January 9th Research Administration Forum

Agenda

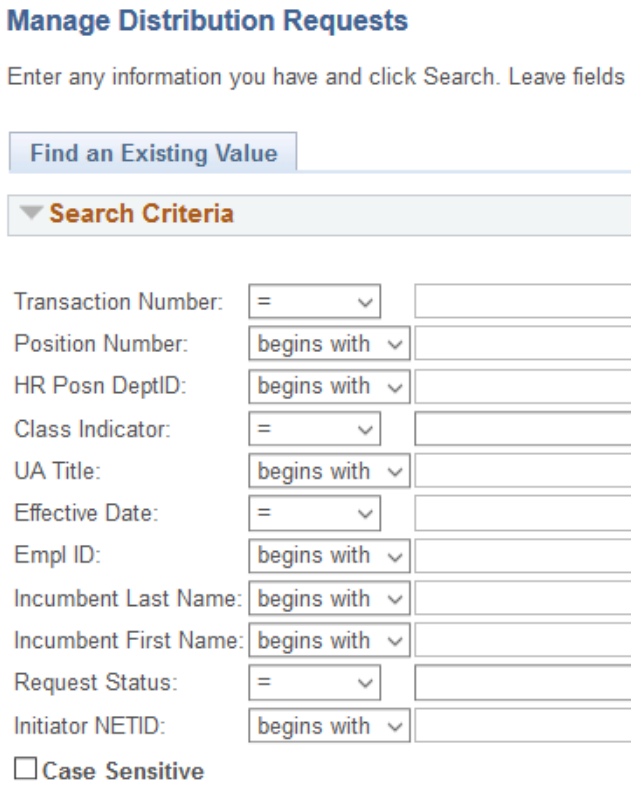
- Effort reporting for departments
  - Tara and Tabatha will facilitate a discussion with Tomas Alvarez, Hydrology & Atmospheric Sciences; Jason Challenger, Medicine; Chris Duggan, Aerospace & Mechanical Engineering on how they monitor effort reports at the department level
- Effort reporting – what postaward reviews them for
- Collaborative Q&A – Federal shutdown, training and outreach updates
- Future forum topics

How often do you meet with PIs?

How often do you meet with PIs?

- Meet with PI's monthly, quarterly or as needed.
- By working with the PI's regularly, we minimize errors and the effort is more accurately accounted.

How often do you update Payroll Distributions (PD)?



- Payroll distribution is updated as needed,
- When there is a new award
- An award is ending
- There is a change in effort.
- Update it as soon as possible, but typically not more than a month in advance.
- While having the conversation/meeting with the PI

The best preparation for tomorrow is doing your best today.

H. Jackson Brown, Jr.

quote tab .com

How do you Prepare for Effort Reporting?

What do you do to get more in the front of effort reports?

Preparing for Effort reports – Thomas Alverez

- Run a report of the funding of the Graduate Research Assistants/Associates and compare it to the PI's directives. If there is a discrepancy I have the PI meet with the business office and resolve the discrepancy. This is done usually the first week.
- Review the payroll expenses for the Effort Period
- Agents sent to PI's on their accounts with PEL's information on a monthly basis for their review

Preparing for Effort reports – Jason Challenger

- Almost all of the work involved with the effort certification process is complete before the effort certification reports are created.
- First, we meet regularly with our PI's and/or send them financial reports on a regular basis. We discuss current and future effort for themselves and the people they fund during these meetings. Current, new and ending projects are discussed.
- We maintain detailed excel spreadsheets, what we call "funding plans", with all of their accounts and the corresponding effort and funding with the starting and ending dates. We can quickly and easily identify the effort and funding for any account for any time frame which includes each effort certification time period.

