



Extramural Fund Management

September 10, 2020

Agenda

- **Effort Report Release**
- **PAMS Enhancements**

Effort Report Release

Yoon Lee

Release Overview

- **Effort reports will be released 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*

- **Target date to release:** Mid-late September
- **Certification due date:** 45 days after the release of effort reports.
- All payroll transactions through July 2020 are loaded in ERS so all direct retros processed for the periods that will be released above will be reflected in the effort reports.
- Certain effort reports will be inaccurate as not all UCPATH issues have been resolved. EFM will publish the report listing effort reports impacted by known UCPATH issues and special instruction for each type of issues.

Two Different Types of Issues affecting Effort Reports

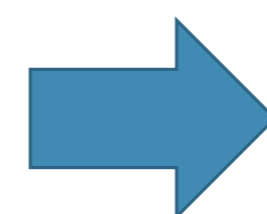
Recapture from June 2020 RAF

Issue Type

Incorrect payroll amount (\$)

The actual dollar amount on the funding source is not accurate.

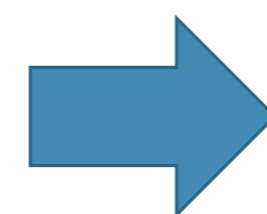
- Vacation credit was not allocated across multiple funding sources (REG like earn codes and VAC to salaries and wages)
- Vacation credit not posted to the funding source vacation was taken from but to the current funding source when vacation credit is processed. Crediting incorrect funding if funding distribution changed (called “*Leave in arrear*” issue).



Incorrect Effort percent (%)

The dollar amount on the funding source is accurate but effort % is incorrectly calculated.

- Examples include
- Certain earn codes did not bear effort when they should (e.g. NNC & RSP)
- Partial salary cost transfers were processed with incorrect pay % and derived effort %.



Solution Approach

Mass Leave Correction Tool

Mass salary cost transfers will be centrally processed using MLC tool.

- Queries to capture errors where vacation credit was not recorded correctly and to show where they should have been posted.
- MLC tool will be used to correct payroll amount on funding only for two vacation issues described left (Note: MLC tool cannot be used for other mass salary cost transfers).

Enhanced I-129

I-129 file used to load UCPATH payroll data to ERS includes correct effort % calculation logic.

- Additional logic and steps are added to re-calculate effort % to pass correct effort % to ERS through the enhanced I-129.
- As corrections are taking place during the loading process from UCPATH to ERS, effort % in the labor ledger will remain incorrectly as is but corrected effort % will be passed to ERS.

“These solutions do not address all UCPATH issues that may affect effort reporting but issues confirmed to affect accuracy of effort reports in magnitude.”

Status of UCPath Issues affecting Effort Reports

Issues resolved via enhanced I-129: No impact to accuracy of effort reports

Issue type: Incorrect Effort Percent

- NNC, RSP earnings did not have derived effort percent and pay percent calculated.
- Partial direct retros caused incorrect derived effort percent and pay percent (treated at 100% effort when only partial dollars were moving).
- Derived effort percent greater than 100% when summarized by employee, employee record, pay end date.
- Pay percent greater than 9.999 or less than -9.999: these payroll lines were not loaded to ERS.
- Certain payroll transactions were missing OTC-Y indicator in the old I-129, resulting in inaccurate effort percent.
- Old I-129 did not extract all effort bearing rows and certain rows were skipped.

Issues that will not be resolved when effort reports are released

Issue type: Incorrect Dollar Amount

- Vacation credit was not allocated across multiple funding sources: REG like earn codes and VAC to salaries and wages (called “vacation allocation issue”).
- Vacation credit not posted to the funding source vacation was taken from but to the current funding source when vacation credit is processed. Crediting incorrect funding if funding distribution changed (called “Leave in arrear issue”).

Issue type: Incorrect Effort Percent

- UCPath looks at a number of hours associated with a transaction line to calculate effort percent. Certain transactions are missing hours in the table even though they are processed with effort bearing earn codes, incorrectly resulting in zero effort.

“This is not a comprehensive list of all UCPath issues but a list of major issues affecting accuracy of effort reports.”

