Welcome

Marcia Smith
Associate Vice Chancellor for Research
Agenda

• Welcome and Announcements
  ▪ Marcia Smith, Office of Research Administration

• OCGA Updates
  ▪ Patti Manheim, Office of Contract and Grant Administration

• EFM Update PAMS
  ▪ Yoon Lee & Katie Cadle, Extramural Fund Management
  ▪ Jessica Carney, Office for Research Information Systems

• Questions and Discussion
Project Update
Yoon Lee, EFM Asst Dir/PAMS Project Director
Jessica Carney, PAMS Project Manager
Katie Cadle, PAMS Business Analyst
Agenda

- PAMS Overview
- PAMS Department User Roles
- Phase 1 Scope & Demo
- Project Milestones and Status
- PAMS Training
- Missing Managing PIs
- Q&A
PAMS Overview

- **Goal**
  - Improve post award financial management processes to facilitate on-time submission and accuracy of financial deliverables

- **Achievements**
  - Collaborated with 50+ participants from departments and EFM to analyze and develop business processes
  - Gathered business requirements and feedback in 25+ working sessions with the departments and EFM
  - Defined and implemented standardized workflow
  - Trained the trainers
What is PAMS?

- **Post Award Management System**
- A single web based system for Departments and EFM
- A tool to replace shadow systems and manual processes
  - Does **NOT** duplicate current or future Financial System
  - No 3rd party tool exists
- Real time view on financial transactions, and financial deliverable preparation and approval status
PAMS Expected Results

- Better integration of technology - SINGLE SYSTEM!!
- Increased automation
  - Worklist, auto populated fields for journal creation
- More efficient and accurate financial reporting
  - Increase in on time submission of financial deliverables
  - Reduction of revised financial report submissions
- Improved visibility of compliance status
- Improved accountability and visibility of fund management
- Centralized on-line document storage for financial deliverables
- Improved communication and collaboration between EFM and campus
PAMS Department User Roles

- **Fund Manager**
  - Prepare and approve closeout packet
  - View individual workload
  - View PAMS deliverables

- **Department Administrator**
  - Fund Manager capabilities
  - View team workload
  - Set up and update assignments
  - Edit department thresholds
PAMS Phase 1 Project Scope

Focus on *Time Savings and Compliance* via:

1. Customized **worklist** for dept & central office users updated in **real time**.
2. **Fund closeout**, financial **reporting**, invoicing, for contracts & grants
PAMS Go-Live Transition

- **Closeout**
  - **Current**: RAPID Smart Closeout Tool
    - All UCLA Closeouts
  - **Go-Live**: PAMS
    - UCLA Closeouts excluding Training & Fellowship grants
    - Exclude funds already mid-closeout using Rapid Smart Closeout Tool

- **Financial Provisions (Invoices/Reports)**
  - **Current**: PATS
    - All UCLA Provisions
  - **Go-Live**: PAMS
    - All UCLA Financial provisions
    - INCLUDES Training grants & Fellowship grant provisions
PAMS Phase 1 Project Scope

Focus on *Time Savings and Compliance* via:

1. Customized **worklist** for dept & central office users updated in **real time**.

2. **Fund closeout**, financial **reporting, invoicing**, for contracts & grants

3. **Compliance** dashboard

4. **Pull** data from campus central systems

5. **Push** non-payroll financial transactions

6. **Approval workflow**

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*Status Legend:* ✔ Department Complete  □ Department Review
PAMS Timeline

LOGIC DEVELOPMENT

SCREEN DEVELOPMENT

Screen Integration (Real Data)

TEST

System

Integration

Performance

UAT

Business Readiness

Train the Trainers

Registration

Campus Training

Department Assignments & Access

Informational Website

Deployment

Informational Website

Department Assignments & Access

Campus Training

Registration

Train the Trainers

Integration

Performance

System

UAT

Screen Integration (Real Data)

SCREEN DEVELOPMENT

Screens w/ dummy data

Jan 2013

Aug

Sept

Oct

Nov

7/11/2013
PAMS Current Status

- Functional Requirements
- Integration with other systems
- Development
  - Standardized approach for both CO and the Departments
  - Provision management
  - Closeout management
- Test
  - Financial reporting and invoicing
  - Unit Test (elements on page)
  - System Test (accuracy of data)
  - Integration Test (workflow)
  - Load & Performance Test (response time)
- Training
  - Integration (Feed Live Data to Screens) 75%
  - Screen Development complete
  - Logic Development In Progress
  - Conduct Training
  - Training syllabus & assignments
  - Reserve rooms
  - Train the trainers
- Target: Go Live in November 2013
PAMS Next Steps for Campus