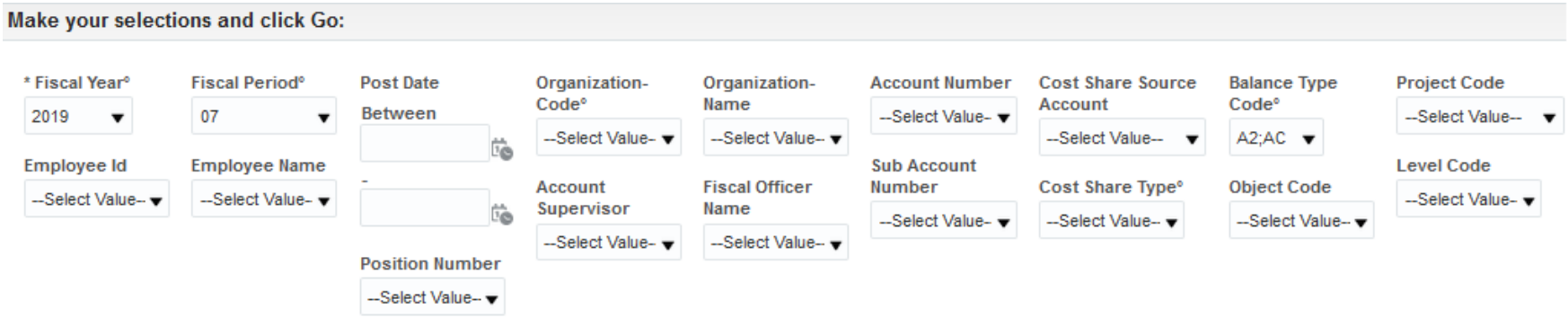
Preparing for Effort reports – Jason Challenger

Dechambre, Brett - EID 23XXXXXX position 18XXXXX							ECD 6748148	ECD 8752628
Fiscal Year	FY18	FY18	FY18	FY19	FY19	FY19	FY18	FY18
ERE	1.320	1.320	1.320	1.312	1.312	1.312		
Start Date	7/3/2017	1/1/2018	4/1/2018	7/1/2018	1/1/2019	4/1/2019	7/3/2017	1/1/2018
End Date	12/31/2017	3/31/2018	6/30/2018	12/31/2018	3/31/2019	6/30/2019	12/31/2017	6/30/2018
Days	130	65	65	131	64	65		
FY Days	260	260	260	260	260	260		
FTE	1.00	1.00	1.00	1.00	1.00	1.00		
Rate	48,000	48,000	48,000	48,000	48,000	48,000		
Prorated Rate at FTE	24,000	12,000	12,000	24,185	11,815	12,000		
3014040 Ryan White Part C	10,800.00	5,400.00					10,800.00	5,400.00
ERE	14,256.00	7,128.00						
	0.45000	0.45000						
3027160 Ryan White Part C			5,400.00	10,883.08	5,316.92	5,400.00	-	5,400.00
ERE			7,128.00	14,278.60	6,975.80	7,084.80		
			0.45000	0.45000	0.45000	0.45000		
4006170 Ryan White Part B	10,800.00	5,400.00	5,400.00	-	-	-	10,800.00	10,800.00
ERE	14,256.00	7,128.00	7,128.00	-	-	-		
	0.45000	0.45000	0.45000	-	-	-		
5319609 ID Pharmacy Gift Account	2,400.00	1,200.00	1,200.00	2,418.46	1,181.54	1,200.00	2,400.00	2,400.00
ERE	3,168.00	1,584.00	1,584.00	3,173.02	1,550.18	1,574.40		
	0.10000	0.10000	0.10000	0.10000	0.10000	0.10000		
5319609 Sub Acct PARTB	-	-	-	10,883.08	5,316.92	5,400.00	-	-
ERE	-	-	-	14,278.60	6,975.80	7,084.80		
				0.45000	0.45000	0.45000		
TOTAL	**24,000.00**	**12,000.00**	**12,000.00**	**24,184.62**	**11,815.38**	**12,000.00**	**24,000.00**	**24,000.00**
Variance	0.00	0.00	0.00	0.00	0.00	0.00		
FTE	1.00	1.00	1.00	1.00	1.00	1.00		
TOTAL With ERE	**31,680.00**	**15,840.00**	**15,840.00**	**31,730.22**	**15,501.78**	**15,744.00**		
Variance	0.00	0.00	0.00	0.00	0.00	0.00		

