Effort Reporting & Commitments (ERC) Application Training: 
*Departmental Administrators*

Sponsored Program Services
Fall 2015
Training Agenda

• Effort and Effort Reporting Basics
• ERC Access, Training and Navigation
• Effort Commitments
  – Search/view commitments
  – Request commitment changes
• Effort Reports
  – Search/view reports
• Routing (optional – required for security role)
  – Worklist
  – Releasing/advancing reports
Effort: The Basics

• In a grant proposal, we offer effort
• At award time, we commit effort
• Throughout the project, we charge salary to the sponsor
• The University must assure sponsors that:
  – The commitment of effort to the project is met
  – The effort expended on the project is at least commensurate with the salary charged
  – Effort devoted to research and other sponsored projects has been properly accounted for
Effort: The Basics

Committed Effort

- Paid Effort
  - Paid by Sponsor

- Cost Shared Effort
  - Not Paid By Sponsor
Effort: Cost Shared Effort

- A commitment to the sponsor to perform work on the project that is not paid for by the project (mandatory and voluntary committed cost sharing)
- Must be charged to a non-sponsored general departmental account or a designated Match account
- Cost Shared effort for one project cannot be charged to a different project account
- Effort expended on a project where no commitment was made to the sponsor is voluntary uncommitted effort and should not be reported on effort reports
Effort Reporting: Certification

• Effort certification (or *effort reporting*) is UConn’s means of assuring sponsors that:
  – The commitment of effort to the project was met
  – The effort expended on the project was at least commensurate with the salary charged
  – Effort devoted to research and other sponsored projects was properly accounted for

• This is not “timekeeping” or “activity tracking”
  – Researchers are not required to “report how they spent their time”
The New ERC Application

• It’s finally here!!
• All effort reporting going forward will be done electronically through the application
  — Even revisions on paper reports
• [http://apps.research.uconn.edu/erc](http://apps.research.uconn.edu/erc)
• Log in using UConn NetID Single Sign On
Do Not Share Your NetID Password

• UConn policy states that “users must not share account passwords with any other person” (Access Control Policy, Information Technology, May 16, 2012)

• Possession of unauthorized passwords is a violation of the UConn General Rules of Conduct (January 2004) for which Staff and Faculty may be disciplined or dismissed
ERC Department Training

- **Departmental ERC Training**
  - Required for individuals who will be responsible for reviewing effort reports and managing commitments within the department
  - At least one person from every academic department as well as centers which manage grants must be identified and attend training

- **Access Form**
  - Required for access to view commitments and to receive notifications (no training required)
  - Required for access to request commitment changes and to review effort reports (Departmental ERC Training required)
Access to New ERC Application

• Base level departmental access: can view all commitments and reports for department; no role in workflow or approval of reports

• Additional options:
  – Department Admin: adds workflow responsibility; requires effort report review before and after PI/Individual sign-off
  – Business Manager: used for escalation of notifications
  – Department Head: assigned by automated feed; can approve reports in absence of PI
  – Research Dean: used for escalation of notifications
Basic Application Navigation

**Effort Reporting and Commitments**

Link to our help page. Available at the top of all application screens.

Left navigation: Provides links to all areas of application.

- **My Worklist**: List of effort reports currently requiring your review
- **My Commitments**: List of your own effort commitments
- **Search (Commitments)**: Find/view commitments by project or individual
- **Commitment Change Form**: Submit/view request(s) to change effort
- **My Reports**: List of your own effort reports by period (includes personnel working on your grants)
- **Search (Reports)**: Find/view reports for an individual
- **Report Period Overview**: View return rates by effort report period, school, department; view all reports for a department
- **Reports by PI**: List of a PI’s effort reports by period (includes personnel working on their grants)

**NOTE:** Report Period Overview and Reports by PI screens are not available to standard users (i.e. default access provided to PIs and Individuals)
Application Features: Search Boxes

• Whenever searching by name, if you enter the Last Name into the box, an autosuggest list will appear
  – In some cases, picking from the autosuggest bypasses the result list – saving you time!

