

A stack of white papers, slightly blurred, set against a light blue background.A blurred image of a clock face, showing numbers and hands, set against a light blue background.

# Effort Reporting System

A stack of white papers, slightly blurred, set against a light green background.A clear image of a yellow clock face with black numbers and hands, set against a yellow background.

Change to an electronic  
environment

# Agenda

- The Effort Reporting System
- Effort Reporting
- ASU Policies
- Data Flow
- Roles & Responsibilities
- Training Resources
- Contact Information
- Demonstration of the system

# Why an Electronic System?

- Electronic environment allows:
  - Elimination of paper
  - Clear communication
  - Structured process
  - Integration with PeopleSoft

# Elimination of Paper

- Users log in system to complete all actions required for Effort Reporting
- Electronic certification--Signing paper not necessary
- Electronic records ensure that the certifications of effort forms are not lost
- Access to history of forms and management reports

# Clear Communication

- When forms are ready for each phase, an alert is sent automatically to proper people
- Able to email other roles through the system
- Automated email alerts remind users of important deadlines (Phase II project)
  - Currently, notification's sent by Administration

# Structured Process

- Ensures compliance in effort reporting regulation across campus
- Adheres to Federal Guidelines
- Better return rate of forms
- Automated data and error checks

# What is Effort?

- The proportion of time spent on any activity and expressed as a percentage of the total professional activity for which an individual is employed by ASU
- **Effort must always equal 100%**

# What is Effort Reporting?

- Process of verifying that the actual effort performed on a sponsored project during a period meets or exceeds the combination of compensated effort and stated cost share commitments to sponsored projects
- In other words...
  - Actual Effort  $\geq$  Pay + Cost Sharing

# Why do we do Effort Reporting?

- Verify to the sponsor that those committed to projects actually worked on the projects and fulfilled their commitments
- Offers a means to verify that personnel are not overpaid on sponsored dollars

# ASU Effort Reporting Policy

## ACD 303

- **Who:**

- Employees who are paid from Sponsored projects
- Employees who have a stated cost share commitments to Sponsored projects

- **Must:**

- Certify their effort on sponsored projects (*Note: Effort of Graduate Assistants is certified by lead PI per RSP 502-03*)