Summary | Summary 6.15.18 | Summary 4.3.18 | Summary 2.13.18 | Funding emails

Preparing for Effort reports – Chris Duggan

- Check continuation account to see if anything posted there that needs to be moved.
- Look at cost share and sees if anything needs to be moved, sometimes moves on effort report
  - Financials>general-Financial Management> Cost Share
- Run PELS, remember use A2 it'll move the payroll
  - Financials>general-Labor Ledger> Payroll Expenditure Listing with SET

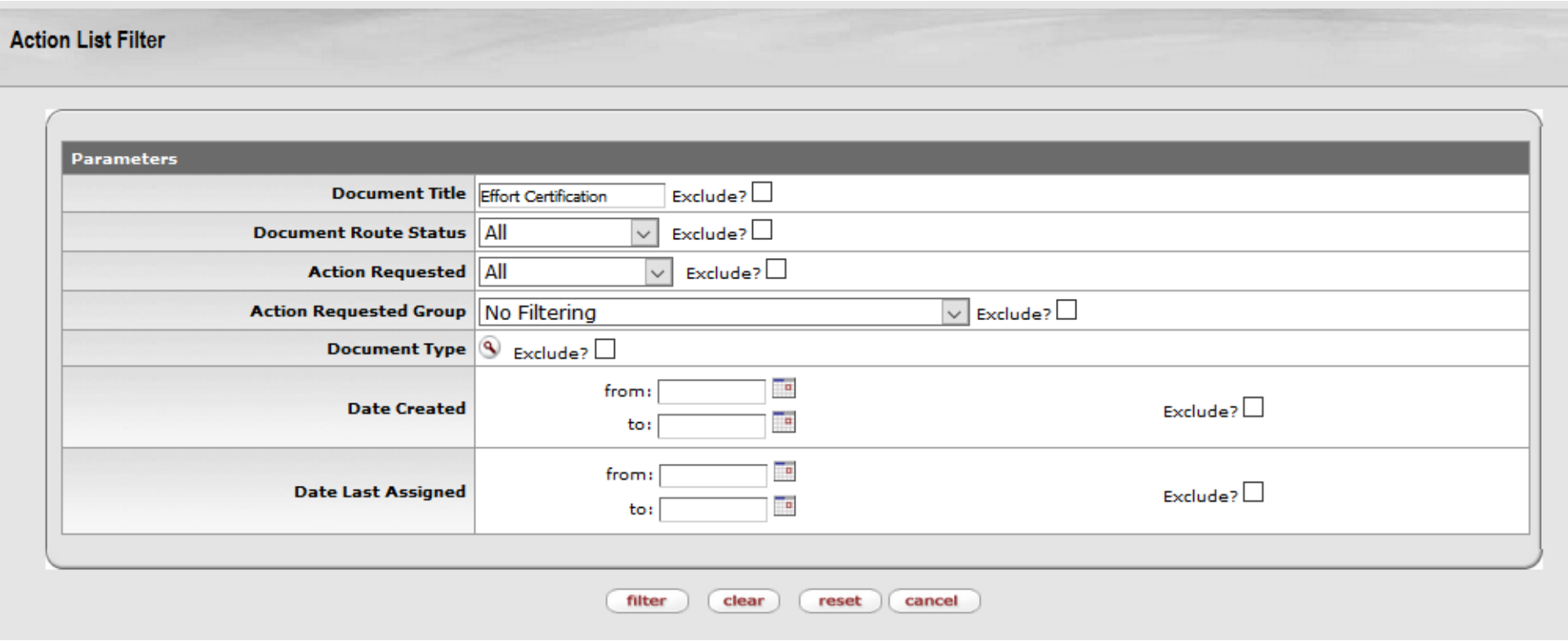


- Also helpful for FY end Payroll split. Good for RA/GRA/TA
- It better lines with effort report

How do you track effort reports?

Thomas Alvarez's Method

1. Week the reports are generated, after all effort reports created, filter the action list inbox to only see effort reports,
   - Action list > filter



Thomas Alvarez's Method

1. Copy all the effort reports and paste in an excel file. To clear the filter, simple click the "clear filter" button in UAF. In the excel worksheet, create a separate tab for each PI and move related effort reports over to the PI's tab.