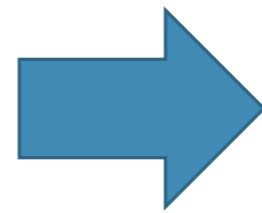
Leave Allocation and Leave in Arrear Issues

Solution Status

Mass Leave Correction Tool

Mass salary cost transfers will be centrally processed using MLC tool.

- UCLA is in the process of reviewing the results of queries to confirm necessary salary cost transfers. Approximately 10 – 15% of effort reports are affected.
- MLC tool has been deployed to production after testing by UCPC, UCLA, UCSB.
- When MLCs are processed, direct retros cannot be processed. UCPC and campuses are reviewing regular pay run and direct retro jobs to schedule MLC run dates. MLC run schedules will be published once finalized.
- In the meantime, review and complete all pending old direct retros in UCPath. All direct retros in queue when MLCs are processed will be denied. For more details, refer to the CRU announcement sent 09/01/20
Subject: [UCPath GL and Funding News] UCPath Mass Leave Correction – Salary Cost Transfer Cleanup



Mitigation Plans

Reports affected by leave issues

Do NOT certify until mass leave corrections are completed.

- Effort reports impacted by this issues will be flagged in the ERS, “Under Prelim Review” and the comment in the individual effort reports will state “Pending Mass Leave Correction (MLC) entry – Do not certify until additional instruction received from EFM”, .

Period	Employee	Department	Last Modified	Status	Under Prelim Review
Winter 18: Non-Academics	Gomez, Valeria Gonzalez (104522340)	Extramural Fund Management	08/25/2020 v2.2	Not Required	✓

- EFM will publish a report listing all individual effort reports impacted by this issue to EFM website.
- When MLCs are processed, affected effort reports will be automatically updated reflecting these corrections.
- If any effort reports were certified accidentally before MLCs are completed, these reports will be automatically reopened requiring re-certification (Certified/AdjustReqd).
- EFM will send the announcement when MLCs are completed and effort reports are ready for certification.

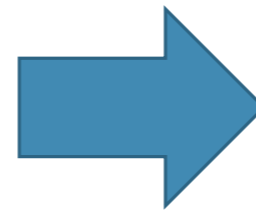
Zero Effort Percent due to Missing Hours

Solution Status

Enhanced I-129

Systematic correction is not available for this round of effort reporting periods.

- Phase I I-129 does not have this fix in place.
- Phase II I-129 will address this issue and is under development.
- Effort reports for this round of reporting periods were loaded to ERS using Phase I I-129 files. Effort reports impacted by “zero effort percent issue due to missing hours” require manual adjustments first to correct effort percent before certifying the report.
- Approximately 15 – 20% of effort reports are affected by this issue.



Mitigation Plans

Reports Impacted by Missing hours

Certify effort reports after making manual adjustments.

- Effort reports impacted by this issues will be flagged in the ERS, “Under Prelim Review” and the comment in the individual effort reports will state “effort % is inaccurate on at least one record in the effort report. You will see one or more records showing either 0% or 9.9000% in the effort report detail.

Period	Employee	Department	Last Modified	Status	Under Prelim Review
Winter 18: Non-Academics	Gomez, Valeria Gonzalez (104522340)	Extramural Fund Management	08/25/2020 v2.2	Not Required	✓

- EFM will publish a report listing all individual effort reports impacted by this issue to EFM website.
- EFM will provide the job aid on how to recalculate and adjust effort % as well as an excel recalculation template.
- EFM will host a webinar to demonstrate manual adjustment using the excel template and the job aid. The date will be announced soon.

Next Steps

- **EFM will announce key dates soon.**
 - Effort report release date and certification due date.
 - Mass Leave Correction job dates.
 - Webinar for special instructions to address zero effort percent due to missing hours.
 - All relevant details will be posted to EFM website.
- **Certify past due effort reports. Contact ERS Help Desk (ershelp@research.ucla.edu) for questions.**

Academic Year	The number of open effort reports
2014-2015 and prior	21
2015-2016	9
2016-2017	13
2017-2018	32
Total	75

