

Effort Certification & Time Reporting

The New System

Outline

- About Effort Certification
- The Current System
- Changes Between Current and New System
- The New System – How To

About Effort Certification

Why Certify Effort

- Effort Certification and Reporting:
 - Required by the federal government as a condition of receiving federal funds
 - System for reporting the amount of effort (percentage of time) that an employee devotes to federally sponsored projects

Why Certify Effort

- Effort Certification
 - Verifies that appropriate labor expenses were charged to the Federal government
 - Labor expenses typically represent the majority of direct costs of research (therefore, auditors focus here first)
 - Other recipients of federal funds have more detailed and precise methods of verifying labor expenses (i.e., timecards)

Why Certify Effort

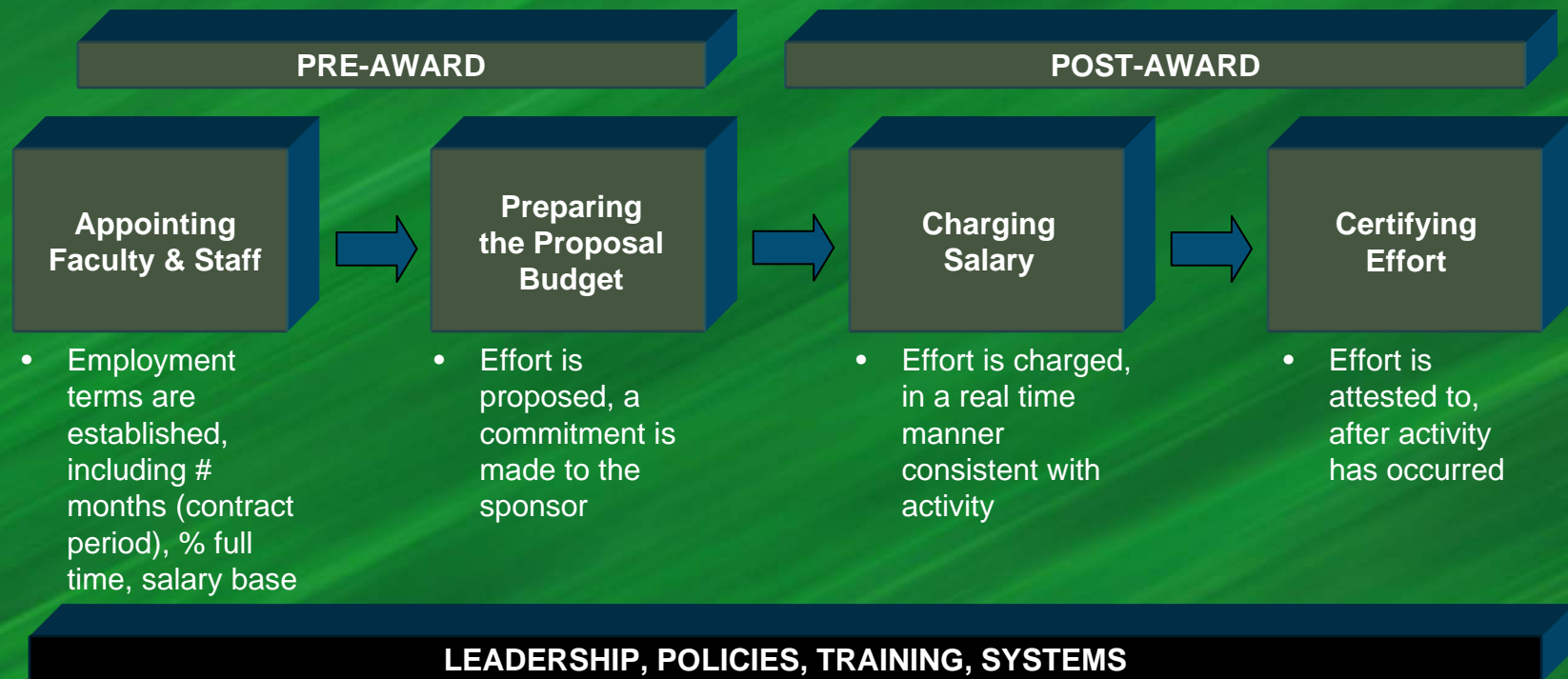
- Ensures proper use of federal research funds
 - Effort supported (paid) by the sponsored project has been performed as promised, and
 - Effort expended in support of a project that was not paid by the project, but rather paid by the institution or other non-federal funds
- Captures departmental costs, which are part of the administrative (F&A) cost rate

