

RESEARCH ADMINISTRATION

Extramural Fund Management

January 12, 2017

Today's Topics

- PAMS Go Live
- Financial Closeout of Sponsored Projects

Post Award Management System (PAMS)

Jennifer Aguilar

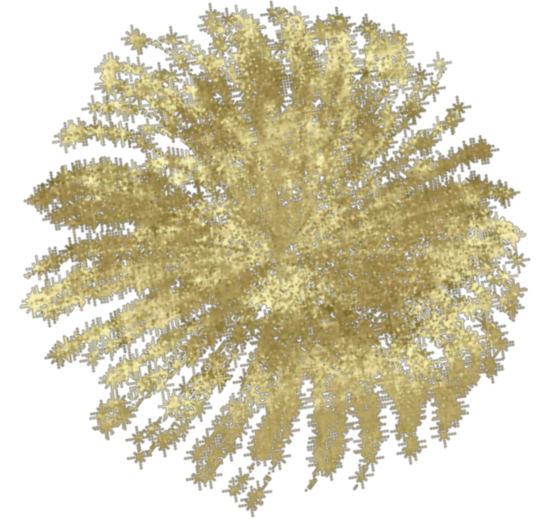
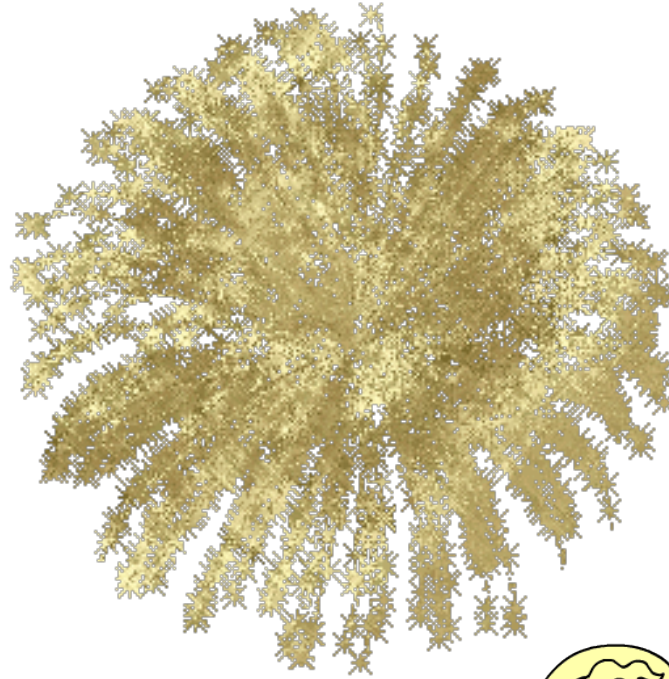
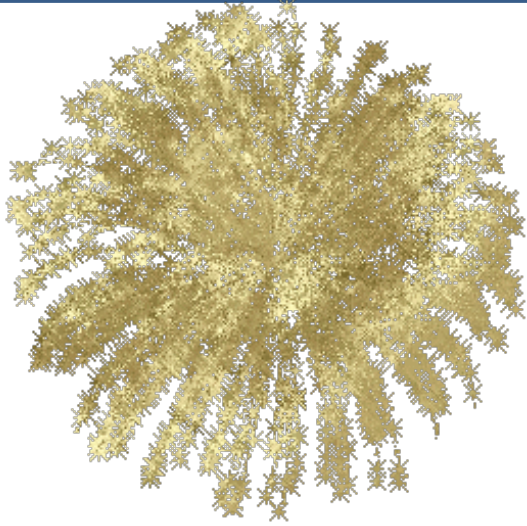
Post Award Management System (PAMS)

- A central web-based system that provides campus administrators with tools to facilitate effective and efficient financial management of sponsored research awards from the start to the closing of funds.
- Displays near real-time data from the financial system in a post award context for fund managers to review, edit, and approve financial activities on-line.
- Allows fund managers to communicate the status of financial activities and financial deliverables in real time within a single system.

