

New York University

UNIVERSITY POLICIES

Title: Policy on Effort Reporting for Sponsored Programs at Washington Square

Policy Number:

Effective Date: 6/1/09 (revised 03/03/11)

Issuing Authority: Pierre Hohenberg and Marty Dorph

Responsible Officers: Marti Dunne and Ken Heck

Purpose of the Policy

This document sets forth New York University's policy on effort reporting for sponsored programs.

New York University receives funding for research and other sponsored programs through grants and contracts provided by the federal government and other sponsoring agencies. As a condition of accepting such funding, NYU must ensure that the effort expended on sponsored programs justifies the salary charged to them.

The goals of this Policy and these Procedures are to:

- Comply with the requirements of OMB Circular A-21 regarding allowable personal service costs paid by federally sponsored programs and which, in section J. 10, mandate implementation of an effort reporting system to distribute compensation across all of the relevant activities of research staff, and to apportion allowable compensation to and between sponsored programs.
- Provide clear guidance to research faculty and staff to properly determine, verify and document personal service costs allocated to federally sponsored programs.
- Describe how to properly use the Effort Reporting System to track, report and certify effort.

Who Needs to Know This Policy

This Policy applies to all faculty, students and staff for whom NYU derives all or a portion of its compensation from sponsored programs, from both federal and non-federal sources. In addition, all persons involved in pre- and post-award research administration should be cognizant of its contents.

Definitions

University Effort

University Effort is the sum of all professional activities for which NYU compensates an individual. The chart below is illustrative of activities included and excluded from University effort.

Effort

Effort is the work or portion of time devoted to a particular activity, expressed as a percentage of University effort. Effort Reporting is the process by which effort expended on sponsored programs is documented and certified.

Activities Included in University Effort	Activities Outside University Effort
Externally sponsored research, including seminars, delivering special lectures about the ongoing sponsored program, attending related meetings and conferences	Consulting and other outside compensated professional work, including service on scientific advisory boards compensated by external organizations
Departmental/University research, including uncompensated participation in study sections, peer review of manuscripts, unfunded effort on externally funded projects	Volunteer community or public service
Instruction/University supported academic effort, including presentations to students, mentoring trainees	Veteran's Administration compensated activities outlined in a Memorandum of Understanding
Clinical service effort	Special activities for which a bonus or other one-time compensation is paid by NYU.
Administrative effort, e.g., Department Chair, Institute Director, service on institutional Committees, faculty advisory boards	
Effort expended on preparing proposals	
Service in external professional organizations and societies related to one's work which is not compensated by those organizations	

Institutional Base Salary (IBS)

Institutional Base Salary (IBS) is the compensation that NYU pays an employee, whether that individual's time is spent on research, teaching, administrative and other service, patient care, or other activities. The compensation relevant in determining IBS is the amount that is guaranteed and fixed in advance by the appointment letter or employment agreement and paid through the

Definitions, continued

NYU payroll system. For faculty with 9 month appointments, it is the salary base for the period 9/1 – 5/31.

Cost Sharing

Cost Sharing on a project refers to that portion of the total project not borne by the sponsor. Cost sharing consists of three types: mandatory, voluntary committed and voluntary uncommitted. Only the first two of these are tracked and certified through the time and effort reporting system (see also NYU Cost Sharing Policy).

The difference between committed effort and effort charged to a sponsor is considered (voluntary committed) cost sharing. Cost sharing is tracked through a companion account and reported on the Time and Effort (T&E) certification as a separate charge.

Sponsored Program

Sponsored Program is an externally funded project, governed by the specific terms and conditions of the grantor. Sponsored Programs are separately budgeted and accounted for. Notice of Grant Award (NOGA) is a document from the awarding agency that describes the award terms and conditions.

Sponsor Salary Cap

Sponsor Salary Cap is a limitation established by a sponsor (e.g., NIH) on the reimbursable rate of pay.

University Policy

NYU complies with federal effort reporting requirements and has implemented a system to accumulate and document personal service costs charged to sponsored programs. The system is designed to ensure that the commitment indicated in a proposal and resulting award is met and in compliance with NYU and sponsor terms and conditions. It is implemented through time and effort reports for each person whose salary is charged to a sponsored program and/or cost sharing account during the reporting period. The PI must ensure that his or her own reported effort and the effort of all other personnel directly charged or otherwise committed to the project are accurate and reflect the work actually performed on the project during each reporting period. If the percentage of effort expended in a given effort reporting period is less than the percentage of salary charged to the sponsored project during the period, the salary charges must be reduced to reflect actual effort.

Policy, Continued

Reporting Effort

Effort is confirmed, reported and certified based on an after-the-fact reporting system. Effort reports are prepared for three time periods: Fall semester, Spring semester and Summer term.

A report of actual effort is generated using the Effort Reporting System (ERS). Each such effort report must be completed and certified in a timely manner after the department's receipt of the period's certification report.

Certifying Effort

The PI and any other faculty member whose salary is charged to a sponsored program is required to certify his or her individual effort reports. The PI must also certify that the effort reported by non-faculty personnel directly charged to projects is accurate and reflects the effort actually contributed during the reporting period.

Calculating Effort

The basis used to propose or commit effort should be the same as that used to calculate, report and certify effort.