	A	B	C	D
1	Id	Type	Title	Status
2	6746508	Effort Certification	Effort Certification - Casey Erin Oswant, July-Dec Base Pay	ENROUTE
3	6748590	Effort Certification	Effort Certification - Eric A Betterton, July-Dec Base Pay	ENROUTE
4				

Dept | Cummins | Kargel | Meixner | Mcintosh | Valdes | Yeh | Washburne | Niu | ...

2. Review and reconcile each tab with backup documentation and make any notes for the PI to review
3. After each PI's accounts have been reconciled and approved at the department level, emails are sent to the PI and follow up with the PI on approval as needed.

Thomas Alvarez's Method

Id	Type	Title	Status	Action Requested	Date Created	Log
6746723	Effort Certification	Effort Certification - Nicole Christine Weber, July-Dec Base Pa	ENROUTE	APPROVE	09:04 PM 01/23/2018	
6749949	Effort Certification	Effort Certification - Hannah L Bergeron, July-Dec Base Pay	ENROUTE	APPROVE	09:24 PM 01/23/2018	

The steps for approval are as follows:

1. Go up above to this email I sent you and click on the ID of each Effort Report

2. Login to UAccess Financials at: https://financials.uaccess.arizona.edu/kfs-prd/portal.jsp
   - If you are off-campus you will need to use the UA VPN (https://vpn.arizona.edu) to login to UAccess Financials.
   - If you have difficulty logging in from off campus please contact me and I will assist you.
3. The system will ask you to login with your UA NetID and password.
4. You will see the effort report showing pay distributions for that individual. If the distributions match the effort the individual worked for your account, please scroll down and click the approve button.
   - Review the notes that are in your effort report and if needed; please contact your business officer for assistance to change the distributions on the report prior to you approving it.
   - Please ensure cost share effort is listed on the effort report, if valid.

We have interactive online training available to walk you through these above steps. Please login to the following links for training, using your UA NetID and password:

- Direct link for training on how to approve an effort report: https://upktraining.uits.arizona.edu/odstrack/content/financials/tpc/b01c6174-c74e-46eb-abb7-3fa90ceff3a6/topic.html?mode=T
- Link to more training for other aspects of effort reporting such as modifying the reports, ad hoc routing, and customizing your action list: http://sps.arizona.edu/financialcompliance/effortreporting/upk.html

UA Effort Reporting Policy and Procedure, and other resources:

- http://sps.arizona.edu/financialcompliance/effortreporting/

wildcat

Tomás Álvarez

Jason Challenger's Method

1. Compare the funding plan spreadsheet with the effort certifications.
   - In most cases they match and effort reports are approved.
   - In the event they do not match, investigate and adjust where it is necessary. I will typically wait a week or two before contacting other units to approve. This allows them time to review and approve the report for their accounts. Then, I will contact other business managers if they have not approved the report timely. Finally, I'll begin contacting the PI's for their approval.
2. The approach taken to obtain the PI's approval depends on the individual and this is learned through experience.
   - Tactics include: discussing and approving during financial meeting, emailing with instructions and document numbers, emailing with a screenshot of the report, contacting the Admin for assistance, and even text messaging.

