

RESEARCH ADMINISTRATION

Extramural Fund Management

September 14, 2017

Today's Topics

- FY16-17 EFM statistics
- PAMS worklist and financial deliverable status
- ERS Updates

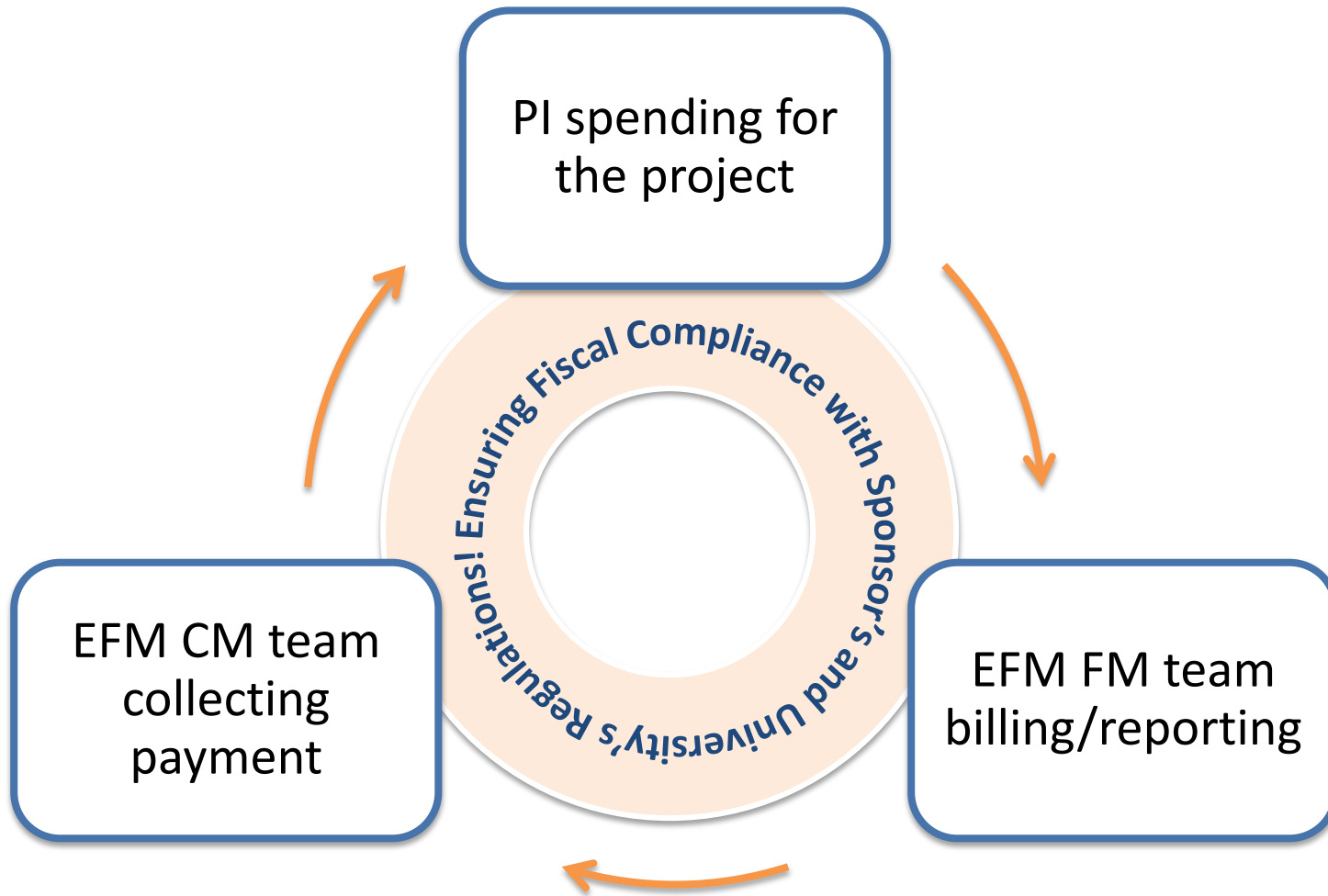
EFM Statistics for the Fiscal Year ended June 30, 2017

Yoon Lee

EFM Statistics for FY16-17

- EFM provides financial management support of sponsored project funds for the UCLA research community.
- EFM's primary goals are to ensure timely submission of accurate invoices and financial reports and recovery of costs incurred for sponsored project while providing leadership and expertise to ensure fiscal compliance with sponsor's and university's rules and regulations.