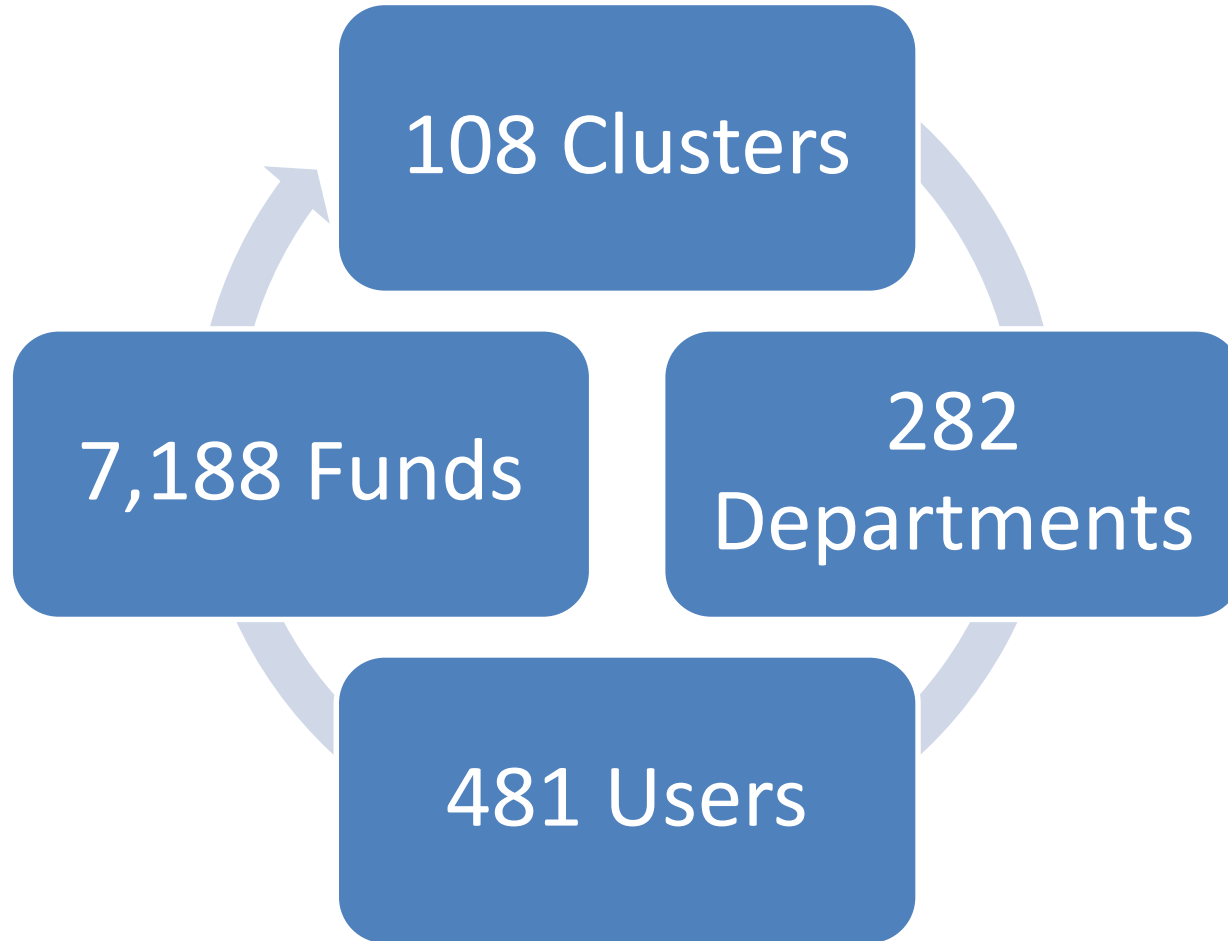
Benefits of using PAMS

- Customized department worklists
- Facilitates on-time submission of invoices and financial reports
- Stores invoices and financial reports, along with correspondence and historical information in a single integrated system
- Facilitates the fund closeout process
- Allows tracking of internal turnaround times for preparation and approval of invoices, financial reports, and closeout processes

PAMS is Live for Campus!



