

Effort Reporting at IIT

Research Administration Services

8/16/21



Effort at IIT

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Overview

- [Uniform Guidance Subpart E 200.430](#) contains the federal regulatory requirements for internal controls regarding certifying time expended on sponsored projects. IIT utilizes an after-the-fact effort reporting system to verify that direct labor charges (salaries and wages) to federally sponsored projects are reasonable, allowable and allocable and reflect actual work performed.
- Therefore, effort reporting is required for faculty and staff who have any percentage of their time spent on a federal grant, contract, or collaborative agreement.



Overview: Effort Process at IIT

- After each semester, Research Administration Services (RAS) processes effort reports in the Ellucian Time and Effort System
- PI/PD logs into Effort System and certifies their own effort
- PI/PD logs into Effort System and certifies their students' effort reports
- The records are stored electronically and may be presented:
 - To grant sponsors by request to support grant charges or progress reports
 - To IIT's independent audit firm as part of the university's annual Single Audit
 - To grant sponsors in the event of a desk audit



Overview: How is it Measured?

- Effort is measured as a percent of the individual's total employment obligation.
- Total Illinois Tech activity = 100% effort
- Effort certification should be a reasonable estimate of how time was expended.
 - Section 200.430(C.x.) states, "It is recognized that teaching, research, service, and administration are often inextricably intermingled in an academic setting. When recording salaries and wages charged to Federal awards for IHEs [Institutions of Higher Education] a precise assessment of factors that contribute to costs is therefore not always feasible, nor is it expected."




The System

The System: Access

MyIIT Portal

Employee Dashboard



Employee Dashboard
[click here](#)

Time Reporting

[Submit Timesheet](#)

HR Announcements

- [Current Open Positions](#)
- [Portal Site](#)
- [Forms](#)
- [Benefits](#)
- [Human Resources Policy & Procedure](#)
- [PeopleAdmin 7.0 Training](#)
- [Title IX - Sexual Harassment](#)
- [Training and Development](#)
- [PeopleAdmin 7](#)


EthicsPoint - IIT's Ethics Helpline

Illinois Institute of Technology is committed to maintaining an environment that promotes and supports the highest level of ethical conduct. To facilitate this commitment, the university has selected [EthicsPoint](#) to provide an anonymous and simple method to report activities that are believed to be unethical, illegal, or in violation of university policy.

Community Support

CONCERNED ABOUT AN IIT STUDENT, FACULTY OR STAFF MEMBER?

The Community Support Team assists members of the IIT community when they are concerned about, or troubled by, the behavior of a student, faculty member, or staff member. The Team can help direct you to the appropriate person, office or resources. Communications are confidential and can be anonymous.



[Community Support website](#)

Time Approval

- [Approve Timesheet](#)
- [Update Approval Proxies](#)
- [Timesheet Reports](#)

Grant Effort Certification Reporting

[Grant Effort Certification Reporting](#)

Institutional Information

Use the button below to access preliminary and final reports produced by the Office of Institutional Information and Research!

[INSTITUTIONAL REPORTS](#)

By The Numbers Fall 2020

STUDENT DEMOGRAPHICS

Female: 37%
Male: 63%

Policies and Procedures

[University Plan for Reopening from COVID-19](#)

POLICY AND PROCEDURES

- [University Polices and Procedures](#)
- [Human Resources](#)
- [Controller's Office](#)
- [Purchasing](#)

STUDENTS AND FACULTY

- [Faculty Handbook](#)
- [Student Handbook](#)
- [Chicago-Kent Student Handbook](#)
- [Undergraduate Bulletin \(catalog\)](#)
- [Graduate Catalog](#)