Risks of Non-Compliance

- Impact to the **institution**:
 - Susceptible to False Claims Act allegations
 - Institution may owe direct cost refunds
 - Sponsor may reduce future funding
 - Adverse publicity
- Impact on the **individual**:
 - Susceptible to False Claims Act allegations
 - Possible criminal charges
 - May lose access to current institutional funding

Effort Reporting Context

Effort Reporting encompasses more than just the certification statement



Effort Definitions

Effort:

- The amount of time spent on any activity expressed as a percentage of total institutional activities for which an individual is compensated by UT Dallas.
 - Effort is NOT calculated on a standard 40 hour work week
 - Total effort must equal 100%, regardless of part-time or full-time status
 - Effort is based on a reasonable estimate

Effort Definitions

Cost Sharing (Types)

- Mandatory:
 - Required by the sponsor as a condition of obtaining an award.
 - Must be included in the contract or grant proposal to receive consideration from the sponsor.
- Salary-cap:
 - Results when an individual's Institutional Base Salary exceeds a sponsor's salary limitation or "salary cap".
 - The prorated excess is a form of mandatory cost sharing that must be funded by an appropriate and allowable non-sponsored source.
- Voluntary Committed:
 - Represents effort proposed that was not required by the sponsor and that is in excess of effort paid by the sponsor and or mandatory cost sharing.
 - Becomes an obligation once the proposal is awarded.

Effort Definitions

Institutional Base Salary:

- IBS is the total guaranteed annual compensation an individual receives from UT Dallas
 - Applies whether that individual's time is spent on research, teaching or other activities.
- IBS is used in the application to calculate proposed payroll.

Effort Definitions

- Non-Sponsored Activities
 - Department Administration
 - Departmental Research/Academic Instruction
 - Clinical and Other Clinical Related Activities
 - General Administration
 - Other Institutional Activities

Effort Management

- Level of Effort Commitment
 - Minimum Level
 - Primary Individuals' effort shall be commensurate with their responsibilities
 - Faculty (Primary Individual or Key Personnel) must commit at least 1% effort to each sponsored project
 - Exceptions to the minimum level of effort are:
 - Equipment and instrumentation grants
 - Doctoral dissertation grants

Effort Management

- Level of Effort Commitment
 - Maximum Level
 - Tenured and tenure-track faculty may not commit more than 90% effort to sponsored projects
 - Allows reasonable effort for other responsibilities
 - Committee service
 - Administrative Duties
 - Teaching and mentoring
 - Proposal preparation
 - Clinical duties
 - Departmental Research

The Current System

Effort Certification

- Frequency of Certification
 - Effort certification is required of all Primary and Supporting Individuals on a quarterly basis
- Process
 - Certifications must be completed within thirty (30) days of notification that the effort reports are ready for review

Effort Certification

- Who signs
 - All faculty certify their own effort
 - An appropriate Primary Individual on each sponsored project or other activity will certify the effort of non-faculty Supporting Individuals with effort on the project for which he or she is responsible
 - In a simple grant, the Principal Investigator will be the appropriate person to certify effort of Supporting Individual
 - In a complex grant, with multiple subprojects and cores, the Primary Individual, such as the Leader or a Co-leader may be the appropriate certifier

The Current System

- Paper
- Needs to travel between offices
- Easy to certify

Changes Between the Old and New Systems

ECRT – Major Changes

- The system will be web-based (online)
- UTD staff will have access to the system from anywhere they have internet access with their NetID login
- Important information and updates about the system will be at www.utdallas.edu/research/ECRT

The New System

- Electronic
- One location to see current and past effort reports
- Online effort card looks like current effort card
- Certification is easy

ECRT – Major Changes

- The effort certification periods are **CHANGING**:
 - 2 times per year
 - Sept-Feb and March-Aug
- Still should log in every 90 days to check payroll distribution

ECRT – Major Changes

- Training will be provided to both departmental effort coordinators and project certifiers (PIs and staff)
- The system will be populated by existing sponsored projects payroll and cost sharing data

