



Research Administration Forum

Marcia Smith

September 12, 2019

Welcome & Announcements

- 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

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)

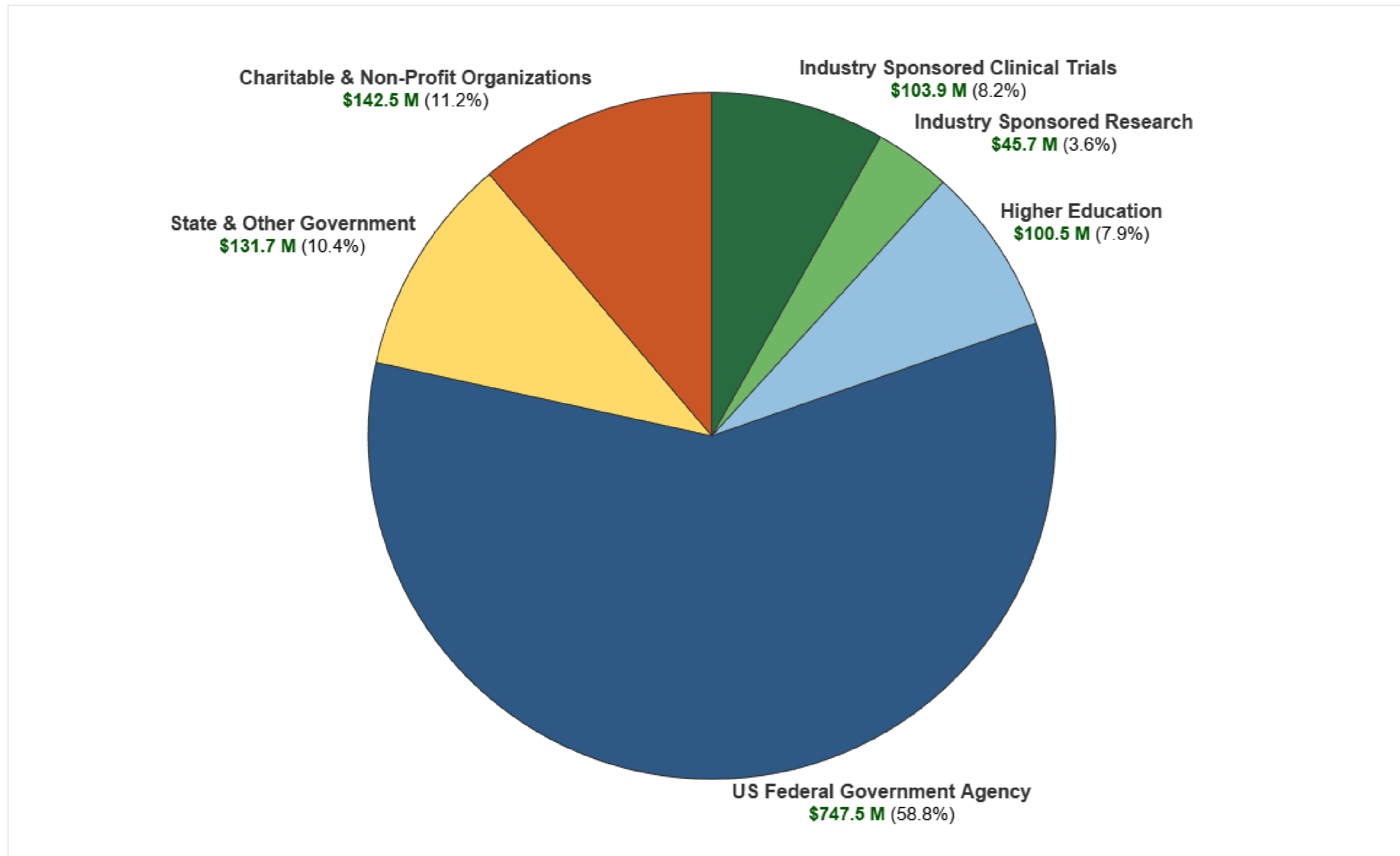
Number of Proposals Submitted = 5,903

FY2019 Research Expenditures

Expenditure Category	FY 2018 Final	FY 2019 Final	Year-to-Year Variance
Salaries & Benefits	\$469,846,790	\$481,762,733	\$11,915,943
<i>Academic Salaries</i>	<i>\$151,905,804</i>	<i>\$159,617,981</i>	<i>\$7,712,177</i>
<i>Staff Salaries</i>	<i>\$2,776,891</i>	<i>\$6,259,576</i>	<i>\$3,482,685</i>
<i>General Assistance Salaries</i>	<i>\$201,186,466</i>	<i>\$195,606,058</i>	<i>(\$5,580,408)</i>
<i>Employee Benefits</i>	<i>\$113,977,629</i>	<i>\$120,279,118</i>	<i>\$6,301,489</i>
Non-Salary Expenditures	\$335,724,441	\$351,532,715	\$15,808,274
F&A Recovered (Overhead)	\$198,266,910	\$205,111,134	\$6,844,224
Total	\$1,003,838,141	\$1,038,406,583	\$34,568,442

FY2019 Awards by Sponsor Type

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



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

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QUICK REVIEW

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

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Ann Pham

Export Control Officer

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Grant Updates

September 12, 2019

DOD

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

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

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.).”

