

Effort Certification: Policy & System Training

Effort, Institutional Base Salary and Cost Sharing

Presented by:

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OVCR - Office of Sponsored Programs, Compliance

Goals for Policy Training

1. Understand **Effort** and **Effort Reporting**: definition, proposing, and reporting.
2. Understand **Institutional Base Salary**: definition, inclusions, and exclusions.
3. Understand **Cost Sharing**: types, tracking, and reporting requirements.

Goals for Effort Reporting System (“ERS”) Training

1. Understand the information and process flow of the Effort Reporting System (“ERS”) for Business Managers and Certifiers
2. Understand how to enter data into the Business Manager form.
3. Understand the certifier process and certifier form

UIC Policies

- The “UIC Policies on Institutional Base Salary and Effort Reporting” are posted on the OVCR website below.
 - <https://research.uic.edu/sponsoredprograms/managing-an-award/effort-reporting/policies/>
- The policies can also be accessed from the OVCR Effort Reporting web page:
 - <https://research.uic.edu/sponsoredprograms/managing-an-award/effort-reporting/>

Policy: Effort & Effort Reporting

Definition of Effort & Effort Reporting

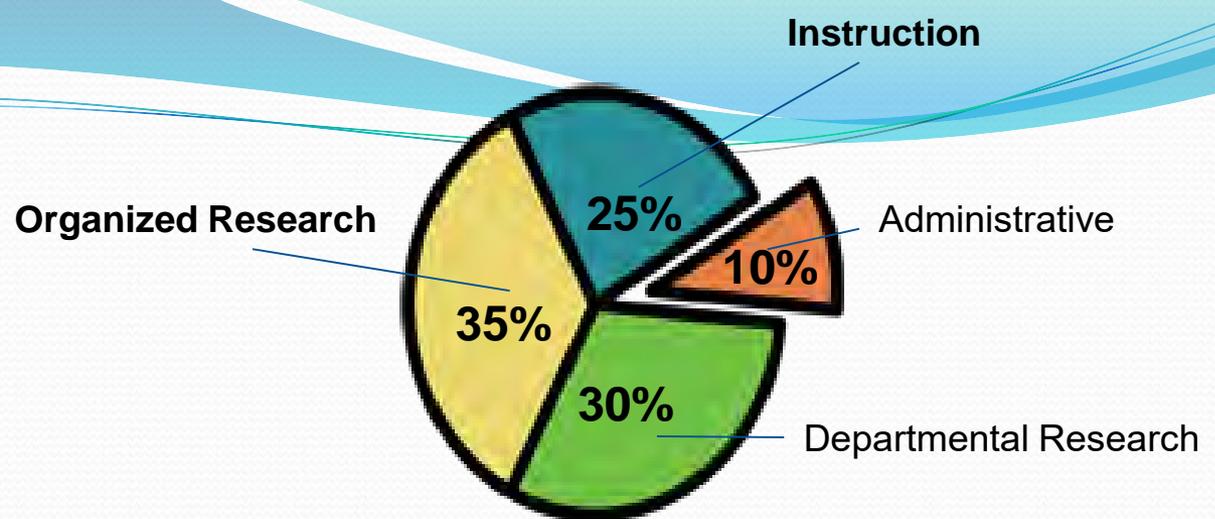


- An effort commitment is a promise to a sponsoring agency that someone will work a specific portion of their time on a sponsored program



- Effort reporting is the process of proving that the person fulfilled their promise to work. (E.g., If s/he promised 5%, we need to prove that s/he worked 5%)

Effort is...



-a portion of a person's total time that is spent on a specific activity, expressed as a percentage of total work
-is the time an individual spends on all activities that fulfill their commitment to the University
-must **always** total 100% (even if the person works less than full time)
- ...should be reasonable in relation to the work actually performed (based on a 40 – 80 hr full time work week)

Effort Certification

- Effort Certification is the process by which UIC provides assurance to sponsors that faculty and staff have met their commitments to extramurally funded projects.
- This includes effort directly charged to the sponsored activity (grant) and effort cost shared to the project.
- As a recipient of Federal funding, UIC is required to have a compliant effort reporting system per OMB Circular A21 and the Uniform Guidance (UG), Section 200.430 Compensation - Personal Services.

Effort Exceptions

- Some sponsored projects do not require effort:
 - Equipment grants
 - Instrumentation grants
 - Conference grants
 - Doctoral dissertation grants
 - Student augmentation grants
 - Individual fellowships

Effort Certifications

Who has to have an effort report?

Any salaried employee who is paid from or commits effort to a sponsored project

Who actually certifies an individual's effort?

Principal Investigators (PIs) certify effort for themselves and for staff paid 100% from the PI's funds. Individuals paid from more than one PI's funds certify their own effort ("self certifiers")



Policy: Institutional Base Salary

Definition of IBS

- IBS is the annual compensation paid by the university for an employee's appointment, whether that individual's time is spent on research, teaching, patient care, or other activities.

More Specifically ...

- IBS must meet all of these criteria:
 - Be paid through the university (payroll system).
 - Be guaranteed by the university.
 - Be shown on the NOA.
 - The effort related to IBS must be certified on a person's effort report.

Components of IBS

Includes

- The base pay for an employee's regular position (9 or 12 month)
- 0% Administrative stipends (Department Head, Director of Graduate Studies, Center or Core Director, etc...)
- Clinical appointment and/or physician surgeon salary
- Summer salary

Excludes

- Lump sum incentive pay (Service plans MSP, DSP, NSP)
UIC paid
- Over comp/overload payments
UIC paid
- VA hospital/clinic pay **non-UIC paid**
- Pay from other non-institutional activities (Consulting, professional society, etc.) **non-UIC paid**

Prospective vs. Retrospective

- Prospective IBS
 - Used for budgeting proposals
 - Is a “best guess” of what salary will be paid over grant project period.
- Retrospective IBS
 - Is the salary that was actually paid to an individual and listed on the NOA as of August 15 (end of AY)
 - Used as a basis to report effort
 - If the NOA lists a total salary of \$165,000 for the contract year, then \$16,500 should have been charged to a grant for 10% effort

Question

- **Dr. Martha Lowe is an Associate Professor in Engineering. She is submitting a grant to NSF and requesting 2 months of summer salary. What salary should be listed in the grant proposal budget?**
- **Faculty appointment (9 months) = \$90,000**
- **Lump sum payment = \$4,000**
- **Engineering Society (non UIC) = \$5,000**

Options

- **Faculty appointment (9 months) = \$90,000**
- **Lump sum payment = \$4,000**
- **Engineering Society (non UIC) = \$5,000**

