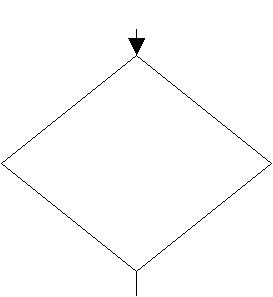


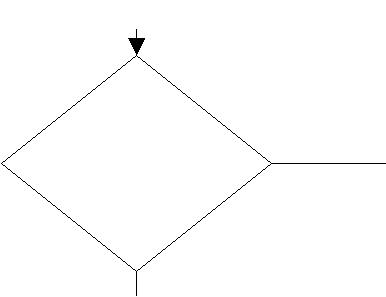
|  |  |  |  |
| --- | --- | --- | --- |
| Start | 1 To IFOP | No |  |
| Active |  |
|  |  |  |

Yes



|  |  |  |  |
| --- | --- | --- | --- |
| 2 From IFOP |  |  |  |
|  | No |  |
| Valid |  |  |
|  |  |  |

Yes

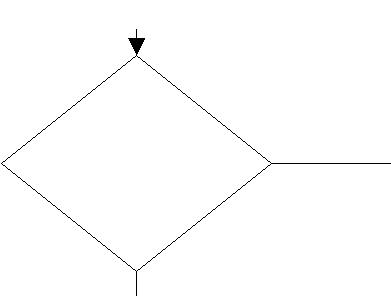


3 Total EPETs

More than Orig Yes

and Pending Trans

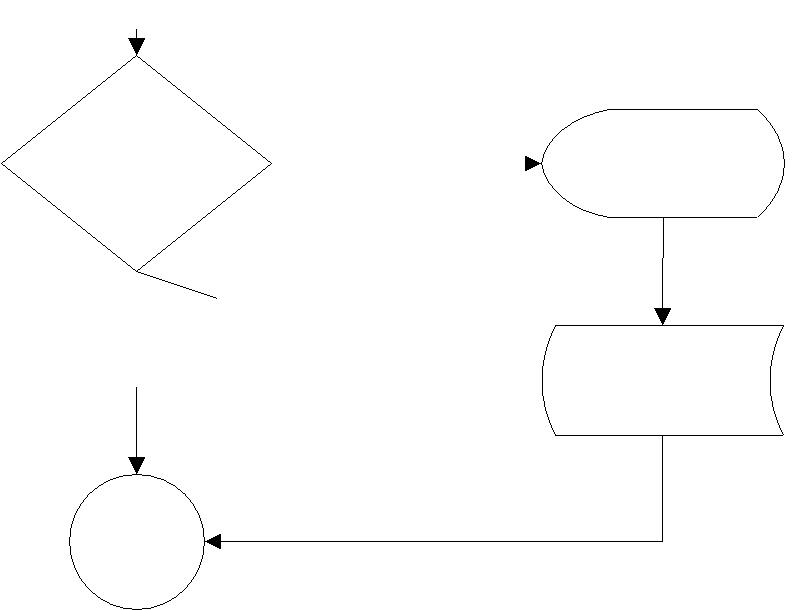
No



4 From Index

and To Index is No not the same

Yes

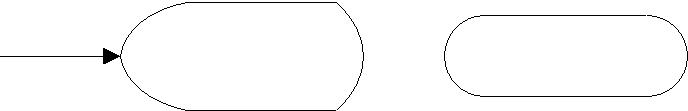


|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| 6 Is EPET cost | | | | |  |  |  |  |  |
|  | Yes |  |  |  |
| shared? | | | |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  | |  |  |  |  |
|  |  |  |  | IsCostShared | | | |  |  |
|  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |
|  | No | |  |  |  |  |  |  |  |