- July: Authorized official receive PAMS Access Form
- August: Return completed PAMS Access form
  - Department codes
  - Users authorized to access PAMS and their roles
- September: Training registration
- October: Take PAMS Training
- November: Go Live
PAMS Timeline

Jan 2013

LOGIC DEVELOPMENT

SCREEN DEVELOPMENT

- Screens w/ dummy data
- Screen Integration (Real Data)

TEST

- Unit
- System
- Integration
- Performance
- UAT

Business Readiness

- Train the Trainers
- Registration
- Campus Training
- Department Assignments & Access
- Informational Website

Deployment

Aug
Sept
Oct
Nov

Informational Website

Department Assignments & Access

Campus Training

Registration

Train the Trainers
Training Requirements

<table>
<thead>
<tr>
<th>Course</th>
<th>Duration</th>
<th>Dept Admin</th>
<th>Fund Managers</th>
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<td>Half Day</td>
<td>X</td>
<td>X</td>
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<tr>
<td>Overview Lecture: Part 2</td>
<td>Half Day</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Hands On Lab: Adjustments, Fund Balance &amp; Approvals</td>
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<tr>
<td>Hands On Lab: Assignments</td>
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Full day total in 2 sessions

Half Day Total
Training: Save the Date

- **PAMS Overview Training**
  - **Part 1**
    - 10/3, 10/10 Mornings or Afternoons
    - 10/17 Morning Only
  - **Part 2**
    - 10/4, 10/11 Mornings or Afternoons
    - 10/18 Morning Only

- **PAMS Hands-On Labs**
  - Prerequisite: Overview Part 1 and 2 training
  - TBD in October
Missing Managing PI’s: Issue Overview

- PAMS closeout packets based on Fund/PI/Dept
  - All Acct/Cc's in a department for a single PI combined into one packet
- Managing PI: Home vs. Linked
  - Screenshot: Fund Summary in FS
Missing Managing PI’s: Issue Overview

- Missing Managing PI
  - Acct/cc was not mandatory
  - Some departments have more than one PI per Acct/Cc
  - If blank, PAMS can't create closeout packet

Location: 4
Fund: 29034 FDP-NIH WONG R56DE023241 8/13 54%
Department: 1350 DENTISTRY

<table>
<thead>
<tr>
<th>441930</th>
<th>DENTISTRY</th>
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<td>00</td>
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<td></td>
</tr>
<tr>
<td>02</td>
<td></td>
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</table>

Missing PI
Missing Managing PI’s: Next Steps

Only one PI per Acct/Cc
- Fix before go live via central accounting
- Benefit: Will fix Acct/Cc for all funds going forward
- Use report that will be provided

More than one PI per Acct/Cc
- Fix after go-live via PAMS for each Acct/Cc on each fund
- Must fix every time the Acct/Cc appears going forward
- Use Workload screen in PAMS
Thank You!

Questions: Yoon.Lee@research.ucla.edu

Technical & Business Analyst Teams

GABY   JESSICA   TERRY
SALINI  JOVAN    MILA  DAN
ALLESON  STEPHANIE  KATIE
LOUIS
Reminder: Phase 1 Scope

1. Real-time tracking customized worklist for individuals in departments & central office

![Workload Image]

- **5 Interim Reports and Invoices**
  - 3 Upcoming 30 days
  - 2 Past Due

- **13 Closeout Packets Due to EFM**
  - 8 Upcoming 30 days
  - 2 Upcoming 30 days Missing Managing PI
  - 3 Past Due

- **4 Pending Response**
  - 2 NCTE/Amendment
  - 2 Carry Forward Approval

- **22 Pending Y/N Action - Under Dev**
  - 10 EFM
  - 12 Dept
Reminder: Phase 1 Scope

2. Financial reporting, invoicing & fund closeout for contracts & grants (Training grants future phase)
Reminder: Phase 1 Scope

3. Compliance dashboard

Closeout Packet Overview

Expenditure Review
- Prior Years
- Expenses Outside Period - Non Payroll
- Expenses Outside Period - Payroll
- Unallowable/Warning Codes
- Administrative Salaries
- Subawards
- Encumbrances & Memo-Liens
- Salary Over the Cap
- Additional Cost Transfers
- Cost Share
- F&A Reconciliation
- Fund Balance and Approvals

Status Legend: ✔ Department Complete  ❌ Department Review
Reminder: Phase 1 Scope

4. Pull non-payroll & payroll financial data from campus central systems

<table>
<thead>
<tr>
<th>Summary by Sub</th>
<th>Appropriation</th>
<th>Expenditures</th>
<th>Encum And Memo- Liens</th>
<th>GL Balance</th>
<th>Pending GL Posting</th>
<th>Current Balance</th>
<th>Pending Review</th>
<th>Estimated Balance</th>
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<td>06 Employee Benefits</td>
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<td>05 Special Items</td>
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<td>($577.68)</td>
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Direct Balance: $3,535.02
Indirect Balance: $282.80
Total Estimated Balance: $3,817.82
Reminder: Phase 1 Scope

