



Extramural Fund Management

August 12, 2021

Agenda

- **PAMS Advanced Deliverable Search (ADS)**
- **Effort Reporting Certification**

PAMS Advance Deliverable Search

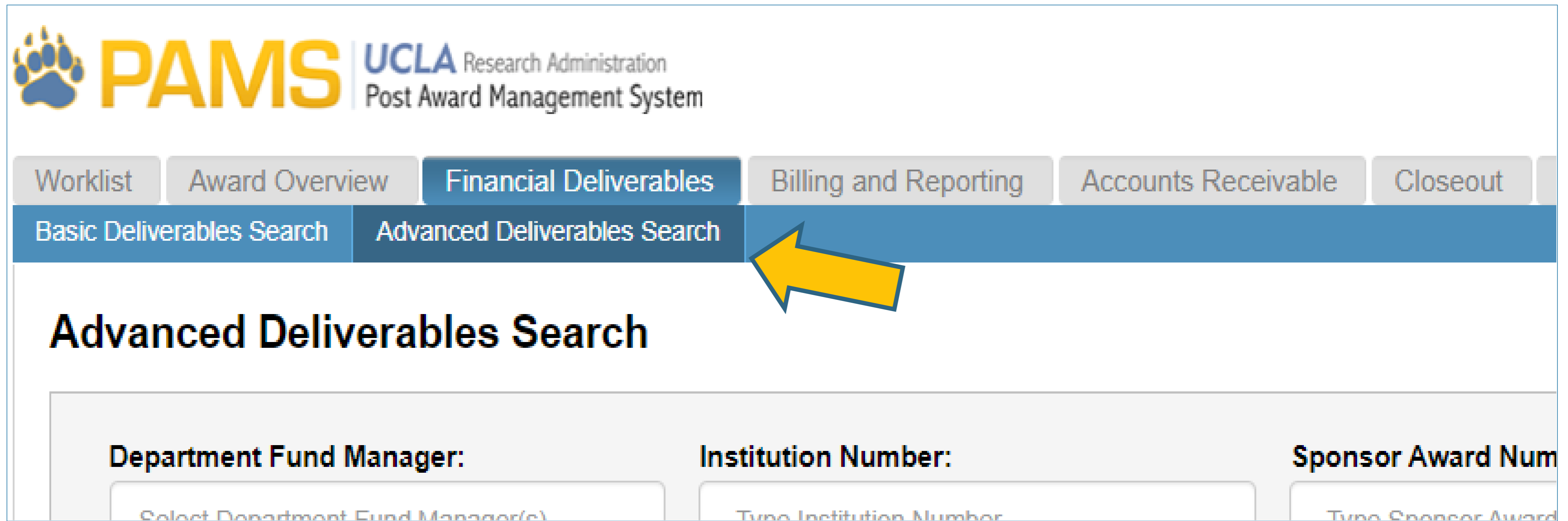
Jennifer Iglesias

Post Award Management System (PAMS)

- PAMS houses post award information for contract and grant awards, including financial deliverables (invoices/financial reports) that are due to the sponsor.
- Department administrators have access to a worklist which shows closeout packets and financial deliverables that require their action.
- **Financial deliverables that require department fund managers action have a status of “Pending Department Action”.**
 - Timely action by the department is important for the Principal Investigator’s compliance with award terms and conditions and cost recovery.
 - For final deliverables, it is important for departments to submit closeout packets to EFM on time so that EFM can prepare the final financial deliverable invoicing/reporting for as many expenses as possible.

PAMS Advance Deliverable Search - New Feature!

- The advanced deliverable search page was available for campus use on Friday, 6/11/21.
- In the Financial Deliverables tab, select “Advance Deliverable Search”.



The screenshot displays the PAMS (Post Award Management System) interface. At the top left, the PAMS logo is shown next to the text "UCLA Research Administration Post Award Management System". Below this, a navigation bar contains several tabs: "Worklist", "Award Overview", "Financial Deliverables", "Billing and Reporting", "Accounts Receivable", and "Closeout". The "Financial Deliverables" tab is currently selected and highlighted in blue. Within this tab, there are two sub-options: "Basic Deliverables Search" and "Advanced Deliverables Search". A yellow arrow points to the "Advanced Deliverables Search" option. Below the navigation bar, the heading "Advanced Deliverables Search" is displayed. Underneath, there are three input fields: "Department Fund Manager:" with a dropdown menu showing "Select Department Fund Manager(s)", "Institution Number:" with a text input field showing "Type Institution Number", and "Sponsor Award Num" with a text input field showing "Type Sponsor Award".