A. $(\$90,000 + \$4,000 + \$5,000)/9 \times 2 = \$22,000$

B. $(\$90,000 + \$4,000)/9 \times 2 = \$20,888$

C. $(\$90,000)/9 \times 2 = \$20,000$

Answer

A. $(\$90,000 + \$4,000 + \$5,000)/9 \times 2 = \$22,000$

B. $(\$90,000 + \$4,000)/9 \times 2 = \$20,888$

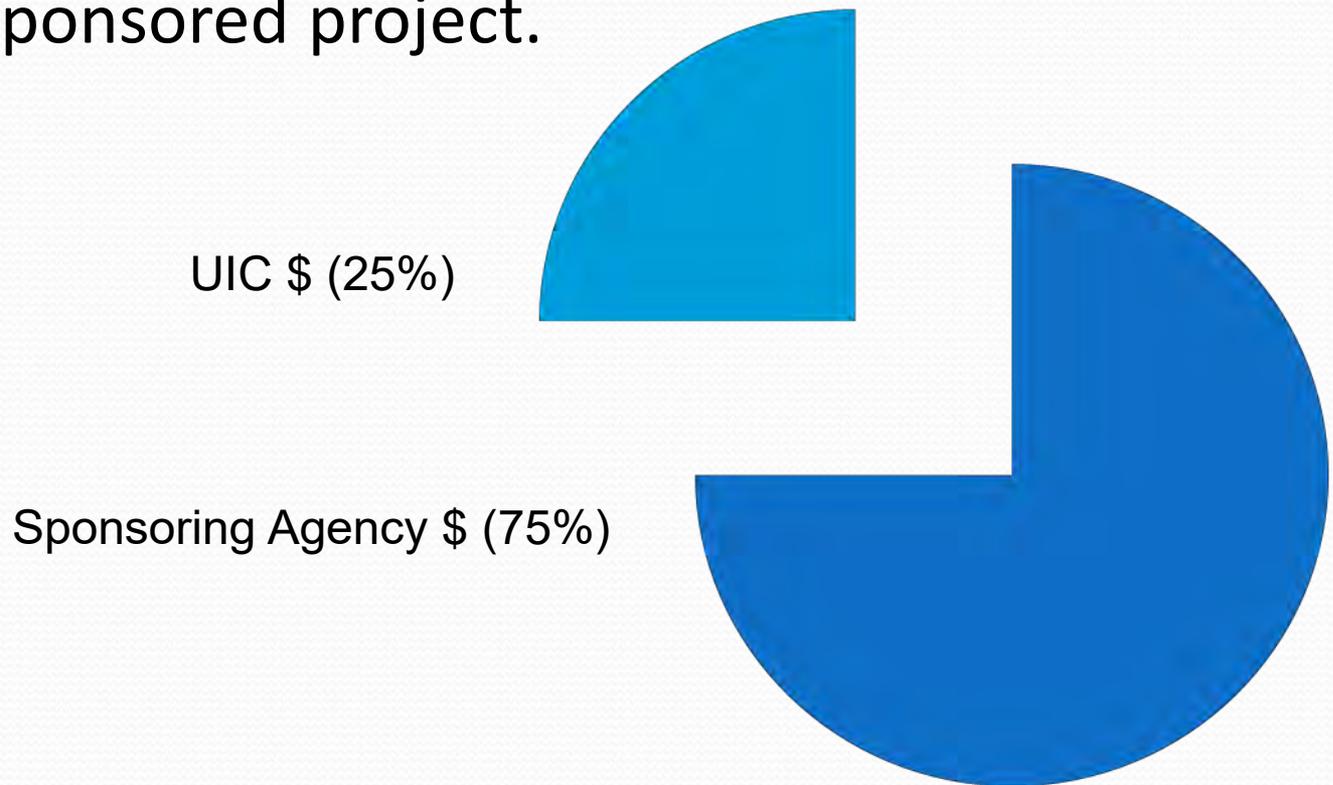
C. $(\$90,000)/9 \times 2 = \$20,000$

- Lump sum and non-UIC payments are not included in IBS

Policy: Cost Sharing

Definition of Cost Sharing

- Cost sharing is the University's financial contribution toward a sponsored project.



More Specifically ...

- It includes all expenses related to a project that are paid by the institution rather than by the sponsoring agency related to a particular project.
- It is an administrative burden because all proposed commitments must be formally tracked.
- For the purposes of effort reporting, cost sharing is in the form of salary and fringe benefits contributed to a sponsored program.

Cost Sharing may also be called...

- Donated
- In-Kind
- Contributed
- Matching
- Voluntary

Mandatory Committed Cost Sharing

- Cost sharing is required by the sponsor and included in the proposal budget or budget justification.
 - Example: If a sponsoring agency is willing to fund 90% of a project, UIC is required to cover the remaining 10% of the total costs for that project.
- The cost sharing commitment is in writing.

Voluntary Committed Cost Sharing

- Cost sharing *is not required* by the sponsor, but included in the proposal budget or budget justification anyway.
 - The sponsor does not require cost sharing, but UIC includes a 10% match in the proposal budget anyway.
- The cost sharing commitment is *in writing*.

Voluntary Uncommitted Cost Sharing

- Cost sharing ***is not required*** by the sponsor and ***is not in writing*** in the proposal or the award documentation.
 - **Example**: A grant does not require cost sharing and no additional effort commitments were mentioned in the proposal. A PI is listed at 10% effort, but actually works 15%. The 5% is voluntary uncommitted cost sharing since it was never communicated that the work will actually be 15% .
- Voluntary uncommitted cost sharing is not tracked, accounted for, or otherwise documented.

There are three basic types of cost sharing

Mandatory	Required by sponsor terms & conditions	Documented/tracked
Voluntary – Committed	Proposed by the University	Documented/tracked
Voluntary - Uncommitted	Not proposed	Not required to document or track

Salary Cap “Cost Sharing”

- Salary cap cost sharing occurs when an individual’s salary exceeds a sponsor-imposed limitation.
 - For example, a PI earns \$250,000 but the NIH caps salaries at \$197,300. Even though 10% of the PI’s salary is \$25,000, only \$19,730 may be charged to the grant for 10% effort. The difference between \$19,730 and \$25,000 (\$5,270) is salary cap “cost sharing”.
- Salary cap “cost sharing” is an unallowable cost & cannot be offered as mandatory committed cost sharing.

Test Your Knowledge Question

How many salary caps does NIH have?

Answer: The current NIH salary cap is **\$197,300** for most awards as of 1/5/20. The prior NIH salary cap in effect during AY20 was \$192,300 (prior to 1/5/20). However, NIH Career Development Awards (K Awards) are capped at \$75,000 or \$90,000 (even though they have high effort requirements up to 75%). There is also a cap for graduate assistant compensation.

After-the-Fact Cost Sharing

- Cost sharing commitments created by replacing funded effort with cost shared effort. This is considered “After-the-Fact” because the cost sharing was not included in the original proposal.
 - Moving personnel expenses to other non-sponsored fund sources (State, ICR, MSP) and using the grant funds to cover other research related expenses (e.g. Grad Research Assistant)
 - Effort paid by non-sponsored project funds (State, ICR, MSP) during no-cost extensions when no funding is available for the PI’s effort to complete the project.
 - Overdraft elimination by moving salary off sponsored project funds to non-sponsored project funds (State , ICR, MSP) funds.