![Autosuggest List](image.png)

• Another trick - click on the blue search icon without entering search criteria to return all results specific to your access (i.e. your department)
Application Features: Result Tables

- Double-click on line or click on Icon at beginning and/or end of line to select
- Sort & Filter Result Tables
  - Most result tables have filters enabled
  - Point your mouse on the column header
  - Click on the triangle to the right to see the Sort & Filter menu
- Navigating through Tables
  - By default, most tables will display 20 lines of results
  - Check the bottom right corner of the table to navigate through the pages of results and change the number of lines shown
Commitments
Commitments Overview

• The application tracks **Paid** or **Cost Shared** commitments for **Key Personnel** that are **communicated through SPS to the sponsor**

• Any changes to effort commitments should be communicated to SPS via the Commitment Change Form

• Department Administrators are expected to help their faculty manage their commitments
Recommended Best Practices for Departmental Administrators

• Review commitments for each project at beginning of:
  – Initial award
  – Each non-competitive segment (i.e. annually)

• Review commitments for your faculty prior to generation of effort reports
  – Must be completed within the timeframe provided by SPS
Commitments Search

• Click on Search under Effort Commitments to find the Project or Individual

• For Projects, you can search by:
  – Account Number
  – Sponsor Award Number
  – InfoEd Proposal Number
  – PI Name

• For Individuals, search “Last Name, First Name” to utilize the autosuggest feature
Commitments by Project

• Review all effort commitments related to each project managed by your department
• All associated individuals (even those outside of your department) are listed on one screen
• SPS records the last time the effort commitments were reviewed for the project on this screen
  — Most Recent Review (upper right corner)
  — Review Log (bottom of page) – also includes comments
Commitments by Project

Click on Expand All/Collapse All or the +/- to view/hide the effort commitment details

Click on individual’s name to directly access their Commitments by Individual page
Commitments by Individual

• Review all effort commitments related to each person in your department
• All associated projects are listed on one screen
• Shows all projects that an individual is listed on - even if that project is not managed by your department
• Print button (upper right corner) provides option to print all projects or only non-closed projects
## Commitments by Individual

### Effort Commitments by Individual

<table>
<thead>
<tr>
<th>Award Number</th>
<th>Title</th>
<th>Acct. #</th>
<th>Effort Type</th>
<th>Appt Type</th>
<th>% Effort</th>
<th>Start Date</th>
<th>End Date</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>5</td>
<td>Salared</td>
<td>SUM</td>
<td>33.33 %</td>
<td>09/15/2015</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Award Number - Title

<table>
<thead>
<tr>
<th>Award Number</th>
<th>Title</th>
<th>Acct. #</th>
<th>Effort Type</th>
<th>Appt Type</th>
<th>% Effort</th>
<th>Start Date</th>
<th>End Date</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>5</td>
<td>Salared</td>
<td>SUM</td>
<td>16.77 %</td>
<td>06/01/2011</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Click on Expand All/Collapse All or the +/- to view/hide the effort commitment details.

Click on award number/title to directly access the Commitments by Project page.
Commitments Definitions

- **Acct #**: KFS Account Number paying the portion of salary equivalent to the effort commitment
- **Effort Type**: Identifies whether the commitment is Salaried/Paid or Cost Shared
- **Appt Type**: Identifies if the commitment is in place for the Academic Year (ACAD), Summer (SUM) or Calendar Year (CAL)
- **% Effort**: Lists the effort for the commitment
- **Start Date**: List the start date of the commitment
- **End Date**: Identifies the end of the commitment; if none is listed, the commitment runs through the end of the project
## Commitment Rules

<table>
<thead>
<tr>
<th>Employee Appointment Term</th>
<th>Academic Year (ACAD)</th>
<th>Summer (SUM)</th>
<th>Calendar Year (CAL)</th>
</tr>
</thead>
<tbody>
<tr>
<td>9 Month</td>
<td>Allowed: Reflects effort over 9 month period</td>
<td>Allowed: Reflects effort over 3 month period</td>
<td>N/A</td>
</tr>
<tr>
<td>10 Month</td>
<td>Allowed: Reflects effort over 10 month period</td>
<td>Allowed: Reflects effort over 2 month period</td>
<td>N/A</td>
</tr>
<tr>
<td>11 Month</td>
<td>N/A</td>
<td>Allowed when only Summer commitment: Effort adjusted to reflect 1 month worked over 3 month period*</td>
<td>Allowed: Effort adjusted to reflect 11 months worked over 12 month period*</td>
</tr>
<tr>
<td>12 Month</td>
<td>N/A</td>
<td>N/A</td>
<td>Allowed: Reflects effort over 12 month period</td>
</tr>
</tbody>
</table>