PAMS Advance Deliverable Search

- Access to various data parameters to help with monthly reconciliation.



Worklist | Award Overview | **Financial Deliverables** | Billing and Reporting | Accounts Receivable | Closeout | Management Reports | Administration

Basic Deliverables Search | **Advanced Deliverables Search**

Advanced Deliverables Search

Department Fund Manager: <input type="text" value="Select Department Fund Manager(s)"/>	Institution Number: <input type="text" value="Type Institution Number"/>	Sponsor Award Number: <input type="text" value="Type Sponsor Award Number"/>	Category: <input type="text" value="Select Deliverable Category(s)"/>	Due Between: <input type="text"/> <input type="text"/>
PI Name: <input type="text" value="Type PI Name(s)"/>	Fund Number: <input type="text" value="Type Fund Number"/>	Sponsor Name: <input type="text" value="Type Sponsor Name(s)"/>	Type: <input type="text" value="Select Type(s)"/>	Completed Between: <input type="text"/> <input type="text"/>
Department Name (Code): <input type="text" value="Type Department Code or Title(s)"/>	EFM Accountant: <input type="text" value="Select Accountant(s)"/>	Sponsor Type: <input type="text" value="Select Sponsor Type(s)"/>	Frequency: <input type="text" value="Select Deliverable Frequency(s)"/>	<input type="checkbox"/> Include Purged Funds <input type="checkbox"/> Include All NIH Sponsors
	Reassigned Accountant: <input type="text" value="Select Reassigned Accountant(s)"/>	Prime Sponsor Type: <input type="text" value="Select Prime Sponsor Type(s)"/>	Status: <input type="text" value="Select Deliverable Status(es)"/>	Reason Code: <input type="text" value="Select Reason Code(s)"/>

PAMS Advance Deliverable Search Features

- Access to real-time financial deliverable data and documents.
- Search grid has predictive text, and most fields allows multiple selections.
- Search results are exportable to Excel.
- Hyperlinked fund numbers take users directly to the Deliverable List for all financial deliverables associated to that fund (e.g., invoices/financial reports, comments, deliverable history).
- The “Due Dates” are dates when the financial deliverables are due to the sponsor.
- Latest comment is included in the results grid, displaying the last action taken for the financial deliverable.

Financial Deliverables Requiring Department Action

- Search for deliverables by Department Fund Manager Joe Bruin with a status of “Pending Department Action”.

Advanced Deliverables Search

Department Fund Manager: Bruin, Joe	Institution Number: Type Institution Number	Sponsor Award Number: Type Sponsor Award Number	Category: Select Deliverable Category(s)	Due Between: [Calendar Icon] [Calendar Icon]
PI Name: Type PI Name(s)	Fund Number: Type Fund Number	Sponsor Name: Type Sponsor Name(s)	Type: Select Type(s)	Completed Between: [Calendar Icon] [Calendar Icon]
Department Name (Code): Type Department Code or Title(s)	EFM Accountant: Select Accountant(s)	Sponsor Type: Select Sponsor Type(s)	Frequency: Select Deliverable Frequency(s)	<input type="checkbox"/> Include Purged Funds <input type="checkbox"/> Include All NIH Sponsors
	Reassigned Accountant: Select Reassigned Accountant(s)	Prime Sponsor Type: Select Prime Sponsor Type(s)	Status: Pending Department Action	Reason Code: Select Reason Code(s)

Financial Deliverables Requiring Department Action

- EFM will contact the department fund manager when their assistance is required to complete the deliverable. The deliverable status will be updated to “Pending Department Action” and a reason code with comments will be added to identify the information needed to complete the financial deliverable.

16 deliverables found. Results are limited based on your access.