Effort Policy Updates in FY18 & FY20

Overview of Policy Updates

Policy Updates Overview

- Mostly minor changes to reference UG (in addition to A-21) and update broken links referenced throughout the policy
- Highlight that HHS salary cap must be pro-rated to account for those <1.0 FTE (e.g., including 9/12; retire rehires; etc.)
- Removed references to former NSF rule limiting salary recovery to 2 months (Policy #8) & reduction in effort requirements

Policy Updates Overview (cont'd)

- Policy #9: Summer Salary ~~must be consistent with~~ **may not exceed** the current academic year's rate of pay detailed in the Notification of Appointment (NOA).
- Policy #11: Key personnel must “be **consistently reflected on the application, progress report, or any other report submitted to the funding agency**”
- Policy #12: NIH and NSF generally require notification of a 25% reduction in effort (or more)
- Policy #13: Labor redistributions affecting prior certified effort reports may require recertification of that period.

Policy Updates Overview (cont'd)

- Policy #15: VA MOU's must be done annually (at minimum) or whenever the effort/appointments change
- Policy #17: Funding sources do not need to be identified on the PAF at the time of proposal
- Updated FAQs:
 - <https://research.uic.edu/wp-content/uploads/sites/232/2019/10/Frequently-Asked-Questions.pdf>

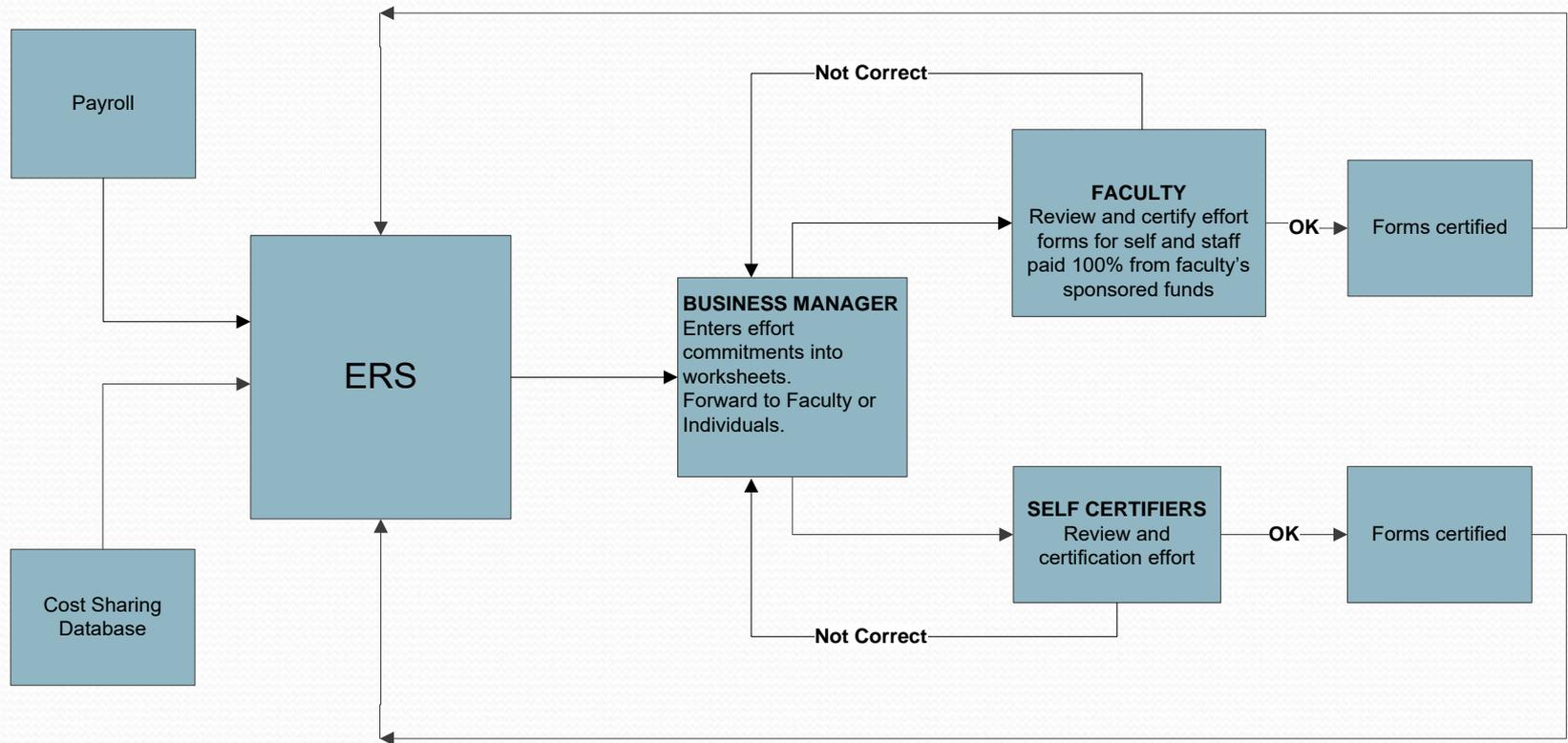
Effort System Review

Review of process, ERS system and system upgrades

ARS versus ERS

- Effort Reporting System (ERS): Documents **effort** expended by academic staff in support of Sponsored Projects. Data collected **only** for academic staff with effort (paid or unpaid) on Sponsored Projects. Data used for Federal compliance.
- Activity Reporting System (ARS): Documents **activities** (teaching, departmental research, organized research, administration) of **all** academic staff with a paid appointment. Data used for state reporting.

ERS Process Flow



Data included in ERS

The following HR employee classes are included:

- Faculty (Employee Classes that begin with “A”)
- Academic Professionals (Employee Classes that begin with “B”)
- Post Doctoral Interns (Employee Classes “PA” and “PB”)
- Graduate Assistants, Often Referred to as GAs, RAs or TAs (Employee Class “GA”)
- Summer Only Positions (Employee Class “MM”)
- Retirees (Employee Class “TR”)
- Virtual Instructors (Employee Class “VI”)
- Residents (Employee Class “RA”)

Data excluded from ERS

The following HR employee classes **excluded** from ERS:

- Civil Service (Employee Classes that begin with “C”, “D”, or “E”)
- Hourly Students (Employee Class SA)
- Grad Hourly (Employee Class HG)
- Academic Hourly (Employee Class HA)
- Fellowships (Employee Class GB)
- Post Doc Fellows (Employee Class PC)
- Academic Unpaid (Employee Class UA)
- One Time Pay (Employee Class WT)
- Lump Sum Pay (Employee Class LP)

Funding Types Excluded from ERS

(regardless of employee class)

- Training Grants (institutional or individual)
- Fellowships
- IBHE Awards
- Federal Work Study funds

Person Months (PM)

- PM on fund =
(total months worked) * (% effort on fund)
- Challenges
 - Possible confusion with ARS “staff years”
 - May not match exactly with PM in proposal depending on overlap between reporting period & budget period
 - Will not be correct for individuals with < 1.0 FTE during appointment period
 - Totals may be off slightly due to rounding to 2 decimals

Effort Reporting System (“ERS”)

- The Effort Reporting process is unchanged from AY19.
- Every year we try to make enhancements to the Effort Reporting System (“ERS”) to help increase the ease and usability of the system by Business Managers and Certifiers
- Job aids and additional information are available at the OSP Effort Reporting web site
- One-On-One Assistance sessions and a Help Desk will be available during the certification period to assist Business Managers and Certifiers

System Demo: Business Manager

- Log in
- Sorting Table
- Requesting Changes
 - Change in business manager
 - Change in certifier
 - View-only access to additional business manager/dept
- Using calculator
- Entering comments
- Saving
- Common errors
- Forwarding to Certifier
- Viewing certified form in Business Manager table

System Demo: Certifier

- Certifier form
 - Sorting table
 - Months worked
 - “Mouse over” to translate percentage to person months
 - Entering comment(s)
 - Returning form to Business Manager for corrections
 - Certifying form

Screen Shots

- To use if ERS is not available during training

Calculate the 2009 Effort to be Certified

This calculator only works for employees whose FTE remained constant throughout Academic Year 2009. If this employee's FTE changed at any point during the year, click [here](#) for instructions.