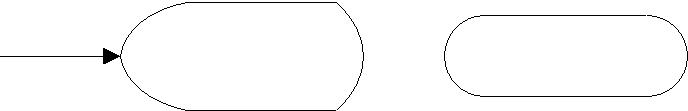
To Page

2

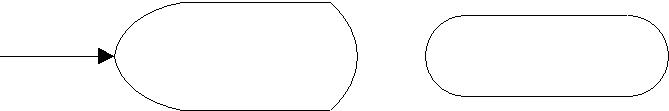
Risk Assessment Decision Tree



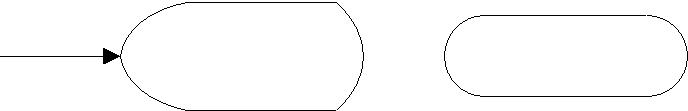
Prompt #E Stop



Prompt #F Stop



Prompt #H Stop



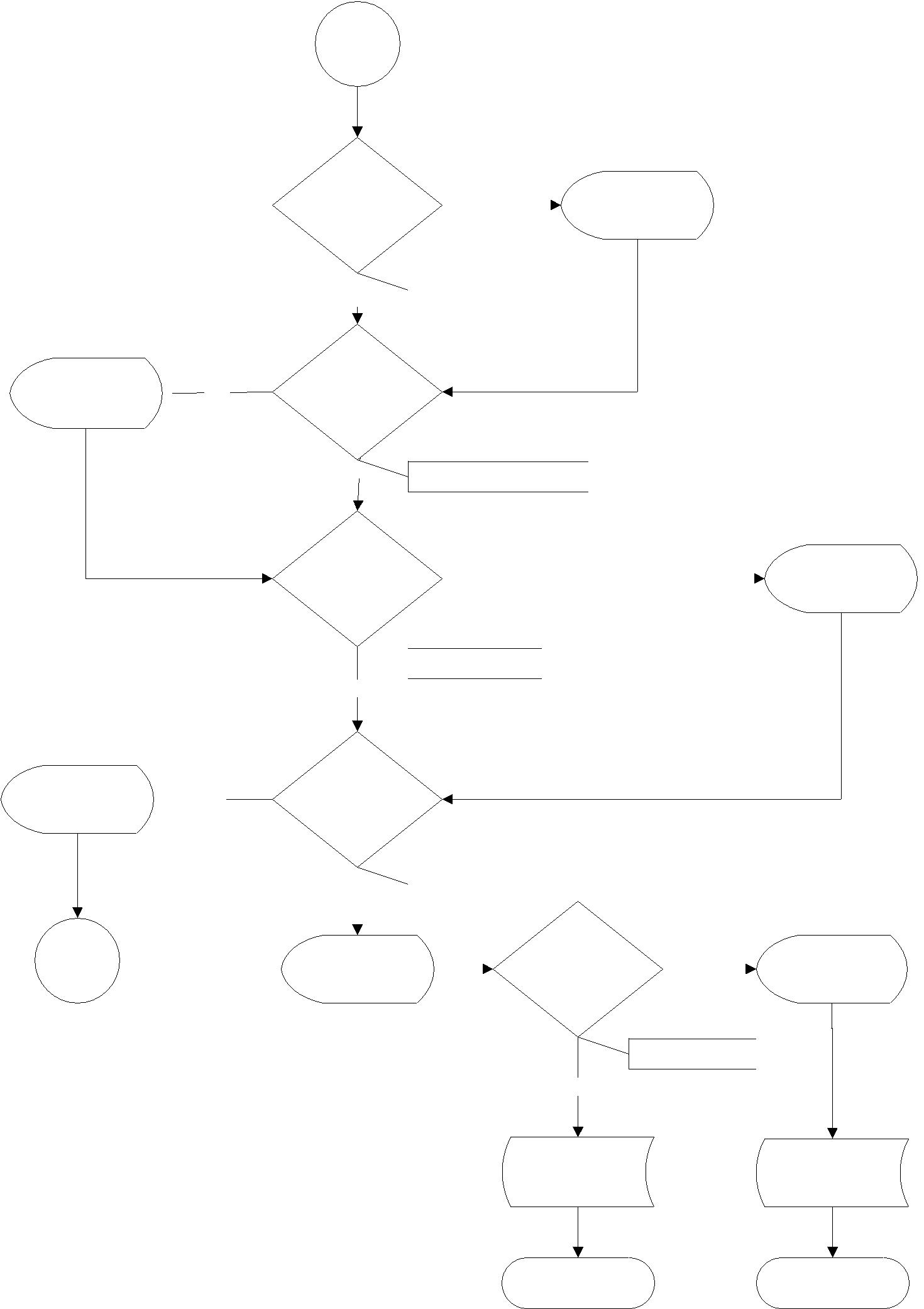
Prompt #M Stop



Prompt #Q

PTO template

Page 1



From

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Risk Assessment Decision Tree

Prompt #O Yes



Prompt #L Yes



To Page

3

|  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| 8 Is To Org = | | | | |  |  |  |  |  | Prompt #P |  |
|  | No |  |  |  |  |
| From Org | | | |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
|  |  |  |  |  | |  |  |  |  |  |  |
|  |  |  |  | IsToOrgFromOrg | | | | | |  |  |
|  | Yes | |  |  |  |
|  |  |  |  |  |  |  |  |  |  |

9 Past Early

Inactive Date

No IsToPastEarlyInactiveDate

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| 12 > 3 Ledger |  |  |  | Prompt #B |  |
|  | Yes |  |  |
| Periods |  |  |  |
|  |  |  |  |  |

IsTxDateOut4Mos



No

11 Is To Fund

EMF

|  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  |  |  |  | IsToEmf | | |  |  |  |  |  |  |
|  | No | |  |  |  |  | 13 Is From |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |
| Prompt #G | | | |  |  |  |  |  |  | Prompt #L |  |
|  | No |  |  |
|  |  | Fund No EMF | |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |

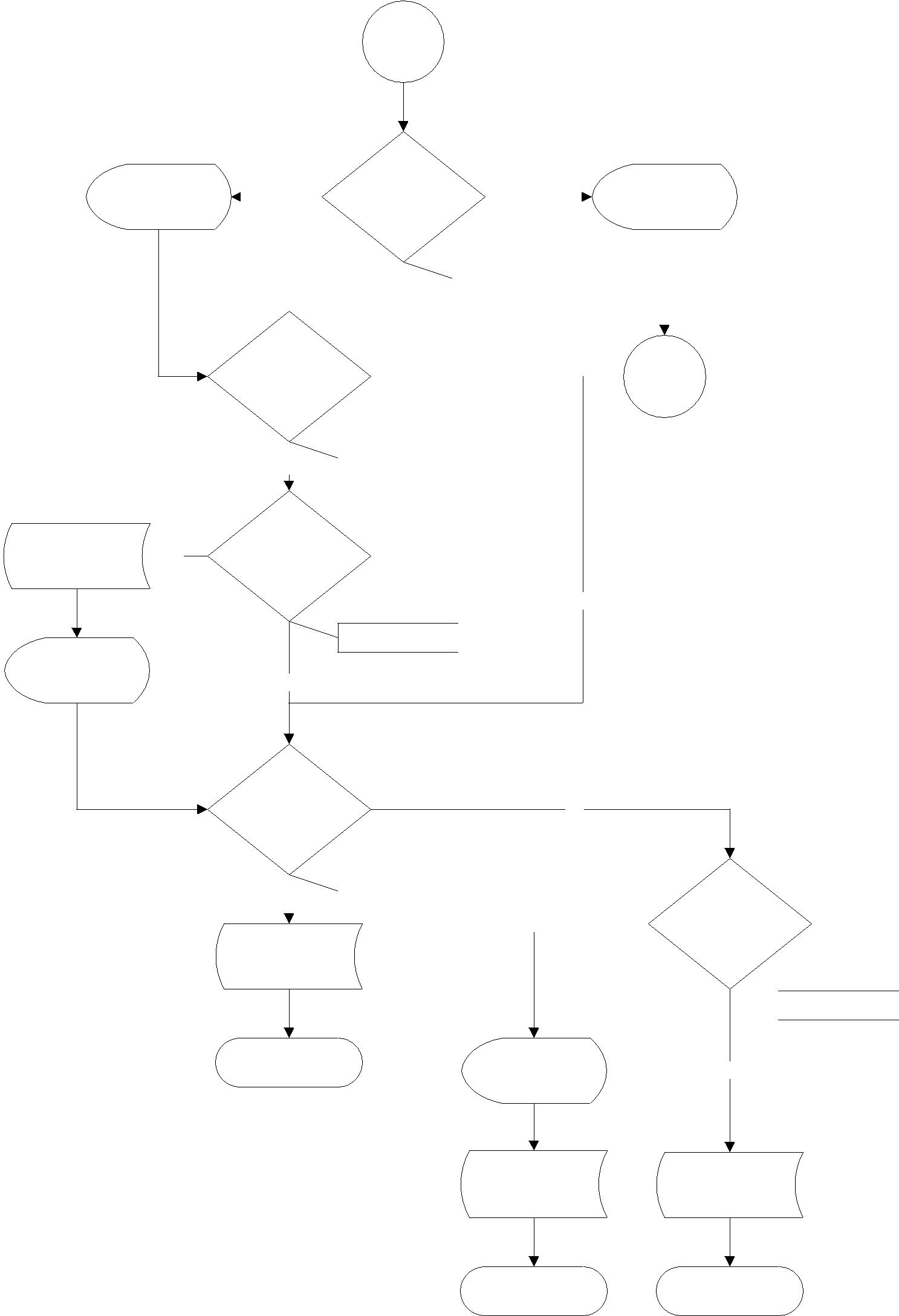
IsFromNotEmf

Yes

PTG template PTG template

Stop Stop

Page 2



From

Page 2

Risk Assessment Decision Tree

Prompt #G

PTO template No



Prompt #A

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  |  |  |  |  |  |  | 14 Is To Fund | | |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  | Private & Not | | |  |  |  |  |  | Prompt #K | |  |
|  |  | Yes | |  |  |  | No |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |  | Fed FloThru | | |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  | | | |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  | IsToPrivateNotFft | | | | | |  |  |  |
|  | | | | | | |  |  |  |  |  |  |  |  |  |  |  |
| 15 Is To Fund | | | | | | | | | |  |  |  |  |  |  |  |  |
|  |  |  |  |  | To Page | |  |
|  | A Contract/ | | | | | |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  | 4 | |  |
|  |  | Grant | | | | |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  | IsToPrivCG | | |  |  |  |  |  |  |  |  |
|  |  |  | Yes | |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  | |  |  |  |  |  |  |  |  |  |  |  |

16 Is Trans In

Proj Period

No

IsTxDateInToProjPrd

Yes

17 IntraFund

Transfer No (same level 4)

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  |  |  |  | IsIntraFund |  |  |  |  |  |
|  | Yes | |  |  |  | 18 Is To Fund |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  | Yes |  |
| PTG template | | | | |  |  | in OD |  |
|  |  |  |  |
|  |  |  |  |  |