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Fund Number	Sponsor Type	Prime Sponsor Type	Sponsor Name	Sponsor Award Number	PI	Department Fund Manager	Due Date	Type	Category	Frequency	Status	Reason Code	Comment Date	Comment	EFM Accountant
12345	Non-Government	Federal Government	UNIVERSITY OF NORTH CAROLINA	5117865	Wooden, John	Bruin, Joe	01/30/22	Final	Financial Report	Once	Pending Department Action	No Cost Extension Pending	06/02/21	06/02/21:TN: Per PI's email dated on 06/01/21, NCE ...	EFM Accountant
23456	Private		The Ranch Malibu Venture I	20195237	Wooden, John	Bruin, Joe	11/14/21	Final	Financial Report	Once	Pending Department Action	Sponsor Template	05/25/21	Pending completion of sponsor template	EFM Accountant
34567	Non-Government	Federal Government	RESEARCH FOUNDATION For STATE UNIVERSITY OF NEW YORK, THE	100-1145511-80872:01	Block, Gene	Bruin, Joe	09/30/21	Final	Internal Financial Report	Once	Pending Department Action	Policy 913 Documents	05/18/21	Pending closeout and P913 documents from departmen ...	EFM Accountant
89012	State Government		CA-DEPARTMENT OF HEALTH CARE SERVICES	18-95380	Block, Gene	Bruin, Joe	08/28/21	Final	Financial Report	Once	Pending Department Action	Supporting Documentation	05/14/21	Pending corrections to cost share report. Also, p ...	EFM Accountant
														Pending	

Financial Deliverable Reason Codes

Reason Code	What this means	Action for Department to take
Continuation or No Cost Extension Pending	The final financial deliverable cannot be completed as the awards is pending continuation funds or a no cost extension.	Department to ensure the award action is processed. EFM creates an interim deliverable for expenses recorded to the ledger up through the end of the original performance period. Once the award action is processed, EFM will complete subsequent financial deliverables through the additional funding/time period.
Pending PI Confirmation	PI's confirmation is needed to complete the financial deliverable (e.g., milestone invoice)	Department to obtain PI's confirmation of milestone. EFM will invoice the sponsor when the PI's confirmation is received.
Policy 913 Documents	The final deliverable cannot be completed as the award is subject to UCLA Policy 913 and EFM is missing documents.	Department to provide a closeout packet with Policy 913 assurances including the PI's justification for the unspent balance, as applicable. EFM will review and closeout the fund, transferring balances to PI's discretionary account.
Sponsor Templates	Detailed financial sponsor template that requires department assistance to complete.	Department to complete the sponsor's financial template and submit to EFM. EFM will review and submit to the sponsor.
Supporting Documentation	Documents to be submitted with the financial deliverable (e.g., cost share report).	Department to provide EFM with the required supporting documentation. EFM will review and submit to the sponsor.
Other	Used to explain all other cases where a financial deliverable cannot be completed.	Department to act on information identified by EFM to complete the deliverable.

Effort Reporting Certification

Robert De Jesus

Effort Report Status

- Effort Report Certification Progress as of August 10, 2021 (FY18-19: July 2018 – June 2019)

Reporting Period	Summer 2018	Fall 2018 (Modified)	Winter 2019	Spring 2019	Total
Certified	397	5,233	4,445	3,396	13,471
Open	37	838	696	2,014	3,585
Total	434	6,071	5,141	5,410	17,056
Certification Rate	91.47%	86.20%	86.46%	62.77%	78.98%

- <https://portal.research.ucla.edu/EffortReportingCertification>

- Reports flagged as “Under Prelim Review” in ERS due to unresolved UCPATH defects when released.

Effort Report with Under Prelim Review Flag Breakdown	Number of reports with errors
Open Effort Report for FY18-19	3,585
Total Open Effort Reports with errors	722
Open Error Reports with no issue	2,863
Total number of effort reports	17,056
Error Rate	4.23%

- Certify reports that are not flagged as “Under Prelim Review” which means we have 2,863 Effort Reports left available for certification! Great Progress!