Fund 493282

Months	% Effort
--------	----------

Fall/Spring or Calendar

<input type="text"/>	<input type="text"/>

[Show more months >>](#)

Summer

<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>

NOTE: Recalculating the effort commitment will delete any data saved for this fund. To exit without recalculating, click the 'X' on the top right of the calculator.

Calculate Effort Commitment

Academic Contract Year 2009 Effort Report

[<< Back to list](#)

Effort Report for: Thomas Prohaska

UIN: 679980416

Home Department: 245000

Contract Year: August 16, 2008 through August 15, 2009

Prepared by: Rob Galbogi (decadom@uic.edu)



Total Months Worked: 11 months

SOURCE OF PAY

EFFORT



Total Effort on 493282, Grant E5768 - 5 R18 DP001140-03

0%

Translating an Evidence Based Multi component Exercise Program for Older Adults with Lower Extremities

**Total Effort on 494933, Grant E7186 - 5 U48 DP000048 05W1
Illinois Prevention Research Center**

3%

**Total Effort on 495237, Grant E7278 - Ucla 1558 G FC283
Trial To Increase Walking Among Seditary Older Latinos**

4%

**Total Effort on 493932, Grant E7579 - 5 P20 Md00524-04
Project Export**

0%

**Total Effort on 495697, Grant E7636 - SNP 5 R01 AG23424 05
Maintenance Of Exercise Adherence Among Older Adults With Osteoarthritis**

9%

**Total Effort on 495629, Grant E7651 - 3 P30 Ag22849-05S1
Uic Midwest Roybal Center For Health Promotion And Behavior**

4%

Cost Shared Effort for 495629 - 4%

**Total Effort on 496006, Grant E7896 - 3 T32 AG20501-05S1
Gerontological Public Health Training Program**

20%

Cost Shared Effort for 496006 - 20%

.....

Academic Contract Year 2009 Effort Report

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UIN: 679980416

Home Department: 245000

Contract Year: August 16, 2008 through August 15, 2009

Prepared by: Rob Galbogi (decadom@uic.edu)

Total Months Worked: 11 months

SOURCE OF PAY

**Total Effort on 493282, Grant E5768 - 5 R18 DP001140-03
Translating an Evidence Based Multi component Exercise Program for Older Adults
with Lower Extremities**

EFFORT

0%

**Total Effort on 494933, Grant E7186 - 5 U48 DP000048 05W1
Illinois Prevention Research Center**

3%

0.33 Person Months

**Total Effort on 495237, Grant E7278 - Ucla 1558 G FC283
Trial To Increase Walking Among Seditary Older Latinos**

4%

**Total Effort on 493932, Grant E7579 - 5 P20 Md00524-04
Project Export**

0%

**Total Effort on 495697, Grant E7636 - SNP 5 R01 AG23424 05
Maintenance Of Exercise Adherence Among Older Adults With Osteoarthritis**

9%

**Total Effort on 495629, Grant E7651 - 3 P30 Ag22849-05S1
Uic Midwest Roybal Center For Health Promotion And Behavior**

4%

Cost Shared Effort for 495629 - 4%

**Total Effort on 496006, Grant E7896 - 3 T32 AG20501-05S1
Gerontological Public Health Training Program**

20%

Cost Shared Effort for 496006 - 20%

Determination of Need Service Cost Maximum Study

**Total Effort on 598629, Grant H8552 - IDPH 93207006
Empowering Older People to Take More Control of Their Health Through Evidence based
Prevention Programs A Public Private Collaboration**

4%

Cost Shared Effort for 598629 - 1%

**Total Effort on 598768, Grant H8661 - IDPH 83280014
ACCESS Assessing the Cultural Characteristics of Elders and their Support Systems**

0%

Total Sponsored Effort

56%

[Total non-sponsored effort](#) (Click for Details)

44%

Total Effort

100%

6.16 Person Months

Comments Pull Down Menu on Each Fund

Andreas	Code	Salary	
2017 Effort to be Certified Calculate*			
Effort (Salary) Changed to Grant	486270	437000	\$0 0%
Committed Cost Sharing (2)			0%
Cost Shared Effort/Salary Cap	622998	232001	<input type="text"/>
Variance (Click for Details)			<input type="text"/>
<input type="text" value="Other - please explain in comment box below"/>			
Effort Accounted For on Fund 486270			0%
<input type="button" value="Save"/>			
Grant E2760 - Johns Hopkins 1U01NS088624-01A1 Grant Period: 9/15/2013 - 7/31/2017			
MISTIE III - Phase III randomized open-label 500 subject clinical trial of minimally invasive surgery plus rt-PA in the treatment of intracerebral hem			
FUND: 488433 PI: Amin-Hanjani, Sepideh			
	Fund	Org Code	Related Salary Effort
2017 Effort to be Certified Calculate*			
Effort (Salary) Changed to Grant	488433	232000	\$0 0%
Committed Cost Sharing (2)			0%
Cost Shared Effort/Salary Cap	622998	232001	<input type="text"/>
Variance (Click for Details)			<input type="text"/>
<input type="text" value="None - Please select a comment if required"/>			
Labor redistribution pending or will be submitted			0%
No effort required - fellowship/eqpt/conf/constr; if other please explain below			<input type="button" value="Save"/>
Effort reported on other fund or in other reporting period under this award			
Difference due to rounding error			
Increase/decrease in rate of pay (not FTE change) during AY			
Other - please explain in comment box below			
<small>The non-arterial vasospasm (trial 1)</small>			
FUND: 509167 PI: Alara, Ali			
	Fund	Org Code	Related Salary Effort
2017 Effort to be Certified Calculate*			
Effort (Salary) Changed to Grant	509167	232000	\$0 0%
Committed Cost Sharing (2)			0%
Cost Shared Effort/Salary Cap	622998	232001	<input type="text"/>
Variance (Click for Details)			<input type="text"/>
<input type="text" value="None - Please select a comment if required"/>			
Effort Accounted For on Fund 509167			0%
<input type="button" value="Save"/>			
Grant G3710 - Codman & Shurtleff, Inc. Grant Period: 1/27/2016 - 1/26/2019			
Safety and Effectiveness of the CODMAN ENTERPRISE Vascular Reconstruction Device and			

Comments
printed in red on
certifier's screen

Effort Report for: Thomas Prohaska
UIN: 679980416
Home Department: 245000
Contract Year: August 16, 2008 through August 15, 2009
Prepared by: Rob Galbogi (decadom@uic.edu)

Total Months Worked: 11 months

SOURCE OF PAY

EFFORT

Total Effort on 493282, Grant E5768 - 5 R18 DP001140-03

0%

Translating an Evidence Based Multi component Exercise Program for Older Adults
with Lower Extremities



Comment: No effort required-fellowship/eqpt/conf/constr; if other please explain below

Total Effort on 494933, Grant E7186 - 5 U48 DP000048 05W1
Illinois Prevention Research Center

3%

Total Effort on 495237, Grant E7278 - Ucla 1558 G FC283
Trial To Increase Walking Among Seditary Older Latinos

4%



Comment: Labor redistribution pending or will be submitted

Total Effort on 493932, Grant E7579 - 5 P20 Md00524-04
Project Export

0%



Comment: No effort required-fellowship/eqpt/conf/constr; if other please explain below

.....