IsToPrivOverDraft



|  |  |  |  |
| --- | --- | --- | --- |
| Stop | Prompt #C | No |  |
|  |  |

PTO template PTG template

Stop Stop

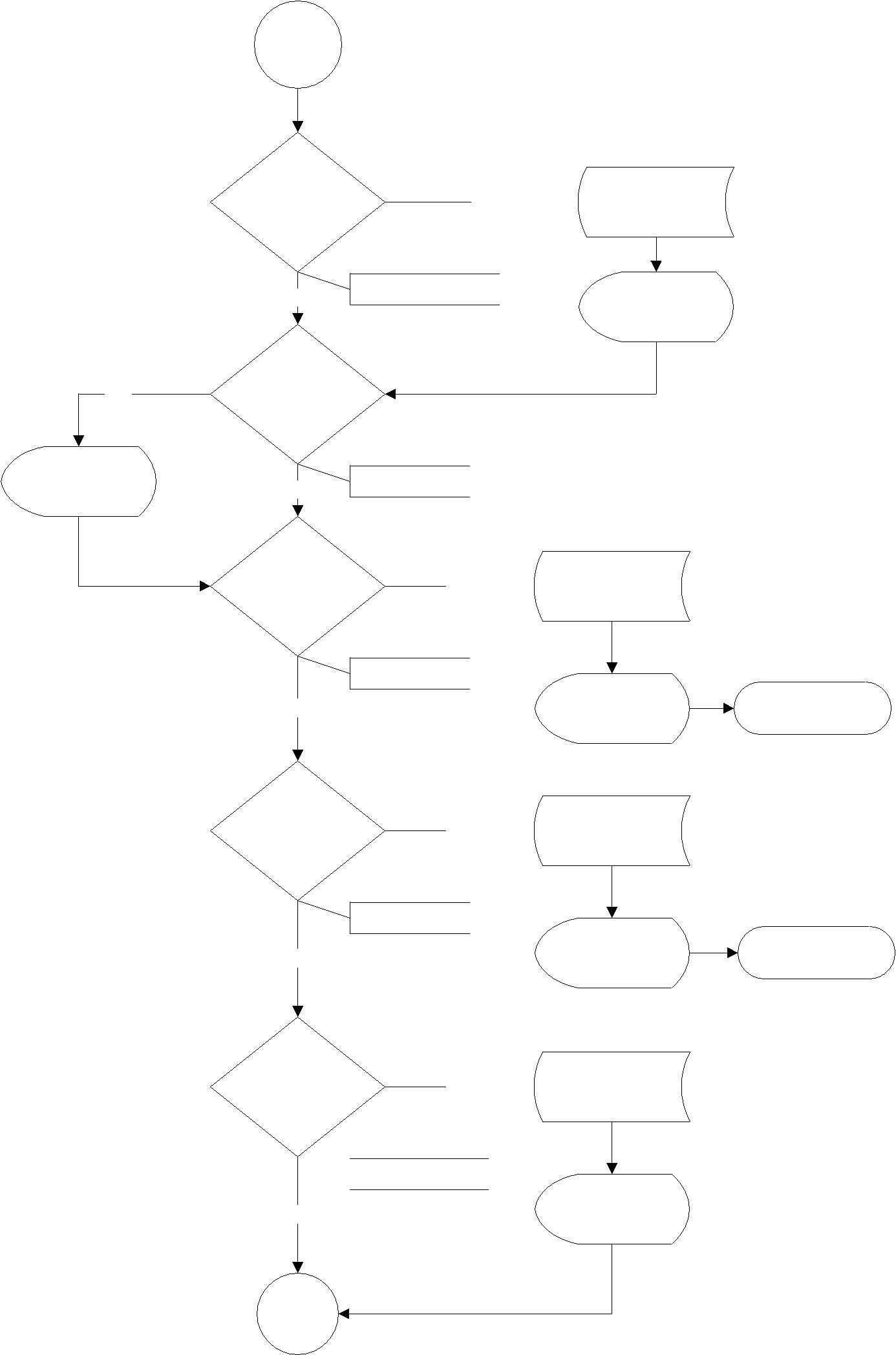
Page 3

From

Page 3

19 Trans Date w/in Proj Per on To Fund 90 days for FDP

Risk Assessment Decision Tree



No PTO template



Yes

Prompt #W

|  |  |  |
| --- | --- | --- |
| Yes | IsTxDateInToProjPrdFdp |  |
| Prompt #A |  |
|  |  |

20 Delegation

of Authority

No hasDelegAuth

21 IntraFund

Transfer

(same level 4) Yes PTG template & Not Fed



FloThru

IsIntraFundNotFft

|  |  |  |
| --- | --- | --- |
| No | Prompt #G | Stop |

22 Is To Fund

Renewal of Yes PTG template



From

IsToRenewal

|  |  |  |
| --- | --- | --- |
| No | Prompt #G | Stop |

23 Untimely (3 ledger periods

PHS 4 ledger Yes PTO template period other



Fed)