5. Push non-payroll financial transactions to campus central systems (Payroll transfers future phase)
6. Standard approval workflow

<table>
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<th>Approvals History:</th>
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<td>Dept Preparer (Dodson, Tony):</td>
<td>Approved on 6/5/2011 $10433.98</td>
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<td>Dept Approver (Allison, Philabaum):</td>
<td>Approved on 8/8/2011 $9433.98</td>
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<td>Dept Approver (Amato, Kate):</td>
<td>Approved on 8/10/2011 $7433.98</td>
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<td>PI (Jessica, Lee):</td>
<td>Upload PI Approval</td>
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<td>Home Dept Preparer (Remigio, Mila):</td>
<td>Approved on 8/20/2011 $0</td>
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<tr>
<td>EFM Preparer (Craig, Kayle):</td>
<td>Approve</td>
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<tr>
<td></td>
<td>Reject</td>
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OCGA Updates

Patti Manheim, Director
July 11, 2013
Today’s Topics

• Quick Updates
• Prospective Communications for PHS Non-competing Continuation Awards
Quick Updates

• Summer Deadline Date Charts
  ▪ ORA News, June 27
  ▪ Sorted by Sponsor or Deadline Date
  ▪ Includes both sponsor and OCGA deadline dates

• New TIF Rates
  ▪ ORA News, July 8
  ▪ $35.42/FTE/month
  ▪ Effective July 1, 2013

• New GSR Rates
  ▪ ORA News, July 5
  ▪ AY 13/14
  ▪ Includes Fee Remission for all GSRs and Non-resident Supplemental Tuition Remission rates

• EPASS Page 3
  ▪ For non-competing continuations
  ▪ Posted on OCGA Forms Page

• Updated OCGA Directory and Assignments
Prospective Communications for PHS Non-competing Continuation Awards

Non Competing Continuation Awards - Annual volume
• 1,000/year
• RPC review process can’t start if missing Page 3:
• Average wait time for OCGA to receive: 1 – 5 business days
• Most extreme wait time: 30 business days
  ▪ Could be incomplete
  ▪ Investigators may not have disclosed
  ▪ Misspellings
• Turnaround time RPC
  • Volume
  • Complexity of questions/more questions
  • Scheduling of CIRC meetings
Prospective Communications for PHS Non-competing Continuation Awards

- Friday, July 5:
  - 150 standard e-mail communications sent to PIs.
- Wednesday, July 10:
  - Courtesy copies of same communications sent to departmental administrators affiliated with awards.
  
- PIs and administrators have already started to respond with:
  - completed EPASS Page 3
  - questions

- Goal of expediting RPC review and OCGA award acceptance.

- Next communications:
  - Week of August 1
  - Monthly thereafter
Prospective Communications for PHS Non-competing Continuation Awards

From: Gilber, Cindy
To: [Email Redacted]
Co: [Email Redacted]
Subject: Avoid Delays in Setup of Your Non-competing Award -- Financial Disclosure Required

From: UCLA OCGA
Office of Contract and Grant Administration

PI: [Redacted]
PI Department: [Redacted]
Sponsor: NIH/NATIONAL HEART, LUNG, AND BLOOD INSTITUTE
Award Number: HHSN26820101C[Redacted]
Project Title: [Redacted]
Non-competing Budget Period Dates: 8/15/2013 - 8/14/2014

Our records indicate that the next budget period start date for the above-referenced non-competing award is 8/15/2013. Before OCGA can accept the continuation award, UCLA must complete the required conflict of interest review process. To avoid delays in accepting this award we ask that you:

- Complete and submit the EPASS Page 3, available on the OCGA Forms website, to your OCGA Team as soon as possible. On this form you should identify the project team members who will be sharing responsibility for the design, conduct or reporting of the above referenced project during the next budget period.
- Ensure that your disclosures in the UCLA electronic Disclosure Gateway (EDGE), as well as disclosures made by all others who you have identified on form (EPASS Page 3) for this project, are current.

Please note that under the Public Health Service (PHS) conflict of interest regulations, investigators must update their financial interest disclosures:

- within 30 days of acquiring or discovering any new Significant Financial Interests (SFIs); and
- at least annually even if their disclosures have not changed (Annual Certification).

If you have already provided the EPASS page 3 to OCGA, you may disregard this request. If you have any questions, please do not respond to this e-mail, contact your OCGA Team.

Patti Manheim
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Questions?

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