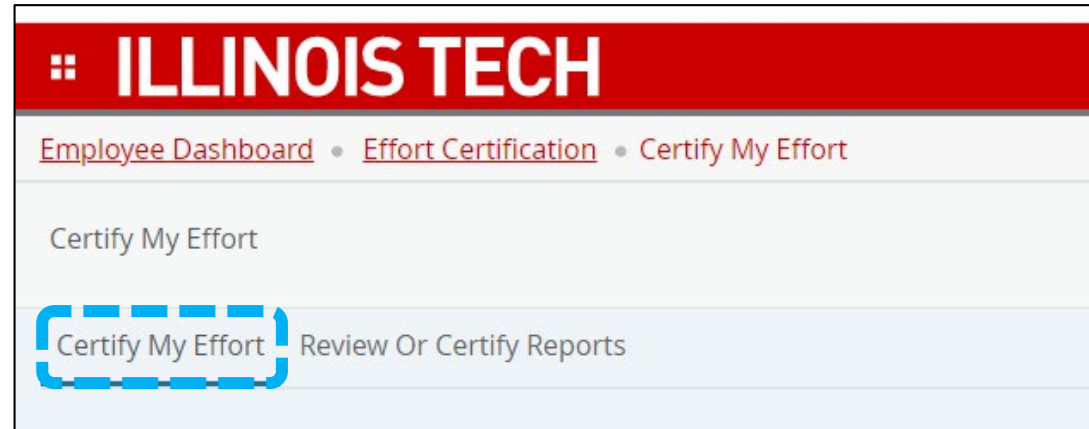
Administrative Offices

[IIT Phone Book](#)

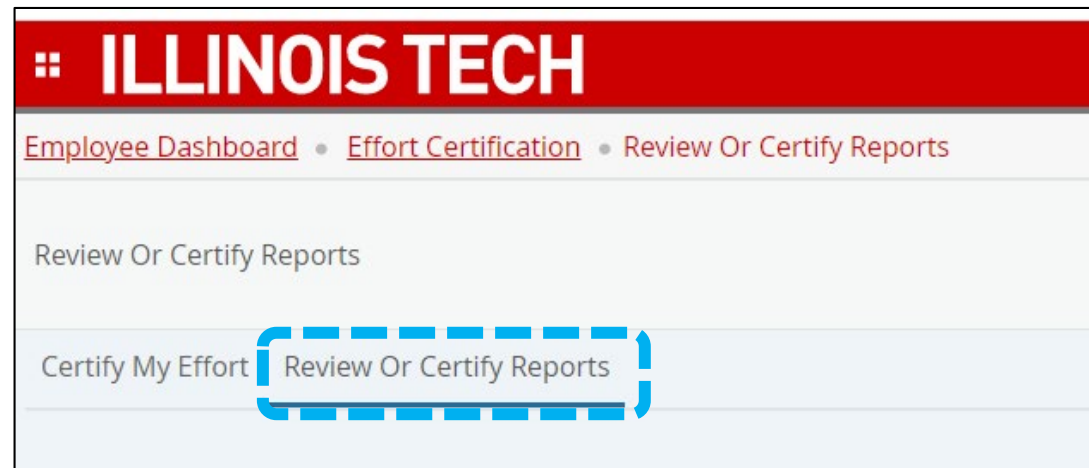


The System: Basic Navigation

- Click “Certify My Effort” to certify your own effort



- Click “Review or Certify Reports” to certify researcher effort on your grants



The System: Search

- Use “Advanced Search” to look up employee effort using multiple search fields. The Chart of Account Code field **must be populated** for all searches.



The 'Advanced Search' modal window contains the following search fields:

- ID: Enter ID (with clear button)
- Last Name: Enter Last Name (with clear button)
- First Name: Enter First Name (with clear button)
- Chart of Account Code: Select COA code (dropdown menu)
- Effort Period Code: Select Period Code (dropdown menu)
- State: (dropdown menu)
- Status: (dropdown menu)
- Grant: Select Grant Code (dropdown menu)

Buttons at the bottom right: Clear, Close, Go.



The System: Report Review

ILLINOIS TECH Sample, PI

Employee Dashboard • Effort Certification • Effort Report Effort Report refreshed successfully.

Doe, John

Print

Effort Report | Pay Period Summary | Comments | Routing Queue

Sponsored

Effort Category	Grant	Fund	Effort
EFFORT	321129 RSA Long-Term Traing Grant Program	321129 DE H129B090074	63

Total Sponsored Activity 63%

Non Sponsored

Fund	Organization	Effort Category	Effort
100000 Unrestricted Fund			37

Total Non Sponsored Activity 37%

Total : 100.00%

Request Changes | Certify | Add New Funding | Save

Effort Report Overview

Report Status

SUM2019
Summer 2019
October 22, 2019 - December 31, 2019

Awaiting Certification - Unlocked

Important Dates

Begin Pre-Review
October 22, 2019
Certification Period
October 22, 2019 to December 31, 2019
Post Review End