EFM Statistics for FY16-17



EFM Statistics for FY16-17

PI spending for the project

- Total expenses for sponsored project funds: \$931,252,214

	FY16-17		FY15-16		Increase	
	(\$ in millions)	%	(\$ in millions)	%	(\$ in millions)	%
Federal Gov't	\$573.0	61.5%	\$576.0	62.8%	-\$3.0	-0.5%
Other Gov't	\$105.4	11.3%	\$103.2	11.2%	\$2.2	2.1%
Non Gov't	\$252.9	27.2%	\$238.3	26.0%	\$14.6	6.1%
Total	\$931.3	100.0%	\$917.5	100.0%	\$13	1.5%

EFM Statistics for FY16-17

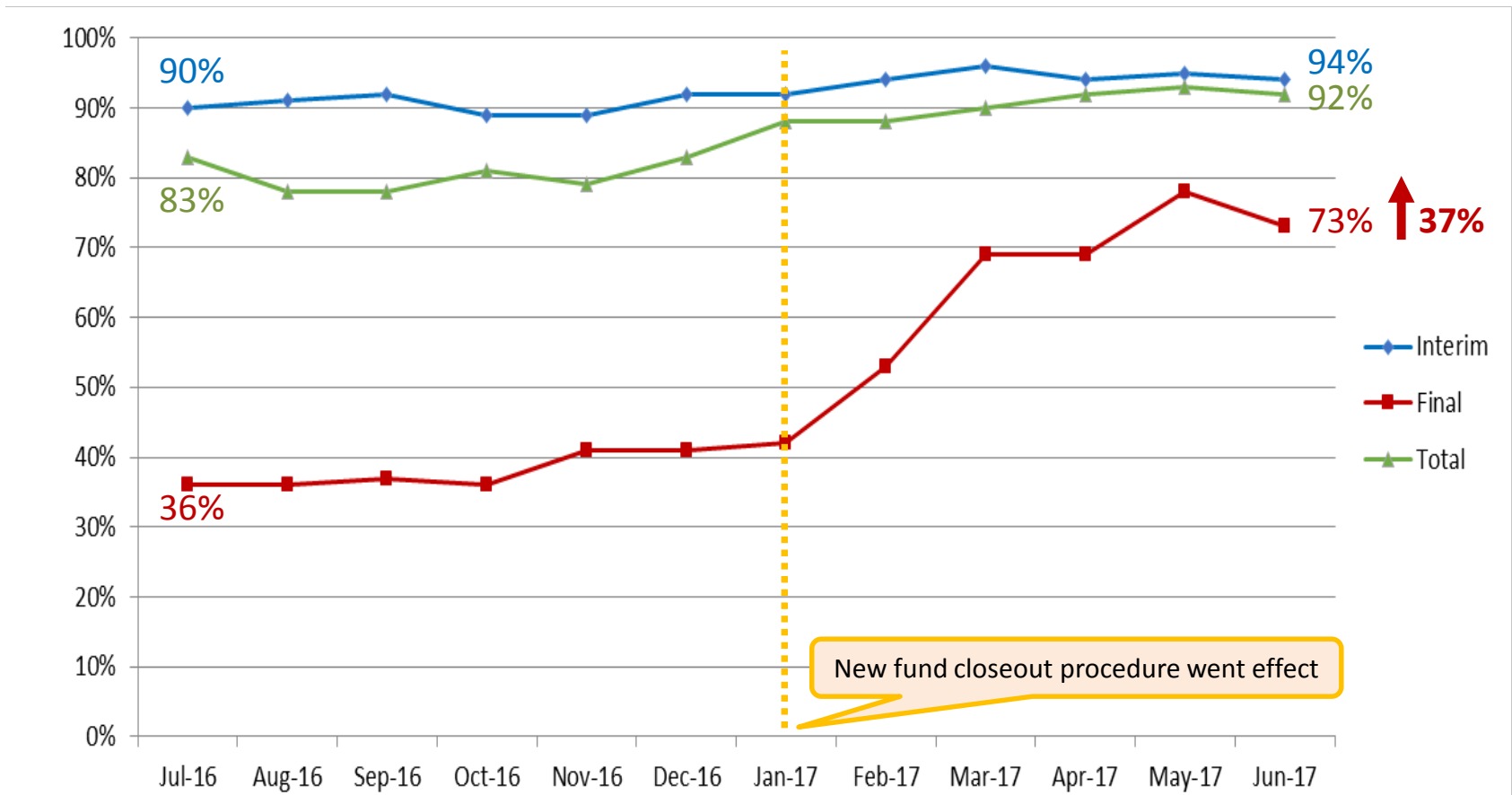
EFM FM team
billing/reporting

- Total financial deliverables completed: 14,010

	FY16-17		FY15-16		Decrease	
	(count)	%	(count)	%	(count)	%
Interim	11,691	83.4%	12,008	82.9%	-317	-2.7%
Final	2,319	16.6%	2,484	17.1%	-165	-7.1%
Total	14,010	100.0%	14,492	100.0%	-482	-3.4%

EFM Statistics for FY16-17

- Increased on-time submission of financial deliverables.



EFM Statistics for FY16-17

EFM CM team
collecting
payment

- Total payments collected were \$941,124,272

	FY16-17		FY15-16		Decrease	
	\$ in millions (count)	% of \$	\$ in millions (count)	% of \$	\$ in millions (count)	% of \$
Letter of Credit (LOC)	\$497 (794)	52.8%	\$517 (866)	53.0%	-\$19 (72)	-3.9%
ACH, wires, checks	\$444 (9,158)	47.2%	\$459 (9,898)	47.0%	-\$15 (740)	-3.3%
Total	\$941	100.0%	\$976	100.0%	-\$34	-3.6%

EFM Statistics for FY16-17

- Supported 16 new audits/reviews from various sponsors:

Sponsor Type	Federal	State/County/ Local	Non- government	Total
Number of audits	4	6	6	16
Number of findings	No finding	3	5	8

- Findings included:

- Lack of adequate supporting documentation to support allowability and applicability of costs, incorrect classification of expenses (supplies vs. equipment), salaries charged to the project significantly more than effort indicated in the agreement without prior approval, lack of safeguard and monitoring of check disbursement, etc.

- Managed 21,000 effort reports released for 239 departments:

Fall 2015 Winter 2016 quarters	Spring 2016 Summer 2016 quarters
89%	87%

PAMS Worklist and Financial Deliverable Status

Yoon Lee

Financial Deliverable Status in PAMS

- In order to achieve 100% on-time submission of financial deliverables, it is essential for the PI, departmental fund managers and EFM accountants work collaboratively.
- PAMS worklist provides a tailored worklist of financial deliverables a fund manager is responsible for, including the status of each financial deliverable.
- Financial deliverables with the status of “**Pending Department Action**” indicate department assistance is needed to complete invoice and/or financial report and closed the fund. Scenarios include:
 - Sponsor specific template requiring detailed information
 - Confirmation on completion of milestone for invoice milestone
 - Pending documents required by UCLA Policy 913

Pending Department Action

- Financial deliverable with “**Pending Department Action**” will appear in worklist under “Invoices and Reports Due to Sponsor”

My Funds Fund Details Deliverables Administration

Worklist Fund Search

Worklist

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
- 2** 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	P30 CA09335	NIH	PI Bruin	P. Adam	P. Sam	Financial Report	Interim	01/01/13	09/15/15	01/01/13
	22222		Pending Department Action	F0148524	Arts Foundation	PI Bruin	P. Adam	P. Sam	Invoice	Interim	04/01/14	03/31/16	04/01/14
	44444		Pending Department Action	F1Z2A3K	Science Foundation	PI Susan	P. Adam	P. Sam	Financial Report	Interim	01/01/14	03/31/16	01/01/14

Pending Department Action

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. Sam	Deliverable Submitted	10/22/2015		<input type="button" value="Edit"/>	
1	<input type="button" value="Edit"/>	07/31/2015	Invoice							<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

- Comments indicate documents needed from the department.