Composition of PAMS Go-Live



PAMS Cluster

- A single, or a group of department codes, where Department Administrator(s) and staff for such units are responsible for managing sponsored research funds
- Department Administrator's responsibilities include managing the fund closeout process and assigning tasks to staff within their cluster

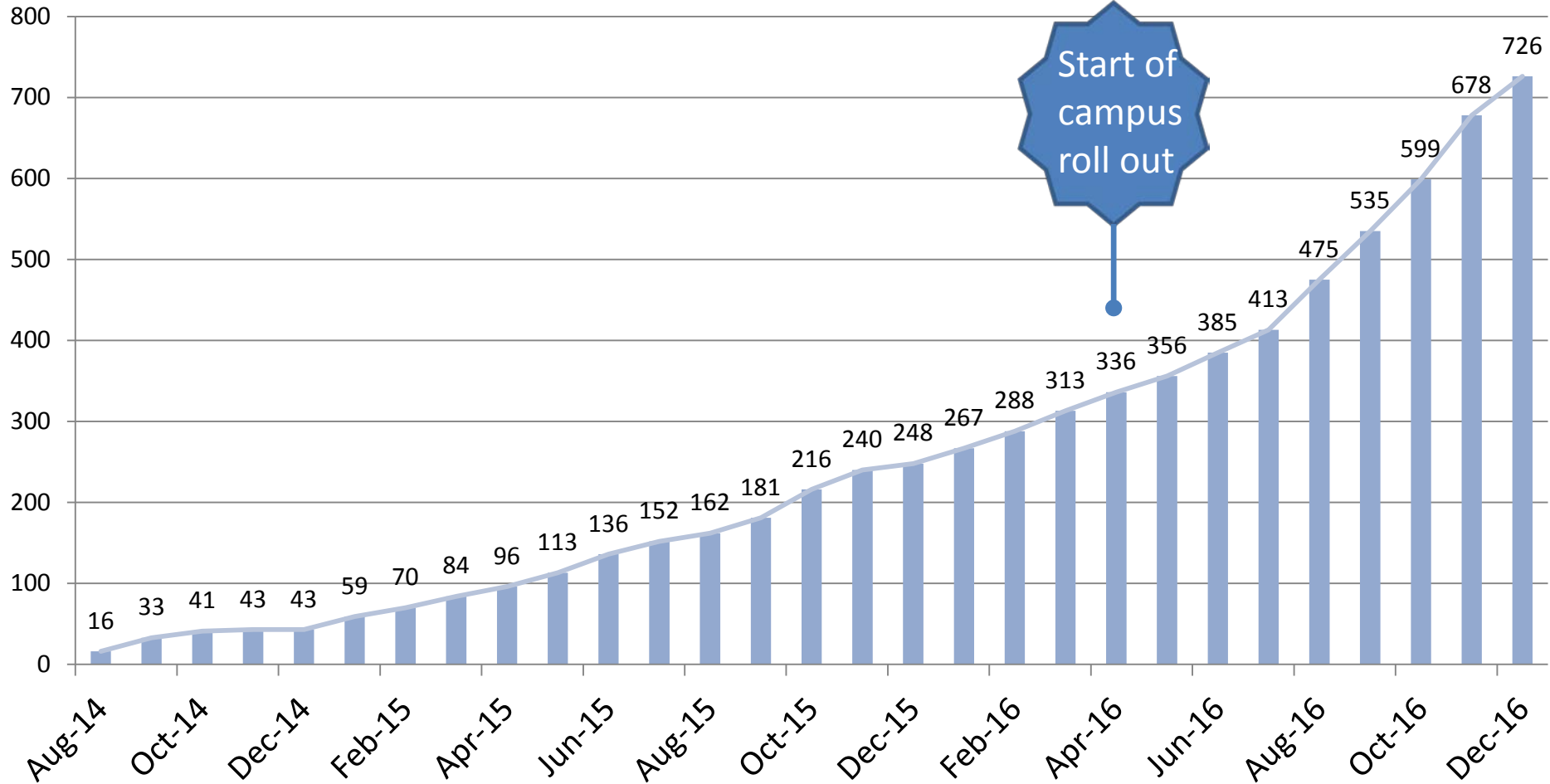
Largest clusters by # of funds

Cluster Name	Number of Funds	Number of Departments	Number of Users
Department of Medicine	1,488	21	73
Semel Institute	504	2	29
Pediatrics	410	19	3
Neurology	397	3	12
Business Excellence	247	11	13
Life Sciences Finance Group	217	12	13
Physics & Astronomy	195	2	6
Electrical Engineering	172	1	10
EPSS, IGPP, iPLEX	170	3	4
Dentistry	167	4	7