IsTxDateOut4MosNih



No Prompt #B

To Page

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PTO template Yes



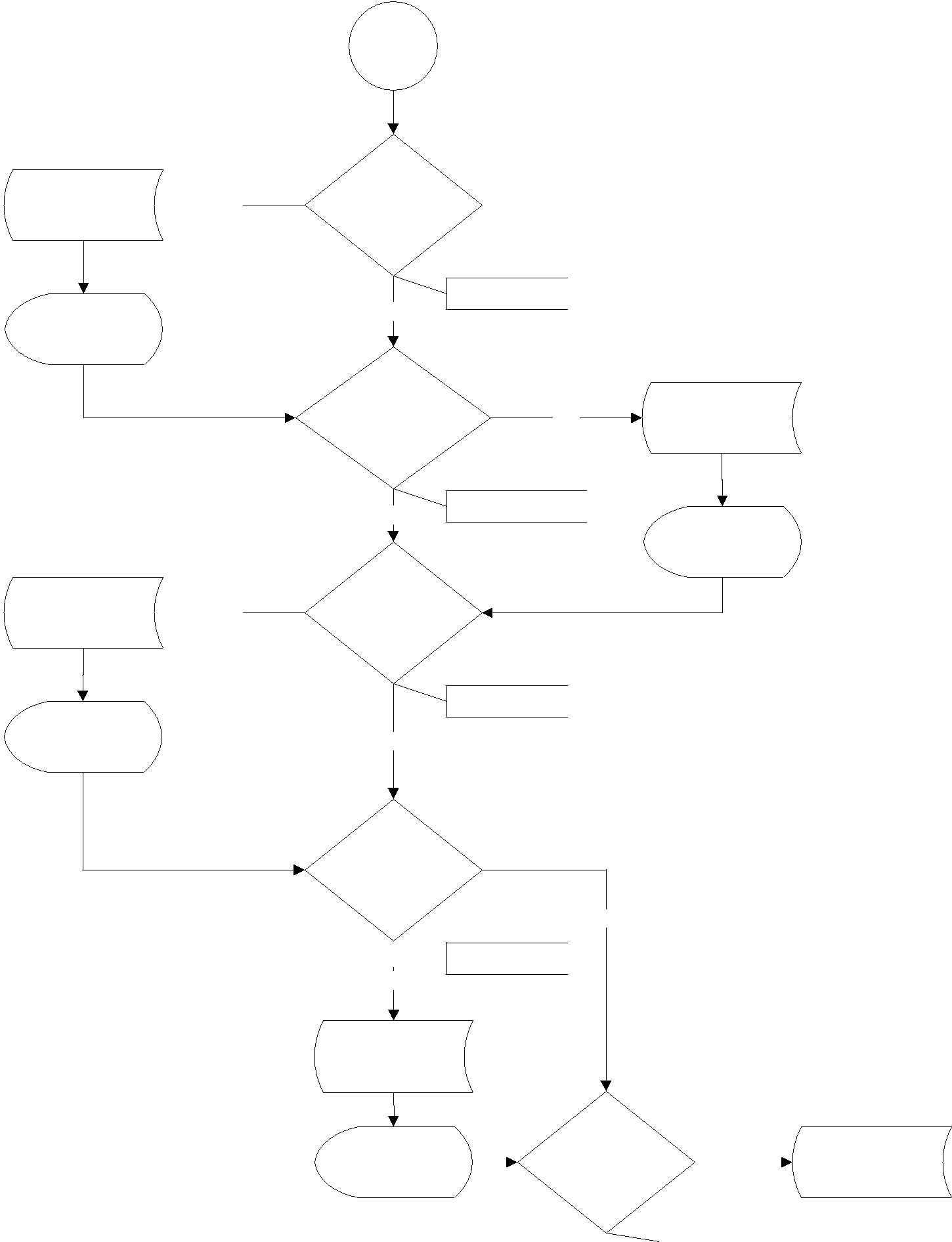
Prompt #C

PTO template Yes



Prompt #I

Risk Assessment Decision Tree



From

Page 4

24 Is to Fund in OD

|  |  |  |  |
| --- | --- | --- | --- |
| IsToOverDraft | |  |  |
| No |  |  |  |
| 25 Non-Fed to | Yes | PTO template |  |
| Fed |  |
|  |  |  |