Pay Dates

BW - 13 June 02, 2019-June 15, 2019
BW - 14 June 16, 2019-June 29, 2019
BW - 15 June 30, 2019-July 13, 2019
BW - 16 July 14, 2019-July 27, 2019
BW - 17 July 28, 2019-August 10, 2019
BW - 18 August 11, 2019-August 24, 2019



The System: Certify

Fund	Effort		
321129 DE H129B090074	63		
Total Sponsored Activity 63%			
Effort Category	Effort		
	37		
Total Non Sponsored Activity 37%			
Total : 100.00%			
Request Changes	Certify	Add New Funding	Save

SUM2019
Summer 2019
October 22, 2019 - December 31, 2019
Awaiting Certification - Unlocked

Important Dates
Begin Pre-Review
October 22, 2019
Certification Period
October 22, 2019 to December 31, 2019
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Pay Dates
BW - 13 June 02, 2019-June 15, 2019
BW - 14 June 16, 2019-June 29, 2019
BW - 15 June 30, 2019-July 13, 2019
BW - 16 July 14, 2019-July 27, 2019
BW - 17 July 28, 2019-August 10, 2019

Certify

I confirm that I have firsthand knowledge of the work performed by the above named employee or a reasonable means of verification of this report. The above payroll distribution represents a reasonable estimate of the actual work performed by the employee during the period covered by this report. Note: per 2CRF5200.430, (B) Significant changes in the corresponding work activity (as defined by the non-Federal entity's written policies) are identified and entered into the records in a timely manner. Short term (such as one or two months) fluctuation between workload categories need not be considered as long as the distribution of salaries and wages is reasonable over the longer term; and (C) The non-Federal entity's system of internal controls includes processes to review after-the-fact interim charges made to a Federal award based on budget estimates. All necessary adjustment must be made such that the final amount charged to the Federal award is accurate, allowable, and properly allocated.

Cancel I Agree

Note: If the “Certify” button is missing and instead there is an “Allocate Effort” button, see next slide.

Allocable			
Fund	Organization	Effort	
351223 USDA/20196701729254	4932 IFSH Center for Nutrition Research	42.00	
		Total Allocable Activity 42.00%	
		Total : 100.00%	
Request Changes	Allocate Effort	Add New Funding	Save



The System: Allocate Effort BEFORE Certification

- ! If the “Certify” button is missing and instead there is an “Allocate Effort” button, click “Allocate Effort”.

Fund	Organization	Effort
351223 USDA/20196701729254	4932 IFSH Center for Nutrition Research	<input type="text" value="42.00"/>

Total Allocable Activity 42.00%
Total : 100.00%

[Request Changes](#) [Allocate Effort](#) [Add New Funding](#) [Save](#)



The System: Allocate Effort BEFORE Certification

- Key the Allocable Effort percentage value into the Effort text box and click “Save”

Allocate Effort

Total Sponsored Activity	25.00%
Total Non-Sponsored Activity	33.00%
Allocable Effort	42.00%
Effort Category ▲	Percent ▲
Effort	42
Total Allocation	42.00%

Total Sponsored, Non-Sponsored and Allocable 100.00%

Clear Changes Cancel Save



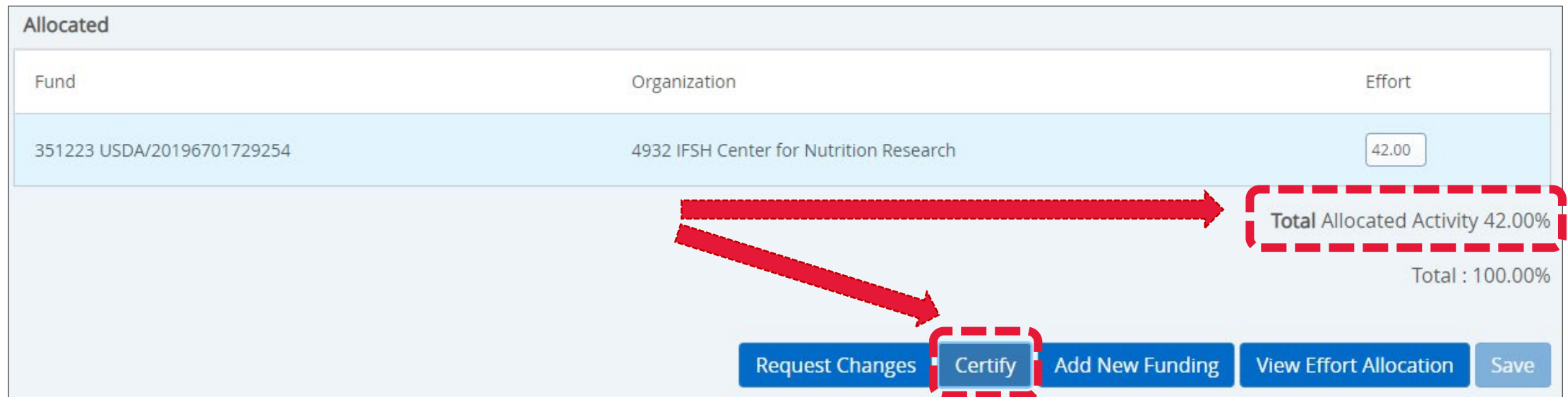
The System: Allocate Effort BEFORE Certification