* No adjustment is necessary if start and end dates specifying the shortened term are listed on the commitment.
Commitment Change Form

• Use to request and communicate changes in effort, role or Key Personnel status for your faculty

• Form routes through SPS where:
  – Sponsor approval is obtained, if needed
  – Decision is made on change
  – If approved, commitments are updated in the ERC application
Commitment Change Form

- Click on Commitment Change Form link (on left) to review & create forms

![Image of Commitment Change Form]

- Click to start new commitment change form
- Click icons to edit or delete unsubmitted forms
- Check the status of your submitted forms easily from the list or click on View to review any comments added by SPS in the review
Submitting a New Commitment Change Form

• Can initiate a form directly from an Effort Report or from Commitments by Individual
• In those cases, the individual is defaulted
  — Otherwise, need to lookup individual requiring the change
• Select SPS team
• Add project(s) associated with the effort change
Submitting a New Commitment Change Form (continued)

• Describe the commitment change in the comment box:
  – Start and end date of new commitment
  – Indicate if it is a new commitment OR an increase/decrease on an existing commitment
  – Indicate whether effort is paid/salaried or cost shared
  – KFS Account Number
    • If cost shared, note the account covering the salary expense associated with the effort
  – Effort in percent or in person months
Submitting a New Commitment Change Form (continued)

• Click on **Save** button to save the form to submit later

• You can return to your **Forms in Progress** by clicking on **Commitment Change Form** link on the left navigation menu at any time

• Once submitted, your change form will route to the SPS team selected for review

• We’ll contact you if we have any questions!
Effort Reports
Effort Reporting: Who and When?

• Effort reports are generated for Faculty, Staff and Students who, for the reporting period:
  – Received pay from a sponsored program account,
  – Received pay from a designated match account OR
  – Had a cost shared effort commitment

• Reports are generated three times in an academic year (Fall, Spring and Summer)
Effort Report Approval Process

1. Report Generation
2. Dept Admin Initial Review
3. PI/Individual Review and Certification
4. Dept Admin Final Review
5. Report Validation
6. Approved Report
Effort Reporting: Who Certifies?

- Faculty certify their own reports
- Graduate and undergraduate students’ reports are certified by the PI of each project listed
- Staff reports can be certified by the individual or the PI of each project
  - System notifications regarding certification are set at the school/college level and can be turned off for Staff if the school/college would prefer that the PIs sign these reports
- Department Heads can certify for the PI or individual if they have left the university or are unavailable to sign
## Effort Reporting Cycles

<table>
<thead>
<tr>
<th>Period</th>
<th>Fall Report</th>
<th>Spring Report</th>
<th>Summer Report</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>All employees except those with 10 month appointments</strong></td>
<td>Late August – Early January</td>
<td>Early January – Mid May</td>
<td>Mid May – Late August</td>
</tr>
<tr>
<td><strong>Pay Periods</strong></td>
<td>10</td>
<td>9.5</td>
<td>6.5</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Period</th>
<th>Fall Report</th>
<th>Spring Report</th>
<th>Summer Report</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Employees with 10 month appointments</strong></td>
<td>Late August – Early January</td>
<td>Early January – Late June</td>
<td>Late June – Late August</td>
</tr>
<tr>
<td><strong>Pay Periods</strong></td>
<td>10</td>
<td>12</td>
<td>4</td>
</tr>
</tbody>
</table>
Effort Report Search

- Search by “Last Name, First Name” to utilize the autosuggest feature OR
- Enter any piece of a name to do a wildcard search (no special characters are needed) OR
- Enter the Report ID to go directly to a specific report
The Effort Report

• Report Header Information
  – Identifies report period, employee name & number, title, department, appointment term, report ID

• Report Due Date
  – Specific to each report
  – SPS allows 45 days to complete report certification commencing when the report is first distributed to the department administration
  – The certification clock *may* be reset if a report needs to be regenerated
The Effort Report

"All other sources..." line appears on all reports to record non-sponsored effort in one line. Additional details about non-sponsored effort are not required.