No IsFromNonEmfToFed

Prompt #Z

26 Is this Trans an EPET

IsFromEpet

No

27 From Fund

in OD

No

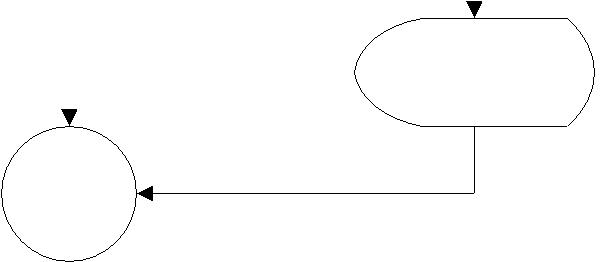
IsFromOverDraft



Yes

PTO template

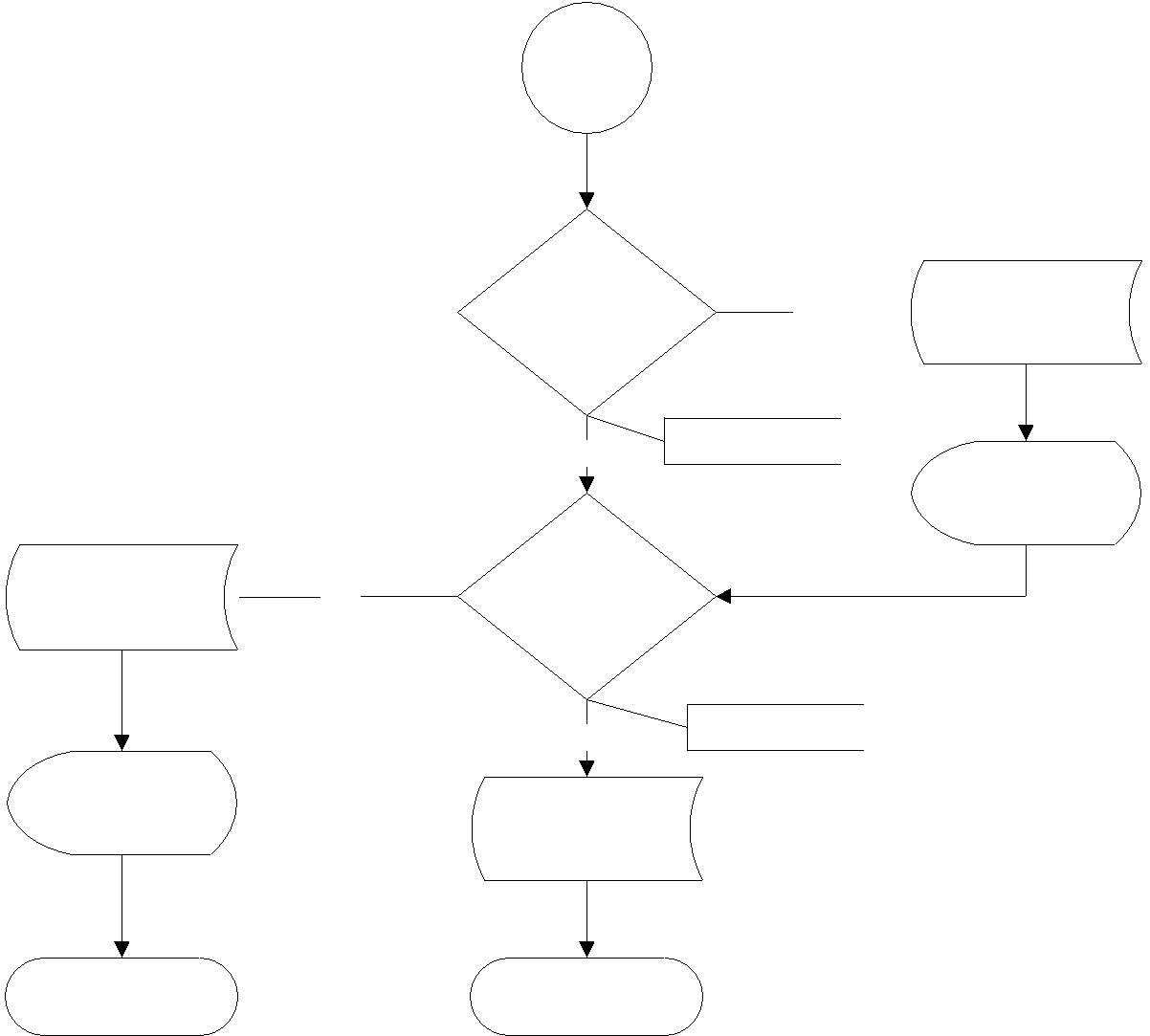
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Prompt #D |  | 28 Non-Effort | | | | |  |  |  |  | PTO template | |  |
|  | Yes |  |  |  |
|  | DOS Code | | | |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  | | | | |  | |  |
|  |  |  |  |  |  |  | | | | |  |  |  |
|  |  |  |  |  |  | IsNonEffortDosCode | | | | | |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  | No | |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  | Prompt #S | |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |



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From

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Risk Assessment Decision Tree

PTO template



Prompt #J

Stop

29

Administrative Yes PTO template Title code



No IsAdminTitleCode

Prompt #T

30 To or From Fund is a

Yes Terminating Award

No IsTermAward

PTG template

Stop

Page 6

This document describes each EPET Decision Tree node in brief sentences and lists the prompt messages.