Largest clusters by # of Departments

Cluster Name	Number of Funds	Number of Departments	Number of Users
Proposal & Award Resource Center (PARC)	162	32	17
Department of Medicine	1,488	21	73
Pediatrics	410	19	3
Life Sciences Finance Group	217	12	13
Business Excellence	247	11	13
Luskin Center for Innovation	123	9	6
UCLA Office of Information Technology	5	8	4
Institute of American Cultures	15	6	9

Completed Closeout Packets



Completed by 80 Departments as of January 3rd, 2017

Fund Search: Reports

- Closeout packets due over a period of time
- Status of closeout packets submitted
- Demographic information for funds assigned to you

My Funds
Fund Details
Deliverables
Administration

Worklist
Fund Search

Search For Funds

FILTERS

From Due Date: - **To Due Date:**

Select data to download:

<input checked="" type="radio"/> Deliverables	Report of completed and outstanding Invoices and Financial Reports due to sponsor.
<input type="radio"/> Closeout Packets	Report of completed and outstanding Closeout Packets that are due.
<input type="radio"/> Missing Managing PI	<p>These results indicate that the following Account and Cost Center combinations have a blank Managing Investigator field in the AC table in OASIS. When the Managing Investigator is blank, PAMS cannot create a Closeout Packet.</p> <p>Please take the following corrective actions:</p> <ol style="list-style-type: none"> 1. If there is one PI associated with the combination please reach out to General Accounting to have this updated in the AC table. Once this is completed PAMS will create the Closeout Packet overnight. 2. If there is no PI or there are multiple PIs associated with the combination please reach out to PAMSHelp@research.ucla.edu to have the Process COP Option for this fund changed to "Upload RAPID COP Through Portal".

Three worklist views

- **My Action Required:** action is required by the user to complete invoices, financial reports, or closeout packets
- **My Responsibility:** invoices, financial reports, and closeout packets assigned to the user (not necessarily requiring action)
- **My Team's Responsibility:** Users with the role of Department Administrator can view financial deliverables and closeout packets for their cluster or team

Worklist View: My Action Required

Invoices and Reports Due to Sponsor

- Pending Department Action - Invoices and Financial Reports that require department input to submit the deliverable to the sponsor by the deadline

My Funds Fund Details Deliverables Administration

Worklist Fund Search

Worklist My Action Required

DASHBOARD

Invoices and Reports Due to Sponsor

5 — Upcoming 60 Days

- 3** — Interim
- 0** — Final

2 — Past Due

- 2** — Interim
- 0** — Final

Closeout Packets

7 — Upcoming 60 Days

- 5** — Due to EFM
- 3** — Due to Home

2 — Past Due

- 2** — Due to EFM
- 0** — Due to Home

Missing Managing PI

0 — Account CCs

My Action Required > Interim Reports and Invoices > Upcoming > Interim

As of 01/10/2017 11:00:10 AM

	Award Snapshot	Fund Number	Sponsor Due Date	Status	Sponsor Award #	Sponsor Name	PI Name	Dept Fund Mgr	EFM Accountant	Category	Type	Project Start Date	Project End Date	Budget Start Date
		11111		Pending Department Action	5P30 CA09335	NIH	PI Bruin	P. Adam	P. Sam	Financial Report	Interim	01/01/13	09/15/15	01/01/13
		22222		Pending Department Action	AF0148524	Arts Foundation	PI Bruin	P. Adam	P. Sam	Invoice	Interim	04/01/14	03/31/16	04/01/14
		44444		Pending Department Action	SF1Z2A3K	Science Foundation	PI Susan	P. Adam	P. Sam	Financial Report	Interim	01/01/14	03/31/16	01/01/14