PAMS Enhancements

Jennifer Iglesias

PAMS Enhancements

Post Award Management System (PAMS): <https://pams.research.ucla.edu/>

- **Since PAMS Go-Live in February 2014, system developments and improvements continue to be made to serve the UCLA research community.**
- **Pages in PAMS were re-organized on 9/04/20 to better represent post award activities of an award.**
- **Information was organized into 6 key areas:**
 - 1) Worklist
 - 2) Award Overview
 - 3) Financial Deliverables
 - 4) Closeout
 - 5) Management Reports
 - 6) Administration

Worklist

Worklist | Award Overview | Financial Deliverables | Closeout | Management Reports | Administration

Worklist | Fund Search

- **Department worklists will show financial deliverables requiring department action.**
 - Financial deliverables will appear with a status of “Pending Department Action”
 - EFM will indicate the information needed to proceed with submitting the invoice/financial report.

Award Snapshot	Fund Number	Sponsor Due Date	Status	Sponsor Award #	Sponsor
	82132	06/25/20	Pending Department Action		Janssen Rese

Worklist My Action Required

DASHBOARD

Invoices and Reports Due to Sponsor

- 1 (Total)
- 0 Upcoming 60 Days
 - 0 Interim
 - 0 Final
- 1 Past Due
 - 0 Interim
 - 1 Final

Closeout Packets

- 27 (Total)
- 5 Upcoming 60 Days
 - 3 Due to EFM
 - 2 Due to Home
- 22 Past Due
 - 22 Due to EFM
 - 0 Due to Home

Category	Type
Internal Financial Report	Final



- Timely action from Department fund managers and Management is important to comply with invoice or financial reports due dates.
- **Risk of non-compliance to submit invoices or financial reports on time includes the PI bearing financial responsibility to cover unreimbursed expenses incurred on the project.**

Award Overview





Worklist | **Award Overview** | Financial Deliverables | Closeout | Management Reports | Administration

Notes Search | **Notes and Attachments** | Sponsor Sites

- **Notes and Attachments includes award notes and documents regarding financial activities**
 - Ex: Invoicing/financial reporting guidelines, sponsor’s invoice and/or financial report templates
 - Search for award notes by sponsor award number, PATS institution number, or by fund number.

Attachments  

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	Created Date	Latest Updated Date	User Name	Category	Comment	Attachment Name	History
☆	09/09/20 08:55 AM	09/09/20 08:55 AM	[blurred]	Budget	Updated budget as approved by sponsor	Budget v2.pdf	
☆	09/09/20 08:50 AM	09/09/20 08:50 AM	[blurred]	Sponsor Template	Template for the monthly invoices.	Template.xlsx	
★	09/09/20 08:46 AM	09/09/20 08:46 AM	[blurred]	Invoicing/Reporting Guidelines		Reporting Requirements.docx	
☆	09/09/20 08:29 AM	09/09/20 08:29 AM	[blurred]	Correspondence	Correspondence between UCLA and sponsor about credits applied to fund	Award HDQMWR-17-C-0010 _ UCLA Fund 25119 - Restitution Checks.msg	

- **Sponsor Sites: sponsor contact information on where invoices/financial reports will be submitted and the means of submission (e.g. email, sponsor system, mail, etc.)**

Financial Deliverables

[Worklist](#)
[Award Overview](#)
[Financial Deliverables](#)
[Closeout](#)
[Management Reports](#)
[Administration](#)

Basic Deliverables Search

- Obtain copies of financial deliverables submitted to the sponsor or view the status of completion.
- Search financial deliverables by sponsor award number, PATS institution number, or fund number.
 - If an award has multiple fund numbers assigned, you will see the list of all funds associated to that award (e.g. NIH T32 Training Grant)

Institution	Fund	Award Number	Budget Period	Project Period	Sponsor
20174982	31535	5T32DA	07/01/19 - 06/30/20	07/01/18 - 06/30/23	NIH-NIDA National Institute on Drug Abuse
	29699	2T32DA	07/01/18 - 06/30/19	07/01/18 - 06/30/23	NIH-NIDA National Institute on Drug Abuse
20133507	31299	5T32DA	07/01/17 - 06/30/18	07/01/13 - 06/30/18	NIH-NIDA National Institute on Drug Abuse
	29919	4T32DA	Fund: 31299 Budget Period(s): 07/01/17 - 06/30/18 Pending UCPATH: Yes		
	29567	T32DA0			
	30429	T32DA0			
	29971	2T32DA			
20071764	30246	5T32DA			

Category	Type	Frequency	Due Date	Assigned To	Reassigned To	EFM Reviewer	Status	Status Updated	Document	Comments
Financial Report	Final	Once	09/30/2018				Submitted to Sponsor	08/12/2019		

Closeout

Worklist | Award Overview | Financial Deliverables | **Closeout** | Management Reports | Administration

COP Search | Fund Balance and Approvals | Fund Attributes

- In the closeout section, you will find information on closeout packet (COP) and department approvals for linked departments and home accounts on a fund.

