Effort Reporting System

Presenter: Michele Greenhouse
Brown Bag Presentation
January 19, 2012
Sterling Chemistry Laboratory, Room 160
Agenda

• Labor monitoring review
• Roles
• Cost transfers
• ERS upcoming enhancements
• Policy updates
• Frequently asked questions
• 2012 effort period calendar
Proactive and Reactive Tools

LABOR MONITORING
## Review – Labor Monitoring

<table>
<thead>
<tr>
<th>Report/Tool Name</th>
<th>Description</th>
<th>Frequency</th>
</tr>
</thead>
<tbody>
<tr>
<td>Payroll Preview Report(s)</td>
<td>Enables review of payroll charging information prior to the payroll run</td>
<td>Run as a Payroll Preview Event in the DWH Portal</td>
</tr>
<tr>
<td>BUG310a – Commitments</td>
<td>Provides a view of labor that is committed to the labor suspense project</td>
<td>Run prior to the departmental LD cutoff date (payroll calendar)</td>
</tr>
<tr>
<td>Payroll Earnings Detail Report</td>
<td>Aids in monitoring payroll for individuals shared between departments</td>
<td>Run as a post transaction monthly financial review report</td>
</tr>
<tr>
<td>Review Tool</td>
<td>Contains reports to monitor labor suspense, labor charging trends</td>
<td>Run as a post transaction monthly financial review report</td>
</tr>
</tbody>
</table>
Review of Key Concepts

ADMINISTRATIVE ROLES
• The primary role of the Division Head is to assist departments in the escalation of known issues preventing the certification of effort.

• The Division Head monitors effort report certification completion and reports to BOLT on the progress being made.

• Department Coordinators should be communicating to Division Heads when assistance with certification is required.
Department Coordination

- Department Coordinator activities include identification of changes in Assignment: Pre/Post Reviewer, Certifier, multiple PI line item certification, and/or alternate organization within the first five days of the period’s release.

- Department Coordinators monitor effort reporting certification progress and report any issues to the Division Head or the Central Administrator.
Pre and Post Reviewers are an integral part of the effort reporting process. The Pre and Post Reviewer:

- assists the Departmental Coordinator (DC) in facilitating a timely and efficient process for those required to certify effort;
- reviews effort reports and makes appropriate adjustments both prior to and after review by the certifier;
- understands the sponsored accounts included on the effort reports assigned to them for review, including knowledge of proposal budgets and effort commitments and the terms and conditions of the sponsored projects as detailed in notices of grant award and other sponsor guidelines;
- provides assistance to faculty who participate in the effort process and use of the web-based effort reporting system;
- captures cost sharing properly;
- completes cost transfers in accordance with University policies and sponsor terms and conditions;
- ensures that effort reports are completed according to due dates established by the University.
Pre Review

- Pre Review is:
  - A confirmation that effort reports reflect planned salary allocation corresponding to work performed on sponsored projects

- Pre Review is not:
  - A method to *monitor* salary charged to sponsored (and non-sponsored) projects
  - The mechanism for identifying labor suspense
  - Certification or “Pre-Certification”
• Pre Review of effort reports should occur within the first fifteen days of the period’s release
  – Early Pre Review helps to:
    • Identify the effort reports that require a cost transfer
    • Provide the optimal amount of time for certifiers to complete certification and/or communicate any issues
    • Avoid the “last minute push” to get effort reports out to certifiers as the deadline for certification (60 days from the release) rapidly approaches
• Pre Reviewers (and Certifiers) can utilize the Notes box to provide explanatory information.

• The Notes box should **not** be used as a form of or in place of e-mail.