It is recognized that a precise apportionment of effort across the activities performed on behalf of an institution of higher education is not always feasible. Research, teaching, clinical services and administration are often inextricably intermingled. Therefore, reliance is placed on estimates in which a degree of tolerance is expected.

For research scientists, administrative employees and faculty, there is no set number of hours that constitute total effort; rather total effort equals 100% of the University effort. The activities performed and the total amount of time to accomplish them will likely be different for each individual and may vary during the year and from year to year.

For faculty, the components of total effort are determined by the original NYU appointment letter, the NYU Guidelines on Faculty Effort and any modification stated in any subsequent letters from the Chair or Dean, for example when a faculty member takes on administrative responsibilities. Teaching, research (including clinical trials), clinical services within the Dental College and administrative activities are all services that may be performed on behalf of NYU.

Research scientists and administrative employees are generally on 12 month appointments and are assigned their responsibilities for research and their expected committed effort by the PI. For graduate students, a full-time appointment is comprised of a combination of research responsibilities and educational activities. They may be appointed on a semester or 9-month basis and may earn additional compensation for each summer month during which they are employed.

Policy, Continued

Committed Effort

When an award is accepted, the Principal Investigator is committed to providing the level of effort specified in the proposal, subsequent budget modification, or resulting award notification, over the award period, unless sponsor policies permit otherwise. For some sponsors, a specific level of effort is also specified for other key personnel. It is expected that the proposed effort committed in a grant application will be provided to the project even when the amount approved in the

NOGA is less than the amount requested, unless the sponsor has agreed to a reduction in effort. If such cases the unfunded committed effort must be treated as voluntary cost sharing and tracked in a separate account.

Temporary changes of less than 5 percent of assigned effort during a period are generally considered immaterial (except that the 1% minimum effort for PIs on federal grants must be met), and it is not necessary to report them on payroll documents. However, changes from assigned effort of 5% or more that are expected to continue or occur regularly must be reflected in the corresponding time and effort report.

Minimum Effort

With certain exceptions (including, for example, equipment & instrumentation grants, doctoral dissertation grants, faculty mentors on institutional training grants), faculty are expected to apply some level of effort to projects on which they are listed as the PI or as key personnel (1% or more or the minimum required by the program).

Maximum Effort

For faculty participating in activities not directly related to work on active sponsored programs (i.e., teaching, administrative service, grant proposal preparation), the effort assigned to federally-sponsored projects should rarely total more than 95%.

The sum of the committed effort on active projects plus the anticipated committed effort on proposed projects and the effort devoted to non-research activities may exceed 100% for a given period. However, to the extent that proposed projects are ultimately awarded, the effort on one or more activities must be reduced to ensure that combined effort does not exceed 100% for the period. The sponsor of an affected project will normally require notification if the effort reduction is significant.

Summer Effort for Faculty with 9 Month Appointments

The IBS for 9 month faculty is based on the 9 month base, even for faculty whose administrative duties extend into the summer. Faculty compensated for 9-month appointments are permitted to expend up to an additional 3 months of summer effort on a combination of service (paid by NYU) and one or more sponsored programs in the period beyond the academic year and earn up to 3 months of additional salary for that effort, subject to sponsor policies and the approval of the department chair and dean/provost. Three summer months' compensation is the maximum

Policy, Continued

Summer Effort for Faculty with 9 Month Appointments, continued

allowable from all sources (including University funds).

A request for summer salary indicates a commitment to expend commensurate effort on the particular project during the Summer term (effort expended during the academic year does not satisfy a commitment related to the receipt of summer salary). Faculty who receive summer salary from sponsored programs will be required to certify that the effort was expended on those projects **during the summer effort period.**

Effective 9/1/09, faculty may not charge 100% to federally-sponsored research during the summer or any given month during the academic year. The minimum which must be reserved for other duties is 5% per month for faculty without extra administrative duties and correspondingly more for chairs, directors and deans. (see NYU Guidelines on Faculty Effort for details on supplementary compensation for administrative duties).

Cost Sharing

Any effort which is committed in the proposal and resulting award, but not charged to the sponsor, must be documented as voluntary committed cost sharing and reported on the T&E certification, unless the deviation is within award limits or has been approved in advance by the sponsor (see “Changes in Status and/or Effort” below). The amounts identified for cost sharing are subject to review and approval by the responsible departmental and school leadership, and processed in accordance with NYU’s Institutional Cost Sharing Policy.

Per NYU’s Cost Sharing Policy, PIs may cost share 1% of their academic year time toward any single sponsored program. When no summer salary may be requested (because the PI is already 100% committed or the agency has prohibitions), up to 5% academic year effort may be cost shared with the approval of the chair and the dean. Any voluntary cost sharing above 5% on a single grant or 10% cumulatively (in the sum total of all awards) requires a justification and the written permission of the chair, dean and Senior Vice Provost for Research.

Extra Compensation for Faculty with Administrative Appointments

Faculty with administrative appointments, e.g., chairs, directors, deans, may receive a salary supplement in recognition of their increased responsibility. This supplement applies to the full IBS, and should not be considered compensation for the administrative service alone. Most administrative appointments also involve service during the summer which needs to be separately compensated and tracked, though the percent of effort need not be the same during the summer and during the academic year.

