EFFORT REPORTING BASICS
What is Effort Reporting?

- Effort is the proportion of time spent on any single professional activity and is reflected as a **percentage of the total professional activity** for which an individual is employed by an institution
- Effort is **NOT** necessarily based on a standard 40 hour work week
- Total effort must equal 100%
- Effort is a reasonable estimate (within a 5% tolerance)
- Total professional activity includes teaching, clinical practice, research, and administrative responsibilities
What is Effort Reporting?

◆ The effort reported should be consistent with the allocation of time proposed or required by the award, in addition to what was actually paid under each project
  
  ▪ ERS presents total percentages of payroll distributions as a starting point, based on the assumption that payroll is monitored and adjusted based on the effort expended
  
  ▪ Certified effort reports should factor in cost sharing activities, as well as salary cost transfers (UPAYs) to correct any discrepancies between actual effort expended and payroll
How do we calculate effort?

- **Budgeted Effort** equals Effort Worked greater than or equal to Salary Paid (Budgeted Effort = Workload ≥ Salary Paid)
  - **Budgeted Effort** – Effort reported on proposals, progress reports, and prior approval requests to change effort
  - **Effort Worked** – How the employee spent their time
    - Effort actually worked on the grant or project throughout the quarter
    - Percent of total time worked, not number of hours
  - **Salary Paid** – How the employee was paid
    - Actual payroll charged to the grant or project
    - Must factor in salary cost transfers (UPAYs)
Who must certify effort and when?

◆ Any individual who has committed effort on a Federally sponsored project must complete an effort report
  ▪ A person working on a Federally sponsored project with cost shared activities must still certify their effort

◆ Issuing Effort Reports
  ▪ Issued on a quarterly basis for any individual that has a portion of salary charged to a Federal grant during that quarter
  ▪ Generated 45-50 days after the quarter ends in order to include UPAYs processed after the quarter end
  ▪ For individuals with 100% cost share on a Federal grant, their report will not be automatically generated but instead will need to be manually added to the ERS system
Who should certify the effort report?

◆ Review of Effort Reports
  ▪ Designated individuals, such as ERS Coordinators and Fund Managers are responsible for verifying the data in ERS, either directly or through the delegation of the verification, and working to process necessary UPAYs
  ▪ May include collecting backup documentation and working with the certifiers to complete the effort reports

◆ Certification of Effort Reports
  ▪ Must be certified by a person with suitable means of verifying the work performed, and has first-hand knowledge of all of the employee’s effort
  ▪ PIs must self-certify in the system and also may certify for staff for which they have primary oversight and first-hand knowledge
  ▪ Self-certification for staff is an option, however, if you are uncertain as to who should be certifying, please consult with your ERS coordinator
Who should certify the effort report?

- What is a “suitable means” of verification?
  - The individual should have some documentation of how the time was spent that is certified
  - Documentation could be in the form of a calendar, project reports, time cards
## Effort Reporting Issue Dates and Deadlines for Certification

<table>
<thead>
<tr>
<th>Quarter</th>
<th>Release Date</th>
<th>Due Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Winter 2010</td>
<td>August 17, 2010</td>
<td>October 8, 2010</td>
</tr>
<tr>
<td>Spring 2010</td>
<td>August 17, 2010</td>
<td>October 8, 2010</td>
</tr>
</tbody>
</table>

**Goal for Completion of Backlog:**

<table>
<thead>
<tr>
<th>Overdue Open Reports</th>
<th>75% Completion</th>
<th>September 30, 2010</th>
</tr>
</thead>
<tbody>
<tr>
<td>Overdue Open Reports</td>
<td>100% Completion</td>
<td>December 31, 2010</td>
</tr>
</tbody>
</table>
Effort Reporting Assistance

◆ EFM has been visiting individual departments to help work through the open effort reports. Progress since May:
  ▪ 7 Department Visits Complete
  ▪ Average **increase of 38% in completion rates** for Summer and Fall 09 Quarters 60 days after visit
  ▪ Average **increase of 10% in overall completion rates** 60 days after visit

◆ After documenting the common issues and fixes for certifying reports, EFM has an ERS FAQ that they continue to update: [http://www.efm.ucla.edu/ERS%20FAQs.htm](http://www.efm.ucla.edu/ERS%20FAQs.htm)

◆ If you are interested in setting up a meeting with EFM, please email ershelp@research.ucla.edu

◆ **Future Assistance**: Effort Report Open Houses may be held. These will be scheduled times for Departments to bring effort reports with which they need assistance. EFM experts will be on hand to answer questions and troubleshoot ERS.
ERS Basics

- ERS Website [http://www.efm.ucla.edu/EffortRpt.htm](http://www.efm.ucla.edu/EffortRpt.htm)

  Effort Reporting System (ERS)

  - What is Effort Reporting? Definition, clarification, etc... - *coming soon*
  - Effort Reporting Policies
  - What is ERS?
  - ERS Training Modules
  - ERS Portal (Production)
  - ERS Support: ERS Help Desk (ershelp@resadmin.ucla.edu)
  - ERS FAQ's
  - ERS Newsletters
  - ERS Coordinator’s Contact List
  - ERS Certification Cycle Proposed Schedule
  - ERS Rugs and Enhancements List and Status Updates - *coming soon*
  - ERS Testing - Test Scripts
  - ERS Management and Compliance Reports - *coming soon*
ERS Basics