Comments Entered by Preparer

For fund 493282 – PI is Mentor, no effort required

If select "Other" under comments pull down screen, comments must be entered in box at bottom of form or will receive an error message

Effort Report for: Thomas Prohaska
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Home Department: 245000
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Prepared by: Rob Galbogi (decadom@uic.edu)

Total Months Worked: 11 months

SOURCE OF PAY

EFFORT

Total Effort on 493282, Grant E5768 - 5 R18 DP001140-03 Translating an Evidence Based Multi component Exercise Program for Older Adults with Lower Extremities	0%
Total Effort on 494933, Grant E7186 - 5 U48 DP000048 05W1 Illinois Prevention Research Center	3%
Total Effort on 495237, Grant E7278 - Ucla 1558 G FC283 Trial To Increase Walking Among Seditary Older Latinos	4%
Total Effort on 493932, Grant E7579 - 5 P20 Md00524-04 Project Export	0%

.....

Comments Entered by Preparer



493282 - No effort required-fellowship/eqpt/conf/constr; if other please explain below
495237 - Labor redistribution pending or will be submitted
493932 - No effort required-fellowship/eqpt/conf/constr; if other please explain below

For fund 493282 – PI is Mentor, no effort required

Comments Pull Down Menu on Each Fund

Andreas	Code	Salary	
2017 Effort to be Certified			Calculate*
Effort (Salary) Changed to Grant	486270	437000	\$0 0%
Committed Cost Sharing (2)			0%
Cost Shared Effort/Salary Cap	622998	232001	<input type="text"/>
Variance (Click for Details)			<input type="text"/>
Other - please explain in comment box below			▼
Effort Accounted For on Fund 486270			0%
<input type="button" value="Save"/>			

Grant E2760 - Johns Hopkins 1U01NS088624-01A1 Grant Period: 9/15/2013 - 7/31/2017
 MISTIE III - Phase III randomized open-label 500 subject clinical trial of minimally invasive surgery plus rt-PA in the treatment of intracerebral hem

FUND: 488433	PI: Amin-Hanjani, Sepideh	Fund	Org Code	Related Salary	Effort
2017 Effort to be Certified					Calculate*
Effort (Salary) Changed to Grant	488433	232000		\$0	0%
Committed Cost Sharing (2)					0%
Cost Shared Effort/Salary Cap	622998	232001			<input type="text"/>
Variance (Click for Details)					<input type="text"/>
None - Please select a comment if required					▼
Labor redistribution pending or will be submitted					0%
No effort required - fellowship/eqpt/conf/constr; if other please explain below					<input type="button" value="Save"/>
Effort reported on other fund or in other reporting period under this award					
Difference due to rounding error					
Increase/decrease in rate of pay (not FTE change) during AY					
Other - please explain in comment box below					
The non-arterial vasospasm (trial 1)					
FUND: 509167	PI: Alara, Ali	Fund	Org Code	Related Salary	Effort
2017 Effort to be Certified					Calculate*
Effort (Salary) Changed to Grant	509167	232000		\$0	0%
Committed Cost Sharing (2)					0%
Cost Shared Effort/Salary Cap	622998	232001			<input type="text"/>
Variance (Click for Details)					<input type="text"/>
None - Please select a comment if required					▼
Effort Accounted For on Fund 509167					0%
<input type="button" value="Save"/>					

Grant G3710 - Codman & Shurtleff, Inc. Grant Period: 1/27/2018 - 1/26/2019
 Safety and Effectiveness of the CODMAN ENTERPRISE Vascular Reconstruction Device and

Cost Sharing: Committed vs. After the Fact

* required field

Grant E5824 - NSF-CNS-0716498
CT ISG High Speed Cryptography

FUND: 493361	Fund	Org Code	Related Salary	Effort
2009 Effort to be Certified				76%*
Effort (Salary) Charged to Grant	493361	699000	\$33,333	76%
Committed Cost Sharing (?)				0%
Cost Shared Effort (After Fact)	100009	699000		<input type="text"/>
Variance (Click for Details)				<input type="text" value="0"/>

Comments for fund 493361 - None

None - Please select a comment if required	
Labor redistribution pending or will be submitted	76%
No effort required - fellowship/eqpt/conf/constr; if other please explain below	
Effort reported on other fund or in other reporting period under this award	
Difference due to rounding error	
Increase/decrease in rate of pay (not FTE change) during AY	
Other - please explain in comment box below	
	Effort

2009 Effort to be Certified				0%*
Effort (Salary) Charged to Grant	494101	699000	\$0	0%
Committed Cost Sharing (?)				0%
Cost Shared Effort (After Fact)	100009	699000		<input type="text"/>
Variance (Click for Details)				<input type="text" value="0"/>

Warning: The effort commitment is zero. Comments must be entered to explain. (Fund: 494101)

Comments for fund 494101 - None

None - Please select a comment if required

Effort Accounted For on Fund 494101 0%

Comments
printed in red on
certifier's screen

Effort Report for: Thomas Prohaska
UIN: 679980416
Home Department: 245000
Contract Year: August 16, 2008 through August 15, 2009
Prepared by: Rob Galbogi (decadom@uic.edu)

Total Months Worked: 11 months

SOURCE OF PAY

EFFORT

Total Effort on 493282, Grant E5768 - 5 R18 DP001140-03

0%

Translating an Evidence Based Multi component Exercise Program for Older Adults with Lower Extremities



Comment: No effort required-fellowship/eqpt/conf/constr; if other please explain below

Total Effort on 494933, Grant E7186 - 5 U48 DP000048 05W1
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3%

Total Effort on 495237, Grant E7278 - Ucla 1558 G FC283
Trial To Increase Walking Among Seditary Older Latinos

4%



Comment: Labor redistribution pending or will be submitted

Total Effort on 493932, Grant E7579 - 5 P20 Md00524-04
Project Export

0%



Comment: No effort required-fellowship/eqpt/conf/constr; if other please explain below

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<u>SOURCE OF PAY</u>	<u>EFFORT</u>
Total Effort on 493282, Grant E5768 - 5 R18 DP001140-03 Translating an Evidence Based Multi component Exercise Program for Older Adults with Lower Extremities	0%
Total Effort on 494933, Grant E7186 - 5 U48 DP000048 05W1 Illinois Prevention Research Center	3%
Total Effort on 495237, Grant E7278 - Ucla 1558 G FC283 Trial To Increase Walking Among Seditary Older Latinos	4%
Total Effort on 493932, Grant E7579 - 5 P20 Md00524-04 Project Export	0%

.....