- You will automatically be returned to the Effort Report where the new allocation is viewable and the “Certify” button should now be visible. Click “Certify”.

Fund	Organization	Effort
351223 USDA/20196701729254	4932 IFSH Center for Nutrition Research	42.00

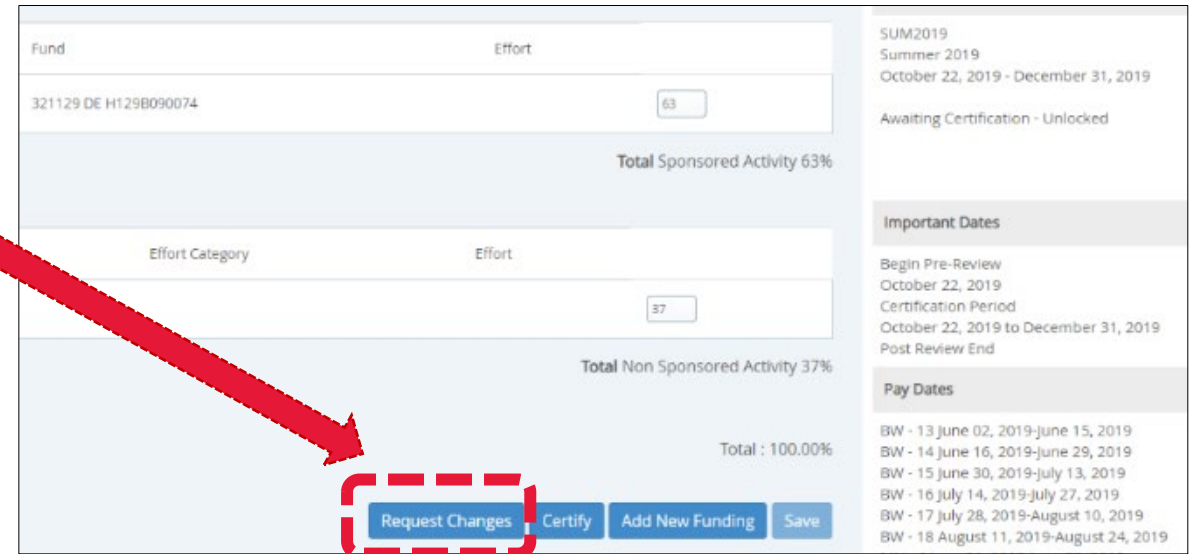
Total Allocated Activity 42.00%
Total : 100.00%

Request Changes **Certify** Add New Funding View Effort Allocation Save



The System: Request Changes

- If the report is incorrect, click the “Request Changes” button. Your default email application will open a new message window.
- Email [your RAS contact](#) and indicate which percentages, effort categories, and/or other data are incorrect and include the corrections in your message.



The screenshot displays a web interface for managing funding and effort. It features a table with columns for 'Fund' and 'Effort'. The first row shows '321129 DE H129B090074' with a value of '63' in a box. Below this, it indicates 'Total Sponsored Activity 63%'. The second row shows 'Effort Category' and 'Effort' with a value of '37' in a box, followed by 'Total Non Sponsored Activity 37%'. At the bottom right, it shows 'Total : 100.00%'. A red arrow points to a 'Request Changes' button, which is highlighted with a red dashed box. Other buttons include 'Certify', 'Add New Funding', and 'Save'. On the right side, there is a sidebar with 'SUM2019 Summer 2019' information, 'Awaiting Certification - Unlocked' status, 'Important Dates' (Begin Pre-Review, Certification Period, Post Review End), and 'Pay Dates' (BW - 13 June 02, 2019-June 15, 2019, etc.).