**Risk Assessment Decision Tree**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| # | Node | Description | True | False |  |
|  |
| 6 | IsCostShared | Check if the From index cost shared. Check From | EMF, | Cont 7 |  |
|  |  | fund’s doc number, seq number, rule class, | PrmQ, |  |  |
|  |  | account period, index has been cost shared in an | Cont 7 |  |  |
|  |  | existing cost share budget. |  |  |  |
| 8 | IsToOrgFromOrg | Check if a transfer is going from one department | Cont 14 | Prm P, |  |
|  |  | to another. |  | Cont 14 |  |
| 9 | IsToPastEarlyInactiveDate | Check if To index’s ead (early inactive date?) is | Prm O, | Cont 15 |  |
|  |  | before or on the next available post date. | Cont 15 |  |  |
| 11 | IsToEmf | Check if To IFOAP involves EMF or level hierarchy | ExplL, | Expl G, |  |
|  |  | is “J11002” or “J11005”. If yes, explain basis if | Cont 8 | Cont 18 |  |
|  |  | any transactions are being partially transferred. |  |  |  |
|  |  | If no, explain reason for EPET. |  |  |  |
| 12 | IsTxDateOut4Mos | Check if GA transaction account period is later | Expl B, | Cont 16 |  |
|  |  | than transaction period by more than 3 periods. | Cont 16 |  |  |
|  |  | If yes, explain this transfer does not meet the |  |  |  |
|  |  | university standards for timeliness. Note, it’s 120 |  |  |  |
|  |  | days after the posting period. |  |  |  |
| 13 | IsFromNotEmf | Check if From IFOAP does not involves EMF. If | GEN, | Expl L, |  |
|  |  | not, explain basis if any transactions are being | Stop | Low, |  |
|  |  | partially transferred. |  | Stop |  |
| 14 | IsToPrivateNotFft | Check if TO fund involves private funds. | Prm G, | Prm K, |  |
|  |  |  | Cont 9 | Cont 19 |  |
| 15 | IsToPrivCG | Check if TO fund involves private contracts or | Cont 10 | Cont 11 |  |
|  |  | grants. |  |  |  |
| 16 | IxTxDateInToProjPrd | Check if next available post date is inside the TO | Cont 11 | EMF, |  |
|  |  | IFOAP grant start and end date. If not within the |  | Prm A, |  |
|  |  | dates, this transaction is considered a high risk |  | Cont 11 |  |
|  |  | and requires OPAFS review. |  |  |  |
| 17 | IsIntraFund | Check if the transfer is within the same fund (is | GEN, | Cont 12 |  |
|  |  | intrafund?). And if it is, check if the fund | Stop |  |  |
|  |  | hierarchy code is not equal to “J11010” (is not |  |  |  |
|  |  | fed flow though?). This is low risk. |  |  |  |
| 18 | IsToPrivOverDraft | Check if TO IFOAP level 3 fund hierarchy equal to | EMF, | GEN, |  |
|  |  | “J11040” (is private contract?) If so, use the | Expl C, | Stop |  |
|  |  | IFOAP balance. If the balance is less than the | Stop |  |  |
|  |  | transaction amount, the TO fund is over drafted. |  |  |  |
|  |  | If TO IFOAP level 3 fund hierarchy not equals to |  |  |  |
|  |  | “J11040” (is not private contract?), then use the |  |  |  |
|  |  | level 4 fund hierarchy code to get distinct level 5 |  |  |  |
|  |  | codes. If the total of all level 5 balances is less |  |  |  |
|  |  | than the transaction amount, the TO fund is over |  |  |  |
|  |  | drafted. If over drafted, explain reason To fund |  |  |  |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| # | Node | Description | True | False |  |
|  |
|  |  | is in overdraft. |  |  |  |
| 19 | IxTxDateInToProjPrdFdp | Get To IFOAP grant from date. Check if To IFOAP | Cont 20 | EMF, |  |
|  |  | has FDP. If yes, move the grant from date 90 |  | Prm A, |  |
|  |  | days earlier. Then check if the GA next available |  | Cont 20 |  |
|  |  | post date is within the from date and the to date |  |  |  |
|  |  | (To IFOAP grant to date). |  |  |  |
| 20 | hasDelegAuth | Check if both To and From funds are Fed FDP. | Cont 21 | Cont 21 |  |
|  |  | Check if To fund involves private fund. Check if |  |  |  |
|  |  | To and From funds are the same (intra fund). |  |  |  |
|  |  | Check if transaction is renew. Check if To fund |  |  |  |
|  |  | does not involve EMF. If any of the above is true, |  |  |  |
|  |  | then true. |  |  |  |
|  |  | Lyle noted that there is no way to check if |  |  |  |
|  |  | someone actually has a delegation of authority. |  |  |  |
|  |  | The node exists simply to record the answer (a |  |  |  |
|  |  | check box and pi admin email) for future |  |  |  |
|  |  | auditing. The check box and email address |  |  |  |
|  |  | prompt should only appear if delegAuth returns |  |  |  |
|  |  | false. |  |  |  |
| 21 | IsIntraFundNotFft | Check if the transfer is within the same fund (is | Expl G, | Cont 22 |  |
|  |  | intrafund?). And if it is, check if the fund | GEN, |  |  |
|  |  | hierarchy code is not equal to “J11010” and | Stop |  |  |
|  |  | “J11011” (is not fed flow though?). This is the |  |  |  |
|  |  | same logic as #11 IntraFundNotFFT2. If true, |  |  |  |
|  |  | explain the reason of EPET. |  |  |  |
| 22 | IsToRenewal | Check if transaction is renewal. If true, explain | Expl G, | Cont 23 |  |
|  |  | the reason of EPET. | GEN, |  |  |
|  |  |  | Stop |  |  |
| 23 | IsTxDateOut4MosNih | Check if To or From IPOAF involves level 3 NIH | EMF, | Cont 24 |  |
|  |  | fund. If so, check if GA transaction account | Expl B, |  |  |
|  |  | period is later than transaction period by more | Cont 24 |  |  |
|  |  | than 4 periods (3 periods otherwise). If yes, |  |  |  |
|  |  | explain this transfer does not meet the federal |  |  |  |
|  |  | standards for timeliness. |  |  |  |
| 24 | IsToOverDraft | Check if the To fund balance is less than the | EMF, | Cont 25 |  |
|  |  | transaction amount. If so, the TO fund is over | Expl C, |  |  |
|  |  | drafted. If over drafted, explain reason To fund | Cont 25 |  |  |
|  |  | is in overdraft. |  |  |  |
| 25 | IsFromNonEmfToFed | Check if From fund does not involve EMF and if | EMF, | Cont 26 |  |
|  |  | To fund top level equals “G10000” and level 3 | Prm Z, |  |  |
|  |  | equals “J11010” and “J11011”. | Cont 26 |  |  |
| 26 | IsFromEpet | Check if transaction is previously an EPET or PET. | EMF, | Cont 27 |  |
|  |  |  | Prm I, |  |  |
|  |  |  | Cont 27 |  |  |
| 27 | IsFromOverDraft | Check if From fund balance is less than zero. If | EMF, | Cont 28 |  |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| # | Node | Description | True | False |  |
|  |
|  |  | so, explain the basis for the transfer directly | Expl D, |  |  |
|  |  | supporting the project. | Cont 28 |  |  |
| 28 | IsNonEffortDosCode | DOS codes describe the kind of pay that was | EMF, | Cont 29 |  |
|  |  | given out (IAP = Incentive Award Program, REG = | Prm S, |  |  |
|  |  | Regular, BYA = By Agreement) Some DOS codes | Cont 29 |  |  |
|  |  | like REG or OT are related directly to effort or |  |  |  |
|  |  | hours worked, others like BYA and IAP have no |  |  |  |
|  |  | direct correlation to effort. OPAFS decided that |  |  |  |
|  |  | payroll payments that are not related to effort |  |  |  |
|  |  | are riskier to move. |  |  |  |
| 29 | IsAdminTitleCode | Administrative Title code is there because there | EMF, | Cont30 |  |
|  |  | are restrictions on putting administrative time | Prm T , |  |  |
|  |  | onto federal awards. It is not prohibited, but it is | Cont 30 |  |  |
|  |  | not generally allowed either. |  |  |  |
| 30 | IsTermAward | Check if today is between 60 days before the end | EMF, | GEN, |  |
|  |  | grant date and the end grant date. Do this for | Expl J, | Stop |  |
|  |  | both To and From fund. | Stop |  |  |