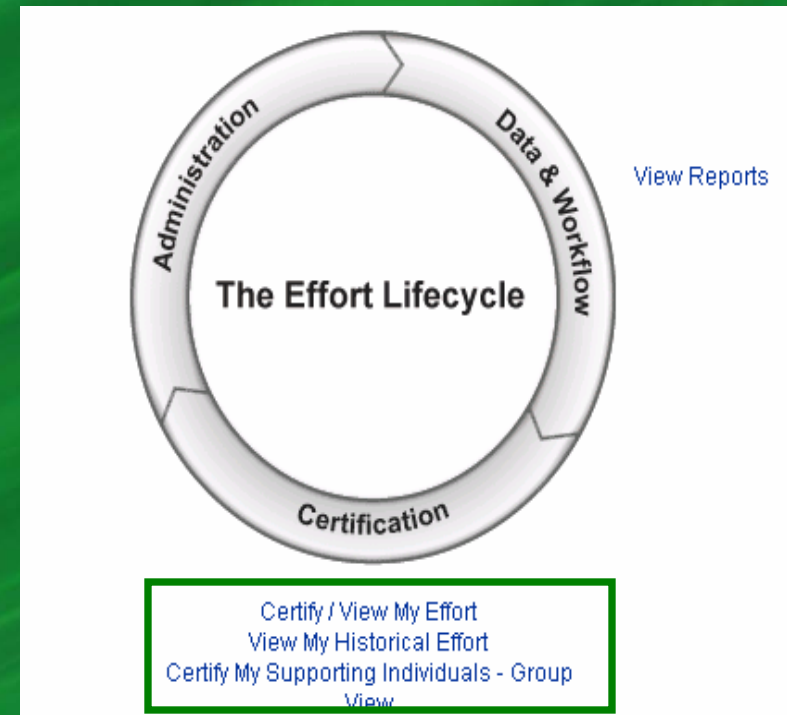
The New System – How To

The New System: Login

- Open the web browser
- Choose UT Dallas from the institution drop-down list and click <Select>
- Enter your UTD user id and password in the appropriate fields
- Click on the <Login> button
- After your login is accepted, you will see the welcome screen, hit the continue button at the bottom of the message to move to the home page

New System: Navigation Links & Drop Down Menus

- The effort lifecycle wheel contains links to various functions you will need to use within the system. Links highlighted in the green box are specific to Certifiers.
- Drop down menus: Across the top of the page is a menu bar. The left most option **<Home>** will return you to the home page containing the effort lifecycle.
- To log off of the system, click the right most option **<Logout>**. The remaining three options match the sections of the effort lifecycle. The links contained in the drop-downs give you access to the menu options available on the effort lifecycle, from any screen within the system. Menus highlighted in the green box are specific to Certifiers.



New System: Certification

- To certify your Effort select <**Certify/View My Effort**> from the Certification section of the wheel
- This is the main view of the effort card. Within sponsored and non-sponsored projects you may view payroll and effort.
- Edit/review payroll and effort to ensure accuracy.
- Edit information as needed or send to Department Effort Coordinator to make the correction.
- Once you have verified that the information is correct. Click on the <**Save**> button to save the information or click “**All**” and then <**Certify**> to certify the information. The <**Cancel**> button will close the screen without saving or certifying the information and will return you to the main screen.

View Period: 09/01/2008 to 02/28/2009

To certify your effort: (1) In each field below, enter a whole number (no decimal points) that represents the percent of your effort that you devoted to the corresponding activity during this effort period. The numbers must add up to 100 percent. (2) Check the check boxes. (3) Click the "Certify" button. If you have questions, contact your Effort Coordinator.

[Refresh Statement](#)

[Show Dollar Value](#) [Effort Calculator](#)

Accounts [-]	Payroll	Computed Effort	Certified Effort	Certify Checkboxes
Non Sponsored				
222929 RSCH DEV - MSE	93.96 %	93.96 %	0 %	<input type="checkbox"/>
317933 CLEAN ROOM IDC FUNDS	6.04 %	6.04 %	0 %	<input type="checkbox"/>
Non Sponsored Total:	100.00%	100.00%	0%	
Grand Total:	100.00%	100.00%	0%	All None

New System: Certify Supporting Individuals

- To certify your Supporting Individuals select **<Certify My Supporting Individuals-Group View>** from the Certification section of the wheel or from the drop down menu under Effort Certification.
- This is the main window to certify the effort of your supporting individuals. The system will display up to ten individuals at a time.



Certify My Support Staff - Group View



The Certify My Support Staff - Group View page allows a user to quickly view other users who are related to your work. For example, if you are a Principal Investigator, you will most likely see those people who are associated to your grants. If you are an effort coordinator or administrator, you will see those users associated to you only if you a PI on the account.