• Examples of inappropriate Notes entered by **Pre Reviewers**
  
  - “Please certify. Thanks.”
  - “Your report is as expected. Let me know if you have questions. Thank you.”
  - “No anticipated adjustments necessary.”
  - “Percent effort from NIH is correct.”
Pre Review

- Identify faculty members that have left the University.
  - Proactive approach
  - Reactive approach

- Identify faculty members on a leave of absence or sabbatical during the effort period
  - Proactive approach
  - Reactive approach

- Identify faculty that are 100% compensated from a non-University source (e.g., HHMI, VA)
  - Create the requisite effort report using the effort report form (1315 FR.01)
  - Send a copy to GCFA (effort.reports@yale.edu)
Reallocating Salary

COST TRANSFERS
Cost Transfers

• During monthly financial review, whether proactive or post transaction, identify salary costs that require reallocation.
  – Complete the reallocation transfer within the appropriate fiscal period (current or next)
  – Timely review and action ensures the reallocation will be included as part of the original generation of the effort report
Cost Transfers

- When a cost transfer is required after the effort period has been released:
  - Use the Add Account feature to add the intended account to the effort report form

- Add the new account to the effort report
  - Pre review the report
  - Certifier completes certification
  - Certifier allocates effort percentage
  - Administrator receives notice to Post Review
  - Cost transfer is most likely already in progress
When a cost transfer is required after the effort period has been released:

- Or, if the account(s) to which effort requires reallocation exist on the effort report form, communicate with the certifier to change actual effort %

Pre review the report
Certifier allocates effort percentage
Certifier completes certification
Administrator receives notice to Post Review
Cost transfer is most likely already in progress
Cost Transfers

• Using the add account feature or reallocating effort to/from existing accounts in ERS enables Pre Review and Certification to occur within the established deadlines

• Adding an account to the effort report form or changing actual effort does not imply the cost transfer will be automatically approved (when GCFA approval is required)

• Justification must accompany all cost transfers

• Cost transfers submitted after certification require additional documentation
  – The LD module will validate these transfers as Previously Certified Effort, known in GCFA as PCE.
  – PCE transfers must include a copy of the certified effort statement
Certification Completion

CERTIFICATION
Certification

- Certification is due within 60 days of the effort period release.
- Effective and timely, proactive and post transaction review and reallocation of salary (where necessary) enables fast and accurate Pre Review.
- Fast and accurate Pre Review helps us reach our ultimate goal – 100% on-time certification.
Certifier

Each faculty member must be aware of his/her level of committed effort to sponsored projects, the ability to meet those commitments in light of any other University obligations s/he may have and to communicate any significant changes in the level of sponsored projects effort to his/her Department Coordinator. In addition, faculty members must also be aware of committed effort of individuals assigned to his/her sponsored projects.

Certifiers:

- must be aware of his/her level of committed effort to sponsored projects;
- note voluntary uncommitted cost sharing either in the actual effort column of the effort report template or in the ERS Notes box;
- review the effort form to make sure the percentages correctly represent the covered individual’s effort based on salary charged to the award;
- communicate any significant changes in level of sponsored projects effort to his/her Department Coordinator;
- have knowledge and understanding of committed effort for individuals assigned to his/her projects;
- review and certify effort reports.
Who can Certify?

- Faculty members are required to certify their own effort reports.
- A PI should certify the effort reports of the research staff working on his or her sponsored projects.
- A Laboratory or Project Manager/Director, using a suitable means of verification that the work was performed, may certify effort reports for research staff.
• Who can Certify? (continued)
  – Any covered individual may certify his/her own effort report. In doing so, the individual is expected to fully understand his/her funding and level of effort committed to each sponsored project.
  – Generally, a department administrator/business manager will not have after-the-fact knowledge of an employee’s Total Work Effort and should not certify the effort of research staff.
  • Policy reference:
    http://www.yale.edu/ppdev/policy/1315/1315.pdf
Completing the Process
Department Monitoring

- Department and Sub Department Coordinators have access to a Reporting module within ERS that assists in monitoring Pre Review, Certification and Post Review completion.

