IMPORTANT EFFORT REPORTING UPDATES

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WELCOME to BFS Mini Tune-ups

OBJECTIVE:
Online meetings to provide campus staff with a high level perspective and information on both topics of interest and new/upcoming initiatives and policy updates.

PRINCIPLES:
• Sessions are conducted via Zoom and will last no longer than 30 minutes
• Participants will be muted during the session
• Chat questions can be submitted but priority will be given to questions submitted ahead of time at www.bfs.ucsb.edu/coaching
• The Mini Tune-up website will be updated with session details and information
Effort Reporting (Basic Review)

• The federal government requires an effort report when an individual is compensated from a federally sponsored project or a federal flow-through project. In addition, cost share labor in support of a federally sponsored project must also be certified on effort reports.

• All faculty who serve as investigators on sponsored agreements are personally responsible for certifying all reports of which they have firsthand knowledge of the amount of effort that they and their employees spent on sponsored activities.
What is Effort?

• Effort is defined as the amount of time spent on a particular activity, on which salary is directly charged to a federal sponsored project or a federal flow-through project.

• Effort reporting is the mandated method of certifying to the granting agencies that the effort charged to each award has actually been completed.

• Certification of Effort is “after-the-fact”.
Why Do We Effort Report?

Effort reporting is **required** and is designed to **substantiate effort** spent for employees paid directly from a federal or federal-flow-through award.
Non-Compliance Risk

- Large **financial penalties** can be levied against the institution by a federal agency.

- **Withholding or suspension** of federal research funding.

- **Erosion in sponsor confidence** leading to reduced federal funding.

- Audit **disallowances** (As in returning money back to sponsoring agency for charges already incurred by UCSB)
Update on Status of Effort Reporting

• UCPath is the central payroll system that feeds ERS (Effort Reporting System) all the data it needs to calculate effort and generate Effort Reports for individuals working on Federal and Federal-Flow-Through contracts & grants.

• The last Effort Reporting Periods released at UCSB were Periods 33 & 34.
Key Corrections to Payroll Data Made by UCPath Center

Fixing of the Derived Effort % Problem when partial Salary Cost Transfers (Direct Retros) were made on many transactions. Done in August 2020
Dollar amounts were correct, but Derived Effort, which drives the Effort Reporting System, was being recalculated incorrectly for the transfers, giving incorrect Effort totals (even negative effort or effort over 100%).

Picking up many dropped, missed, and skipped Salary Cost Transfers (Direct Retros) that were not reported.

Mass Leave Correction. Done in September 2020
UCSB Releasing Periods 35 and 36 Today after this MTU

***REPORT CERTIFICATION DUE DATE: JANUARY 31, 2021 For 35 & 36***

The fixes mentioned in previous slide have been applied to these periods.
New UCPath Issue Affecting these New Effort Reports to Beware Of

Missing Lines of UCPath Payroll Data for Certain Employees’ Effort Reports

UCPath discovered another issue where lines of payroll data were not getting loaded in the Effort Reporting System because of a UCPath defect they’re still trying to figure out.

UCPath sent UCSB a list of lines of UCPath payroll data that was not loaded into the Effort Reporting System. UCSB then went into the Effort Reporting System and has manually flagged the individual Effort Reports that have missing data (based on the data we received from UCPath).

Missing Payroll Data = Incorrectly Calculated Effort Reports
Example of a Flagged Effort Report in ERS (Missing Payroll Data)

Effort Reports that were determined to have missing lines of UCPath payroll data are being flagged as **Report Under Preliminary Review**:

![Screen shot of Effort Reporting System with flagged report](image-url)

### UNIVERSITY of CALIFORNIA

**Effort Reporting System**

- **User:** G Clark (10036525) | **Account Settings** | **System Administration** | **Compliance Reports** | **Sign-Out**

### Corona, Patrick Thomas | 35 Period Oct 2018 to Jan 2019

- **Emp. ID:** 10036525 | **Home Dept.:** CHEMICAL ENGINEERING

#### Edit Report

- **View/History**
- **Comment Log**

**Version:** 1.0 (09/24/2018 10:24) | **Status:** Exception

**Reporting Period:** October 1, 2018 to January 31, 2019

**Pay Periods:** October 1, 2018 to January 31, 2019

### Sponsored Projects

<table>
<thead>
<tr>
<th>Project Details</th>
<th>Original Effort %</th>
<th>Adjusted Effort %</th>
<th>Original Cost Sharing %</th>
<th>Adjusted Cost Sharing %</th>
<th>Original Total %</th>
<th>Adjusted Total %</th>
</tr>
</thead>
<tbody>
<tr>
<td>B-442792-22417-MHF63 DOE DESC09114127 Halgeson CLSD</td>
<td>-36%</td>
<td>-36%</td>
<td>0%</td>
<td>-36%</td>
<td>-36%</td>
<td></td>
</tr>
</tbody>
</table>