Quick Link to Help Page

Print Report Button: Only available for Approved Reports

Click on Expand All/Collapse All or the +/- to view/hide the account details

Officer of the Vice President for Research

University of Connecticut
Effort Report: Definitions

• Projects are listed by InfoEd # with the title, sponsor and project PI name

• **Calculated Effort**: includes the percentage paid on the project plus any cost shared commitment entered in the ERC application

• **Actual Effort**: entered by the PI or Individual at a project level when certifying their report
Effort Report: Cost Shared Effort

• When there is cost shared effort listed on a report, you will see:
  – An account detail line showing the cost shared effort under the project
  – An account detail line under “All other sources...” with a negative effort value equal to the cost shared effort
    • This shows the effort being moved from the account bearing the salary expense to the sponsored project

• In other words, negative effort is being moved from the departmental 2 ledger account to the project
The Effort Report

Effort Report for Fall Semester 2014
For Period: 08/22/2014 - 01/08/2016
Fiscal Year 2015

Employee Name:
Employee Number:
Title:
Department:
Appointment Term: 12 months
Report ID: 1

Report Due Date: 07/23/2015

These buttons and links provide additional information regarding the effort report. Clicking on them will open a new window or tab.
Effort Report: Additional Info

- **Request Commitment Change**: initiates a new form to request changes to the ERC Commitment data

- **View Transaction Details**: provides an Excel file with the KFS financial transactions and ERC Commitment data used to build the report
  - KFS cost transfer transactions which cross effort reporting periods will show the prorated dollar amounts

- **Effort Report Details**: provides report data compared to current commitment information
### Effort Report Details

**Employee Name:**

Name

[View all Commitments]

These columns display the information used to generate the effort report.

<table>
<thead>
<tr>
<th>InfoEd Proposal#</th>
<th>Project Title</th>
<th>Paid Amount</th>
<th>Paid Effort</th>
<th>Cost Shared Effort</th>
<th>Total Calculated Effort</th>
</tr>
</thead>
<tbody>
<tr>
<td>10</td>
<td></td>
<td>$2,447.00</td>
<td>5%</td>
<td>0%</td>
<td>5%</td>
</tr>
<tr>
<td>11</td>
<td></td>
<td>$0.00</td>
<td>0%</td>
<td>10%</td>
<td>10%</td>
</tr>
<tr>
<td>12</td>
<td></td>
<td>$0.00</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
</tr>
</tbody>
</table>

**Basis for Report Calculations**

These columns display the information currently listed in the commitments side of the application. These percentages are prorated for the effort reporting period.

<table>
<thead>
<tr>
<th>Paid Effort</th>
<th>Cost Shared Effort</th>
<th>Total Calculated Effort</th>
</tr>
</thead>
<tbody>
<tr>
<td>5%</td>
<td>0%</td>
<td>5%</td>
</tr>
<tr>
<td>0%</td>
<td>10%</td>
<td>10%</td>
</tr>
<tr>
<td>0%</td>
<td>0%</td>
<td>0%</td>
</tr>
<tr>
<td>16%</td>
<td>0%</td>
<td>16%</td>
</tr>
</tbody>
</table>

*Please note: Salary Cap adjustments are reflected in the 'Paid Effort' column.*
Effort Report Details: Basis for Report Calculations

- These columns reflect the details used to build the effort report
  - **Paid Amount**: amount of salary charged to accounts directly linked to the project (does not include non-project specific departmental match accounts)
  - **Paid Effort**: paid amount divided by total amount earned in the period (column includes salary cap adjustments)
  - **Cost Shared Effort**: cost shared effort that was in Commitments system at time report was generated
  - **Total Calculated Effort**: total of Paid Effort and Cost Shared Effort columns (same as the Calculated Effort column on the report)
Effort Report Details: Current Commitments