Policy, Continued

Salary Caps

Certain sponsors (e.g., NIH) impose a limit or “cap” on the annual rate of pay that may be charged. Using the IBS for the academic year, the difference between the effort expended on the sponsored program and the sponsor salary cap is designated as cost sharing. On summer salary charges for faculty with 9-month appointments, the difference between the IBS and the salary cap need not be charged.

Changes in Status and / or Effort

It is the PI’s responsibility to comply with federal and other sponsoring agency prior notification requirements related to changes in status and/or effort for all personnel on their projects. Federal

agencies require prior notification and approval of significant changes in personnel status and/or effort of PIs (and for some sponsors, key personnel) on the projects that they sponsor.

Federal agencies define changes in status as:

- withdrawal from a project;
- absence from the project for any continuous period of three (3) months or more; or
- twenty-five percent (25%) or greater reduction in the time devoted to the project (over the budget year) from the level approved at the time of award.

Example: A PI has committed 50% effort to a project. A reduction of 25% of the committed effort would result in a 37.5% effort and would require agency approval.

During the life of the award, when required by sponsor policies, it is the PI’s responsibility to obtain University (Chair and Dean) and sponsor prior approval for such changes in status or effort. Requests for sponsor approval are conveyed through the Office of Sponsored Programs.

Unless otherwise communicated to the sponsor, the effort committed during a no-cost extension period is assumed to be consistent with the effort commitment for the immediately preceding award period. The sponsor must be notified at the time of a no-cost extension request if the effort to be expended is reduced by 25% or more than the level approved at the time of the award.

Retroactive Adjustments

To identify potential errors and make adjustments on a timely basis, PIs and their department administrators should regularly compare the effort commitments contained in new and ongoing sponsored program budgets with Fame/Brio expenditure reports. In addition, in preparation for each effort reporting period, an additional, comprehensive review should take place for each project to identify potential adjustments. Effective 9/1/09, once effort has been certified on a sponsored program, it may not be recertified without explicit permission from the Chair, Dean and a designated official in the Controller’s Division. Changes in certification may not be implemented by a charge to the Federal government. The term “recertification” does not include the correction of failures to implement the original certification, e.g., paperwork errors or payroll adjustments which were requested, but not enacted. Requests for such corrections must be accompanied by

Policy, Continued

documentation substantiating the claim.

Risk accounts need to be established through Sponsored Programs Accounting in the case of pending awards. This will avoid the need to transfer funds from a non-government to a government account once the award has been received.

Roles & Responsibilities

- Principal Investigator (PI)
- understands requirements for accurate effort reporting
- provides reasonable estimates of effort expended in relation to the aims of the project and other University obligations; verifies that PI's and other non-faculty personnel time commitments on all activities, prior to and after certification, including instruction, research, and other department activities does not exceed 100%; alerts Chair and Dean of any overlap or discrepancy
- complies with sponsor requirements regarding reduction in effort and change in status of self and, when required by the sponsor, of key personnel
- certifies his or her effort and all other non-faculty personnel for the project
- notifies the S/DA of any required adjustments to the T & E report
- provides certification of effort to the departmental administrator in a timely manner upon receipt of e-mail notification of report availability

School/Department Administrator (S/DA) (aka Department Coordinator)

- coordinates the activities of department leadership, the Contract Office, PIs, OSP, and SPA
- assists PI in determining committed effort at proposal stage for self and other relevant personnel
- ensures that sponsor-imposed salary caps are calculated and recorded properly in a cost sharing account
- monitors committed effort and assists PIs with preparation of request to sponsors when necessary regarding reduction of effort
- ensures that effort reports are complete, that the dollars charged are consistent with the effort certified and that reports are submitted correctly and on-time
- makes any adjustments in labor distribution, as required, and submits payroll corrections consistent with the approved certification
- ensures that effort reported during a no-cost-extension is consistent with the effort committed to the sponsor

The Contract Office, Which Includes The Central Administrator for ERS (CA)

- is responsible for the ERS
- transmits the certification data

Roles & Responsibilities, Continued

The Contract Office, Which Includes The Central Administrator for ERS (CA), continued

- monitors the various aspects of compliance, including notification to Department Chair or Dean and OSP of any delinquency
- explains the effort reporting system and justifies NYU's performance to auditors

Sponsored Programs Accounting (SPA)

- documents and confirms committed cost sharing based on the Notice of Grant Award during award set-up
- ensures that all cost sharing amounts are appropriately established and in compliance with the NYU and sponsors' cost sharing policy
- reviews and approves all requests for retroactive adjustments in accordance with the Cost Transfer Policy

Office of Sponsored Programs (OSP)

- ensures that submitted proposals are in accordance with NYU and the sponsor's policies
- at the time of award, reconfirms the budget and cost sharing commitments, including PI and other relevant personnel time commitments
- when the award is granted, alerts SPA in writing of effort commitments, both funded and cost shared; reviews and approves requests for reductions of effort as required by sponsor terms and conditions; and informs SPA of any resulting change in effort

ROLES & RESPONSIBILITIES, CONTINUED

Department Chair

- reviews proposed sponsored activity to assure that other activities required of PI will not conflict with proposed effort commitment
- ensures PIs compliance with reporting and certifying effort accurately and on a timely basis
- approves changes in effort commitments, including cost sharing
- notifies dean of non-compliance by a PI and recommends/requests action

