RELEASE OF NEW EFFORT REPORTS

Jim Corkill, Associate Vice Chancellor/Controller
Tyler Clark, Manager, Extramural Funds Accounting

UNIVERSITY OF CALIFORNIA
SANTA BARBARA
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
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)
Normal Effort Reporting Period Cycles (Pre UCPath)

UC Policy
All effort must be certified within 120 days of the end of the reporting period.

UCSB has three 4 month periods as well as a Summer Academic period:

- June – September (non-academic) & June – September (Academic – PI Summer Salary)
- October – January
- February – May
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

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

Mass Leave Correction. Done in September 2020
Next Period Scheduled for Release is Period 35

The fixes mentioned in previous slide have been applied to this period.

Zoom Poll Question for Campus
It has been suggested that we also release Period 36 at the same time as Period 35.

Zoom Poll Results
It was decided we will release Periods 35 & 36 together.
Zoom Poll Question for Campus

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. The department is reporting salaries from 19900 as part of meeting the required Project Contribution for their 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>$22,000.00 x 10%</td>
<td>7200</td>
</tr>
<tr>
<td></td>
<td>8-444012-19900-6</td>
<td>12,600.00 x 10%</td>
<td>1260</td>
</tr>
<tr>
<td></td>
<td>8-444012-39850-3</td>
<td></td>
<td>500</td>
</tr>
<tr>
<td>Don Johnson Benefits</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Supplies</td>
<td></td>
<td></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:

Additional Question Received:

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

Unfortunately due to the UC-imposed hiring freeze we have not been able to fill Rudy’s Position at this time after his unexpected departure in late August.

BFS is looking into some options, including possibly bringing Rudy back in a limited role for some training sessions. More to come hopefully soon.

Presenter Contact Information:

Tyler Clark
Tyler.clark@bfs.ucsb.edu
805-893-3068
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