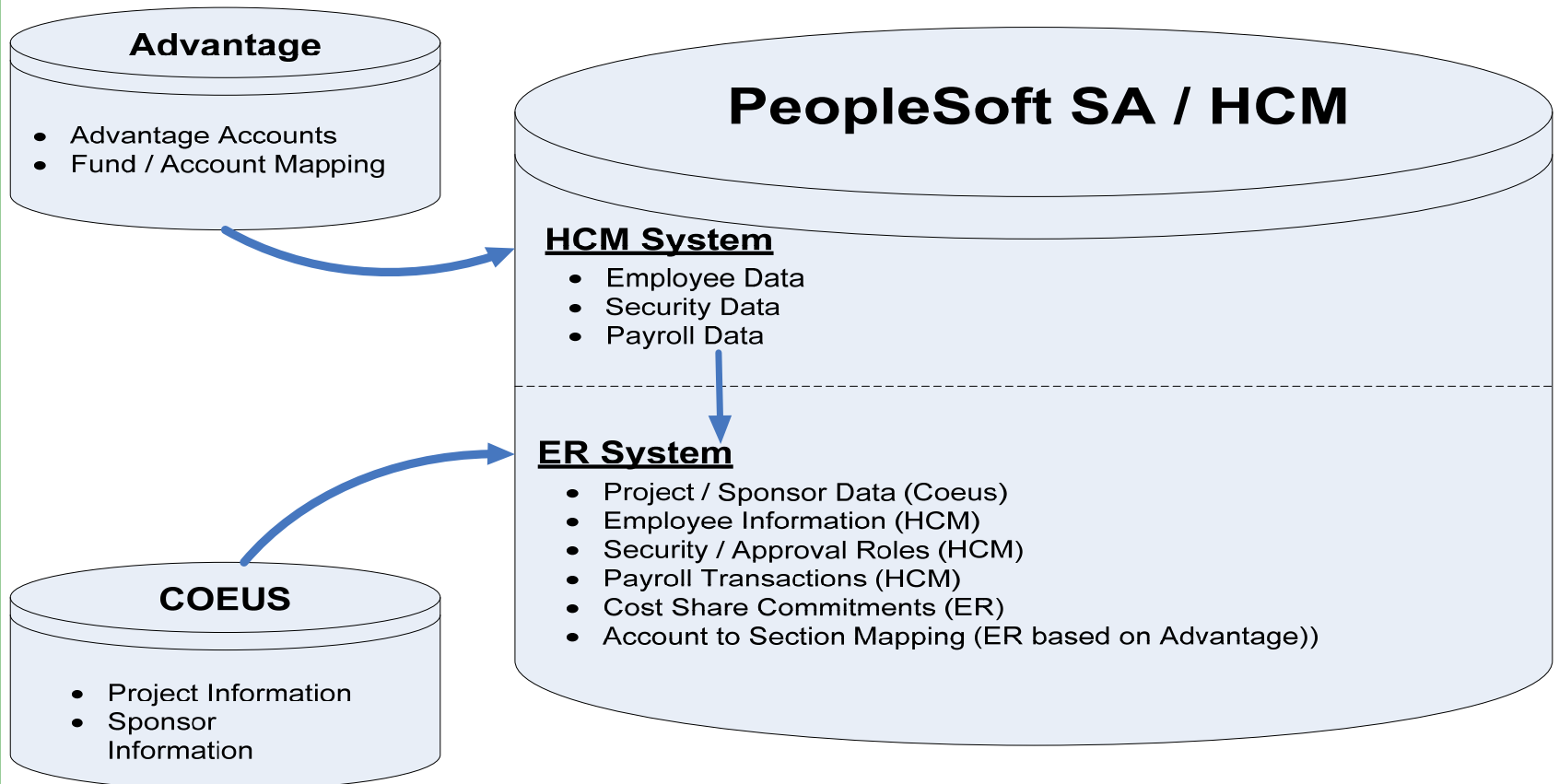
# ASU Effort Reporting Policy

## RSP 502-03

- Effort comprises all of an employee's regular activities, regardless of number of hours worked
- Certification (*per federal regulation*) must be performed by an individual with suitable means of verification
- Lead PI certifies effort of Graduate Assistants working on their sponsored projects

# Effort Reporting Data

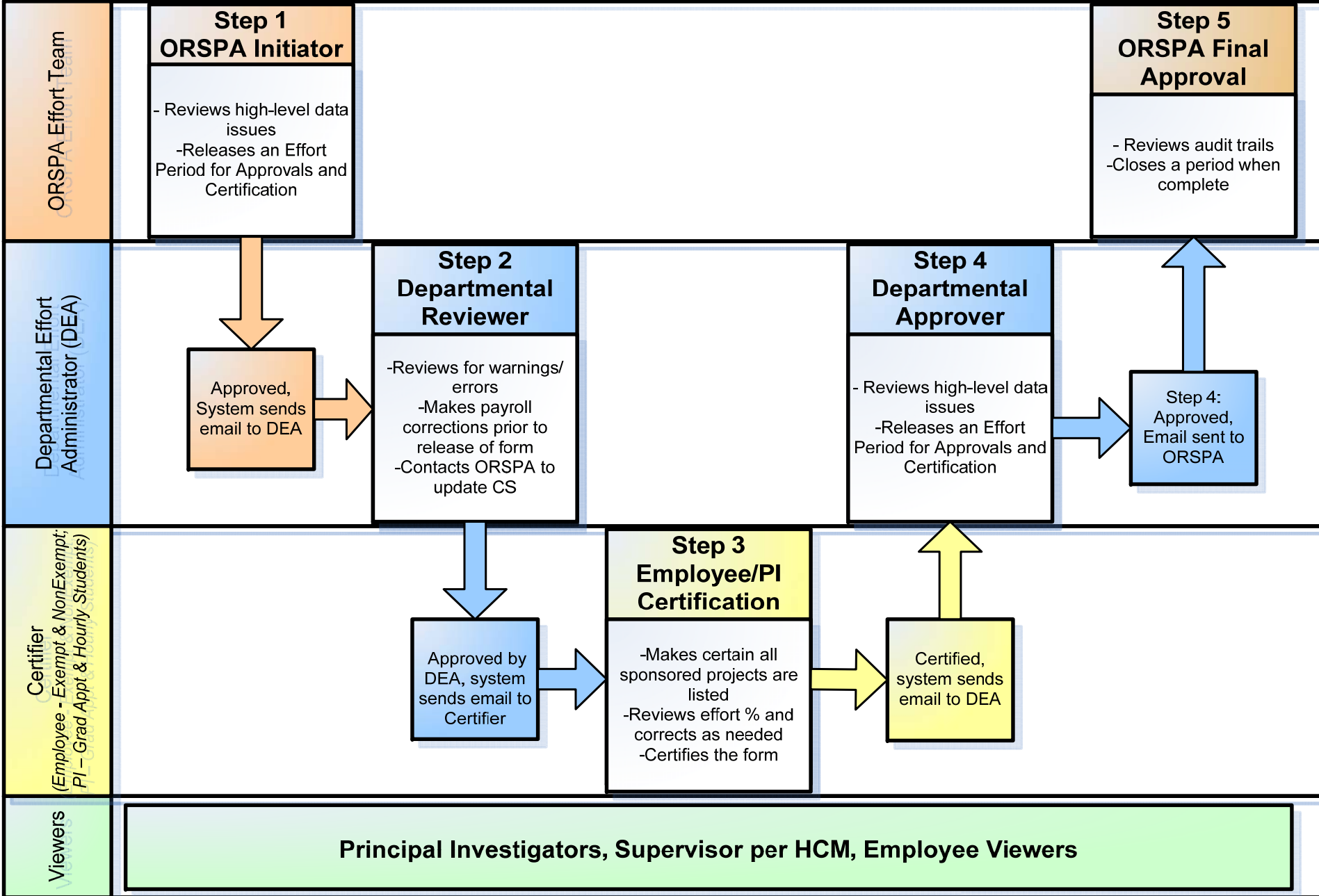
## Sources of Data for the Effort Reporting system in Peoplesoft



