH defects.
 - An ERS Master Exception List of all effort reports flagged as “Under Prelim Review” along with special instructions can be found on EFM’s website:
<https://efm.research.ucla.edu/ers-training/#specialinstructions>
 - In addition, the “Under Prelim Review” flag appears in two places in ERS:
 1. Under a separate column in the employee’s Report List



The screenshot shows the ERS interface with a table of reports. The table has columns for Period, Employee, Department, Last Modified, Status, and Under Prelim Review. A red box highlights the 'Under Prelim Review' column for the report 'Winter 19: Non-Academics' by 'Gomez, Valeria Gonzalez'.

Period	Employee	Department	Last Modified	Status	Under Prelim Review
Winter 19: Non-Academics	Gomez, Valeria Gonzalez	Extramural Fund Management	09/21/2020 v1.1	Not Required	✓

2. On the effort report in the upper right corner with a red box



The screenshot shows the details of an effort report for 'GOMEZ, VALERIA GONZALEZ | WINTER 19: NON-ACADEMICS'. The report is marked as 'Report Under Preliminary Review' in the upper right corner, highlighted by a red box.

Report Under Preliminary Review

Version: 1.1 (09/21/2020 05:11) | Status: Not Required
Report Period: January 1, 2019 to March 31, 2019
Pay Periods: January 1, 2019 to March 31, 2019

Comment for Version 1.1
09/23/20 1:13 PM by VALERIA GONZAL GOMEZ

Pending Mass Leave Correction (MLC) entry-do not certify until further instruction is provided by EFM

Exception Reports Flagged as “Under Prelim Review”

- There are four unresolved UCPATH issues that are being flagged in impacted effort reports. Additional issues may be added to the exception list if any are discovered.
- The specific issue impacting an effort report is noted in 1) the ERS Master Exception List Excel file and 2) under the “Comment Log” in the effort report in ERS:

REPORT LIST | MANAGE SEARCHES | SEARCH REPORTS | View Payroll Details | Export | Send | Print | ?

GOMEZ, VALERIA GONZALEZ | WINTER 19: NON-ACADEMICS | Report 2 of 2

Emp. ID: | Home Dept: Extramural Fund Management

Edit Report | View/History | Comment Log | **Report Under Preliminary Review**

Version: 1.1 (09/21/2020 05:11) | Status: Not Required
Report Period: January 1, 2019 to March 31, 2019
Pay Periods: January 1, 2019 to March 31, 2019

Comment for Version 1.1
09/23/20 1:13 PM by VALERIA GONZAL GOMEZ ✉

Pending Mass Leave Correction (MLC) entry-do not certify until further instruction is provided by EFM

Exception Reports Flagged as “Under Prelim Review”

- **List of UCPATH defects that were flagged and noted at September RAF and in ERS release announcement to campus:**
 1. “Incorrect percent of effort for effort bearing payroll line—review supplemental Excel file and job aid provided by EFM before certification”
 2. “Pending Mass Leave Correction (MLC) entry—do not certify until further instruction is provided by EFM”
 3. “Missing payroll record(s) in effort report—do not certify until further instruction is provided by EFM”
- **UCPATH defect to be newly added to the ERS Master Exception List and flagged in ERS shortly:***
 4. “Y-OTC or N-OTC indicator is missing—do not certify until further instruction is provided by EFM”

*EFM will send an email to campus once the ERS Master Exception List is updated with reports impacted by the Y-OTC/N-OTC issue and reports have been flagged as “Under Prelim Review” in ERS.

Examples of Unresolved UCPath Defects

- **“Incorrect percent of effort for effort bearing payroll line–review supplemental Excel file and job aid provided by EFM before certification”**
 - Recap of action plan described at September 2020 RAF:
 - EFM has published a report listing all individual effort reports impacted by this issue to EFM website.
 - EFM will provide a job aid and a supplemental Excel file with recalculated effort percentages for impacted employees for departments to review and update effort reports.
 - EFM will host a webinar on Monday, October 19th to demonstrate manual adjustment using the supplemental Excel file and the job aid.
 - Example of incorrect percent of effort in ERS detail for an effort report:

Non-Sponsored Activities													Original Payroll %: 87% ^N			
Pay Period	Pay Cycle Code	FAU	Earn /DOS	Restate /Trans	Job/ Title	Comp/Pay /Rate	Basis /Type	Pay Amount	Paid % /Hours	Derived Effort %	Weighted Effort %	OTC Ind	Pay Cat	Time Code	Pay Cycle End Date	
08-31-2018	MO	4-403948/GR -05399- -7	REG	AU	3276	\$5,071.00	A	2500.00	0.4930	0.4930	0.4930		N	1	08-31-2018	
10-31-2018	M	4-403949/1C -19900- -0	REG	N	002300	\$5,542.44	S	1385.61	0.2500	0.2500	0.2500		1	1	10-31-2018	
10-31-2018	M	4-403949/1C -19900- -0	9RG	N	002300	\$5,542.44	S	1385.61	0.0000	0.0000	0.0000		1	1	11-30-2018	
11-30-2018	M	4-403949/1C -19900- -0	REG	N	002300	\$5,542.44	S	2771.22	0.5000	0.5000	0.5000		1	1	11-30-2018	
12-31-2018	M	4-403949/1C -19900- -0	REG	N	002300	\$5,542.44	S	2771.22	0.5000	0.5000	0.5000		1	1	12-31-2018	
Total:															1.7430*	

Examples of Unresolved UCPath Defects

- **“Pending Mass Leave Correction (MLC) entry—do not certify until further instruction is provided by EFM”**
 - MLC is correcting two issues related to exceptions (e.g., VAC, SKL) taken:
 - Vacation credit was not allocated across multiple funding sources
 - Vacation credit did not post to the funding source for the month vacation was taken but to the current funding source when vacation credit is processed. Incorrect funding is credited if funding distribution changed (called “Leave in arrear” issue).
 - Example of MLC issue in ERS:
 - In this example, the “Leave in Arrear” issue is impacting the effort report. The exception (VAC) incorrectly allocated to the employee’s current funding distribution (7/31/20) instead of the funding distribution of the original period vacation was taken (2/28/19 and 3/31/19).

Original Payroll %: 0% ⁵															
Pay Period	Pay Cycle Code	FAU	Earn /DOS	Restate /Trans	Job/ Title	Comp/Pay /Rate	Basis /Type	Pay Amount	Paid % /Hours	Derived Effort %	Weighted Effort %	OTC Ind	Pay Cat	Time Code	Pay Cycle End Date
02-28-2019	M	4-441435/SH -29263- -0	HSR	N	001728	\$9,283.33	S	-81.07	-0.0100	-0.0100	-0.0100		1	1	07-31-2020
02-28-2019	M	4-441435/SH -29263- -0	VAC	N	001728	\$9,283.33	S	81.08	0.0100	0.0100	0.0100		2	1	07-31-2020
03-31-2019	M	4-441435/SH -29263- -0	HSR	N	001728	\$9,283.33	S	-121.60	-0.0143	-0.0143	-0.0143		1	1	07-31-2020
03-31-2019	M	4-441435/SH -29263- -0	VAC	N	001728	\$9,283.33	S	121.62	0.0143	0.0143	0.0143		2	1	07-31-2020
Total:											0.0000*				

⁵ Line Item Total/Report Total = Original Payroll % (0.0000/2.9999 = 0.0000)*

Examples of Unresolved UCPATH Defects

- **Note on PPS Effort Reports reopened due to exception (e.g., VAC, SKL) issues**
 - It was discovered that some PPS effort reports were reopened due to UCPATH exceptions (e.g., VAC, SKL) that were posted in UCPATH but for previous PPS effort report periods (7/31/18 and prior)
 - EFM is looking into these cases for a resolution since effort reports should not have been reopened. An update will be sent to campus and the website for ERS Special Instructions will be updated once a solution is identified.

Examples of Unresolved UCPath Defects

- **“Y-OTC or N-OTC indicator is missing—do not certify until further instruction is provided by EFM”**
 - In some cases, either the Y-OTC or the N-OTC line was not correctly processed and is missing from the labor ledger.
 - This results in two issues:
 - Payroll is incorrect on the labor ledger since the dollars for the Y-OTC or N-OTC line are missing.
 - Effort % is incorrectly calculated due to the missing Y-OTC or N-OTC line.