• These columns reflect the current data in ERC prorated for the reporting period
  – **Paid Effort**: committed paid effort currently in the Commitments system (column includes salary cap adjustments)
  – **Cost Shared Effort**: committed cost shared effort currently in the Commitments system
  – **Total Calculated Effort**: total of Paid Effort and Cost Shared Effort columns (reflects total known commitments for the period)
Effort Report Details: Best Practices for Review

• Lines with 0% Total Calculated Effort in the Basis for Report Calculations section
  – With current paid effort commitment: this reflects a paid effort commitment that was not taken
    • A revised PA or a Commitment Change Form may be needed
  – With current cost shared effort commitment: this reflects a cost shared effort commitment that was added after the report was generated
    • A revised effort report or a Commitment Change Form may be needed

• Identify situations where paid/cost shared effort split is not reflected accurately in the commitments
  – Commitment Change Form may be needed to change existing paid commitment to a cost shared commitment or vice versa
Effort Report: Approval Log

• Located below the effort report
• Displays a list of all actions taken on the report from Report generation (bottom) to Report Approved (top)
• For reports in progress, the current step is listed at the top
  – There is a line for each person able to take action
  – Uncompleted steps have blank Action Dates
  – If applicable, when an action is complete, other lines related to that step will be removed
• Comments entered when a report is submitted are listed to the right
  – A popup window displaying the comments will appear automatically when opening a report with comments
Effort Report: Approval Log

The Approval Log is located below the effort report and includes details of all actions on an effort report.

Any comments are displayed with the action.
Revised Effort Reports

• In rare cases, a certified report needs to be corrected and re-certified
• In these cases,
  – The report is labeled as a “Revised Report” (under the Report Due Date)
  – The “Previously Approved Effort” column, which indicated the effort last certified on the report, is visible
  – The Approval Log will indicate
    • The initial report generation
    • The subsequent report generation(s)
    • The original certifier & date will be noted in the comments
Report Period Overview

• Provides the numbers of reports issued, reports returned and return rates by reporting period

• Can drill down into Schools then Departments (based on access)

• Department level provides a complete list of all reports assigned to the department for a reporting period
Reports by PI

• Excellent tool to see all reports listing a PI’s accounts – even if they are outside of your department!
• Search for PI by name
• Click on + next to the reporting period to see the list of reports
• Can use forward/back links on the report screen to move through report list
### Reports by PI

Click on the + or – at the to expand the reporting period

This icon and the shaded column indicates a filter is applied

Count of fully approved effort reports for the reporting period

Return to your list

Links to navigate through your list

<table>
<thead>
<tr>
<th>Name</th>
<th>NetID</th>
<th>Payroll ID</th>
<th>Due Date</th>
<th>Department</th>
<th>Title</th>
<th>Report ID</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Assistant 1</td>
<td>12345</td>
<td>In Progress: Dept Admin Initial Review</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Technical Su.</td>
<td>1234</td>
<td>In Progress: Individual Review</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Associate (F)</td>
<td>12345</td>
<td>In Progress: Dept Admin Initial Review</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Graduate Student</td>
<td>12345</td>
<td>In Progress: Individual Review</td>
</tr>
</tbody>
</table>

Go to page: 1 Show rows: 20 ▼ 1-4 of 4 ▼

Previous in list (1 of 4): Summer 2013

Effort Report for Summer Semester 2013

Employee Name:
Questions?

After the break:

- Effort report review, routing and certification
- **REQUIRED** for Department Administrator security access
60 Minute Break
Effort Reporting & Commitments (ERC) Application Training: 
*Departmental Administrators* 
*PART TWO*

Sponsored Program Services  
Fall 2015
Effort Report Routing
Effort Report Approval Process

- Report Generation
- Dept Admin Initial Review
- PI/Individual Review and Certification
- Dept Admin Final Review
- Report Validation
- Approved Report
Workflow Roles & Responsibilities

• ERC Administrator:
  – Generates reports
  – Completes initial SPS review
  – Reviews reports returned to SPS
  – Completes post-validation SPS review (sends to SPS Post-Award, if necessary)