**Prompt Messages**

|  |  |  |
| --- | --- | --- |
| # | Screen Text | Journal Text |
| A | The next available post date on the cost being transferred is not within the | Next available post |
|  | project period of the TO FUND. This is considered a high risk transaction | date is outside of |
|  | requiring OPAFS review. | To Fund project |
|  |  | period |
| B | This transfer does not meet the university standards for timeliness. Please | Transaction is not |
|  | explain why this transfer exceeds the allowable time limit for transferring | timely |
|  | expenses |  |
| C | This transaction is being transferred to a fund in overdraft (costs incurred | To Fund is in |
|  | exceed allocations). Please provide an explanation. If the overdraft fund is | overdraft |
|  | an extramural fund (external sponsor ‐ federal, private, not‐for‐profit) the |  |
|  | condition is considered high risk and will be reviewed by OPAFS for |  |
|  | adequacy. |  |
| D | This cost is being transferred from a fund in overdraft to an extramural | From Fund is in |
|  | fund (external sponsor ‐ federal, private, not‐for‐profit). This condition is | overdraft. To Fund |
|  | considered high risk and will be reviewed by OPAFS for adequacy. Please | is an extramural |
|  | provide an explanation of the basis for the transfer directly supporting the | fund |
|  | project. |  |
| E | You have selected an inactive IFOP or account code to receive this transfer. | To An Inactive IFOP |
|  | Any one of the elements, Index‐Fund‐Organization‐Program or the account |  |
|  | code may be inactive. Select an active IFOP and account code to receive |  |
|  | this transfer. Use the Chart of Account Queries on |  |
|  | http://financiallink.ucsd.edu for detailed information. |  |
| F | The transaction you have selected was charged to an IFOP that is no longer | From An Inactive |
|  | active. Transfers from an inactive IFOP are not allowed. You can reactivate | IFOP |
|  | the Index number or contact General Accounting or OPAFS if the Fund, |  |

|  |  |  |  |
| --- | --- | --- | --- |
| # | Screen Text | Journal Text |  |
|  |
|  | Organization or Program has been inactivated. To look up information |  |  |
|  | about the chart of accounts see the Chart Query Report at |  |  |
|  | http://financiallink.ucsd.edu under reports. |  |  |
| G | Please explain reason for EPET | EPET reason |  |
| H | An amount greater than the dollar value of the original transaction cannot | Total EPETs More |  |
|  | be transferred. If this dollar value is not greater than the original and | Than Original |  |
|  | pending transactions. See notes on the DOPE Reviewer for information on | Transaction |  |
|  | previous EPETs. |  |  |
| I | The transaction being transferred is either an EPET or a PET. This type of | Transfer of an EPET |  |
|  | transfer is considered high risk and will be reviewed by OPAFS. |  |  |
| J | The To or From fund for this transaction involves a terminating award. This | Terminating award |  |
|  | condition is considered high risk and will be reviewed by OPAFS for | is involved |  |
|  | adequacy. Please provide an explanation supporting the need for this |  |  |
|  | transfer and how it directly supports the TO FUND. |  |  |
| K | Please explain how this error occurred, what the benefit to the fund being | EPET justification |  |
|  | charged is and what is being done to prevent a similar event in the future. |  |  |
| L | If any transactions are being partially transferred please explain the basis | Proration basis of |  |
|  | for the proration or split. | partial transfer |  |
| M | To Index is same as From Index. | To Index is same as |  |
|  |  | From Index |  |
| O | The Early Inactivation Date for the Index number you are transferring to is | The Early |  |
|  | in the past. | Inactivation Date |  |
|  |  | for the To Index |  |
|  |  | number is in the |  |
|  |  | past. |  |
| P | The Org codes are different which may indicate a transfer between | Possible transfer |  |
|  | departments. Please provide email address of secondary department in | between |  |
|  | the cc: field. | departments. |  |
| Q | Epet has been cost shared. | Epet has been cost |  |
|  |  | shared. |  |
| S | The DOS code for this transaction is considered high risk because no effort | Non effort DOS |  |
|  | is attached to the payroll being received. Please explain why this salary is | code transferred to |  |
|  | being transferred onto a federal funding source. | federal award. |  |
| T | Federal regulations restrict charging administrative salary to federal | Admin salary |  |
|  | awards in most situations. Please explain why administrative salary is | transferred to |  |
|  | being transferred onto this federally sponsored funding source. | federal award. |  |
| U | PI e‐mail address |  |  |
|  |  |  |  |
| V | Fund Manager and CC e‐mail address |  |  |
|  |  |  |  |
| W | I have delegation of authority. Please provide your e‐mail address in the |  |  |
|  | cc: e‐mail address field. |  |  |
|  |  |  |  |
| X | Remember to make corresponding funding changes in UCSD PPS to reflect |  |  |
|  | the payroll expense transfer. |  |  |
|  |  |  |  |

# Screen Text Journal Text

1. The ancillary transactions must be moved via a journal entry in IFIS before submission.
2. This transaction is being transferred involves a federal fund. This is considered a high risk transaction requiring OPAFS review.