**ADD ADDITIONAL SPONSORED PROJECT**

### Total Sponsored Projects requiring certification

- **.36%**

### Total Other Sponsored Projects

- **0%**

### Non-Sponsored Activities

- **0%**

### Total Other Effort not requiring certification

- **0%**

### Grand Total

- **-36%**

**Report options:**

- [ ] Report requires multiple certifications
- [ ] Report allows for Cost Sharing Offset Against Other Sponsored Projects
- [x] Report is under preliminary review

**Add a comment:**

Comments can be up to 255 characters long. (Total characters: 0)
Flagged “Under Preliminary Review” Effort Reports in ERS

***Any Effort Report flagged with Report Under Preliminary Review should **NOT** be Certified at this time!***

The UCPath Center is working on a future fix where they will later import the missing lines of payroll data into the Effort Reporting System, which will then re-calculate the Effort based on all the payroll lines of data from these time periods.

EMF will let the campus know when UCPath has made these fixes and that these flagged Effort Reports can then be available for Certification.
Adding Cost Share to Effort Reports

Adding Cost Share to Effort Reports that was reported on your Project Contribution Reports:

All effort (salary) that is being reported on a Project Contribution Report form for a Federal or Federal Flow-through award has to be manually added/adjusted to an Effort Report.

Here is an excerpt from a Project Contribution Report from a Navy award (Fund 22701). The department is reporting salaries from 19900 as part of meeting the required Project Contribution for their Navy (Federal or FFT) award:

<table>
<thead>
<tr>
<th>Name/Description</th>
<th>Account/Fund/Sub Charged</th>
<th>Total Gross Pay During Period</th>
<th>Cost Contribution Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Don Johnson Salary</td>
<td>8-444012-19900-2</td>
<td>72,000.00 x 10%</td>
<td>7200</td>
</tr>
<tr>
<td>Don Johnson Benefits</td>
<td>8-444012-19900-6</td>
<td>12,800.00 x 10%</td>
<td>1260</td>
</tr>
<tr>
<td>Supplies</td>
<td>8-444012-39850-3</td>
<td>500</td>
<td></td>
</tr>
</tbody>
</table>
16a Signature Block for required Effort Report creation when reporting employee SALARY in block 15 that is benefitting a Federal (or Federal-Flow-Through) award.

In the example provided, because they are reporting SALARY in box 15 ($7,200 from 8-444012-19900-2) and this Project Contribution Report is for a FEDERAL award (Navy, Fund 22701), Federal regulations require that an effort report must be created for an employee (Don Johnson) that put in effort (10%) on a Federal award (Navy, fund 22701) but was paid from a non-federal fund source (fund 19900).

It is absolutely imperative that all SALARIES being reported in block 15 that are for a Federal or Federal-Flow-Through award’s Project Contribution Report be reported and adjusted for correctly in the Effort Reporting System. Failure to do so will put the campus out of compliance and jeopardize current and future award funding for the campus.

16a. I certify that an Effort Report has been created (or will be created when ERS period is available) for the Project Contribution salary being reported above. The individual certifying below must have first-hand knowledge of the effort being reported.

_________________________________________    ______________
(Effort Report Certifier’s Signature)           (Date)
EMF Has Kept Track of PCRs Submitted from this Period

EMF can provide copies of PCRs submitted for awards upon request.

Guidance on how to Add Cost Share to Effort Reports can be found on EMF Website:

https://www.bfs.ucsb.edu/files/docs/extramural_funds/Adding Cost Share to Effort Reports-Apr 2014.pdf

I will review the different scenarios now you might encounter when adding Cost Share to an Effort Report. Remember, ERS has no way of knowing, so it all must be done manually!
Additional Question Received:

"Will there be any trainings offered for new employees? Rudy offered department trainings which was very helpful."

Great News! BFS was able to bring Rudy back on a limited basis to provide campus training as needed and requested during the months of December and January.

Those of you that would like individual or departmental training on ERS should contact tyler.clark@bfs.ucsb.edu and I will be setting up Zoom sessions for Rudy and myself to train and hopefully answer your questions. Email questions can be sent to me as well, which I will either attempt to answer or will forward to Rudy.

Departments can also consult the Departmental Coordinator documents on the BFS EMF Effort Reporting Web Site. https://www.bfs.ucsb.edu/extramural-funds/effort-reporting/coordinator-training-data-and-manuals
CLOSING - BFS Mini Tune-ups

NEXT STEPS:

Visit the Mini Tune-ups website to:
• View our session blog updates
• Sign up for future sessions and submit questions
• Submit suggestions for future topics

www.bfs.ucsb.edu/coaching
Thank You!

WRAP UP