- DCs and SubDCs should monitor certification completion rates continuously throughout the 60-day certification window. A complete Report Guide is located in the Training & System Guides section of the effort reporting website.
• Send a personal email message to certifiers within a week of Pre Review completion
• Follow-up with a phone call or quick visit to provide assistance where necessary
• Use the Reporting module of the Effort Reporting System to monitor completion.
System Enhancements

ERS VERSION 8
ERS Version 8 Enhancements

- Upcoming enhancements to the Effort Reporting System
  - Print Certified Statement (report)
    - This report has been enhanced to select/deselect the display of notes that have been entered in the effort report form Notes box.
  - Post Review Email Notification
    - When a certifier completes a report without making changes to actual effort but enters a Note, the Post Reviewer will receive an email notification.

![Screenshot of Effort Form has been Certified with Notes]

Miller, Cris,

The Effort Form for Codae, Doyle has been Certified. Changes have not been made and the form is Complete. The Certifier has left Notes on the Effort Form.

Please go to [http://192.168.151.10:8240/GenericERS](http://192.168.151.10:8240/GenericERS) to view the notes for Codae, Doyle for the reporting period 123110.

For more information, please contact your department administrator.

Thank you
ERS Version 8 Enhancements

• Upcoming enhancements to the Effort Reporting System (cont.)
  – Alternate assignment – “move back”
    • The Assignment module will include the option of “Move Back to Original Sub Department” that allows the DC or SubDC to move the user assigned to an alternate sub department back to the user’s home sub department
**ERS Version 8 Enhancements**

<table>
<thead>
<tr>
<th>Employee Name</th>
<th>Sub Department</th>
<th>Pre Reviewer</th>
<th>Certifier</th>
<th>Post Reviewer</th>
<th>Alternate Sub Dept</th>
</tr>
</thead>
<tbody>
<tr>
<td>Friedman, Mary</td>
<td>5411</td>
<td>Miller, Chris</td>
<td>Grey, John</td>
<td>Miller, Chris</td>
<td>61570</td>
</tr>
</tbody>
</table>

You have following rights to change the assignment settings for the above individuals. Please select an appropriate option to continue:

- [ ] Change Pre Reviewer.
- [ ] Change Certifier.
- [ ] Change Post Reviewer.
- [ ] Assign to a different Sub Department.
- [x] Move back to original Sub Department.
- [ ] Enable Selected Forms as Line Item Forms

[Back] [Proceed]
ERS Version 8 Enhancements

- Upcoming enhancements to the Effort Reporting System (cont.)
  - Completion Status Bar
    - The completion status bar will display the reporting period name.
  - Search Employee Effort Forms
    - The home page has been enhanced to include a Search Employee Effort Forms section. This section permits the user to search for a list of all effort forms for an individual using the employee ID (UPI) or employee name as the search criteria.
ERS Version 8 Enhancements

Search Employee Effort Forms

Employee Id: 12418131
Name: Agro, Ann

<table>
<thead>
<tr>
<th>RpCode</th>
<th>Sub Department</th>
<th>Form Status</th>
<th>Effort Form Link</th>
</tr>
</thead>
<tbody>
<tr>
<td>123110</td>
<td>727027</td>
<td>Pre Review (CT Pending)</td>
<td>View</td>
</tr>
<tr>
<td>123108</td>
<td>727027</td>
<td>Pending Certification</td>
<td>View</td>
</tr>
<tr>
<td>063008</td>
<td>727027</td>
<td>Pending Post Review</td>
<td>View</td>
</tr>
<tr>
<td>063007</td>
<td>727027</td>
<td>Post Review (CT Pending)</td>
<td>View</td>
</tr>
<tr>
<td>123106</td>
<td>727027</td>
<td>Pending Certification</td>
<td>View</td>
</tr>
</tbody>
</table>
Updates

POLICY AND PROCEDURE
Policy and Procedure Updates

- **Policy 1316 Effort Commitment**
  - Clarification “Faculty with academic year appointments may not indicate uncompensated summer effort in their proposal nor may uncompensated effort fulfill a commitment to a sponsor.”