The System: Add New Funding

- If a funding source is not included for an employee but should be, click “Add New Funding”.
- The Effort System data points pull from actual payroll data recorded in Banner.
- A subsequent labor distribution change in Banner will be needed so the systems agree.
- Contact [your RAS contact](#) for next steps, which include [providing an explanation](#) for the original disconnect.

The screenshot displays the Effort System interface. It features a table with columns for 'Fund' and 'Effort'. The first row shows '321129 DE H129B090074' with an effort value of '63'. Below this, it indicates 'Total Sponsored Activity 63%'. The second row shows an effort value of '37' and 'Total Non Sponsored Activity 37%'. At the bottom, it shows 'Total : 100.00%'. A red arrow points from the top-left towards the 'Add New Funding' button in the bottom navigation bar. Other buttons include 'Request Changes', 'Certify', and 'Save'. On the right side, there are sections for 'SUM2019 Summer 2019' (October 22, 2019 - December 31, 2019), 'Awaiting Certification - Unlocked', 'Important Dates' (Begin Pre-Review: October 22, 2019; Certification Period: October 22, 2019 to December 31, 2019; Post Review End), and 'Pay Dates' (BW - 13 June 02, 2019-June 15, 2019; BW - 14 June 16, 2019-June 29, 2019; BW - 15 June 30, 2019-July 13, 2019; BW - 16 July 14, 2019-July 27, 2019; BW - 17 July 28, 2019-August 10, 2019; BW - 18 August 11, 2019-August 24, 2019).

The screenshot shows the 'Add New Funding' dialog box. It contains the following fields:

- Grant: Select Grant Code (dropdown menu)
- Fund*: Select fund code (dropdown menu)
- Organization*: Select organization code (dropdown menu)
- Effort*: (text input field)

At the bottom right, there are 'Cancel' and 'Save' buttons.



Detailed Report Review

Report Review: Effort Report

Sponsored-The assigned grant award and fund number where the employee's labor charges appear, the effort category, and the percent of effort expended on the funded project.

Non Sponsored- Any other accounts from which the employee has been paid. This may include general institutional funds for instruction and/or other restricted or non-restricted accounts. May also include cost share or match funded by IIT.

Report Status- Includes the reporting period name (SUM2019), the dates of review, and a statement on the status of your report (awaiting certification-unlocked).

Important Dates- Lists review dates and certification dates.

Pay Dates- List of pay dates (pay periods), which follow the [IIT Payroll Calendar](#), included in this Effort Report.



Report Review: Pay Period Summary

- View a summary of each pay period that falls under this effort report.
- Drill into the detail by clicking an individual hyperlinked pay period.

Effort Report		Pay Period Summary	Comments	Routing Queue									
<u>Monthly 1 2020</u> January 01, 2020 - January 31, 2020													
Organization	Grant	Fund	Effort Type	Payroll Percent	Effort Period Percent								
226 [REDACTED]	381851 NSF/CMMI 1762774	381851 NSF/CMMI 1762774	EFFORT Effort	3.3199	0.6640								
22 [REDACTED]	381880 RUSH 16050403/NIH 4UH3NS100599-03	381926 Rush 16050103-sub02	EFFORT Effort	16.6600	3.3320								
22 [REDACTED]													
<u>Monthly 2 2020</u> February 01, 2020 - February 29, 2020													
Organization	Grant	Pay Period Monthly 2 2020 February 01, 2020 - February 29, 2020											
Sequence Number	Position and Suffix	Effective Date	Earning Code	Shift	COA	Index	Fund	Organization	Account	Program	Activity	Location	Percent
2	2 [REDACTED] 00	September 01, 2019	DEF DeferPay	1	1		100000 Unrestricted Fund	2261	6115 Professors	2100 Instruction			80.02
2	2 [REDACTED] 00	September 01, 2019	DEF DeferPay	1	1		381851 NSF/CMMI 1762774	226Q	6115 Professors	2301 On Campus Research			3.32
2	2 [REDACTED] 00	September 01, 2019	DEF DeferPay	1	1		381926 Rush 16050103-sub02	226I	6115 Professors	2301 On Campus Research			16.66
2	2 [REDACTED] 00	September 01, 2019	REG Regular	1	1		100000 Unrestricted	2261	6115 Professors	2100 Instruction			80.02
2	2 [REDACTED] 00	September 01, 2019	DEF DeferPay	1	1		381851 NSF/CMMI 1762774	226Q	6115 Professors	2301 On Campus Research			3.32
2	2 [REDACTED] 00	September 01, 2019	DEF DeferPay	1	1		381926 Rush 16050103-sub02	226I	6115 Professors	2301 On Campus Research			16.66
2	2 [REDACTED] 00	September 01, 2019	REG Regular	1	1		100000 Unrestricted	2261	6115 Professors	2100 Instruction			80.02