# Roles and Responsibilities

- ORSPA Effort Team
  - Initiator & Final Review
- Department Effort Administrator (DEA)
  - Reviewer & Approver
- Employee Certifier
  - Certifier for self
- PI Certifier (*Principal Investigator/ Designee*)
  - Certifier for Graduate Assistants

**Effort Certification Role Names**



# Roles and Responsibilities

- ORSPA Effort Team
  - Generate Forms each effort period
  - Check data issues that will affect ER processing
  - Provide learning materials to ER users
  - Provide Help Desk support

# Roles and Responsibilities

- Departmental Reviewers/Approvers
  - Pass on training materials to their constituencies
  - Provide first line of help to certifiers
  - Review forms in their work queue
  - Process any Payroll Redistributions as necessary
  - Contact ORSPA effort team of any personnel updates, routing changes, and cost sharing data changes
  - Final departmental review in the effort reporting process

# Roles and Responsibilities

- Employee Certifier
  - Required to promptly certify their own form
  - Indicate the effort expended on each sponsored project during the effort period(s)
  - Communicate any cost transfers needed to Departmental Effort Administrators
  - Communicate any changes in cost sharing commitments to Departmental Effort Administrators

# Roles and Responsibilities

- PI / Designee Certifier
  - Required to certify effort for graduate appointments on PI projects
  - Indicate the effort expended on each sponsored project during the effort period(s)
  - Communicate any cost transfers needed to Departmental Effort Administrators
  - Communicate any changes in cost sharing commitments to Departmental Effort Administrators

# Training Materials

- Comprehensive documents
  - [http://researchadmin.asu.edu/effort\\_reporting](http://researchadmin.asu.edu/effort_reporting)

# Help Hierarchy

- Certifiers needing help:
  - DEA's are first line of defense
  - Help Desk (CRM Tickets)
  - [Effort-q@asu.edu](mailto:Effort-q@asu.edu)
- DEA's needing help:
  - Help Desk (CRM Tickets)
  - [Effort-q@asu.edu](mailto:Effort-q@asu.edu)
  - Anne and Aaron

# Effort Team Contacts

- General Effort Questions
  - [effort-q@asu.edu](mailto:effort-q@asu.edu)
- Anne Feuerborn, Manager
  - [Anne.Feuerborn@asu.edu](mailto:Anne.Feuerborn@asu.edu)
  - (480) 965-4775
- Aaron Stetts, Accountant Sr.
  - [Aaron.Stetts@asu.edu](mailto:Aaron.Stetts@asu.edu)
  - (480) 727-0764

# Demonstration of ER System

- Basic flow of an Effort Report
- DEA Reviewer/Approver
  - Effort form review
    - Projects, payroll, accounts, etc.
  - Reviewing messages
    - Potential solutions
  - Certifier form modifications

# Demonstration of ER System

- Effort/PI Certifier
  - Modifying effort
  - Adding a project
  - Creating VUCS
  - Certifying for Graduate Assistant appointments
  - Reviewing messages



**Questions?**