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

- 108 Clusters
- 282 Departments
- 7,188 Funds
- 481 Users
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

<table>
<thead>
<tr>
<th>Cluster Name</th>
<th>Number of Funds</th>
<th>Number of Departments</th>
<th>Number of Users</th>
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</thead>
<tbody>
<tr>
<td>Department of Medicine</td>
<td>1,488</td>
<td>21</td>
<td>73</td>
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<tr>
<td>Semel Institute</td>
<td>504</td>
<td>2</td>
<td>29</td>
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<tr>
<td>Pediatrics</td>
<td>410</td>
<td>19</td>
<td>3</td>
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<tr>
<td>Neurology</td>
<td>397</td>
<td>3</td>
<td>12</td>
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<tr>
<td>Business Excellence</td>
<td>247</td>
<td>11</td>
<td>13</td>
</tr>
<tr>
<td>Life Sciences Finance Group</td>
<td>217</td>
<td>12</td>
<td>13</td>
</tr>
<tr>
<td>Physics &amp; Astronomy</td>
<td>195</td>
<td>2</td>
<td>6</td>
</tr>
<tr>
<td>Electrical Engineering</td>
<td>172</td>
<td>1</td>
<td>10</td>
</tr>
<tr>
<td>EPSS, IGPP, iPLEX</td>
<td>170</td>
<td>3</td>
<td>4</td>
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<tr>
<td>Dentistry</td>
<td>167</td>
<td>4</td>
<td>7</td>
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</table>
# Largest clusters by # of Departments

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<th>Number of Funds</th>
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</thead>
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<tr>
<td>Proposal &amp; Award Resource Center (PARC)</td>
<td>162</td>
<td>32</td>
<td>17</td>
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<td>Department of Medicine</td>
<td>1,488</td>
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<tr>
<td>Luskin Center for Innovation</td>
<td>123</td>
<td>9</td>
<td>6</td>
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<tr>
<td>UCLA Office of Information Technology</td>
<td>5</td>
<td>8</td>
<td>4</td>
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<tr>
<td>Institute of American Cultures</td>
<td>15</td>
<td>6</td>
<td>9</td>
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</table>
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
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.
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.
Worklist View: My Action Required

Invoices and Reports Due to Sponsor

- Deliverable Comments indicate information to be submitted to EFM
Worklist View: My Action Required

Closeout Packets

- Submission of the final financial deliverable requires users’ action of completing closeout packet
Financial Deliverables

- Invoices and financial reports due for each fund, status of submission
- View and download copies of submitted invoices and financial reports
Upload Closeout Packets via PAMS

**Fund Details**

- Track status of the closeout packet submission process

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**Fund Balance and Approvals**

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

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**Comments for: Approvals History**

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<tr>
<th>Username</th>
<th>Date</th>
<th>Comments</th>
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<tr>
<td>Joe Bruin</td>
<td>12/21/2016 11:28 AM</td>
<td>COP Approved</td>
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<tr>
<td>Josie Bruin</td>
<td>12/20/2016 02:16 PM</td>
<td>Approved</td>
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<tr>
<td>Sue Smith</td>
<td>12/20/2016 10:07 AM</td>
<td>Approved</td>
</tr>
<tr>
<td>Jason Johnson</td>
<td>12/08/2016 07:50 AM</td>
<td>Approved</td>
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</table>
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](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

http://ora.research.ucla.edu/EFM/Pages/PAMS/Overview.aspx
### Thank you!

<table>
<thead>
<tr>
<th>Project Team (ORA)</th>
<th>Department Feedback</th>
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</thead>
<tbody>
<tr>
<td>Jackson Jeng</td>
<td>Noor Abjani (Physiology)</td>
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<tr>
<td>Yoon Lee</td>
<td></td>
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<tr>
<td>Jennifer Aguilar</td>
<td>Steven Acosta (PARC)</td>
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<tr>
<td>Jonathan Hamilton-Solorzano</td>
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<td>Salini Alluri</td>
<td>Kathy Chang (Physics)</td>
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<td>Isabella Hernandez</td>
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<td>Alfredo Arcilla</td>
<td>Barbara Cooke (Epidemiology)</td>
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<td>Sendhil Kolandaivel</td>
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<tr>
<td>Katie Cadle</td>
<td>Rio Cruz (Pathology)</td>
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<td>Gabriela Macias</td>
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<tr>
<td>Stephanie De Marco</td>
<td>Cassandra Franklin (Engineering)</td>
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<td>Dan Newbower</td>
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<td>Wai Fok</td>
<td>Maria Guerrero (Engineering)</td>
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<tr>
<td>Mila Remigio</td>
<td></td>
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Financial Closeout of Sponsored Projects

Yoon Lee
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](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.

Overview

Fund closeout is the process by which the University determines all allowable and applicable sponsored projects costs. If at the end of the project period, the Principal Investigator has accepted an award 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 are completed due to compliance can lead to financial loss and places the University at risk of non-compliance.

Related Resources:

- Fund Closeout "New"
Contact information

EFM Website  
http://ora.research.ucla.edu/EFM/

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