◆ Access to ERS

- Must be an active UCLA employee
- Requires a UCLA Logon ID and Password
  - If an employee does not have and ID or has forgotten his/her password, go to [https://logon.ucla.edu/activate.php](https://logon.ucla.edu/activate.php)
- Requires connection to the secured UCLA Network
  - If an employee is trying to access ERS from off-campus, s/he must connect via Bruin OnLine (BOL) Virtual Private Networking (VPN)
  - Instructions on how to connect to BOL VPN are found [http://www.bol.ucla.edu/services/vpn/pptp/](http://www.bol.ucla.edu/services/vpn/pptp/)
  - See FAQ #3: [http://www.efm.ucla.edu/ERS%20FAQs.htm#3](http://www.efm.ucla.edu/ERS%20FAQs.htm#3)
# ERS Basics

## Edit Report

**Version:** 1.0 (09/27/2008 10:12)  |  **Status:** Open  
**Service Period:** April 1, 2008 to June 30, 2008  
**Pay Periods:** April 1, 2008 to June 30, 2008

### Sponsored Projects

<table>
<thead>
<tr>
<th>Sponsored Projects</th>
<th>Original Payroll</th>
<th>Adjusted Payroll</th>
<th>Original Cost Sharing</th>
<th>Adjusted Cost Sharing</th>
<th>Original Total</th>
<th>Adjusted Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>4-441353-N4-FDP-NIH A1070453 6/08 54%</td>
<td>44%</td>
<td>44%</td>
<td>6%</td>
<td>44%</td>
<td>50%</td>
<td></td>
</tr>
<tr>
<td>Total Sponsored Projects requiring certification</td>
<td>44%</td>
<td>44%</td>
<td>6%</td>
<td>44%</td>
<td>50%</td>
<td></td>
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<tr>
<td>Other Sponsored Projects</td>
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<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
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</tr>
<tr>
<td>Non-Sponsored Activities</td>
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<td>56%</td>
<td>6%</td>
<td>56%</td>
<td>50%</td>
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<tr>
<td>Total Other Effort not requiring certification</td>
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<td>56%</td>
<td>-6%</td>
<td>56%</td>
<td>50%</td>
<td></td>
</tr>
<tr>
<td>Grand Total</td>
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<td>100%</td>
<td>0%</td>
<td>100%</td>
<td>100%</td>
<td></td>
</tr>
</tbody>
</table>

### Notes

- Add Additional Sponsored Project
- **A** (Original Payroll %)  
- **B** (Adjusted Payroll %)  
- **C** (Original Cost Sharing %)  
- **D** (Adjusted Cost Sharing %)  
- **E** (Original Total %)  
- **F** (Adjusted Total %)
## ERS Basics

### A) Original Payroll % (non-editable)
- ERS estimation of % salary based off the Payroll ledgers
- Reflects actual % PAID

### B) Adjusted Payroll %
- Fund Manager determination of % salary based off their knowledge of changes to Payroll ledgers, i.e. any PET (aka UPAYs)/payroll cost transfers
- Only adjust if a UPAY will be processed and/or has not yet hit the Original Payroll column

- When ERS 1st generated, both columns match. If changes are made & saved in Adj Pay %, future changes in Orig Pay % will not automatically change Adj Pay % to match.

### Table

<table>
<thead>
<tr>
<th>Original Payroll %</th>
<th>Adjusted Payroll %</th>
</tr>
</thead>
<tbody>
<tr>
<td>44%</td>
<td>44%</td>
</tr>
<tr>
<td>44%</td>
<td>44%</td>
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<tr>
<td>0%</td>
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<tr>
<td>56%</td>
<td>56%</td>
</tr>
<tr>
<td>100%</td>
<td>100%</td>
</tr>
</tbody>
</table>
### ERS Basics

#### D) Adjusted Cost Sharing %
- Records changes to Cost Sharing
- Accounts for Effort without salary (in-kind effort)
- Can only be adjusted from non-sponsored activities (unrestricted funds), except in the case of Work Study

#### F) Adjusted Total %
- Total of Adjusted Payroll and Adjusted Cost Sharing
- Reflects total Effort worked & to be certified, regardless of where salary was paid

<table>
<thead>
<tr>
<th>Adjusted Cost Sharing %</th>
<th>Original Total %</th>
<th>Adjusted Total %</th>
</tr>
</thead>
<tbody>
<tr>
<td>6%</td>
<td>44%</td>
<td>50%</td>
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<tr>
<td><strong>ADD ADDITIONAL SPONSORED PROJECT</strong></td>
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<tr>
<td>6%</td>
<td>44%</td>
<td>50%</td>
</tr>
<tr>
<td>+ 0%</td>
<td>0%</td>
<td>0%</td>
</tr>
<tr>
<td>- 6%</td>
<td>56%</td>
<td>50%</td>
</tr>
<tr>
<td>-6%</td>
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<td>0%</td>
<td>100%</td>
<td>100%</td>
</tr>
</tbody>
</table>
ERS Basics

◆ The effort distribution should be checked against

  ▪ Departments internal controls for verifying payroll distribution (EDB) and monitoring PETs/UPAYs
  ▪ Sponsor approved budgets and progress reports

◆ The ERS Detail Report is available to campus via ORA Portal to assist in confirming Payroll %s (columns A & B).

◆ KEY CONCEPT FOR ERS: (especially for Senior/Key Personnel)

  Budgeted Effort % = % Effort Spent = Adjusted Total % (F)

  All should be greater than or = (>) % Time Paid / Adjusted Payroll % (B)