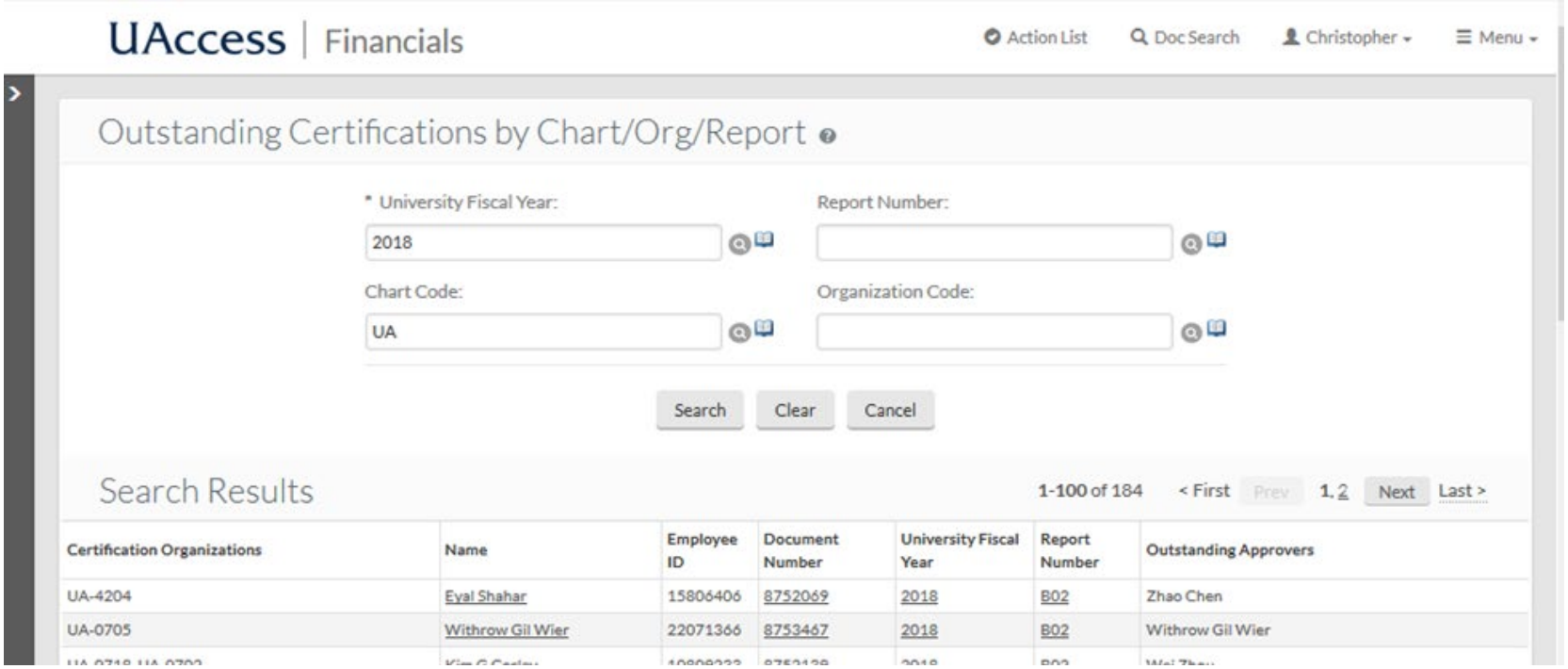
Chris Duggan's Method

1. Run analytics report "Outstanding Effort Certifications Details" and export to excel
   - Financials>General – Sponsored Projects>Outstanding Effort Certifications.
   - Click hyperlink: Outstanding Effort Certifications Details
2. Add PI name, Sponsor name and account name and sort by PI (manual cut and paste sort)

Person Name	Report Period Title	e-Doc Link	Document Number	Position Long Description	Award Project Director Name	Account Number	Sponsor	Account Name	Sub Account Number	Original Effort	Original Salary	Original F - Benefit
Acosta Iriqui,Jesus M	Jan-June Base Pay	View Document	8755780	Project Coordinator		4021590	Not AME	Admin Bgt: Study of the US Institute	-	20%	5,076.94	1,624.62
		-			Not AME	4024190	Not AME	The Study of the United States Institute	-	4%	923.08	295.38
		-				1121510		TLS	-	12%	2,993.49	957.91
		-			Enikov	2226800	IPSA	RESEARCH-EDUCATIONAL	-	53%	13,247.13	4,239.08
		-				4225310	Not AME	Let's Talk About Math: Parents and Teach	-	11%	2,735.45	875.34
		-	8755780 Total							100%	24,976.09	7,992.33

Chris Duggan's Method

3. Review with payroll representative
4. Approve as Fiscal Officer, prioritize approval where other departments are involved
5. Check UAFinancials Outstanding Certifications by Chart/Org/Report, sorted by outstanding approvers for real time status of reports



Certification Organizations	Name	Employee ID	Document Number	University Fiscal Year	Report Number	Outstanding Approvers
UA-4204	Eyal Shahar	15806406	8752069	2018	B02	Zhao Chen
UA-0705	Withrow Gil Wier	22071366	8753467	2018	B02	Withrow Gil Wier

Chris Duggan's Method

6. Email individualized list with instruction to PI's along with updated monthly reports
7. Where effort may be in question, ad hoc route back to self to allow for second review by FO

Below is the list of Effort Reports that need your approval for the January to June 2018 period. Please review and approve them in UA Financials by Friday, Sept 7. You can access them in your UA Financial action list or click on each "View Document" link below and then on the "approve" button at the bottom of each report.