Dean

- with Chairs, reviews proposed sponsored activity to assure that other activities required of PI will not conflict with proposed effort commitment
- approves changes in effort commitments, including cost sharing
- reviews and approves all requests for retroactive adjustments in accordance with the Cost Transfer Policy, as requested
- on Chair's recommendation, initiates actions against a PI in the event of non-compliance

Roles & Responsibilities, Continued

Internal Audit

- reviews the time and effort reporting system annually as part of its regular audit of sponsored programs

Payroll

- responds in a timely way to requests for adjustments in payroll activity

Senior Vice Provost for Research (SVPR)

- Upon the recommendation of the Dean, enforces sanctions against PIs and other employees in the event of non-compliance, as appropriate

Compliance

Violations of this policy may subject faculty and other employees to disciplinary procedures, including, but not limited to:

1. Suspension of new submissions on behalf of a PI during the period that the faculty member's effort report (or that of any research staff) is delinquent.
2. Discipline in accordance with the policies and procedures set forth in the Faculty Handbook as applicable to faculty of the Washington Square campus. A non-faculty employee who is determined to be non-compliant with this policy will be subject to discipline in accordance with the applicable employee disciplinary policies and procedures.
3. NYU will report to the sponsoring agency any finding of non-compliance, as required by applicable law, regulations and the term and conditions of the award.

Internal Evaluation

Certifications facilitated by the Time and Effort Reporting system are evaluated as part of the University's annual A-133 audit, and they also may well be audited as part of other specific, random audits, including audits conducted by University's Internal Audit Office

Procedures

Procedures for Principal Investigator/Faculty Certifiers – ERS System

Log on: Use your NYU Home Net ID and password and log on at:

<http://ersprod.its.nyu.edu:8081/GenericERS/custom/index.jsp>

To Certify the Forms:

1. Click on the number located under Pending Certification box.



STATUS / MY TO DO		
	Certification	
	Pending	Pending Pre Review
Current Period (123105)	1	0
Prior Periods	0	0

2. After clicking on the number, you will be presented with a list of name(s) whose effort forms are available for certification. An “N” in the “Certified” column indicates the form has not been certified and an “N (saved)” indicates the form has been viewed, but not certified. Click on the name of the individual whose form you wish to certify. The individual’s effort form will be displayed.

Review the effort form and the default effort percentages. If there is a discrepancy on the form, such as an incorrect percentage of effort on a project or a missing project number, click the “Notify” button to send an email to your administrator. If there are any Line Item Procedures for

3. forms for which you need to certify an effort percentage on a specific project, these forms will be located in a separate section, titled “Line Item Effort Forms”.
4. Review the certification summary to be certain it is correct. If correct, review the attestation statement and click the “Certify” button.

If there are concerns in certifying the effort form, click the “Notify” link that appears below the attestation statement. To exit the form without certifying, click the “Exit Form” button.

5. To print a final summary for your records click the  or the  icons located in the upper right hand corner of the summary screen. Click the “Exit Form” button.

Accessing Effort Forms Not Yet Pre Reviewed:

Forms cannot be certified until they have been Pre Reviewed, which is typically done by your Departmental Coordinator. To review forms that have not been Pre Reviewed click the number in the My Status/To Do box under “Pending Pre Review”.

Procedures, Continued

Logging Off:

Click the “LogOff” option on the main menu bar on the left side of the screen.

Procedures for Departmental Coordinators – ERS System

Log on: Use your NYU Home Net ID and password and log on at:

<http://ersprod.its.nyu.edu:8081/GenericERS/custom/index.jsp>

The following options are available (left-hand side):

Assignments

Changing Assignments. During the effort reporting process, you have the ability to change Sub Department Coordinator(s), Pre Reviewer or Post Reviewer for an entire sub department. Alternatively, you have the ability to change the Pre Reviewer, Certifier or Post Reviewer for an individual(s) or assign individual(s) to another sub department. Each of the situations is described below

A. Changing Assignments for Department and Sub Departments

1. Click the “Assignment” menu option.
2. Select “Change Assignments for Department or Sub Departments”.
3. Select a Department or Sub Department for which you will change assignments. Click the “Proceed” button.
4. Follow the directions listed below (a, b or c) for the assignment you choose to change.

a.) Changing Sub DC or Updating Sub DC rights (for Sub Department only):

1. Select the option to “Change Sub DC/Update Sub DC rights”. Click the “Proceed” button
2. .ERS allows you to select a person from the list, which consists of everyone in your domain, or you can select to “Assign somebody not in your domain” using the link at the top of the page.
3. Select a person to be the new Sub DC and click the “Proceed” button.
4. Change the Sub DC Rights as applicable.

Procedures, Continued

5. Click the “Apply” button on following screens to assign the new Sub DC and Sub DC rights.
6. On the summary screen, note the name of the new Sub DC and their current rights.

b.) Changing Pre Reviewer:

1. Select the option to “Change Sub Department Pre Reviewer”. Click the “Proceed” button.
2. ERS allows you to select a person from the list, which consists of everyone in your domain, or you can select “Assign No Pre Reviewer” or “Assign somebody not in your domain” using the links at the top of the page.
3. Select a person to be the new Pre Reviewer and click the “Proceed” button.
4. Click the “Apply” button on following screens to assign the new Pre Reviewer.
5. The name of the new Sub Department Pre Reviewer is displayed on the summary screen.

c.) Changing Post Reviewer:

1. Select the option to “Change Sub Department Post Reviewer”. Click the “Proceed” button.
2. Select a person to be the new Post Reviewer and click the “Proceed” button.
3. Click the “Apply” button on following screens to assign the new Post Reviewer.
4. The name of the new Sub Department Post Reviewer is displayed on the summary screen.