Comments Entered by Preparer



493282 - No effort required-fellowship/eqpt/conf/constr; if other please explain below

495237 - Labor redistribution pending or will be submitted

493932 - No effort required-fellowship/eqpt/conf/constr; if other please explain below

For fund 493282 – PI is Mentor, no effort required

Business Manager List

Effort Form Management for Business Managers

Welcome to the UIC Effort Reporting System. Click on an employee's name to access their worksheet. You will need to enter information for all of the employees listed below. You can click on any column heading to sort by the information in that column.

Salary Cap Warning: Individuals who have a high rate of pay may be subject to agency salary caps. Ensure that salary charged to grants does not exceed applicable caps (e.g. NIH/HHS, PCORI, K-Awards) and that the full amount of effort is reflected on the effort report. Individuals whose FTE is less than 1.0 may not be identified automatically and will require careful review to ensure that their salary does not exceed applicable caps. More information is available under [Other Helpful Resources](#).

		Business Manager		Certifier: PI or Individual					
Name	Home Org	Review Status	Submit Date	Certifier Name	Email	Certification Status	Date Certified	View Effort Report	Change: Unsubmit, Reassign or Share
Brown, Ed	999999	Submitted	10/18/2016	Brown, Ed	gcoeffort@uillinois.edu	Certified	10/18/2016	Certified form	<input type="button" value="Change"/>
Chen, John	999999	Pending		Chen, John	gcoeffort@uillinois.edu	Pending		View form	<input type="button" value="Change"/>
Jones, Alex	999999	Pending		Engstrom, Kathleen	gcoeffort@uillinois.edu	Pending		View form	<input type="button" value="Change"/>
Smith, James	999999	Pending		Smith, James	gcoeffort@uillinois.edu	Pending		View form	<input type="button" value="Change"/>
White, Jane	999999	Pending		Chen, John	gcoeffort@uillinois.edu	Pending		View form	<input type="button" value="Change"/>

You have READ-ONLY access to the following Business Manager Worksheets:

Name	Home Org	Business Manager	Business Manager Email	Certifier Name	Certifier Email
Smith, James	999999	White, Jamie	jamiew@uic.edu	Smith, James	gcoeffort@uillinois.edu

Management Features

Effort Form Management for Business Managers

Welcome to the UIC Effort Reporting System. Click on an employee's name to access their worksheet. You will need to enter information for all of the employees listed below. You can click on any column heading to sort by the information in that column.

Salary Cap Warning: Individuals who have a high rate of pay may be subject to agency salary caps. Ensure that salary charged to grants does not exceed applicable caps (e.g. NIH/HHS, PCORI, K-Awards) and that the full amount of effort is reflected on the effort report. Individuals whose FTE is less than 1.0 may not be identified automatically and will require careful review to ensure that their salary does not exceed applicable caps. More information is available under [Other Helpful Resources](#).

		Business Manager		Certifier: PI or Individual					Change: Unsubmit, Reassign or Share
Name	Home Org	Review Status	Submit Date	Certifier Name	Email	Certification Status	Date Certified	View Effort Report	
Brown, Ed	999999	Submitted	10/18/2016	Brown, Ed	gcoeffort@uillinois.edu	Certified	10/18/2016	Certified form	Change
Chen, John	999999	Pending		Chen, John	gcoeffort@uillinois.edu	Pending		View form	Change
Jones, Alex	999999	Pending		Engstrom, Kathleen	gcoeffort@uillinois.edu	Pending		View form	Change
Smith, James	999999	Pending		Smith, James	gcoeffort@uillinois.edu	Pending		View form	Change
White, Jane	999999	Pending		Chen, John	gcoeffort@uillinois.edu	Pending		View form	Change

You have READ-ONLY access to the following Business Manager Worksheets:

Name	Home Org	Business Manager	Business Manager Email	Certifier Name	Certifier Email
Smith, James	999999	White, Jamie	jamiew@uic.edu	Smith, James	gcoeffort@uillinois.edu

Effort Form Management for Business Managers

[<< Back to list](#)

Worksheet For: Ed Brown

UIN: 669000000

Home Department: 999999

Unsubmit Worksheet:

This worksheet has not been submitted by the Business Manager.

Reassign or Share:

You can request the following actions:

- Reassign Certifier
- Reassign Business Manager (You will no longer have access.)
- Grant read-only access to another Business Manager

Action List

The following actions have been taken for this individual:

No actions have been taken

Effort Form Management for Business Managers

Request to Reassign Certifier

Please enter the information for the new certifier below. This request will be submitted to the Grants & Contracts Office for approval.

Current certifier for Ed Brown (669000000):

Certifier UIN	Certifier Last Name	Certifier First Name	Certifier Email
678635945	Brown	Ed	gcoeffort@uillinois.edu

Valid reasons to reassign a certifier:

- The certifier is no longer employed at UIC.
(Individuals who have transferred to another unit within UIC will still need to certify.)
- The certifier is on sabbatical or extended leave and is inaccessible for the duration of the Effort Reporting period.
Required: Include the expected date of return in the Additional Details box for the request.
- The employee whose effort is being certified is paid 100% by funds managed by the requested certifier.
(Employees who are paid by funds managed by multiple PIs/Supervisors must certify their own effort reports.)

Enter new Certifier information: (* all fields are required)

Certifier UIN	Certifier Last Name	Certifier First Name	Certifier Email

Justification: (* required field)

Please select a justification ▼

Additional details:

Request New Certifier

Note: To reassign more than 10 worksheets, please contact the Effort Help Desk for assistance.

Effort Form Management for Business Managers

Request to Reassign Business Manager

Please select the new business manager below. This request will be submitted to the Grants & Contracts office.

Current business manager for Ed Brown (669000000):

Org	UIN	Last Name	First Name	Email
783	673829351	Green	Tim	timgreen@uic.edu

Valid reasons to assign a new business manager:

- The current Business Manager has moved to another department.
- The grants the individual was paid from are managed in another org.
- A different Business Manager in my org is responsible for this report.

Select new business manager:

Business Manager, Not Listed (ORG: 000) ▼ (required field) [Business Managers by Org](#)

If the new business manager is not in the dropdown list, please select "Business Manager, Not Listed" and provide their name & email address in the additional details below.

Justification: (* required field)

Please select a justification ▼

Additional details:

Note that you will no longer have access to this worksheet if the request is approved.

Request New Business Manager

Read Only Access

Effort Form Management for Business Managers

Request to Grant Read-Only access to another Business Manager

Please select the new business manager below. This request will be submitted to the Grants & Contracts office.

Grant read-only access to the worksheet for Ed Brown (669000000):

Valid reasons to grant read-only access:

- Completing the worksheet requires collaboration with another business manager.
- The worksheet needs to be reviewed by another business manager.

Business Manager, Not Listed (ORG: 000) ▼ (required field) [Business Managers by Org](#)

If the new business manager is not in the dropdown list, please select "Business Manager, Not Listed" and provide their name & email address in the additional details below.