- **Policy 1315 Effort Reporting**
  - Proposing graduate student stipends and tuition remission
    - “If a proposal requests support for a graduate student in the form of a stipend the proportionate amount of tuition remission should also be requested from the sponsor.”
Policy and Procedure Updates

- **Procedure 1306 PR.01 Cost Sharing**
  - Removed Scenario 3 that addressed uncompensated summer effort.
  - Updated references to ‘proposal transmittal’ and contact information.

- **Form 3501 FR.05 – Updated to ‘Temporary’ Employee Payment Request (was ‘Casual’)**
  - As a reminder, this form includes an attestation statement for effort certification purposes. Individuals that are temporary or students working hourly do not receive effort reports in the Effort Reporting System (ERS).
    - Refer to Policy 1315 to determine the appropriate individual that should be certifying effort for these individuals.
As a general reminder, always review the Policies & Procedures website (www.yale.edu/ppdev) to ensure use of the *most current* policies, procedures, guides and forms.
Frequently Asked Questions
• My certifier cannot log in. He has a valid Net ID and password and is an active Yale employee. What is the problem?
  – In addition to the ability to access the Effort Reporting System (ERS) on campus from a Yale desktop, ERS is readily available to administrators and certifiers that may be off campus or on campus utilizing a public network (e.g., YNHH). According to the Yale ITS website, **Yale VPN** (Virtual Private Network) “provides a method for using a public network (usually the Internet) to securely access a private network.”
Frequently Asked Questions

• VPN Cont.
  – Should a certifier have difficulty connecting to ERS, administrators should first ensure that a VPN connection has been established under the circumstances listed above.
    • If VPN is in use and the certifier is still having difficulty connecting, the ITS Help Desk should be informed and assist with troubleshooting the problem.
    • Many times, the error received will look like a “timeout” issue. Be advised that this connection problem is usually due to VPN.
  – The inability to use VPN should be a rare occasion and therefore will generally not be an acceptable circumstance allowing the reassignment of effort reports for administrative certification.
    • Individuals can access ERS via VPN from their home and other computers.
• I received a message that I need to Post Review an effort report. But, the certifier has indicated s/he should not have changed the actual effort percent. How does the certifier complete certification again?
There is an effort report for someone in my home department, but Pre Review should be performed by the charging department. What should I do?
Calendar

2012 EFFORT PERIODS
<table>
<thead>
<tr>
<th>ERS Reporting Period Name</th>
<th>Reporting Period Code</th>
<th>Reporting Period Begin Date</th>
<th>Reporting Period End Date</th>
<th>Availability Date</th>
<th>Certification Due Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Graduate Fall 2011</td>
<td>011512</td>
<td>9/1/2011</td>
<td>1/15/2012</td>
<td>1/23/2012</td>
<td>3/22/2012</td>
</tr>
<tr>
<td>Spring 2012</td>
<td>063012</td>
<td>1/1/2012</td>
<td>6/30/2012</td>
<td>7/9/2012</td>
<td>9/6/2012</td>
</tr>
<tr>
<td>Summer 2012</td>
<td>083112</td>
<td>6/1/2012</td>
<td>8/31/2012</td>
<td>9/10/2012</td>
<td>11/8/2012</td>
</tr>
</tbody>
</table>
Resources
• A comprehensive Effort Reporting System user manual will be distributed soon to each Department Coordinator. A PDF version will be e-mailed to all system users for reference/printing.

• The guide will include detailed instruction and troubleshooting tips, replacing the guides currently posted on the ER website.
• **www.yale.edu/gcfa/effort**
  - ERS Login
  - Training, FAQs and System Guides
  - Tools
  - Policies, Procedures, Forms
  - Calendars
  - System status

• **Effort.reports@yale.edu**

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• Tracy Walters: 737-8355

• Ericka Kundrath: 785-4932