Your updated grant reports are attached.

Let me know if you have any questions before you approve them.

Person Name	Report Period Title	e-Doc Link	Document Number	Position Long Description	Award Project Director Name	Account Number	Sponsor	Account Name	Original Effort	Original Salary	Original F - Benefit
Hao,Qing	Jan-June Supplemental Comp	View Document	8809298	Supplemental Compensation, Fac	Hao,Qing	3022320	NSF	CAREER: Thermal Transport Studies of Ind	100%	10,712.05	3,427.85
			8809298 Total						**100%**	**10,712.05**	**3,427.85**
Medina,Fabian Javier	Jan-June Base Pay	View Document	8756124	Graduate Assistant	Hao,Qing	3022320	NSF	CAREER: Thermal Transport Studies of Ind	50%	4,825.00	627.25
					AME	1122200	State	ENGR-AEROSP & MECH	50%	4,825.00	627.25
			8756124 Total						**100%**	**9,650.00**	**1,254.50**
	Jan-June Supplemental Comp	View Document	8808729	Supplemental Comp, Grad	Hao,Qing	3022320	NSF	CAREER: Thermal Transport Studies of Ind	100%	720.36	93.64
			8808729 Total						**100%**	**720.36**	**93.64**
Wang,Sien	Jan-June Base Pay	View Document	8754512	Graduate Assistant	Hao,Qing	3022320	NSF	CAREER: Thermal Transport Studies of Ind	50%	4,825.00	627.25
					AME	5641900	AME Gift	GEN AME GIFT	50%	4,825.00	627.25
			8754512 Total						**100%**	**9,650.00**	**1,254.50**
	Jan-June Supplemental Comp	View Document	8809247	Supplemental Comp, Grad	Hao,Qing	3022320	NSF	CAREER: Thermal Transport Studies of Ind	100%	720.36	93.64
			8809247 Total						**100%**	**720.36**	**93.64**
Xiao,Yue	Jan-June Base Pay	View Document	8754495	Graduate Assistant	Hao,Qing	3017240	AFOSR	Transport Property Studies of Structural	50%	4,825.00	627.25
					AME	2559374	Lower Div	ENGR AME SPECIAL TUITION LOWER DIV	50%	4,825.00	627.25
			8754495 Total						**100%**	**9,650.00**	**1,254.50**
	Jan-June Supplemental Comp	View Document	8809225	Supplemental Comp, Grad	Hao,Qing	3017240	AFOSR	Transport Property Studies of Structural	100%	807.06	104.91
			8809225 Total						**100%**	**807.06**	**104.91**
Xu,Dongchao	Jan-June Base Pay	View Document	8753369	Graduate Assistant	Hao,Qing	3017240	AFOSR	Transport Property Studies of Structural	50%	4,825.00	627.25
					AME	2559304	Upper Div	ENGR AME SPECIAL TUITION UPPER DIV	50%	4,825.00	627.25
			8753369 Total						**100%**	**9,650.00**	**1,254.50**

Thank you,
Chris

What challenges have you encountered?

