EFFORT CERTIFICATION & TIME REPORTING

The New System

The Office of Research and Scholarship

The University of Texas at TYLER

Outline

- Why Certify Effort
- Effort Definitions
- Effort Management
- Effort Certification
- The Current System
- The New System

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)
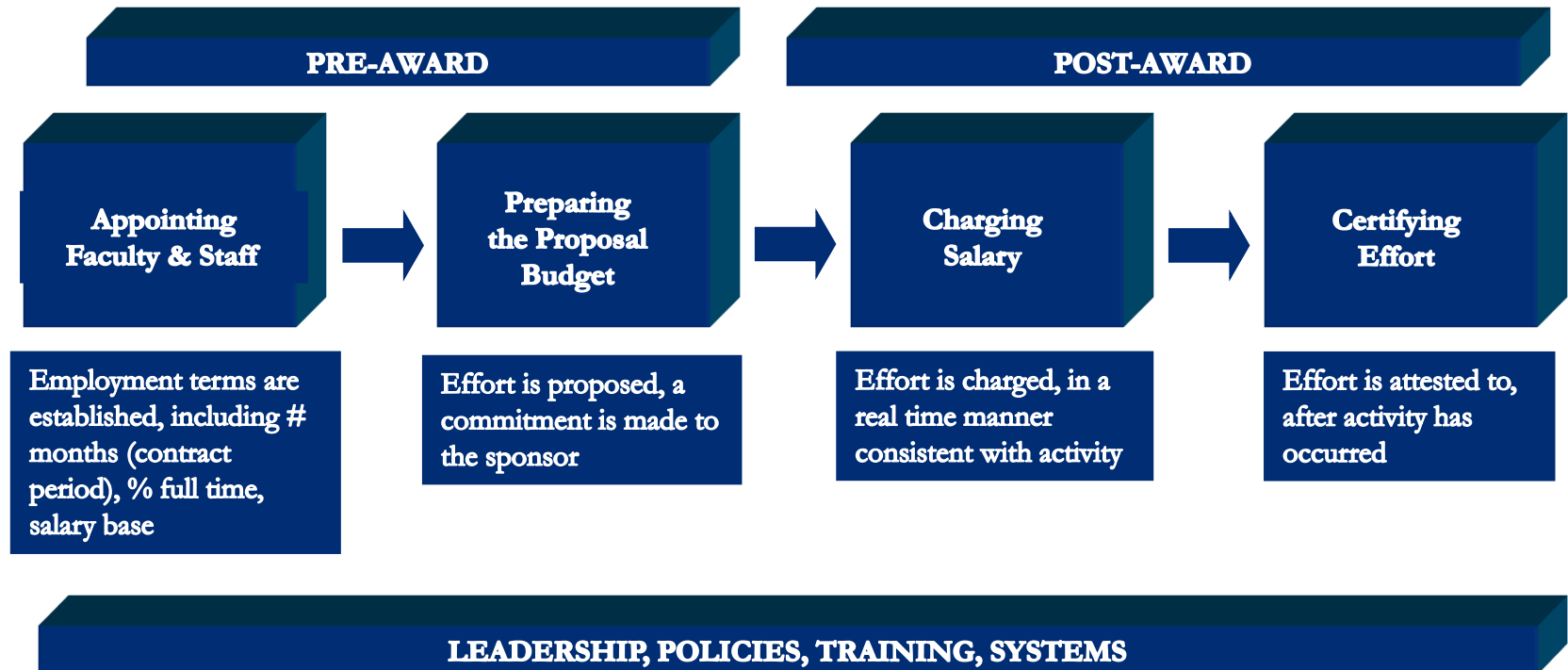
Why Certify Effort

- 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**

PRE-AWARD		POST-AWARD	
Appointing Faculty & Staff	**Preparing the Proposal Budget**	**Charging Salary**	**Certifying Effort**
Employment terms are established, including # months (contract period), % full time, salary base	Effort is proposed, a commitment is made to the sponsor	Effort is charged, in a real time manner consistent with activity	Effort is attested to, after activity has occurred

LEADERSHIP, POLICIES, TRAINING, SYSTEMS

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 Tyler.

  - 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 Tyler

  - Applies whether that individual's time is spent on research, teaching, patient care, 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

Effort Certification

- Frequency of Certification
  - Effort certification is required of all Primary and Supporting Individuals on a semi-annual 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 System

- Electronic

- One location to see current and past effort reports

- Certification is easy

Login

- Open the web browser

- Choose UT Tyler from the institution drop-down list and click "Select"

- Enter your EID and password in the appropriate fields

- Click on the "Login" button

Navigation Links & Drop Down Menus

- The effort lifecycle wheel contains links to various functions you will need to use within the system.

- 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.

Manage Global Settings
Central Administration
Manage Roles and Rights
Manage Users
Add Users
Load Data
Change My Password
Manage My Email

The Effort Lifecycle

Administration

Data & Workflow

Certification

Manage Effort Tasks (0)
Manage Department
Manage Sponsors
Add Commitment
Add Cost Sharing
Assign Designee
View Reports
Query Analyzer

Certify / View My Effort
View My Historical Effort
Effort Recertification
Certify My Support Staff - Single View
Certify My Support Staff - Group View
View the Support Staff of a PI

Certification

- To certify your Effort select "**Certify/View My Effort**" from the Certification section of the wheel.

Certify / View My Effort
View My Historical Effort
Effort Recertification
Certify My Support Staff - Single View
Certify My Support Staff - Group View
View the Support Staff of a PI

- 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 .

Show Dollar Value	Effort Calculator
Certified Effort	Certify Checkboxes
0%	☐
0%	
0%	
0%	All None

Save Cancel

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.

Certify / View My Effort
View My Historical Effort
Effort Recertification
Certify My Support Staff - Single View
Certify My Support Staff - Group View
View the Support Staff of a PI

- This is the main window to certify the effort of your supporting individuals. The system will display up to ten individuals at a time.

Help

- For assistance with general questions that are better answered by your department, please contact your Department Administrator

- For assistance with other ECRT related questions, please contact the Research Compliance Coordinator at ecrt@uttyler.edu