NIH

FAQs - Other Support & Foreign Components

A researcher at my institution has 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.

NIH

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).

NIH

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**

NIH

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

Proposals@research.ucla.edu	Awards@research.ucla.edu
Proposal for Review/Submission	Award for Processing
Progress Report/RPPR	Carryforward Request
JIT/Pre-Award Request	No-Cost Extension (Requests 1, 2, 3)
Supplemental Information	Other Prior Approval Requests (Inc. Revised SOW)
Revised Budget	Relinquishment of Award Request
PI Change	Closeout Request (Technical, Invention/Patent, Equipment)
Department Change	

Composite Benefit Rate

Do not escalate approved CBR Rates

Composite Benefit Rate

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

F&A Rate Agreement

PROV.	7/1/2020	6/30/2021	Use same rates and conditions as those cited for fiscal year ending June 30, 2020.
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Composite Benefit Rate

For Proposal Budgets

- Do not add Vacation Leave to CBR.
- Only request CBR in proposal budgets.

Composite Benefit Rate

Composite Benefit Employee Group	Approved FY18-19 CBR	Approved FY19-20 CBR
Faculty Summer	4.8%	4.9%
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NIH

Standard Application Deadlines

Upcoming NIH Cycle 2019

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

Activity Code	Program Description	Due Date
R01 – Renewal, Resubmission, Revision	Research Grants	November 5
U01 - Renewal, Resubmission, Revision	Research Grants - Cooperative Agreements	November 5
K01 - Renewal, Resubmission, Revision	Research Career Development	November 12
R21 – Resubmission, Revision	Research Grants	November 16
F – New, Renewal, Resubmission	Individual National Research Service Awards	December 8

Any Questions?



Contact Information

Website URL <http://ocga.research.ucla.edu>

UCLA Research Administration

Extramural Fund Management

September 12, 2019

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.

Data Conversion: Population

- **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

Sponsored project period ending in	Number of funds
2010 or prior years	40
2011 ~ 2015	491
2016	220
2017	388
2018	860
2019	2,710
2020 or later	2,778
Total number of funds	7,487



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



7,487 → 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.

Reduce the Volume: Next Steps

Closing expired funds

- **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.

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

- There are cases where an award can have more than one payment basis.

Types of Payment Basis

Payment Basis in Award Snapshot



University of California, Los Angeles Award Snapshot

Section I: Award Summary

Principal Investigator:
Sponsor:
Administering Unit:
Project Title:

Fund Number:
Sponsor Award Number:
Prime Sponsor:

Current Budget Period:
Project Period:

Current Action:
Funds Awarded this Action:
Total Funds Awarded to Date:

- See Section VII for Other Investigators
- For a History of Actions on this award, refer to the Award Snapshot Attachment

Section II: Special Attention Needed

1. This award is subject to [UCLA Policy 913](#). An earned, unexpended balance remaining 90 days after the expiration of the award may be transferred to a central fund for use by the Principal Investigator through his or her school.
2. This award is subject to a sponsor salary cap limitation.
3. Review the Award Snapshot Attachment and the Award document for additional terms and conditions.

Section III: Award Demographics

Sponsor Award Number:

UCLA PATS Number:

Proposal Type: Modification/Amendment

Award Type: Subgrant

Program Type: CT Government Non-Profit

Special Program Type: Not applicable

Award Status: Awarded/Fully Executed

Location: On Site

Payment Basis: Cost Reimbursable, Firm Fixed Price

Special Payment Type: None

“How do you currently manage 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.

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

UCPath Updates

LA County Requirement

- **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

Recently Resolved Issue*	Current Status / Next Steps
GAEL incorrectly charged	<ul style="list-style-type: none"> • 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	<ul style="list-style-type: none"> • 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	<ul style="list-style-type: none"> • Resolved. Departments now able to process Direct Retros for MCOP employees
Direct Retro with Department Change	<ul style="list-style-type: none"> • 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

Outstanding Issue	Issue Description	Current Status / Next Steps
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	<ul style="list-style-type: none"> • 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	<p>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.</p>	<ul style="list-style-type: none"> • 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	<ul style="list-style-type: none"> • 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

Outstanding Issue	Issue Description	Current Status / Next Steps
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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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

UCPath Updates

Key Outstanding Issues

Outstanding Issue	Issue Description	Current Status / Next Steps
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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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**

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%	5814	1	99%	6117	4
2013-2014	99%	5372	2	99%	5335	3	99%	5503	2	99%	5897	5
2014-2015	99%	5265	2	99%	5340	3	99%	5343	7	99%	5859	6
2015-2016	99%	5223	4	99%	5265	4	99%	5388	4	99%	5694	10
2016-2017	99%	5118	12	99%	5174	12	99%	5229	48	98%	5727	71
2017-2018	97%	5058	131	97%	4990	139	74%	4635	1628	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 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 15th 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 1:00p.m. - 4:30 p.m.

Any Questions?

Contact Information

EFM Website

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

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