B. Changing Assignments for Individuals

1. Click the “Assignment” menu option.
2. Select “Change Assignments for Individuals” if you intend to change the assignment for one individual or a group of individuals.
3. Select a Department or Sub Department to search for the individual(s) for whom you will change assignments. Click the “Proceed” button.
4. Select the individual(s) for whom you will change assignments. Click the “Proceed” button.

Procedures, Continued

5. Follow the directions listed below (a, b, c, d or e) for the assignment you choose to change.

a.) Changing Pre Reviewer:

1. Select the option to “Change Pre Reviewer”. Click the “Proceed” button.
2. ERS allows you to select a person from the list, which consists of everyone in your domain, or you can select “Assign No Pre Reviewer” or “Assign somebody not in your domain” using the links at the top of the page.
3. Select a person to be the new Pre Reviewer and click the “Proceed” button.
4. Click the “Apply” button on following screens to assign the new Pre Reviewer.
5. The name of the new Pre Reviewer is displayed on the summary screen.

b.) Changing Certifier (for Individual Assignments only):

1. Select the option to “Change Certifier”. Click the “Proceed” button.
2. ERS allows you to select a person from the list, which consists of everyone in your domain, or “Assign somebody not in your domain” using the link at the top of the page.
3. Select a person to be the new Certifier and click the “Proceed” button.
4. Click the “Apply” button on following screens to assign the new Certifier.
5. The new Certifier’s name is displayed on the summary screen.

c.) Changing Post Reviewer:

1. Select the option to “Change Post Reviewer”. Click the “Proceed” button.
2. ERS allows you to select a person from the list, which consists of everyone in your domain, or you can “Assign somebody not in your domain” using the links at the top of the page.
3. Select a person to be the new Post Reviewer and click the “Proceed” button.
4. Click the “Apply” button on following screens to assign the new Post Reviewer.
5. The name of the new Post Reviewer is displayed on the summary screen.

d.) Assign to Another Sub Department (for Individual Assignments only):

Procedures, Continued

1. After selecting the individual(s) to be assigned to another Sub Department, select the option to “Assign to a different Sub Department”. Click the “Proceed” button.
2. Choose the correct department by clicking the icon to the left of the department; then click the link for the proper sub department to which you will assign the individual(s).
3. Click the “Apply” button on following screens to change the assignment of the individual(s) to a new sub department.
4. On the summary screen, note that the individual has been assigned to the new sub department.

e.) Enable Line Item Certification (Individual Assignment only)

1. Select individuals for which to enable Line Item Certification, click the “Proceed” button.
2. Select “Enable Selected Forms as Line Item Forms”, click the “Proceed” button.
3. Review the list of Principal Investigators assigned for each account for all individuals selected. PIs assigned on the account will be the default line Certifiers. If certifiers should be changed, check the box “Change line certifiers” before clicking “Proceed”.
4. Review the confirmation.

Notification

1. Click the “Notification” option on the left side menu bar.
2. There are a series of predefined emails. You may choose one of the options or create your own email message using the General Email links. Note that the subject and bodies of all predefined emails can be edited.
3. Complete the email and click the “Send Email” button.
4. You will receive a confirmation that the email was sent.

Pre Review

** The Pre Review section is likely where the majority of work in this system will be done. **

- A. Getting Started – the following two options are available.

Procedures, Continued

1. Option 1 – Status/My To Do List – available when the Effort Forms are specifically assigned to you

- a) Select the number link under Pre Review “Pending” for the Current or Delinquent Reporting Periods.
- b) Any forms listed under “Effort Forms Pending Pre Review for the Current Reporting Period” are ready to be Pre Reviewed. The Pre Reviewer will see the Name, Reporting Code, Sub Department, Title, Certifier Name, and the Pre Review, Certify, and Post Review Status. An “N” under the Pre Review Status column indicates the form has not been Pre Reviewed, an “N (Saved)” indicates the form has been viewed, but not Pre Reviewed, Y(CT Pending Approval) indicates that Pre Review has been completed and the Cost Transfer is pending approval from the SPA office.
- c) Select the Effort Form to pre review by clicking on the individual’s name.





2. Option 2 – Menu Options on the left of the screen

- a) Select the Pre Review menu option: Pre Review All or Pre Review. Department Coordinators are able to pre review all forms in the sub departments to which they are assigned. As outlined in the Assignments section above, the Pre Review function can also be assigned for individuals or for sub departments to other coordinators.
 - 1) Pre Review All - To pre review all forms within your domain, even those for which pre review has been assigned to someone else, select “Pre Review All”.
 - 2) Pre Review - If you wish to only pre review the forms which are only assigned to you, select “Pre Review”.
Once a form has been released for certification to the Certifier and the certification is complete, only a summary screen may be viewed
- b) Select the appropriate Pre Review option by clicking the link.
- c) Select the effort reporting period by clicking the link for that period. The current period is listed at the top and is identified with an arrow. Note that you can access prior periods as well as the current period.
- d) Select the Sub Department or Departments that you want to Pre Review by checking the appropriate box(s). You have the option to use a filter to retrieve forms that have been “Pre Reviewed” or “Not Pre Reviewed”, as well as forms that have been “Certified” or “Not Certified”. An “N” under the Pre Review Status column indicates the form has not been Pre Reviewed, an “N (saved)” indicates the form has been viewed, but not Pre Reviewed, Y(CT Approval Pending) indicates that the Pre Review has been completed and the Cost Transfer is pending approval. Click the “Continue” button to execute the selection criteria.