- Upon EFM's receipt of complete and accurate documents, financial deliverable status will be updated and will be removed from the department worklist.

Resources

- Following quick guides and tutorial videos are available for worklist and fund search.
 - Quick guides and tutorial videos are available for other areas as well including deliverables, fund details, and Administration tabs.
- My Fund
Fund Details
Deliverables
Administration

 -  Sign-on and Department Worklist (Video)
 -  Worklist: Invoices and Reports Due to Sponsor (Video)
 -  Worklist: Closeout Packets (Video) **NEW!**
 -  Worklist – Department
 -  Worklist – EFM
 -  Fund Search
 -  Financial Deliverable and Closeout Packet Values
- Visit <http://ora.research.ucla.edu/EFM/Pages/PAMS/TrainingMaterials.aspx>
 - PAMS Help Team
 - (310) 794-0008, pamshelp@research.ucla.edu

Effort Reporting

Connie Brown

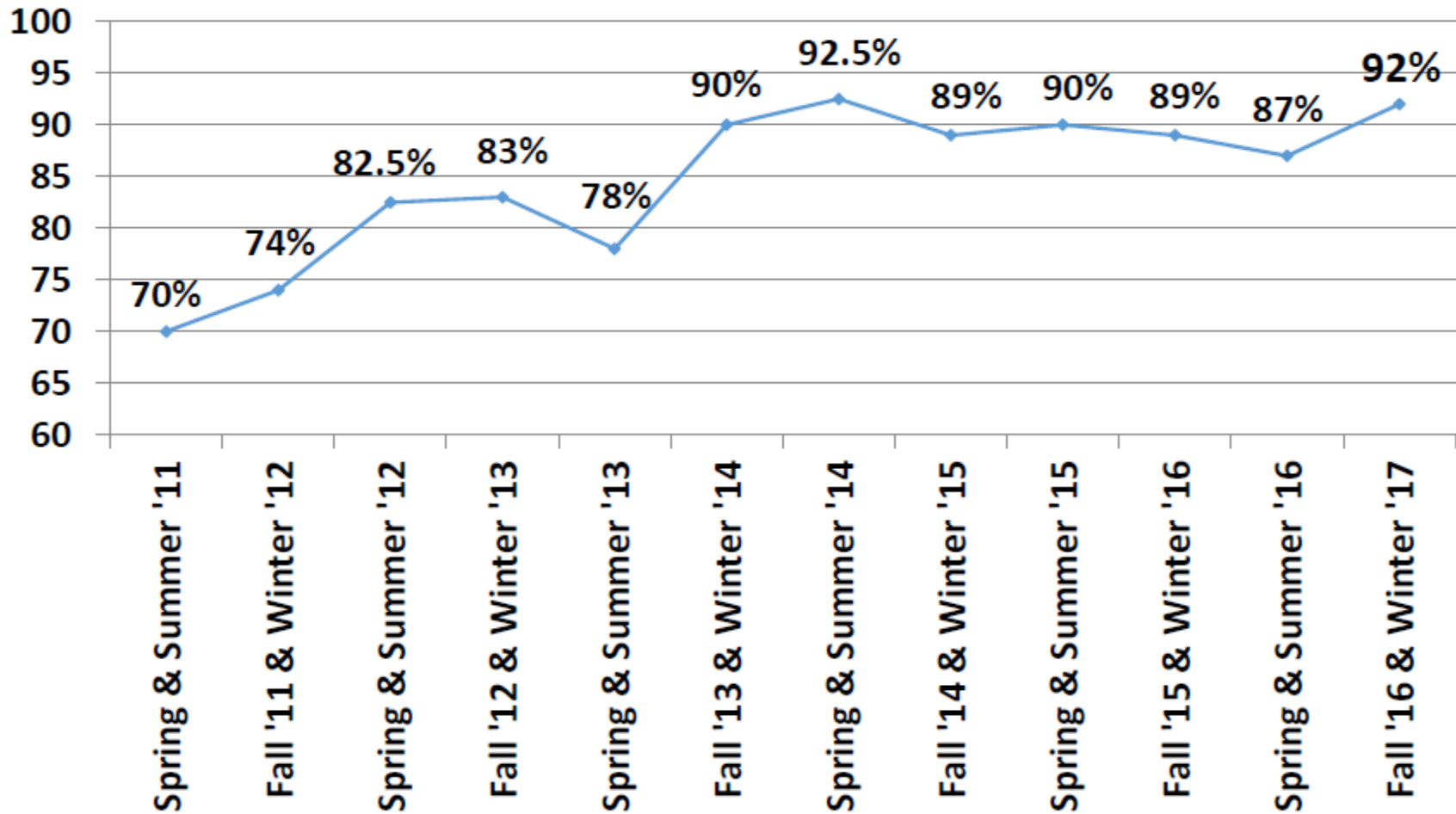
Effort Reporting Statistics

On-Time Certification Rate for the 7/31/17 Deadline

- Fall 2016 & Winter 2017
 - On-Time Rate: 92%
