Effort Reporting at IIT

Research Administration Services

8/16/21
Effort at IIT

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Overview

• Uniform Guidance Subpart E 200.430 contains the federal regulatory requirements for internal controls regarding certifying time expended on sponsored projects. IIT utilizes and after-the-fact effort reporting system to verify that direct labor charges (salaries and wages) to federally sponsored projects are reasonable, allowable and allocable and reflect actual work performed.

• Therefore, effort reporting is required for faculty and staff who have any percentage of their time spent on a federal grant, contract, or collaborative agreement.
Overview: Effort Process at IIT

• After each semester, Research Administration Services (RAS) processes effort reports in the Ellucian Time and Effort System
• PI/PD logs into Effort System and certifies their own effort
• PI/PD logs into Effort System and certifies their students’ effort reports
• The records are stored electronically and may be presented:
  • To grant sponsors by request to support grant charges or progress reports
  • To IIT’s independent audit firm as part of the university’s annual Single Audit
  • To grant sponsors in the event of a desk audit
Overview: How is it Measured?

• Effort is measured as a percent of the individual’s total employment obligation.

• Total Illinois Tech activity = 100% effort

• Effort certification should be a reasonable estimate of how time was expended.
  • Section 200.430(C.x.) states, “It is recognized that teaching, research, service, and administration are often inextricably intermingled in an academic setting. When recording salaries and wages charged to Federal awards for IHEs [Institutions of Higher Education] a precise assessment of factors that contribute to costs is therefore not always feasible, nor is it expected.”
The System
The System: Access
The System: Basic Navigation

- Click “Certify My Effort” to certify your own effort
- Click “Review or Certify Reports” to certify researcher effort on your grants
The System: Search

- Use “Advanced Search” to look up employee effort using multiple search fields. The Chart of Account Code field must be populated for all searches.
The System: Report Review
The System: Certify

**Note**: If the “Certify” button is missing and instead there is an “Allocate Effort” button, see next slide.
The System: Allocate Effort **BEFORE** Certification

If the “Certify” button is missing and instead there is an “Allocate Effort” button, click “Allocate Effort”.

[Image of a UI with options to allocate effort]
The System: Allocate Effort **BEFORE** Certification

- Key the Allocable Effort percentage value into the Effort text box and click “Save”
The System: Allocate Effort **BEFORE** Certification

- You will automatically be returned to the Effort Report where the new allocation is viewable and the “Certify” button should now be visible. Click “Certify”.

![Image of Effort Report with allocated activity and certification button]
The System: Request Changes

- If the report is incorrect, click the “Request Changes” button. Your default email application will open a new message window.
- Email your RAS contact and indicate which percentages, effort categories, and/or other data are incorrect and include the corrections in your message.
The System: Add New Funding

- If a funding source is not included for an employee but should be, click “Add New Funding”.
  - The Effort System data points pull from actual payroll data recorded in Banner.
  - A subsequent labor distribution change in Banner will be needed so the systems agree.
  - Contact your RAS contact for next steps, which include providing an explanation for the original disconnect.
Detailed Report Review
**Report Review: Effort Report**

**Sponsored** - The assigned grant award and fund number where the employee's labor charges appear, the effort category, and the percent of effort expended on the funded project.

**Non Sponsored** - Any other accounts from which the employee has been paid. This may include general institutional funds for instruction and/or other restricted or non-restricted accounts. May also include cost share or match funded by IIT.

**Report Status** - Includes the reporting period name (SUM2019), the dates of review, and a statement on the status of your report (awaiting certification-unlocked).

**Important Dates** - Lists review dates and certification dates.

**Pay Dates** - List of pay dates (pay periods), which follow the IIT Payroll Calendar, included in this Effort Report.
**Report Review: Pay Period Summary**

- View a summary of each pay period that falls under this effort report.

- Drill into the detail by clicking an individual hyperlinked pay period.

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### Monthly 1 2020 January 01, 2020 - January 31, 2020

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</tr>
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</table>
Report Review: Comments

- Comments are not necessary, but may be added to provide notes or general context to the effort report.
Report Review: Routing Queue

- The Routing Queue shows the list of employees who may review and certify effort.
- When someone in the queue has certified the effort a green checkmark will appear.
- When at least one person in the queue has certified, the effort report will lock.
What does Certification Mean?
Certification Explained

• Certification is for effort on federal awards only, never internal funds. However, total effort spent will always equal 100% and may include internally funded effort, as that represents all activities at Illinois Tech.
  • The PI reviews the accuracy of the effort for the given time period.
  • All accounts are listed because effort is 100% of work completed for IIT.
  • Total effort cannot exceed 100%.
  • Effort includes work performed outside normal work hours and work performed off-campus.

• Effort does not relate to hours actually spent, rather it represents a percentage of time worked.
Frequently Asked Questions

Q. Its unclear what should be certified, payroll or actual effort.

A. Payroll charges in Banner that are allocated to sponsored awards serve as the initial data point(s) for the effort reporting system. As such, reports will be generated that reflect actual payroll charged within the University’s payroll system, to actual fund numbers. Effort should sum to 100%.

Q. I am a staff member and work 100% on a sponsored research grant. I am also an infrequent advisor to Biomedical Engineering, an activity that I spend a few hours a year on. Is that something that should be included in my effort?

A. Infrequent, irregular activity that would normally be considered so small that it is not statistically significant is called de-minimus effort. De-minimus effort is not required to be certified.
Q. I’m still unclear on what it means by “effort”. Can it be explained in a different way?

A. Most simply, if a person spends 40 hours a week on IIT activities and one day a week is devoted entirely to work on a certain project, he/she has spent 20% of his/her time on that project. 40 hours per week/5 days in the workweek = 8 work hours in a day. 8 hours/40 hours = 0.2 or 20%.

Q. What happens to the effort reports once they are certified?

A. Effort reports are kept per federal and state record retention laws and may be reviewed and submitted as part of the university Single Audit, desk reviews or by grant sponsor request.
Q. When I view the effort report I intend to certify, there isn’t a “Certify” button among the button choices, just “Request Changes”, “Allocate Effort”, “Add New Funding” and “Save”?  

A. Effort will need to be allocated between funds. Follow the steps starting on Slide 12 to complete this step prior to certification.
Contact Us and Additional Resources

• Research Administration Services is here to help with this process. Please contact us if you have any questions.

https://web.iit.edu/research-administration-services/contact-us

https://web.iit.edu/gca/resources/grant-review-toolkit