Procedures, Continued

- e) Select the Effort Form to Pre Review by clicking on the individual's name.

B. Getting Familiar with the Form:

1. Clicking on a link in the payroll column will display the detail for each pay period for the account. Clicking on the total amount will display the payroll for all accounts listed on the form.
2. Clicking on the account number link will display the details of the account.
3. Clicking the "CAP" icon  (if applicable) next to an account name will display the sponsoring agency, current cap amount, and the annualized salary amount, and/or additional details (as applicable).
4. A "CS" icon  indicates that an account is a Cost Share Companion Account.
5. If the form is marked "This Effort Form is Subject to Line Item Certification", it means that the effort form will be certified by multiple individuals by project. Review the effort form carefully to ensure all changes are made before releasing it for certification.
6. If the form you are pre reviewing has a memo pad icon  next to the account, it indicates the account being pre reviewed is outside of your domain. You can click on the memo pad icon to view the details and/or any comments provided by the account owning department. The account owning department has the ability to view the entire Effort Form in read only mode. The owning department in "View Read Only" mode can provide comments by clicking on the pencil icon . Refer to "View Read Only" mode on the following page for more information.
7. To view prior effort statements for the selected individual, click the link "View Previously Certified Effort Statements".
8. Click the "Input as %" button to change to percentage mode, then click "Input as \$" button to return to dollar mode. You must be in dollar mode in order to use the "Proceed" button.
9. A "K" icon  indicates a Department of Health and Human Services K-Award. If applicable, the user will be able to identify Sub K-Award accounts (accounts related to the K-Award) by checking the check box next to the account number if a K-Award is present.

C. Making Changes to the Form (Add Account; Adjust Cost Share; Make Cost Transfer (CT))

1. Add Account: To add an account that is missing to the form:
 - a) Click the "Add Account" button.

Procedures, Continued

- b) Select Sponsored/Non-Sponsored. Search for an account by entering all the search criteria. Click the “Continue” button.
 - c) Select an account from the Account drop down box, and then click the “Add Account” button.
2. Adjust Cost Share: Update the cost share amounts, if applicable, by using an appropriate Cost Share chartfield, go to D. Completing Pre Review below.
 3. Make Cost Transfer (CT): Update the Cost Transfer amount if applicable in the Cost Transfer column. Cost Transfer can be updated using “Input as \$” or “Input as %” format. If the entry is done using the percentage, return to the Dollar Mode in order to proceed with the Effort Form. If no other changes are to be made, that is, the Pre Review Effort Form as presented reflects the effort expended for the period under consideration, go to D. Completing Pre Review below.
 - a) Click the “Proceed” button to proceed with the Pre Review process. The Cost Transfer Summary will be presented specifying the accounts involved in the transfer and the respective amounts. Begin and End dates will be updated with the Begin and End date of the reporting period. They can be adjusted but need to stay within the reporting period. Click the “Proceed” button.
 - b) Cost Transfer details screen will be available to specify the cost transfer amount for each applicable pay period:
 - 1) Provide the Credit or Debit amount under applicable column for the account involved in the cost transfer.
 - 2) Amount Defined should reflect 0
 - 3) You can provide an explanation of the cost transfer or a comment in the “explanation box” and click the “Proceed” button.
 - c) Cost Transfer summary will be presented along with applicable two (2) or four (4) questions. Provide responses to the questions and click the “Proceed” button.
 - d) Final Summary is presented. You may print the results by clicking on the “Print” button or continue with Pre Review by clicking the “Proceed” button. Cost Transfers will be routed to the Central School Administration and SPA office for approvals. Upon completing the Pre Review, the form will be marked Y (CT Approval Pending).

Once all the approvals have been obtained, the certifier will receive an email stating that the effort form is available for him/her to certify.

Procedures, Continued

D. Completing Pre Review

1. You may enter a note in the Notes field describing any changes to the form, or for recording any special circumstances that you may want to inform the Certifier.
2. If all of the information displayed on the Pre Review Effort Form accurately reflects your knowledge of the individual's effort commitments and activities, click "Proceed".
3. To print a final summary for your records click the icons located in the upper right hand corner of the summary screen. An e-mail is automatically sent notifying the Certifier that the Effort Form can be accessed for certification. Click the "Exit" button.