Effort Report Status

- **Effort Report Certification Progress as of August 10, 2021 (FY19-20: July 2019 – June 2020)**

Reporting Period	Summer 2019	Fall 2020	Winter 2020	Spring 2020	Total
Certified	3,489	3,075	3,057	2,997	12,618
Open	2,271	2,142	2,220	2,129	8,762
Total	5,760	5,217	5,277	5,126	21,380
Certification Rate	60.57%	58.94%	57.93%	58.47%	59.02%

- <https://portal.research.ucla.edu/EffortReportingCertification>

- **Reports flagged as “Under Prelim Review” in ERS due to unresolved UCPATH defects when released.**

Effort Reports with Under Prelim Review Flag Breakdown	Number of reports with errors
Open Effort Report for FY19-20	8,762
Total Open Effort Reports with errors	1,467
Open Error Reports with no issue	7,295
Total number of effort reports	21,380
Error Rate	6.86%

- **Certify reports that are not flagged as “Under Prelim Review” which means we have 7,295 Effort Reports left available for certification! Great Progress!**

Effort Report Status

- Effort Report Certification Progress as of August 10, 2021 (FY20-21: July 2020 – March 2021)

Reporting Period	Summer 2020	Fall 2020	Winter 2021	Total
Certified	3,338	2,919	2,978	9,235
Open	2,262	2,094	2,010	6,366
Total	5,600	5,013	4,988	15,601
Certification Rate	59.61%	58.23%	59.70%	59.19%

- <https://portal.research.ucla.edu/EffortReportingCertification>

- Reports flagged as “Under Prelim Review” in ERS due to unresolved UCPATH defects when released.

Effort Reports with Under Prelim Review Flag Breakdown	Number of reports with errors
Open Effort Report for FY20-21	6,366
Total Open Effort Reports with errors	813
Open Error Reports with no issue	5,553
Total number of effort reports	15,601
Error Rate	5.21%

- Certify reports that are not flagged as “Under Prelim Review” which means we have 5,553 Effort Reports left available for certification! Great Progress!

Effort Report Status

- **Reports flagged as “Under Prelim Review” in ERS due to unresolved UCPATH defects.**

Issue description in Comment	Status
Incorrect percent of effort for effort bearing payroll line—review supplemental Excel file and job aid provided by EFM before certification	EFM is working to resolve Missing Payroll Records before releasing the Excel Supplemental File.
Pending Mass Leave Correction (MLC) entry—do not certify until further instruction is provided by EFM	EFM will be working to unflag Effort Reports with Mass Leave Corrections that have been processed and posted to Labor Ledger and General Ledger.
Missing payroll record(s) in effort report—do not certify until further instruction is provided by EFM	UCLA is working with UCPATH Center to find a solution.
Y-OTC or N-OTC indicator is missing—do not certify until further instruction is provided by EFM	UCLA is working with UCPATH Center to find a solution.

- **More detailed special instructions can be found on EFM website including**

- ERS master exception list
- Presentation and recording of the ERS webinar for UCPATH defects
- Job aid – recalculated effort reports
- <https://efm.research.ucla.edu/special-instructions-ers-release/>

Effort Report Status

- **UCLA has been selected for the Full Scope of R&D Single Audit for FY20-21**
 - The Single Audit will cover Sponsored funds with expenditures from July 01, 2020 – June 30, 2021
 - PwC Auditors are currently in the process of identifying which Awards to test for the Single Audit
 - Payroll Expense is the biggest component of federally funded expenses, which means we should prioritize certifying the 5,553 Open Effort Reports for FY20-21 which have a chance of being selected for the audit.
 - Uncertified Effort Reports expose UCLA to be out of compliance and to the risk of having an audit finding
 - Departments have made great strides on certifying Effort Reports during the last two months considering it was fiscal close and so the effort is truly appreciated
 - We must continue our great momentum in addressing the past due Effort Reports so we can protect our Institution, our PIs and our Departments from any compliance and financial risks

Any Questions?

Contact Information

EFM Website

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

ERS Help Desk

Email: ershelp@research.ucla.edu

PAMS Help Desk

Email: pamshelp@research.ucla.edu

Yoon Lee

Phone: (310) 794-0375

Email: yoon.lee@research.ucla.edu

Robert De Jesus

Phone: (310) 794-6997

Email: robert.dejesus@research.ucla.edu

Jennifer Iglesias

Phone: (310) 794-2846

Email: jennifer.iglesias@research.ucla.edu