Worklist View: My Action Required

Invoices and Reports Due to Sponsor

- Deliverable Comments indicate information to be submitted to EFM

My Funds Fund Details Deliverables Administration

Deliverable List

Deliverable List

Get Fund :

Fund No: 22222 PI: PI Lester
 Award No: AF0148524 Sponsor: Arts Foundation
 Department Code: 1001 Department Name: Royce Hall
 Budget Period: 10/01/15 - 12/31/15 Project Period: 04/01/14 - 03/31/16

Report and Invoice Schedules

Deliverable Schedule	Edit Schedule	Due Date	Category	Type	Frequency	Owner	Status	Update Date	Deliverable	Edit Status	Delete Deliverable
2	<input type="button" value="Edit"/>	04/30/2016	Invoice	Final	Once	P. Sam	COP Not Started			<input type="button" value="Edit"/>	
1	<input type="button" value="Edit"/>	03/31/2016	Invoice	Interim	Once	P. Sam	Pending Department Action			<input type="button" value="Edit"/>	
1	<input type="button" value="Edit"/>	10/31/2015	Invoice	Interim	Quarterly	P. Ryan	Deliverable Submitted	10/30/2015		<input type="button" value="Edit"/>	
1	<input type="button" value="Edit"/>	07/31/2015	Invoice	Interim	Quarterly	P. Ryan	Deliverable Submitted	07/30/2015		<input type="button" value="Edit"/>	

Fund #: 22222

Current Status

Due Date:

Update Date:

Status: Pending Department Action

Last Comment: Reached out to Department Fund Manager P. Adam. Requested sponsor specific invoice template be completed and returned to EFM for review and submission.

History of Status Changes

Date	Username	User Comments	Status Updates
07/31/2014	P. Sam	Reached out to Department Fund Manager P. Adam. Requested sponsor specific invoice template be completed and returned to EFM for review and submission.	Pending Department Action

Worklist View: My Action Required

Closeout Packets

- Submission of the final financial deliverable requires users' action of completing closeout packet

My Funds | Fund Details | Deliverables | Administration

Worklist | Fund Search

Worklist My Action Required

DASHBOARD

Invoices and Reports Due to Sponsor

5 — Upcoming 60 Days

- 3** Interim
- 0** Final

2 — Past Due

- 2** Interim
- 0** Final

Closeout Packets

7 — Upcoming 60 Days

- 5** — Upcoming 60 Days
 - 3** Due to EFM
 - 2** Due to Home
- 2** — Past Due
 - 2** Due to EFM
 - 0** Due to Home

Missing Managing PI

0 — Account CCs

My Action Required > Closeout Packets > Past Due > Due To EFM
As of 01/10/2017 11:01:34 AM

Award Snapshot	Fund Number	COP Due Date	Status	Sponsor Award #	Dept Owner	EFM Owner	Date Current Owner Obtained Packet	Home PI	Home Dept Code	Home Dept	Account PI	Account Dept Code	Account Dept Name	Project Start Date	P
	11111	12/14/15	COP In Process	5P30 CA09335	P. Adam	P. Sam	12/20/2012	PI Bruin	1000	Murphy Hall	PI Bruin	1000	Murphy Hall	01/01/13	0
	22222	04/30/16	COP Not Started	AF0148524	P. Adam	P. Sam	02/01/2014	PI Bruin	1000	Murphy Hall	PI Bruin	1000	Murphy Hall	04/01/14	0

Financial Deliverables

- Invoices and financial reports due for each fund, status of submission
- View and download copies of submitted invoices and financial reports

My Funds Fund Details **Deliverables** Administration

Deliverable List

Deliverable List

Get Fund :

Fund No: 22222 **PI:** PI Lester
Award No: AF0148524 **Sponsor:** Arts Foundation
Department Code: 1001 **Department Name:** Royce Hall
Budget Period: 10/01/15 - 12/31/15 **Project Period:** 04/01/14 - 03/31/16