E. View Read Only Access – there are two options for View Read Only Access.

1. Option 1 – Home Page Access
 - a) The number identified in the "Total...forms outside the home department" reflects the number of Effort Forms for the current reporting period which are "owned" by another department, but charged to your account(s).
 - b) To review these forms, select the number link in the "Total...forms outside the home department". Select the Effort Form to review by clicking on the individual's name.
 - c) In "View Read Only" mode you can provide comments related to the account by clicking on the pencil icon.
 - 1) An account's comments can then be viewed by the department responsible for pre reviewing the Effort Form. Also, you can notify the responsible department by email, by clicking on "Notify".
2. Option 2 – Menu Options on the left of the screen
 - a) Select the Pre Review menu option.
 - b) Select the View Read Only Effort Forms link.
 - c) Select the effort reporting period by clicking the link for that period. The current period is listed at the top and is identified with an arrow. Note that you can access prior periods as well as the current period.
 - d) An "N" under the Pre Review Status column indicates the form has not been Pre Reviewed and an "N (saved)" indicates the form has been viewed, but not Pre Reviewed.
 - e) Select the Effort Form to review by clicking on the individual's name.

Procedures, Continued

- f) In “View Read Only” mode you can provide comments related to the account by clicking on the pencil icon. An account’s comments can then be viewed by the department responsible for pre reviewing the Effort Form. Also, you can notify the responsible department by email, by clicking on “Notify”.

Certify

The default Certifier in ERS is the covered individual named on the Effort Form. To change the Certifier, you will need to assign the appropriate individual as the Certifier for that person. In order to access an Effort Form in Certify mode, the Effort Form must have been Pre Reviewed. The Certifier will be able to access the Effort Form through the Status/My To Do List or the Certify menu option.

A. Getting Started – the following two options are available.

1. Option 1 – Status/My To Do List
 - a) Select the number link under Certification “Pending” for the Current or Delinquent Reporting Periods.
 - b) Any forms listed under “Effort Forms Pending Certification for the Current Reporting Period” are ready to be certified. The Certifier will see the Name, Reporting Code, Sub Department, Title, and the Pre Review, Certify, and Post Review Status. A “Y” will be present in the Pre Review status column. An “N” under the Certified Status column indicates the form has not been certified and an “N (Saved)” indicates the form has been viewed, but not certified.
 - c) Any forms listed under “Line Item Effort Forms Pending Certification for Current Reporting Period” are ready to be certified by project. The certifier will see the Name, Reporting Code, Sub Department, Title and the Pre Review, Certify and Post Review Status. A “Y” will be present in the Pre Review status column. An “N” under the Certified Status column indicates the individual projects have not been certified and an “N (Saved)” indicates that some projects on the form have been certified, but not all.
 - d) Select the Effort Form to Certify by clicking on the individual’s name.
 - e) If Option 1 is used, go to B. Certifying the Effort Form below.
2. Option 2 – Menu Options on the left of the screen
 - a) Click the “Certify” menu option.
 - b) Click the “Certify” link on the next screen.

Procedures, Continued

- c) Select the effort reporting period by clicking the link for that period. You can access prior periods as well as the current period.
- d) Any forms listed under “Effort Forms available to Certify” section are ready to be certified. A “Y” in the “Certified” column indicates a form has previously been certified. An “N” indicates the form has not been certified and an “N (Saved)” indicates the form has been viewed, but not certified. Click on the name of the individual whose form you wish to certify. You may only access forms in the “Effort Forms available to Certify” section.
- e) Any forms listed under “Line Item Effort Forms Pending Certification for Current Reporting Period” are ready to be certified by project. The certifier will see the Name, Reporting Code, Sub Department, Title and the Pre Review, Certify and Post Review Status. A “Y” will be present in the Pre Review status column. An “N” under the Certified Status column indicates the individual projects have not been certified and an “N (Saved)” indicates that some projects on the form have been certified, but not all.

B. Certifying the Effort Form

1. Review the Effort Form and the default effort percentages. If an Account is missing on the effort form, you may add it using the “Add Account” button. If the effort percentages are not correct as presented, the following options are presented:
 - a) Click the “Notify” button to send an email to your Pre Reviewer. Once the “Send E-mail” button is clicked, the Effort Form will be noted across the top with: “E-mail(s) was (were) sent successfully.” Click “Exit” to close the Effort Form without certifying the Effort Form to wait for a response from your Pre Reviewer.
 - b) Update the Effort % Column with the appropriate percentages and click “Proceed.”
2. If the form is a Line Item form, only specific projects will be available for certification. Certification boxes will be open for the projects that need to be certified and will have a notation next to them specifying that the project is “available for certification”.
3. Review the certification summary to be certain it is correct. If correct, review the attestation statement and click the “Certify” button.

If there are concerns in certifying the Effort Form, click the “Notify” link that appears below the attestation statement. To exit the form without certifying, click the “Exit Form” button.

4. To print a final summary for your records click the icons located in the upper right hand corner of the summary screen. Click the “Exit Form” button.

Procedures, Continued

Post Review

Post Review is required when a Certifier changes effort percentages at the time of certification.