Justification: (* required field)

Please select a justification ▼

Additional details:

Request Read-Only Access

You may grant read-only access to additional business managers by submitting additional requests.

[<< Go Back Without Updating](#)

Changes Committed Cost Sharing

*** required field**

Grant E1234 - Aenean luctus nisl tempus enim
Neque porro quisquam est qui dolorem ipsum quia dolor sit amet

FUND: 491699	Fund	Org Code	Related Salary	Effort
2010 Effort to be Certified				Calculate*
Effort (Salary) Charged to Grant	491699	217000	\$6,400	7%
Committed Cost Sharing (?)	100009/10	610000	\$1,888	<input type="text" value="2"/>
Cost Shared Effort	100011	610000		<input type="text"/>

[Variance](#) (Click for Details)

Effort Accounted For on Fund 491699 0%

Dollar amount will re-compute when you click save

Departmental Implementation

Help and Hints

Tips for Success - Preparation

Start Early!!!

- **Utilize available resources (training, job aids, one-on-one assistance sessions, helpdesk)**
- **Collect/organize effort information before starting**
- **Communicate with Faculty/Staff**

Training Updates

- Effort Reporting One-on-One Assistance Sessions (registration required-1 hour sessions)
- Helpdesk in operation during effort reporting period
- Job aids on the OVCR Effort Reporting Web Page:
 - <https://research.uic.edu/sponsoredprograms/managing-an-award/effort-reporting/>

Tips for Success - Preparation

If you do not have a list of the sponsored projects, including effort information, consider developing a list to assist with effort reporting

PI	Appt Type	Grant Code	Effort Proposed Cal	Effort Proposed Acad	Effort Proposed Sumr	Fund	Agency	Fund Title (Short Title)	Budget Period	Project Period	Project Title	PAF #
Grey, M	9/12	E3666		4.00	0.83	494030	NIH	5 U01 HL 070662-02	7/1/09 - 06/30/10	7/1/02 - 06/30/11	Heart contractility and Myosin E	2006-01706
Soprano, T	9/12	H8435		1.80	0.83	509772	IDHS	400C5567 17	7/1/09-6/30/10	7/1/09-6/30/10	Asthma Case Management Pgt	2010-00668
Geller, M	9/12	E3288		0.45	0.84	491052	PVT(NIH Flow Thru)	5 RO1 AA 72566-02 ARRA (NWU subK)	09/30/09-08/31/10	09/30/09-08/31/11	Helper cells and vaccine response	2009-06395
Chen, W	12/12	E7777	12			495077	NSF	MCB1759 2	08/01/09-07/31/10	08/01/07 - 07/31/10	Role of CD8 T Cells in Immunity to Tuberculosis	2005-02315
Hobbs, M	9/12	G6370		0.75		556199	AHA	Amer Heart Assoc (NCE-1)	01/01/10-12/31/10	01/01/09-12/31/11	Immunotherapy and Heart Disease	2008-05928
		Effort Charged directly to grant										
		Effort cost shared										
Contracts (i.e. funds coming in) are in bolded blue												
NCI-1 First no-cost extension												

Tips for Success - Preparation

- **Sources to obtain effort information (cont'd)**
 - **Progress reports** (if not already available in InfoEd or NIH Commons)
 - **Banner Forms** which may be helpful

Banner Forms	Data Needed	Information Provided
FZAGRNT	Grant Code (e.g. E5567)	PI name, agency name, project start/end date, short and long title
FRIPSTG	Employee name or UIN	All funded grants for an individual – lists Grant code and short title
FTIORGH	Org code	Name of organizational unit and hierarchy
NZIESUM	Employee name or UIN	All jobs listed for an individual
NBAJOBS	Employee name or UIN	Labor distribution per job, labor distribution change date
PZAREDS	Employee name or UIN	Labor distribution (actual paid) by job by pay period

Tips for Success - Preparation

- **Sources to obtain information for list**

- **Kuali-Coeus System / PI Portal (myResearch Portal)**
 - to obtain copies of initial grant proposal and/or progress reports submitted to OSP
 - contact your USC to obtain system access

- **NIH Commons**

- to obtain copies of initial grant proposal and/or progress reports
- contact ORS to obtain system access

Tips for Success - Implementation

- **As soon as ERS access is available:**

- Sort table by Name to confirm that all the names on the list are correct (click on “Name” at top of column to sort)
 - If incorrect, change the business manager by submitting the request in ERS (for one-off changes) and providing applicable justification and/or explanation. For larger changes (e.g., org change, you no longer manage a particular org, need access to a new org, etc.), submit your request via email to gcoefficient@uic.edu.
- Sort table by Certifier to confirm that all the names on the list are correct (click on “Certifier” at top of column to sort)
 - If incorrect, change the certifier by submitting the request in ERS and providing the applicable justification and/or explanation.

Tips for Success - Implementation

- Review individual reports to determine if any grants are managed in a different org
 - Contact the org business manager to obtain effort information for the grant
 - A list of business manager contacts per org is posted on the Effort Reporting site (<https://ers.gco.ovcr.uic.edu/>)

Tips for Success – Implementation

- Validate IBS (Institutional Base Salary)
 - Banner screen **PEIESUM**
 - Banner screen **PZAREDS**
 - Actual pay by job/by fund (including labor re-distributions)
 - Webi reports
 - Template instructions & descriptions are available on the Effort Reporting web site (reports are posted in EDDIE)
<https://ers.gco.ovcr.uic.edu/>

Tips for Success – Implementation

- **Remember items NOT included in IBS**
 - Lump sum incentive pay
(Service plans MSP, DSP, NSP) **UIC paid**
 - Over comp/overload payments **UIC paid**
 - VA hospital/clinic pay **non-UIC paid**
 - Pay from other non-institutional activities
(Consulting, professional society, etc.) **non-UIC paid**

Tips for Success – Implementation

- The effort calculator must be used to enter effort percentage
- Effort must be calculated for every fund.
 - If effort is zero, enter any number of months in the “month” column of the calculator (cannot exceed the number of appointment months) and enter “0” in the percent effort column

2016 Effort Certification Worksheet for Business Managers

[<< Back to list](#)

Effort Certification Worksheet for: James Smith
 UIN: 679000000
 Home Department: 999999
 Contract Year: August 16, 2015 through August 15, 2016
 Institutional Base Salary: \$199,747
 Effort Certification Worksheet Prepared by: Jamie White
 Total Number of Months Worked from August 16, 2015 through August 15, 2016: 12 months

Funds and Percentages Available for Cost Sharing/Salary Cap

Fund	Org Code	Percent Available
100011	323000	74%

Excludes 0.0 FTE appointments.

* required field

Grant E1234 - Aenean luctus nisl tempus enim
 Neque porro quisquam est qui dolorem ipsum quia dolor sit amet

FUND: 491329 Fund Org Code Related Salary Effort

[2016 Effort to be Certified](#)

Effort (Salary) Charged to Grant 491329 323000 \$0

Committed Cost Sharing (?)

