













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

EPET Risk Assessment Decision Tree

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

#	Node	Description	True	False
		is in overdraft.		
19	IxTxDateInToProjPrdFdp	Get To IFOAP grant from date. Check if To IFOAP has FDP. If yes, move the grant from date 90 days earlier. Then check if the GA next available post date is within the from date and the to date (To IFOAP grant to date).	Cont 20	EMF, Prm A, Cont 20
20	hasDelegAuth	Check if both To and From funds are Fed FDP. 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.	Cont 21	Cont 21
21	IsIntraFundNotFft	Check if the transfer is within the same fund (is intrafund?). And if it is, check if the fund hierarchy code is not equal to "J11010" and "J11011" (is not fed flow though?). This is the same logic as #11 IntraFundNotFFT2. If true, explain the reason of EPET.	Expl G, GEN, Stop	Cont 22
22	IsToRenewal	Check if transaction is renewal. If true, explain the reason of EPET.	Expl G, GEN, Stop	Cont 23
23	IsTxDateOut4MosNih	Check if To or From IPOAF involves level 3 NIH fund. If so, check if GA transaction account period is later than transaction period by more than 4 periods (3 periods otherwise). If yes, explain this transfer does not meet the federal standards for timeliness.	EMF, Expl B, Cont 24	Cont 24
24	IsToOverDraft	Check if the To fund balance is less than the transaction amount. If so, the TO fund is over drafted. If over drafted, explain reason To fund is in overdraft.	EMF, Expl C, Cont 25	Cont 25
25	IsFromNonEmfToFed	Check if From fund does not involve EMF and if To fund top level equals "G10000" and level 3 equals "J11010" and "J11011".	EMF, Prm Z, Cont 26	Cont 26
26	IsFromEpet	Check if transaction is previously an EPET or PET.	EMF, Prm I, Cont 27	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 supporting the project.	Expl D, Cont 28	
28	IsNonEffortDosCode	DOS codes describe the kind of pay that was given out (IAP = Incentive Award Program, REG = Regular, BYA = By Agreement) Some DOS codes 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.	EMF, Prm S, Cont 29	Cont 29
29	IsAdminTitleCode	Administrative Title code is there because there are restrictions on putting administrative time onto federal awards. It is not prohibited, but it is not generally allowed either.	EMF, Prm T , Cont 30	Cont30
30	IsTermAward	Check if today is between 60 days before the end grant date and the end grant date. Do this for both To and From fund.	EMF, Expl J, Stop	GEN, Stop

Prompt Messages

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

#	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 be transferred. If this dollar value is not greater than the original and pending transactions. See notes on the DOPE Reviewer for information on previous EPETs.	Total EPETs More Than Original Transaction
I	The transaction being transferred is either an EPET or a PET. This type of transfer is considered high risk and will be reviewed by OPAFS.	Transfer of an EPET
J	The To or From fund for this transaction involves a terminating award. This condition is considered high risk and will be reviewed by OPAFS for adequacy. Please provide an explanation supporting the need for this transfer and how it directly supports the TO FUND.	Terminating award is involved
K	Please explain how this error occurred, what the benefit to the fund being charged is and what is being done to prevent a similar event in the future.	EPET justification
L	If any transactions are being partially transferred please explain the basis for the proration or split.	Proration basis of 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 in the past.	The Early Inactivation Date for the To Index number is in the past.
P	The Org codes are different which may indicate a transfer between departments. Please provide email address of secondary department in the cc: field.	Possible transfer between 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 is attached to the payroll being received. Please explain why this salary is being transferred onto a federal funding source.	Non effort DOS code transferred to federal award.
T	Federal regulations restrict charging administrative salary to federal awards in most situations. Please explain why administrative salary is being transferred onto this federally sponsored funding source.	Admin salary transferred to 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 <u>cc:</u> e-mail address field.	
X	Remember to make corresponding funding changes in UCSD PPS to reflect the payroll expense transfer.	

#	Screen Text	Journal Text
Y	The ancillary transactions must be moved via a journal entry in IFIS before submission.	
Z	This transaction is being transferred involves a federal fund. This is considered a high risk transaction requiring OPAFS review.	