Report and Invoice Schedules

	Deliverable Schedule	Edit Schedule	Due Date	Category	Type	Frequency	Owner	Status	Update Date	Deliverable	Edit Status	Delete Deliverable
	2	<input type="button" value="Edit"/>	04/30/2016	Invoice	Final	Once	P. Sam	COP Not Started			<input type="button" value="Edit"/>	
	1	<input type="button" value="Edit"/>	03/31/2016	Invoice	Interim	Once	P. Sam	Pending Department Action			<input type="button" value="Edit"/>	
	1	<input type="button" value="Edit"/>	10/31/2015	Invoice	Interim	Quarterly	P. Ryan	Deliverable Submitted	10/30/2015		<input type="button" value="Edit"/>	
	1	<input type="button" value="Edit"/>	07/31/2015	Invoice	Interim	Quarterly	P. Ryan	Deliverable Submitted	07/30/2015		<input type="button" value="Edit"/>	
	1	<input type="button" value="Edit"/>	04/30/2015	Invoice	Interim	Quarterly	P. Alex	Reviewed Not Submitted	04/15/2015		<input type="button" value="Edit"/>	
	1	<input type="button" value="Edit"/>	01/31/2015	Invoice	Interim	Quarterly	P. Alex	Deliverable Submitted	01/30/2015		<input type="button" value="Edit"/>	
	1	<input type="button" value="Edit"/>	10/31/2014	Invoice	Interim	Quarterly	P. Marie	Deliverable Submitted	10/30/2014		<input type="button" value="Edit"/>	
	1	<input type="button" value="Edit"/>	07/31/2014	Invoice	Interim	Quarterly	P. Marie	Deliverable Submitted	07/31/2014		<input type="button" value="Edit"/>	

Remove All Deliverables


Upload Closeout Packets via PAMS

Fund Details

- Track status of the closeout packet submission process

[My Funds](#) | [Fund Details](#) | [Deliverables](#) | [Administration](#)
[Overview](#) | [Financial Summary](#) | [Expenditure Review](#) | [Review](#)

Fund Balance and Approvals

Approvals History | **Approval Comments:**  |

Dept Preparer Joe Bruin Approved by **Joe Bruin** on 12/08/2016
Dept Approver Josie Bruin Approved by **Josie Bruin** on 12/20/2016
PI Professor Jones **RAPID COP has been Uploaded**
EFM Preparer Sue Smith Approved by **Sue Smith** on 12/20/2016
EFM Approver Jason Johnson Approved by **Jason Johnson** on 12/21/2016

Fund #: [REDACTED]

Comments for: Approvals History

Username	Date	Comments
Joe Bruin	12/21/2016 11:28 AM	COP Approved
Josie Bruin	12/20/2016 02:16 PM	Approved
Sue Smith	12/20/2016 10:07 AM	Approved
Jason Johnson	12/08/2016 07:50 AM	Approved

PAMS Training

- In-Person Training Session for new users:
 - Thursday, January 26th 9-11am
 - To register, complete the Doodle poll:
<http://doodle.com/poll/xbwvqd44d2m2s7i3>

- Webinar: Closeout Packet Management Grid
 - February 2017
 - Details will be emailed to the PAMS Listserv

Resources

- PAMS Help
 - (310) 794-0008 , pamshelp@research.ucla.edu
- Visit the [PAMS](#) website for more information including:
 - Training materials, Quick Guides, Videos
 - Adding new users, common FAQ's

Thank you!

Project Team (ORA)		Department Feedback		
Jackson Jeng	Yoon Lee	Noor Abjani (Physiology)	Lynette Hand (Physiology)	Cathy Rujanuruks (DOM)
Jennifer Aguilar	Jonathan Hamilton-Solorzano	Steven Acosta (PARC)	David Islas (Pathology)	Gina Ruiz (Neurology)
Salini Alluri	Isabella Hernandez	Kathy Chang (Physics)	Allison Kamerman (Public Health)	Marvin Selga (Education)
Alfredo Arcilla	Sendhil Kolandaivel	Barbara Cooke (Epidemiology)	Christine Lavoie (NPI)	Julian Wang (NPI)
Katie Cadle	Gabriela Macias	Rio Cruz (Pathology)	Wendy Ma (Surgery)	Tracey Wong (Neurology)
Stephanie De Marco	Dan Newbower	Cassandra Franklin (Engineering)	Michelle Phillips (NPI)	Lee Yang (Engineering)
Wai Fok	Mila Remigio	Maria Guerrero (Engineering)	Shirley Rayner (Psychology)	Joanne Yung (Social Sciences)

Financial Closeout of Sponsored Projects

Yoon Lee

Project History Overview

Enhanced financial closeout procedure for sponsored projects is now effective.