[Save All](#) [Certify All](#) **Displaying Certifiers 1 to 8** **1 of 1 Pages**

Covered Individual: RILEY, JONATHAN R. Certification Period: 09/01/2008 to 02/28/2009
Job Title:
Department: School of Behavioral and Brain Sciences

Accounts [-]	Payroll	Computed Effort	Certified Effort	Certify Checkboxes
Sponsored				
223266 GUIDING BRAIN PLASTI	70.39%	0.00%	0 %	<input type="checkbox"/>
643124 BRAIN PLASTICITY AND	29.61%	0.00%	0 %	<input type="checkbox"/>
Sponsored Total:	100.00%	0.00%	0.0%	
Grand Total:	100.00%	0.00%	0.0%	

All accounts on this Effort Card are associated to the current Principal Investigators: Effort Card Status: Not Certified, Not Processed

Covered Individual: ENGINEER, NAVZER D. Certification Period: 09/01/2008 to 02/28/2009
Job Title:
Department: School of Behavioral and Brain Sciences

Accounts [-]	Payroll	Computed Effort	Certified Effort	Certify Checkboxes
Sponsored				
223266 GUIDING BRAIN PLASTI	33.33%	20.00%	20 %	<input type="checkbox"/>
637112 MICROTRANSPONDERS PL	66.67%	80.00%	80 %	<input type="checkbox"/>
Sponsored Total:	100.00%	100.00%	0.0%	
Grand Total:	100.00%	100.00%	0.0%	

All accounts on this Effort Card are associated to the current Principal Investigators: Effort Card Status: Not Certified, Not Processed

[Save All](#) [Certify All](#) **Displaying Certifiers 1 to 8** **1 of 1 Pages**

School Effort Coordinators

School Effort Coordinators

- Department Management
- Preparing for Certification
- Certification Process
- Task Management (To Do)

School Coordinator View – Department Management

Manage Department Screen

- Primary tool for departmental monitoring and management
- Select “Manage Department” from the dropdown menu or from the effort lifecycle on the Home Page
- Payroll report link brings up a report that shows all payroll entries for selected people, for selected periods of time.

School Coordinator View – Department Management






- Certification Summary of Status
 - Displays an overview of the last quarter's certification status for the entire department.
 - Shows the number of individuals in the status, and percentage of total in each status.

	Quarterly
In Progress For Certification	0 0.0%
Not Certified, Not Processed	3 50.0%
Not Certified, Not Processed, Re-Opened	0 0.0%
Not Certified, Not Processed, Re-Opened by Payroll Adjustment Reconciliation	0 0.0%
Transfer in Progress or Pending	0 0.0%
Certified, Not Processed	2 33.33%
Certified, Processed	1 16.67%
Certified, Processed, Payroll Pending	0 0.0%
Auto Approved	1

School Coordinator View – Department Management

- Certification Summary of Status (Cont'd)
 - Effort cards for those people with no effort or payroll charges to sponsored accounts are “Auto Approved” as soon as the certification period opens, and require no additional attention from the effort coordinators.
 - All other cards start as “In Progress for Certification”, while data is being collected during the effort reporting quarter and during the pre-review period. Once the 30-day Certification Period has been opened, the status changes to “Not Certified, Not Processed”. The work of the effort coordinator is completed when all of these cards are in the status “Certified, Processed” or “Certified, Processed, Payroll Pending.”

Effort Coordinator View – Department Management




Icon	Status Name	Description
Most Common Statuses		
	In Progress For Certification	This status indicates the effort card is not yet ready for certification. This occurs during the effort reporting quarter, while payroll and profile data are being loaded, and during the pre-review period just prior to the certification period.
	Not Certified, Not Processed	This is the status for a card that is ready to be certified
	Certified, Not Processed	Once a card has been certified, the status changes to this. The effort card now needs to be processed by the Primary Department Effort Coordinator.
	Certified, Processed	This is the status for a completed, finalized card. All certified cards should be in this status by the end of the certification period.
	Auto Approved	Alternative indicator of a finalized card. Used for cards that are finalized automatically by the system, because the employee does not have any effort or payroll on a sponsored account.

School Effort Coordinator View – Department Management

- Managing Department Effort Coordinators
 - The School Effort Coordinators section lists effort coordinators in the department. Every department has a primary effort coordinator (shown highlighted in yellow) who is the only person who has access to the department task list, and is responsible for final processing of all effort cards, and handling other tasks associated with completing the certification.
 - Additional coordinators can be appointed, added, deleted, or made to be primary effort coordinator on this screen. All effort coordinators will have the ability to view the department screen, run reports at the department level, and revise effort cards during the pre-review and certification periods.

School Effort Coordinator View – Department Management

The three icons next to the effort coordinators name are used to set the individual as primary effort coordinator, delete the effort coordinator, or edit the user. (Edit rights are reserved for use by the central system administrator.)

	Phone	Actions
	713/555-1212	  
	713/555-1212	

Set Primary **Delete** **Edit User Profile**

Effort Coordinator View – Department Management

- Department Account List
 - Active and Inactive Accounts
 - Account Summary Screen

New System: Help

- For assistance with other ECRT related questions, please contact Beth Keithly at x4568 or keithly@utdallas.edu