 - Released: 10,186 & Certified: 9,403
 - Number of uncertified reports: 783
 - Today's update
 - Current rate: 96% certified
 - Open reports: 432

- All Quarters Certification Rate since Spring '06
 - Rate: 99%
 - Total open reports: 724

On-Time Certification Rates



Effort Reporting Certification Rates

- By academic year for all quarters as of 9/8/17

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%	6985	0
2006-2007	100%	6112	0	100%	6051	0	100%	6195	0	100%	6576	0
2007-2008	100%	5828	0	100%	5872	0	100%	5996	0	100%	6498	0
2008-2009	100%	5831	0	100%	5878	0	100%	6129	0	100%	7395	0
2009-2010	100%	6434	0	99%	6678	1	99%	6897	1	99%	7758	1
2010-2011	99%	6545	3	99%	6595	1	99%	6747	1	99%	7082	3
2011-2012	99%	6209	3	99%	6282	1	100%	6278	0	100%	6607	0
2012-2013	100%	5775	0	99%	5843	2	100%	5814	0	99%	6116	2
2013-2014	99%	5371	2	99%	5336	1	100%	5504	0	99%	5894	5
2014-2015	99%	5258	5	99%	5332	7	99%	5331	15	99%	5845	14
2015-2016	99%	5208	17	99%	5235	32	98%	5315	68	98%	5590	107
2016-2017	96%	4909	204	95%	4942	228	N/A	N/A	N/A	N/A	N/A	N/A