Report Review: Comments

- Comments are not necessary, but may be added to provide notes or general context to the effort report.

Effort Report Pay Period Summary **Comments** Routing Queue

Enter your comments...

Remaining character : 4000

Add Comment

Effort Report Overview ^

Report Status

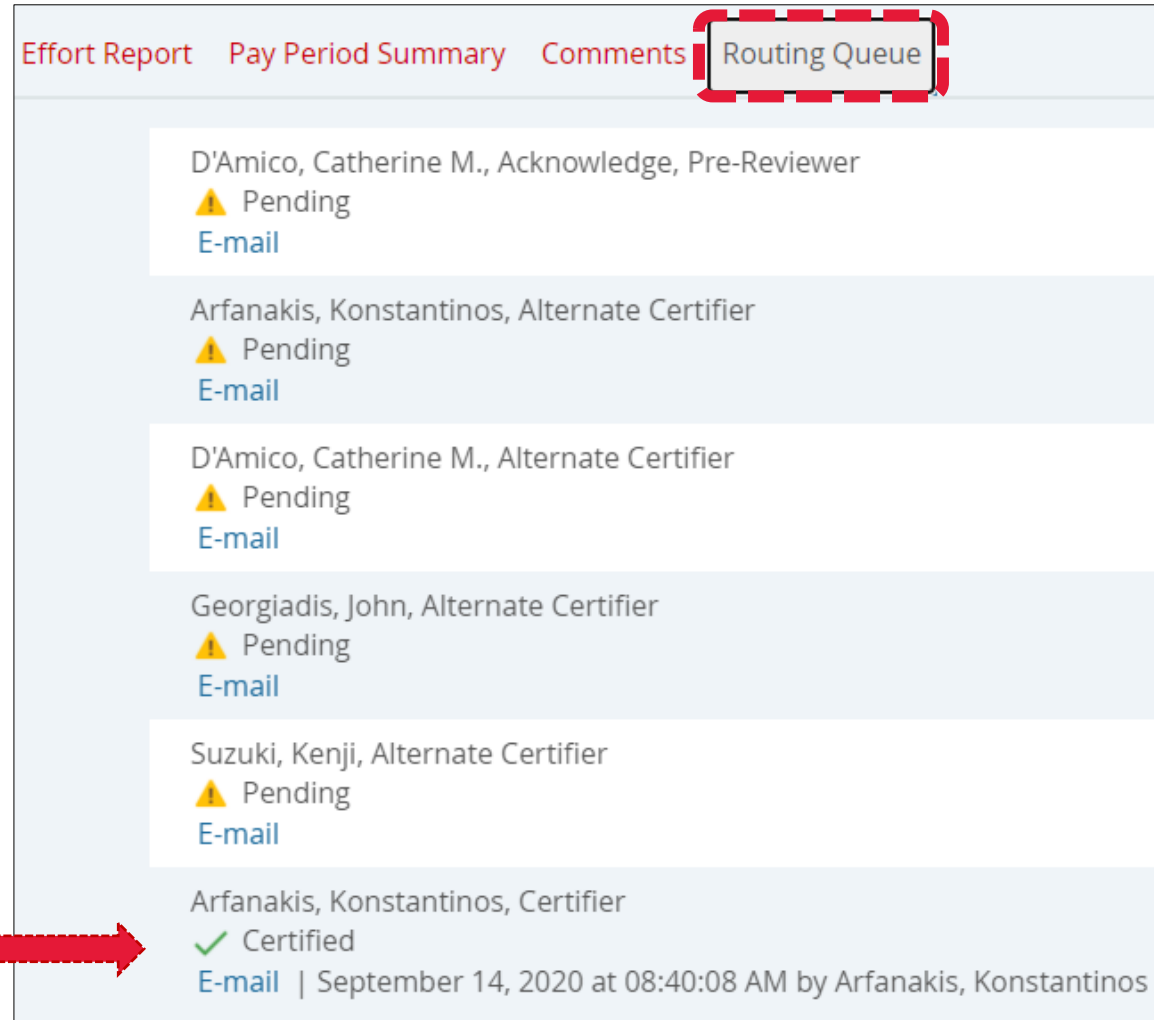
SPRG2021
Spring 2021
July 19, 2021 - September 15, 2021