• Department Administrator:
  – Reviews reports for completeness
    • Are there recent cost transfers that should be included?
    • Was there a change in a commitment that wasn’t updated in the ERC application?
  – Initiates appropriate cost transfers and commitment changes
  – Assists departmental faculty and staff with completing their reports
Workflow Roles & Responsibilities

• PIs & Other Faculty:
  – Reviews and certifies their own report
  – Reviews and certifies reports for students and staff working on their sponsored projects

• Other Individuals with Reports:
  – Review and certify their own report, if preferred by their School
  – Undergraduate and graduate students cannot approve their own reports

• Department Head:
  – Certify reports, as needed, when PIs are unavailable to approve

• SPS Post Award
  – Reviews and processes Commitment Change Forms
  – Completes additional post-validation SPS review, if necessary
Effort Report Routing: Basics

- Changes are allowed ONLY when the report is currently routed to you
- Only the PIs or the individual listed on a report can enter the Actual Effort
- You can view any report involving your department at any time in the route
- Multiple people can be in the same role for a department
  - For dept admin review, only one person needs to Submit to report to move it off of everyone’s worklist
Basic Application Navigation

**Leaf navigation: Provides links to all areas of application.**

- **My Worklist**: List of effort reports currently requiring your review
- **My Commitments**: List of your own effort commitments
- **Search (Commitments)**: Find/view commitments by project or individual
- **Commitment Change Form**: Submit/view request(s) to change effort
- **My Reports**: List of your own effort reports by period (includes personnel working on your grants)
- **Search (Reports)**: Find/view reports for an individual
- **Report Period Overview**: View return rates by effort report period, school, department; view all reports for a department
- **Reports by PI**: List of a PI’s effort reports by period (includes personnel working on their grants)

**NOTE**: Report Period Overview and Reports by PI screens are not available to standard users (i.e. default access provided to PIs and Individuals)
My Worklist

• Default screen of the application
• Provides list of reports currently requiring your review (i.e. reports where you are assigned to the current workflow step)
• Double-click on a row or click on the icon to enter the report
Approval Log

• Located below the effort report
• Displays a list of all actions taken on the report from Report generation (bottom) to Report Approved (top)
• For reports in progress, the current workflow step is listed at the top
  – There is a line for each person currently able to take action (Current steps have blank Action Dates)
  – When an action is complete, other lines related to that step will be removed
• Comments entered at submission are listed to the right
Effort Report Approval Process
Report Generation

• KFS labor transaction extraction
  • Review of cost transfer lines
  • Assign all transactions to appropriate reporting period

• Calculate accrual entries for 9 & 10 month employees with under 75% sponsored program effort

• Combine to generate effort reports in the ERC application
Initial SPS Review

• ERC Administrator reviews for
  – Reports will 100% “All other sources…” – report not needed
  – Reports with departments that need to be changed
  – Reports with bad data
    • Special payroll related to Summer pay posting in Academic Year
    • Adjustments posting out of sync with original transaction

• SPS office wide sampling and testing of reports
Effort Report Approval Process

- Report Generation
- Dept Admin Initial Review
Department Admin Initial Review

• For each report:
  – Review to ensure recent cost transfers and commitment changes have been included
  – Determine if any cost transfers or commitment changes are required
    • If yes, submit appropriate paperwork and route report back to SPS to be regenerated prior to certification
  – Missing projects *may* be added to the report
    • RECOMMENDED: Route the report back to SPS for corrections

• Review Effort Report Details
Effort Report for Dept Administrators

Navigate through your Worklist

Assign report to a different department

Find and add missing sponsored projects to the effort report

Route the report (move it forward or send it back)
When **TO** “Change Department”

- Reports are assigned to the “phonebook” department for all faculty and staff
- Student reports are assigned to the department which owns the project with the most calculated effort
- If another department should be responsible for the reviewing and tracking the report, click on **Change Department**
When **NOT** to “Change Department”

- Don’t use to:
  - **Share access to the report:** All department admins already have access to all reports listing their department’s projects and their PI’s projects
  - **Route to other Dept Admins:** Only one Dept Admin can complete the review – if you need additional department approval for your review, this will need to happen outside of the system
  - **Route to other Dept’s PIs:** The report will automatically route to ALL PIs listed on the report when it leaves the Department Admin review
Submitting the Report