September 2016:

- Announced that new procedure was under development with a target effective date of January 1, 2017 to further strengthen financial closeout process with two main goals:
 - To ensure timely submission of the final financial deliverable to the sponsor
 - To ensure full and timely recovery of costs incurred for sponsored projects
- Introduced key processes and changes in the new procedure

October 2016:

- Introduced new closeout packet reminders under new procedure
- Published a draft of procedure for campus feedback

November 2016:

- Closed public comment period
- Announced that the new procedure will go in effect January 1, 2017 as planned

January 2017:

- Announced that the new procedure is now effective starting January 1, 2017

Procedure Overview

At a high level, the new fund closeout procedure is same as the federal fund closeout procedure implemented in May 2015.

- Closeout packet due date reminder is sent to the department.
- When a closeout packet is submitted to EFM on time, no change to existing practice.
- When a closeout packet is not submitted to EFM on time, EFM will proceed to prepare the final financial deliverables.
 - EFM will start from expenses per the general ledger and exclude transactions that are considered questionable based on sponsor's and university's policies and guidelines in absence of proper documentation.
 - EFM will inform the department of the final expenditure per EFM's analysis and ask for department's confirmation by a certain due date.
 - When a response from the department is not timely or incomplete, EFM will proceed to submit the final financial deliverable based on EFM's analysis.
 - The department will be financially responsible for expenses not included in the final due to absence of a closeout packet and/or untimely communication.
- The department is required to submit a revision request form with explanation of causes for errors in the original final and corrective action plan when a revision of the final is needed.

When a COP is not submitted

- **EFM's analysis will exclude**

- Unallowable expenses per sponsor's guidelines or award specific terms and conditions
- Expenses incurred outside the performance period
- Undocumented questionable expenses