Awaiting Certification - Unlocked



Report Review: Routing Queue

- The Routing Queue shows the list of employees who may review and certify effort.
- When someone in the queue has certified the effort a green checkmark will appear.
- When at least one person in the queue has certified, the effort report will lock.



The screenshot displays a web interface for the Routing Queue. At the top, there are navigation tabs: "Effort Report", "Pay Period Summary", "Comments", and "Routing Queue". The "Routing Queue" tab is highlighted with a red dashed border. Below the tabs, a list of employees is shown, each with their name, role, and certification status. The status is indicated by a yellow triangle with an exclamation mark for "Pending" and a green checkmark for "Certified". Each entry also includes an "E-mail" link. A red dashed arrow points to the "Certified" status of the last entry.

Employee Name	Role	Status	Action
D'Amico, Catherine M.	Acknowledge, Pre-Reviewer	Pending	E-mail
Arfanakis, Konstantinos	Alternate Certifier	Pending	E-mail
D'Amico, Catherine M.	Alternate Certifier	Pending	E-mail
Georgiadis, John	Alternate Certifier	Pending	E-mail
Suzuki, Kenji	Alternate Certifier	Pending	E-mail
Arfanakis, Konstantinos	Certifier	Certified	E-mail September 14, 2020 at 08:40:08 AM by Arfanakis, Konstantinos



What does Certification Mean?

Certification Explained

- Certification is for effort on federal awards only, never internal funds. However, total effort spent will always equal 100% and may include internally funded effort, as that represents all activities at Illinois Tech.
 - The PI reviews the accuracy of the effort for the given time period.
 - All accounts are listed because effort is 100% of work completed for IIT.
 - Total effort cannot exceed 100%.
 - Effort includes work performed outside normal work hours and work performed off-campus.
- Effort does not relate to hours actually spent, rather it represents a percentage of time worked.



Frequently Asked Questions

Q. Its unclear what should be certified, payroll or actual effort.

A. Payroll charges in Banner that are allocated to sponsored awards serve as the initial data point(s) for the effort reporting system. As such, reports will be generated that reflect actual payroll charged within the University's payroll system, to actual fund numbers. Effort should sum to 100%.

Q. I am a staff member and work 100% on a sponsored research grant. I am also an infrequent advisor to Biomedical Engineering, an activity that I spend a few hours a year on. Is that something that should be included in my effort?

A. Infrequent, irregular activity that would normally be considered so small that it is not statistically significant is called de-minimus effort. De-minimus effort is not required to be certified.



Q. I'm still unclear on what it means by "effort". Can it be explained in a different way?

A. Most simply, if a person spends 40 hours a week on IIT activities and one day a week is devoted entirely to work on a certain project, he/she has spent 20% of his/her time on that project. $40 \text{ hours per week} / 5 \text{ days in the workweek} = 8 \text{ work hours in a day}$. $8 \text{ hours} / 40 \text{ hours} = 0.2 \text{ or } 20\%$.

Q. What happens to the effort reports once they are certified?

A. Effort reports are kept per federal and state record retention laws and may be reviewed and submitted as part of the university Single Audit, desk reviews or by grant sponsor request.



Q. When I view the effort report I intend to certify, there isn't a "Certify" button among the button choices, just "Request Changes", "Allocate Effort", "Add New Funding" and "Save"?

A. Effort will need to be allocated between funds. Follow the steps starting on Slide 12 to complete this step prior to certification. [Click to Jump!](#)



Contact Us and Additional Resources

- Research Administration Services is here to help with this process. Please contact us if you have any questions.

<https://web.iit.edu/research-administration-services/contact-us>

<https://web.iit.edu/gca/resources/grant-review-toolkit>