Cost Shared Effort/Salary Cap 100011 323000

[Variance](#) (Click for Details)

None - Please select a comment if required

Effort Accounted For on Fund 491329

FUND: 492141 Fund Org Code Related Salary Effort

[2016 Effort to be Certified](#)

Effort (Salary) Charged to Grant 492141 323000 \$0

Committed Cost Sharing (?)

Cost Shared Effort/Salary Cap 100011 323000

[Variance](#) (Click for Details)

None - Please select a comment if required

Calculate the 2016 Effort to be Certified

This calculator only works for employees whose FTE remained constant throughout Academic Year 2016. If this employee's FTE changed at any point during the year, click [here](#) for instructions.

Fund 491329

Months % Effort

Fall/Spring or Calendar

<input type="text"/>	<input type="text"/>

[Show more months >>](#)

Summer

<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>

NOTE: Recalculating the effort commitment will delete any data saved for this fund. To exit without recalculating, click the 'X' on the top right of the calculator.

Calculate Effort Commitment

Tips for Success – Implementation

- Any 0% effort must be explained
 - Can use either the comment pull down menu associated with the fund or the comments field at the end of the form
- Remember to “save” every time a comment is entered in the comments field or a comment is selected from the fund pull down comment menu

Cost Shared Effort	100009	885000	<input type="checkbox"/>
Cost Shared Effort	599063	699000	<input type="checkbox"/>

[Variance](#) (Click for Details)

0

Warning: The effort commitment is zero. Select a comment to explain. (Fund: 558927)

None - Please select a comment if required

Effort Accounted For on Fund 558927

0%

Total Sponsored Effort

34%

[Total non-sponsored effort](#) (Click for Details)

66%

Business Manager Comments

- All comments will be reviewed by the Office of Grants & Contracts.
- All comments will appear on the final effort certification form and be displayed to the individual who certifies this effort report.
- If this effort certification form is inaccurate, you will be required to submit documentation that required labor redistributions have been completed.

Comments

The following funds involve voluntary uncommitted cost sharing:
491718; 493134; 556062; 556493.

Use Tools!

- ✓ Maintain a customized spreadsheet for each PI's effort showing each month of the year, the effort on each grant and keep it current
- ✓ Review the reports with PIs before effort certification
- ✓ Use job aids, glossary & FAQs and presentations provided by G&C

Cost Sharing: Committed vs. After the Fact

* required field

Grant E5824 - NSF-CNS-0716498
CT ISG High Speed Cryptography

FUND: 493361	Fund	Org Code	Related Salary	Effort
2009 Effort to be Certified				76%*
Effort (Salary) Charged to Grant	493361	699000	\$33,333	76%
Committed Cost Sharing (?)				0%
Cost Shared Effort (After Fact)	100009	699000		<input type="text"/>
Variance (Click for Details)				<input type="text" value="0"/>

Comments for fund 493361 - None

None - Please select a comment if required		
Labor redistribution pending or will be submitted		76%
No effort required - fellowship/eqpt/conf/constr; if other please explain below		
Effort reported on other fund or in other reporting period under this award		
Difference due to rounding error		
Increase/decrease in rate of pay (not FTE change) during AY		
Other - please explain in comment box below		
		Effort

2009 Effort to be Certified				0%*
Effort (Salary) Charged to Grant	494101	699000	\$0	0%
Committed Cost Sharing (?)				0%
Cost Shared Effort (After Fact)	100009	699000		<input type="text"/>
Variance (Click for Details)				<input type="text" value="0"/>

Warning: The effort commitment is zero. Comments must be entered to explain. (Fund: 494101)

Comments for fund 494101 - None

None - Please select a comment if required

Effort Accounted For on Fund 494101 0%

Compliance Risks & Considerations

What are the Compliance Risks Related to Effort Reporting?

Improper or inadequate certification of effort can result in the following restrictions imposed on the University by the federal government:

- Refund of funds to sponsor
- Withholding of future awards
- Special monitoring by sponsor
- Temporary withholding of payments
- Audit findings
- Requirement for corrective action plan
- Designation as a "high risk" organization
- Loss of Expanded Authorities
- Payment of punitive damages



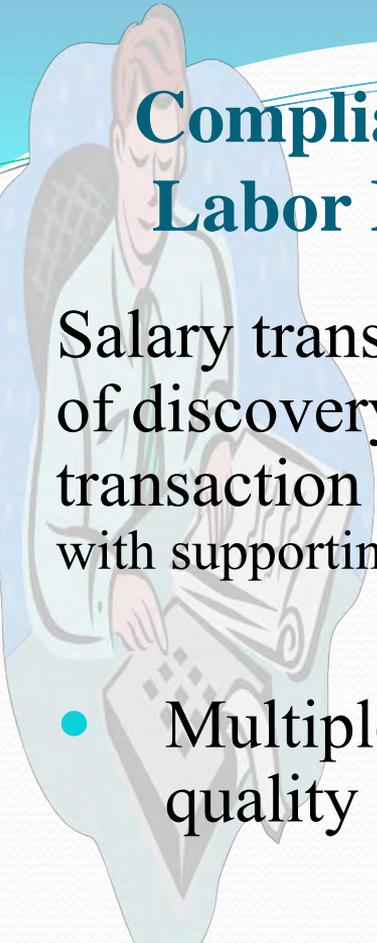
How are Effort Reports Used?

Effort Reports are requested annually for the federal audit

- Effort Reports are used in the audit process to ensure compliance with the level of effort committed in the award document, to identify cost shared effort and confirm sponsor salary cap limitation(s) are not exceeded.

- Effort reports ensure compliance with OMB A-21 & Uniform Guidance requirements to confirm that the distribution of effort "represents a reasonable estimate of the work performed by the employee during the period."

- Effort Reports are also reviewed by:
 - Granting Agencies
 - Internal Auditors



Compliance Considerations and Justifications Labor Redistributions

Salary transfers are to be completed promptly, within 90 days of discovery. Transfers made over 90 days from the original transaction require additional justifications (signed GC81 form with supporting documentation).

- Multiple labor redistributions are a key indicator of the quality and effectiveness of internal controls
- Salary transfers should not be used as a management tool nor used for convenience to move funds between budgets
- Salary transfers can be a significant compliance risk

Compliance Considerations and Justifications

Labor Redistributions

How to avoid:

- Review and reconcile budget statements regularly to determine required salary distributions changes, detect errors and make payroll adjustments to reflect appropriate effort commitments
- As much as possible, avoid labor redistributions when effort has previously been certified as correct
- Do not use sponsored budgets as a holding account
- Avoid labor distributions occurring at the end of a grant period

Questions??



- **Call Us!**
 - **Effort Helpdesk:** A central phone number will NOT be offered this year; campus must email with a call back number.
 - **Data Preview:** September 10 - 24, 2020
 - **Certification:** Anticipate opening late the week of October 14, 2020 and will last three weeks.
- **Email Us!**
 - Email: gcoeffort@uic.edu
- **Schedule a remote, one-on-one session with us !**
 - **Effort Reporting One-On-One Assistance (via WebEx)**
 - Send an email to gcoeffort@uic.edu to arrange a day/time to meet for an hour.
 - Made with team based on individual availability.
 - NOT available Nov. 2-4 (last week)