Fund: 21609
 Budget Period: 04/16/18 - 04/15/19
 Project Period: 04/16/15 - 04/15/19

PI: [Redacted]
 Sponsor: NASA-GODDARD SPACE FLIGHT CENTER
 Sponsor Award No: [Redacted]

Department: 1000-PHYSICS & ASTRONOMY
 Closeout Packet Due to EFM: 06/14/19
 Final Financial Deliverable Due to Sponsor: 07/14/19

Expenditure Review

[F&A Reconciliation](#)
 ✓ [Fund Balance and Approvals](#)

Linked Accounts [Review](#)

[Redacted] -0965 ATMOSPHERIC AND OCEANIC SCIENCES

Status Legend: ✓ No Action Required ■ Action Required

- Fund Balance and Approvals**
 - View the status of closeout approvals and comments

Fund Balance and Approvals

Approvals History [Approval Comments](#)

Dept Preparer ([Redacted] Susan):	Approved by ([Redacted] Susan) on 06/13/2019
Dept Reviewer ([Redacted] Yasmin):	Approved by ([Redacted] Yasmin) on 06/14/2019
PI ([Redacted]):	RAPID COP has been Uploaded
EFM Preparer (Oswald, Clara):	Approved by (Oswald, Clara) on 08/08/2019
EFM Reviewer (Mott, Wilfred):	Approved by (Mott, Wilfred) on 03/04/2020

Management Reports



- **Management Reports assist department administrators in managing portfolios.**
- **Reports are available for departments to download on-demand and are updated nightly.**
- **Expired Funds to Close**
 - Report contains funds that expired 120 days ago or earlier and have not been closed.
- **Fund Pending UCPATH Resolution:**
 - Report details which funds cannot be fiscally closed due to UCPATH issues and what issues are impacting each fund.
- **F&A Reconciliation**
 - Provides the financial reconciliation of a fund's indirect costs.

Administration

Worklist | Award Overview | Financial Deliverables | Closeout | Management Reports | **Administration**

Assignments | Personnel

- In the Personnel tab, individuals with the “Department Administrator” role in PAMS can update assignments for personnel within each PAMS cluster.
- If you’re a fund manager and do not have access to a fund, review the “Assignments” page and request the Department Administrator to update assignments.

Function	User Roles	
	Fund Manager	Department Administrator
View individual worklists	X	X
Prepare, upload, and approve closeout packets (view linked department’s closeout packets)	X	X
View financial reports and invoices	X	X
Access to all funds in the cluster		X
View worklist for entire cluster		X
Manage assignments for cluster		X

Personnel Assignments

Default Owner:

Cluster Name:

Employee Name	User Role
Wright, Barbara	Department Administrator
Potts, Bill	Fund Manager
McCrimmon, James	Fund Manager
Smith, Sarah Jane	Fund Manager
Chesterton, Ian	Department Administrator
Yates, Michael	Fund Manager

Access to PAMS

- Department Administrators can request to add, remove, or update the role of a PAMS user <https://efm.research.ucla.edu/pams-access/>
- PAMS FAQ's: <https://efm.research.ucla.edu/pams-faq/>
- Contact our helpdesk with feedback or questions: PAMSHelp@research.ucla.edu

Any Questions?

Contact Information

EFM Website

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

Yoon Lee

Phone: X40375

Email: yoony.lee@research.ucla.edu

ERS Help Desk

Email: ershelp@research.ucla.edu

Jennifer Iglesias

Phone: x42846

Email: jennifer.iglesias@research.ucla.edu

PAMS Help

Email: pamshelp@research.ucla.edu