Examples of Unresolved UCPath Defects

- “Y-OTC or N-OTC indicator is missing—do not certify until further instruction is provided by EFM” (continued)
 - Example of an N-OTC line that was processed with a Y-OTC line:
 - In this example, “above the line” federal FAU contains several payroll charges that were ultimately transferred off the fund via Direct Retro.
 - The N-OTC line is showing up in the correct FAU. However, the Y-OTC was not processed in the labor ledger and is therefore not showing up in the effort report. The effort percent associated with the N-OTC line is also calculated incorrectly and causing the total effort for the FAU to be incorrect.

Pay Period	Pay Cycle Code	FAU	Earn /DOS	Restate /Trans	Job/ Title	Comp/Pay /Rate	Basis /Type	Pay Amount	Paid % /Hours	Derived Effort %	Weighted Effort %	OTC Ind	Pay Cat	Time Code	Pay Cycle End Date
01-31-2019	M	4-441330/ZU -30385- -0	HSN	R	001726	\$0.00	S	-348.68	-0.0115	-0.0221	-0.0221	N-OTC002	1	1	07-31-2019
01-31-2019	M	4-441330/ZU -30385- -0	HSN	N	001726	\$7,900.00	S	348.68	0.0115	0.0221	0.0221	N-OTC002	1	1	01-31-2019
02-28-2019	M	4-441330/ZU -30385- -0	HSN	R	001726	\$0.00	S	-348.68	-0.0115	-0.0221	-0.0221	N-OTC002	1	1	07-31-2019
02-28-2019	M	4-441330/ZU -30385- -0	HSN	N	001726	\$7,900.00	S	348.68	0.0115	0.0221	0.0221	N-OTC002	1	1	02-28-2019
03-31-2019	M	4-441330/ZU -30385- -0	HSN	R	001726	\$0.00	S	-348.68	-0.0115	-0.0115	-0.0115	N-OTC002	1	1	07-31-2019
03-31-2019	M	4-441330/ZU -30385- -0	HSN	N	001726	\$7,900.00	S	348.68	0.0115	0.0221	0.0221	N-OTC002	1	1	03-31-2019
Total:											0.0106*				

* Line Item Total/Report Total = Original Payroll % (0.0106/1.5000 = 0.0071)*

The N-OTC line does not have a corresponding Y-OTC line in **Excluded Earnings** as we would expect

Earnings in this section do not affect report totals.

Excluded Earnings															
Pay Period	Pay Cycle Code	FAU	Earn /DOS	Restate /Trans	Job/ Title	Comp/Pay /Rate	Basis /Type	Pay Amount	Paid % /Hours	Derived Effort %	Weighted Effort %	OTC Ind	Pay Cat	Time Code	Pay Cycle End Date
01-31-2019	M	4-441330/ZU -43138- -0	HSN	R	001726	(\$194.34)	S	-194.34	-0.0064	0.0000	0.0000	Y-OTC001	1	1	07-31-2019
01-31-2019	M	4-441330/ZU -43138- -0	HSN	R	001726	(\$319.74)	S	-319.74	-0.0106	0.0000	0.0000	Y-OTC002	1	1	07-31-2019
01-31-2019	M	4-441330/ZU -43138- -0	HSR	Y	001726	\$2,140.05	S	2140.05	0.0706	0.0000	0.0000	Y-OTC003	1	1	06-30-2019
01-31-2019	M	4-441330/ZU -43138- -0	HSN	N	001726	\$194.34	S	194.34	0.0064	0.0000	0.0000	Y-OTC001	1	1	01-31-2019
01-31-2019	M	4-441330/ZU -43138- -0	HSN	N	001726	\$319.74	S	319.74	0.0106	0.0000	0.0000	Y-OTC002	1	1	01-31-2019

Next Steps

- EFM to post updated version of the ERS Master Exception List to the EFM website. An email will be sent to campus once complete.
- EFM to host webinar on Monday, October 19th to review job aid and process for updating effort reports with incorrect percent of effort. Invitation will be sent to campus.
- Reach out to ERS Help Desk for any questions or issues related to effort reports: ershelp@research.ucla.edu

Any Questions?

Contact Information

EFM Website

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

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