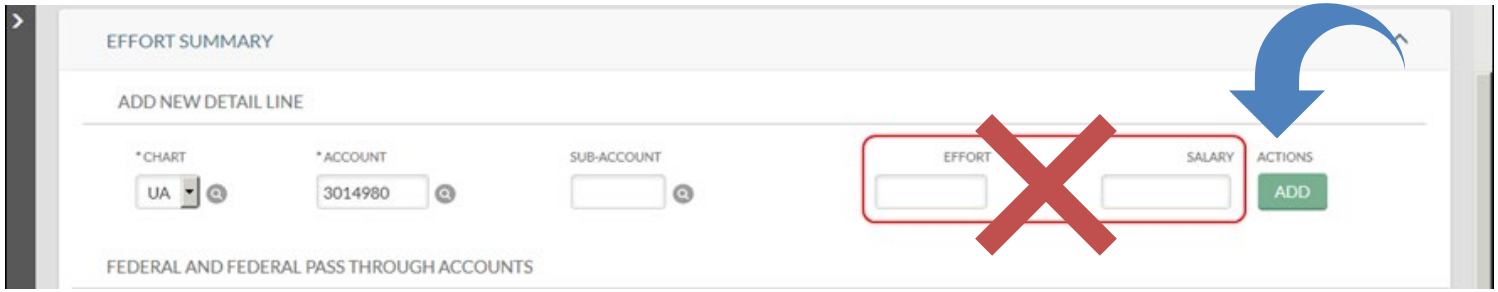
- PI has left the University
  - Though the PI has left, it is still their responsibility to approve their effort report(s)
  - Email screenshot of the effort report(s) and ask for them to review and approve
  - After approval is obtained forward their reply email to SPCS Financial Compliance Services, along with the screenshot(s) sent and ask them to approve on the PI's behalf.
  - If PI is nonresponsive, seek a key personnel/Co-PI who have knowledge of whom is working on the project(s).
  - Forward email/inform SPCS Compliance Service and they can routing for you.

What challenges have you encountered?

- PI is on travel and can't VPN in to UAF/time zone issue:
  - Email a screenshot of the effort report(s) and ask for them to review and reply that they approve
  - After approval is obtained forward their reply email to SPCS Compliance group, along with the screenshot(s) sent and ask them to approve on the PI's behalf.
- Getting PI's to approve when in the field for long period of time

What challenges have you encountered?

- Getting PI's to approve when the Effort Report is not generated in the home department.
  - To avoid this error, when adding an account line do not enter the effort percentage or the salary amount. Add line first, then update the fields.



SPCS Postaward:
What we look for when reviewing effort reports

- All accounts are reviewed according to cost principles
  - Reasonable, allowable, allocable, consistently treated
- Review the balance of the account with increased effort
  - Is there enough budget to cover the salary as well as the associated ERE and F&A?
- Account end date
  - Is it within the project's period of performance?
  - If account is expired, review the closeout timeline and whether or not SPCS will be able to invoice or draw-down funds
  - Has a final Financial Report been submitted to the sponsor?
- If the account is an E-Verify account, ensure the employee is E-Verified.

SPCS Postaward:
What we look for when reviewing effort reports

- If expenses are moved to a Federal/sub-federal account will be looking for error certification or a note that answers the following questions:
  - Describe in detail the expenditure(s) that are being transferred
  - How did this expenditure benefit the project?
  - How the error occurred?
  - Why is the error correction late?
- Reasonable justification for a significant changes in effort
- Review the balance of the account with increased effort
  - Is there enough budget to cover the associated ERE and F&A?
- Account end date
  - Is it within the period of performance?
  - Has a final Financial Report been submitted to the sponsor?

SPCS Postaward:
What we look for when reviewing effort reports

- Does the Cost Share source and name on the cost share account name match the employee and the source being moved to?
- If it is determined that any changes are needed, the effort report will be ad hoc routed to the Fiscal Officer for changes. Post award will hold off on approving until after the department has made adjustments and all approvals from FO and PIs are obtained.

Resources

- UA Financials
  - Outstanding Certifications by Chart/Org/Report
  - Doc search: Document type "ECD" filter by org code, fiscal year, and/or employee ID
  - Effort Detail tab on effort reports
- Analytics
  - Financials>General – Sponsored Projects>Outstanding Effort Certification
  - Financials>General – Sponsored Projects>Ad Hoc Effort Certification
- Research Gateway
  - http://rgw.arizona.edu/administration/managing-projects/effort-reporting
  - http://rgw.arizona.edu/administration/managing-projects/effort-reporting/effort-reporting-policy
  - http://rgw.arizona.edu/administration/managing-projects/effort-reporting/effort-reporting-procedure
  - Micro learning videos *coming soon*

Resources

- SPCS Financial Compliance Services
  - Tara Gonzales tgonzale@email.arizona.edu 626-6660
  - Tabatha Holan tholan@email.arizona.edu 626-6442