A. Getting Started – the following two options are available.

1. Option 1 – Status/My To Do List
 - a) Select the number link under the Post Review “Pending” for the Current or Delinquent Reporting Periods.
 - b) Any forms listed under “Effort Forms Pending Post Review” or “Delinquent Forms Pending Post Review” requires review. The Post Reviewer will see the Name, Reporting Period (RP) Code, Sub Department, Title, Pre Review Status, Certification Status, Post Review Status, and Certifier Name. An “N” under the Post Review Status column indicates the form has not been post reviewed. An “N (Saved)” indicates the form has been viewed, but post review has not been completed. Y (CT Approval Pending) indicates that the Cost Transfer Approval is pending.
 - c) Select the Effort Form to post review by clicking on the individual’s name.
2. Option 2 – Menu Options on the left of the screen
 - a) Select the Post Review menu option.
 - b) Select the appropriate Post Review option by clicking the link.
 - c) Select the effort reporting period by clicking the link for that period. The current period is listed at the top and is identified with an arrow. Note that you can access prior periods as well as the current period.
 - d) Select the Sub Department or Departments that you want to post review by checking the appropriate box(s). You have the option to use a filter to retrieve forms that have been “Certified” or “Not Certified”, as well as forms that have been “Post Reviewed” or “Not Post Reviewed”.
 - e) Select the Effort Form to post review by clicking on the individual’s name. An “N” under the Post Review Status column indicates the form has not been post reviewed and an “N (saved)” indicates the form has been viewed, but post review has not been completed. Click the “Continue” button to execute the selection criteria. An “Y (CT Approval Pending)” indicates post review has been completed and a cost transfer is pending approval.
 - f) Select the Effort Form to post review by clicking on the individual’s name.

Procedures, Continued

B. Reconciling the Differences via Cost Sharing and/or Cost Transfer

1. The Post Review Summary screen is displayed indicating differences in effort percentages between Pre Review and Certify that must be resolved by you. Click “Notify” to send an e-mail to the Certifier addressing concerns and or issues that might exist. Click “Proceed” to continue the Post Review process.
2. Adjust Cost Share
 - a) Update the cost share chartfield, if applicable, to account for the differences. If no other changes are to be made, that is, all differences have been accounted for, go to C. Completing Post Review below.
3. Make Cost Transfer (CT)
 - a) To make a Cost Transfer, enter the applicable amount in the Cost Transfer Column. Cost Transfer can be updated using “Input as \$” or “Input as %” format. If the entry is done using percentages, you need to return to the Dollar Mode (\$) in order to proceed. If no other changes are to be made, that is, all differences have been accounted for, go to C. Completing Post Review below.
4. Click the “Proceed” button to proceed with Post Review. A Cost Transfer Summary screen is presented summarizing the accounts and amounts involved in the transfer. Begin and End dates are updated with the begin and end date of the reporting period. You may update these dates but they need to stay within the begin and end date of the reporting period. Click the “Proceed” button to continue with Post Review.
 - a) Cost Transfer details screen will be available to specify the cost transfer amount for each applicable pay period:
 - b) Provide the Credit or Debit amount under applicable column for the account involved in the cost transfer.
 - c) Amount Defined should reflect 0
 - d) You can provide an explanation of the cost transfer or a comment in the “explanation box” and click the “Proceed” button.
 - e) Cost Transfer summary will be presented along with applicable two (2) or four (4) questions. Provide responses to the questions and click the “Proceed” button.

Procedures, Continued

- f) Final Summary is presented. You may print the results by clicking on the “Print” button or continue with Pre Review by clicking the “Proceed” button. Cost Transfers will be routed to designated individuals for approval. Upon completing the Post Review, the form will be marked Y (CT Approval Pending). Once all the approvals have been obtained, the Post Review will be marked Y and the form will be considered Complete.

C. Completing Post Review

1. Click “Proceed” once all differences have been defined and reconciled, that is, labor charged and cost sharing is appropriately aligned with effort certified for all sponsored accounts and non-sponsored accounts in total.
2. To print a final summary for your records click the icons located in the upper right hand corner of the summary screen. Click the “Exit” button.

Reporting

1. Click the “Reporting” menu option.
2. Select a report using the link provided for the report.
3. Select the period to which the report should pertain.
4. Select the sub department(s) you want to see in the report. Click the “Continue” button.
5. You may print the report using your browser’s print button or save the report as an Excel (xls) file or as an Adobe (pdf) file.

APPLICABLE REGULATIONS

Office of Management and Budget, Circular A-21
http://www.whitehouse.gov/omb/circulars/a021/a21_2004.html

NIH Grant Policy Statement
http://grants.nih.gov/grants/policy/nihgps_2003/index.htm

INDEX

Activities Included in University Effort, 2
Activities Outside University Effort, 2
Calculating Effort, 4
Certifying Effort, 4
Changes in Status and / or Effort, 6
Committed Effort, 4
Compliance, 10
Cost Sharing, 3, 6
Dean, 9
Department Chair, 9
Effort, 2
Extra Compensation, 6
Institutional Base Salary (IBS), 2
Internal Audit, 9
Internal Evaluation, 10
Maximum Effort, 5
Minimum Effort, 5
NIH Grant Policy Statement, 24
Notice of Grant Award (NOGA), 3
Office of Management and Budget, Circular A-21, 24
Office of Sponsored Programs (OSP), 9
Payroll, 10
Principal Investigator (PI), 8
Procedures for Departmental Coordinators – ERS System, 12
Procedures for Principal Investigator/Faculty Certifiers – ERS System, 11
Purpose, 1
Reporting Effort, 3
Retroactive Adjustment, 7
Salary Caps, 7
School/Department Administrator (S/DA) (aka Department Coordinator), 8
Senior Vice Provost for Research (SVPR), 10
Sponsor Salary Cap, 3
Sponsored Program, 3
Sponsored Programs Accounting (SPA), 9
Summer Effort for Faculty with 9 Month Appointments, 7
The Contract Office, Which Includes The Central Administrator for ERS (CA), 8
University Effort, 2