- **Questionable expenses include expenses with warning object codes**

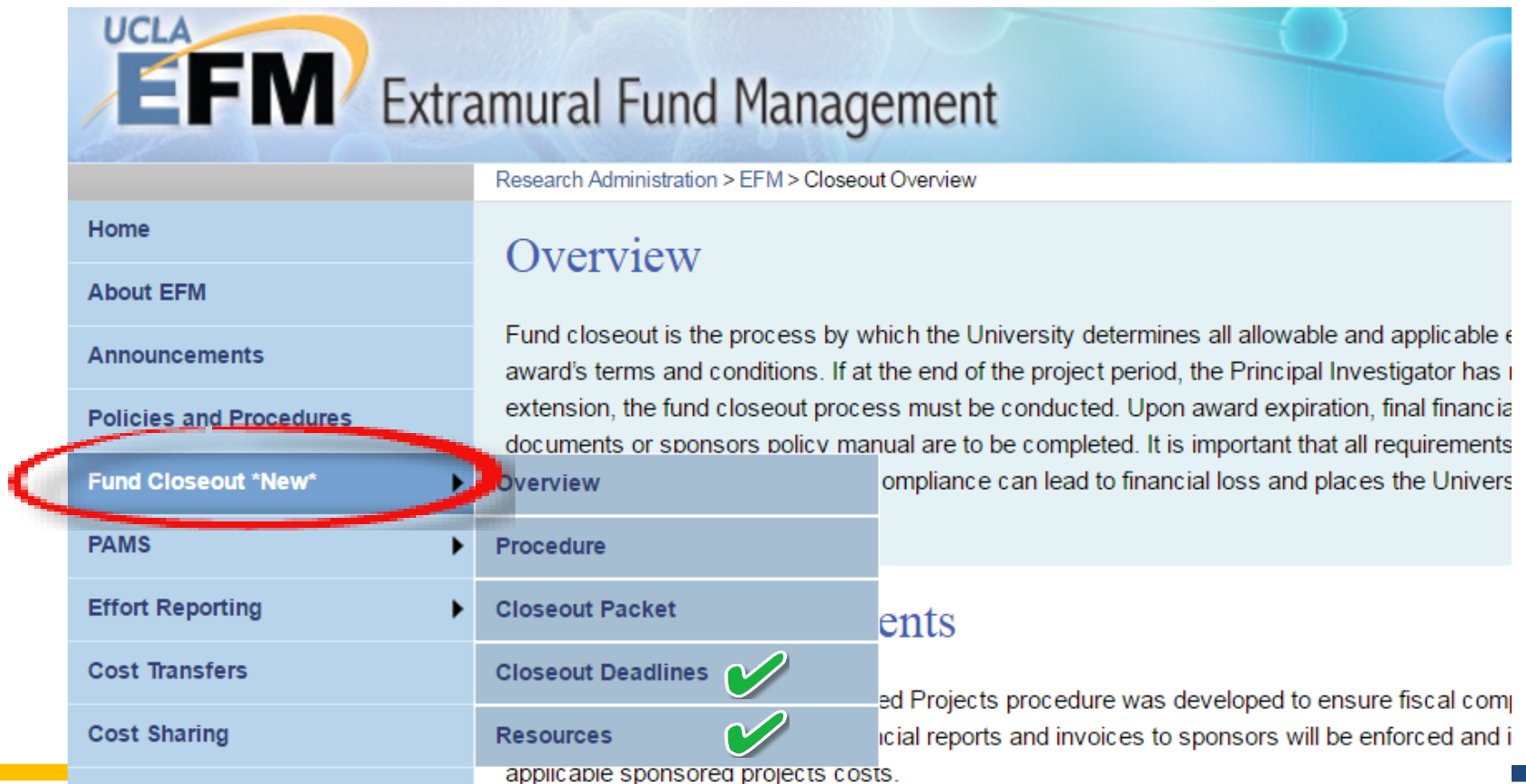
- Updated object code restrictions are available at GA website:
<http://ga.accounting.ucla.edu/displaypdf.aspx>
- A new version of RAPID closeout packet tool, incorporating updated object code restrictions, is available on the ORA portal (version dated 01/03/2017)
- Types of transactions that might have significant adverse financial implications include "Administrative salaries" and "Equipment purchased late" on federal and federal pass through funds in absence of appropriate documentation.

When a COP is not submitted

- **Upon receipt of EFM's analysis of final expenses to be reported to the sponsor**
 - Department is required to review and confirm the final expenses by the due date indicated in the email.
 - Department's response is not received by the due date or incomplete response is provided for EFM to conduct meaningful review, EFM will proceed with submitting the final based on EFM's analysis.
 - Important due dates for key communication between Department and EFM are posted in the "Closeout Deadlines" under "Fund Closeout" section in EFM Website.

Resources

- Fund Closeout section on the EFM website has been updated to provide further guidelines for the new procedure.
- Resource page includes a complete procedure document including appendices.



The screenshot shows the UCLA EFM website interface. The header includes the UCLA EFM logo and the text "Extramural Fund Management". Below the header is a navigation menu with the following items:

- Home
- About EFM
- Announcements
- Policies and Procedures
- Fund Closeout *New*** (highlighted with a red circle)
- PAMS
- Effort Reporting
- Cost Transfers
- Cost Sharing

The "Fund Closeout *New*" menu item is expanded, showing a sub-menu with the following items:

- Overview
- Procedure
- Closeout Packet
- Closeout Deadlines ✓
- Resources ✓

The main content area displays the "Overview" page, which includes the following text:

Research Administration > EFM > Closeout Overview

Overview

Fund closeout is the process by which the University determines all allowable and applicable award's terms and conditions. If at the end of the project period, the Principal Investigator has an extension, the fund closeout process must be conducted. Upon award expiration, final financial documents or sponsors policy manual are to be completed. It is important that all requirements compliance can lead to financial loss and places the University at risk.

The "Closeout Deadlines" and "Resources" items in the sub-menu are marked with green checkmarks.

Contact information

EFM Website

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

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PAMS Help

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