• To move the report forward or backward – click on the **Submit** button

• A pop-up window opens
• The action options are based on the step in the workflow
• The option that moves the report forward will always be listed first
• From the Department Admin steps, you will always be able to **Release Report** (i.e. approve the report) or **Return to SPS**
Submitting the Report: Comments

• Should be limited to *necessary* information
  – Do not include generic approval comments or statements
• Comments are required when the report is being returned to the PI or to SPS
• All comments will be reviewed by SPS staff
Submitting the Report: Reports with Inaccurate Information

• Highly recommend that you return the report to SPS if:
  – Cost transfers are missing or pending
  – There was a change in commitments (commitment change form is required)

• For reports that are not returned, SPS will:
  – Verify that cost transfers and commitment changes were included
  – Send the report back to you if the changes weren’t incorporated
Effort Report Approval Process

Report Generation
Dept Admin Initial Review
PI/Individual Review and Certification

OFFICE OF THE VICE PRESIDENT FOR RESEARCH
PI/Individual Review: Who Certifies?

- **Faculty** should certify their own reports
- **Graduate and undergraduate students’** reports must be signed by the PI of each project listed
- **Staff** reports can be signed by the individual or the PI of each project
  - System notifications regarding signoff are set at a school/college level and can be turned off for Staff if the school/college would prefer that the PIs sign these reports
- **Department Heads** can certify for the PI or individual if they have left the university or are unavailable to sign
- Effort certification (or *effort reporting*) is UConn’s means of assuring sponsors that:
  - The commitment of effort to the project is met
  - The effort expended on the project is at least commensurate with the salary charged
  - Effort devoted to research and other sponsored projects has been properly accounted for
- This is not “timekeeping” or “activity tracking”
  - Researchers are not required to “report how they spent their time”
- Voluntary uncommitted effort should not be included on the effort report
Effort Report Approval Process

- Report Generation
- Dept Admin Initial Review
- PI/Individual Review and Certification
- Dept Admin Final Review
Department Admin Final Review

• Last chance to:
  – Review any changes that were made in the PI/Individual step
    • Identify if any cost transfers or commitment changes need to be submitted to SPS
    • Ensure PIs have incorporated necessary changes, if appropriate

• Can return report to PI/Individual step if changes are needed
Effort Report Approval Process

- Report Generation
- Dept Admin Initial Review
- PI/Individual Review and Certification
- Dept Admin Final Review
- Report Validation
Report Validation

• Students: any changes from the calculated effort will be flagged for SPS review
  – Effort must equal pay
  – Cost transfers may be necessary to accurately reflect expended effort
• Faculty & Staff: reports are flagged for review if:
  – Actual effort is less than pay
  – Actual effort is less than committed
  – Any new projects were added
• All reports with comments will be reviewed
• SPS Post Award may flag additional reports for review
Post-Validation SPS Review

• Reports flagged for review:
  – May not be incorrect
  – Require additional review

• ERC Administrator completes the first post-validation review and:
  – Sends to Post Award team for additional review
  – Routes back to Dept/PI for corrections or
  – Contacts department administrator for clarification and/or to complete cost transfers or commitment change forms
Effort Report Approval Process

- Report Generation
- Dept Admin Initial Review
- PI/Individual Review and Certification
- Dept Admin Final Review
- Report Validation

Approved Report
Approved Report

• Once a report has been certified and all SPS reviews have been completed, it is considered APPROVED

• This unlocks the Print Report button on the Effort Report screen

• Changes to the report are highly discouraged
  – Cost transfers and commitment changes impacting approved effort reports may not be approved
Reminder: Faculty Training

• Training will be offered at several sessions around the Storrs campus and at Hartford and Avery Point

• Training will last about 30 minutes including time for questions and will include
  – Overview of effort and effort reporting
  – Demo of the review and certification process

• We are available to come to you!
For any questions or to schedule a time for us to present at your departmental faculty meeting, please contact Jen Pelletier at 860-486-4858.