Departments with 100% Certification

As of July 31, 2017

DEPT CODE	DEPARTMENT	DEPT CODE	DEPARTMENT	DEPT CODE	DEPARTMENT
0523	ACADEMIC ADVANCEMENT PROGRAM	4806	EAO PROGRAMS/URBAN COLLAB	1713	NEUROSURGERY
0300	ANDERSON GRAD SCH OF MANAGEMEN	0995	EARTH, PLANETARY, AND SPACE SC	0665	NR EASTERN LANGS & CULTURES
1240	ASIA INSTITUTE ADMINISTRATION	0513	EDUCATIONAL INITIATIVES	4950	OFC OF INSTRUCTIONAL DEVELOPME
0680	ASIAN LANGUAGES & CULTURES	1935	EPIDEMIOLOGY	2890	OFFICE OF EMERGENCY PREPAREDNE
1460	BIOMATHEMATICS	1550	FAMILY MEDICINE	4954	OID CENTER FOR EDUCATIONAL ASS
5415	BIOMEDICAL LIBRARY	0464	FILM, TELEVISION & DIGITAL MED	1865	OLIVE VIEW MED CTR (SCH OF MED
1760	BRAIN RESEARCH INSTITUTE	3820	FOWLER MUSEUM AT UCLA	1705	ORTHOPEDIC SURGERY
2115	BROAD STEM CELL RESEARCH CTR	0757	INST FOR PURE & APPLIED MATHEM	1625	PATHOLOGY DEPARTMENT ADMINISTR
4807	BRUIN CORPS	2105	INSTITUTE FOR RES ON LABOR AND	1641	PEDIATRICS-ALLERGY/IMMUNOLOGY
0518	CALIF NANOSYSTEMS INSTITUTE	3022	INSTITUTE FOR SOCIETY AND GENE	1644	PEDIATRICS-CRITICAL CARE
1215	CALIFORNIA CNTR FOR POPULATION	0505	INSTITUTE OF PLASMA SCI & TECH	1639	PEDIATRICS-PAIN PROGRAM
1916	CANCER PREVENTION & CNTRL RESE	2112	JONSSON CANCER CENTER	0695	PHILOSOPHY
1230	CENTER FOR WORLD LANGUAGES	0190	MATERIALS SCIENCE & ENGR	1000	PHYSICS & ASTRONOMY
0142	CENTER OF FUNCTION ACCEL NANOM	1010	MATHEMATICS	1035	PROGRAM IN COMPUTING
0130	CHEMICAL ENGINEERING	1568	MEDICINE-CARE CENTER	1655	PSYCHIATRY/BIOBEHAVIORAL SCI
2075	CHICANO STUDIES RESEARCH CENTE	1570	MEDICINE-CENTER FOR HUMAN NUTR	1182	PUBLIC POLICY
1918	CNTR FOR HEALTH POLICY RESEARC	1554	MEDICINE-DERMATOLOGY	1181	SCH OF PUBLIC AFRS SCH WIDE/PR
1250	CNTR FOR LATIN AMERICAN STUDIE	1557	MEDICINE-GENERAL MEDICINE & HL	0725	SLAVIC, EAST EUROPEAN & EURASI
1920	COMMUNITY HEALTH SCIENCES	1558	MEDICINE-GERIATRICS	2933	SMH: RAPE TREATMENT CENTER
0521	CTR FOR ENVTL IMPACTS OF NANOT	1559	MEDICINE-HEMATOLOGY-ONCOLOGY	0740	SPANISH AND PORTUGUESE
1269	CTR FOR SOUTHEAST ASIAN STUDIE	1574	MEDICINE-NANO MEDICINE	1703	SURGERY - THORACIC SURGERY
0115	DEAN, SEAS	1563	MEDICINE-RHEUMATOLOGY	1711	SURGERY-GENERAL
1400	DEANS OFFICE-SCHOOL OF MEDICIN	2301	MICROBIOLOGY, IMMUNO & MOLECUL	1717	SURGERY-PLASTIC
1370	DENTAL RESEARCH INSTITUTE	1490	MOLECULAR & MEDICAL PHARMACOLO	0157	THE WESTERN INSTI FOR NANOELEC
1350	DENTISTRY	0140	NANOSCALE MULTIFERROIC SYSTEMS	0519	UNDERGRADUATE RESEARCH CENTERS
0910	DUCHENNE MUSCULAR DYSTROPHY RE	1430	NEUROBIOLOGY	5625	UNEX-EDUCATION
				TOTAL	78

ERS Reminders

- Spring and Summer 2017 Effort Reports
 - Release mid-October
 - Deadline February 2018

- ERS Notifications
 - To subscribe: Send an e-mail to: ers+subscribe@lists.ucla.edu or ora-news+subscribe@lists.ucla.edu. The subject line and body of the e-mail can be blank

- ERS Help Desk:
 - Connie Brown at ershelp@research.ucla.edu

“SEE YOU ALL AT ...!”

100%

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