Effort Reporting User Guide

Office of the Provost
Office of Institutional Planning and Research

Office of the Chief Financial Officer
Cost Analysis

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Introduction

In order to satisfy federal and state requirements for information related to the types of activities engaged in by its faculty, professional, and non-exempt staff, the University of Florida has developed the *Effort Reporting System within. myUFL* under Effort Tracking. Employees with appropriate security roles may access the Effort Tracking System to allocate effort at the 4-digit department level to selected "activities," certify, authorize one or more departments, and run a number of reports based on the data.

Parts I, II, and III of this guide cover the purposes and theories behind effort reporting, the *Why*, *Who*, *What*, *Where*, and *When* of Effort Reporting. Section IV provides the practical side of Effort, that is, the *How*.

Part I of this guide provides background information for Effort Users. Placing this important system within its context will help users understand the process more fully and do a more efficient and accurate and less stressful job. *Why* we do effort reporting, *where* the information comes from, and *how* the information is used is covered in this section.

Part II of this document defines all reporting activities included in the Effort Reporting System. Where applicable, terms and definitions used Effort Reporting for faculty and professional employees are the same as those used in the Semester Faculty Assignment Report. Terms and definitions related only to non-academic (non-exempt employee) activities are also included in this Guide.

Part III explains why loaning/borrowing effort between HR account codes and departments may be necessary to correctly report effort for Teaching (related to *Contact Hours*) and salary-based Cost Sharing to sponsored projects.

Part IV describes the process of *allocating, loaning and borrowing, certifying, and authorizing* Effort at the 4-digit department level. This is the important ***"How"*** of Effort Reporting at the University of Florida.

While the **Semester Faculty Assignment Report** form is completed *prior* to each semester to assign duties to each faculty member, the **Effort Report (ER)** is completed *after* each semester and provides an accounting of each employee's activities. This guide specifically addresses matters related to Effort Reporting, but it is important to note that the *completion of Semester Faculty Assignment Reports is the first step in the time and effort reporting process for faculty*. For more information about the Semester Faculty Assignment Report, refer to Part I, Section F.

Contact information is provided in the appendix of this Guide.

PART I – General Information

A. Why is Effort Reporting required?

The Effort Report describes the activities faculty, professional and staff employees expend on the various activities of their university employment. Because the university measures its productivity in terms of faculty, professional and staff effort, especially effort on teaching and research, the Effort Reporting System (ERS) is a critical tool in defining and quantifying productivity. Reports are generated as needed from the ERS data to document this productivity.

Also, data from the Effort Reporting System, Instructor Workload and several other university data are combined by the Office of Institutional Planning and Research, in the Provost's office, to produce the State University System Instruction and Research (I&R) Data file. This file fulfills requirements of Florida statutes and the Board of Governors (BOG) as described below:

1. The Legislature requires that each full time instructional faculty member produce at least 12 contact hours of teaching (1012.945 F.S.). This means that if 100% of a faculty member's effort is allocated to classroom teaching activities, at least 12 contact hours must have been produced.

2. The State University Accountability Process requires monitoring of performance in each of the major areas of Instruction, Research and Public Service (1008.46 F.S.).

In addition, the Effort Reporting System meets the following requirements:

3. The federal government *requires* documentation of direct personnel charges to contracts and grants periodically (OMB Circular A-21, Revised).

4. The federal government *requires* a time and effort report to document the facilities and administrative rate negotiated between the University and the government (OMB Circular A-21, Revised).

5. The Effort Reporting System is the primary instrument used for collecting salary-generated Cost Sharing information and recording it to the official cost sharing record as *required* by the federal government.

Income from these Federal and State sources provides a large percentage of the University's annual budget and supports a significant number of University programs..

B. How is Access to the Effort Reporting System obtained?

Each administrative unit should assign this responsibility to one primary "Effort Reporter," who will input activity data for each term. In administrative units where more than one certifier is assigned, the primary effort reporter is responsible for coordinating the work to prevent duplication.

An Effort Reporter must have the following security roles in order to access the myUFL effort tracking system and run Effort Reports as needed:

- Effort Reporters: **UF_ET_FPAR_CERTIFIER** (training required for role)
- For printing certification reports: **UF_ER_HRPR_Workforce, UF_ER_HRPR_EffortTrack** (training required for role) and **UF_ER_USER**

The reporter should ask his/her *Department Security Administrator (DSA)* to request these roles only after training on the effort reporting system has been completed. These classes are offered by Training and Organizational Development (T&OD) within the Office of Human Resource Services (HR) each term, at locations easily accessible across campus. Dates, times and venues for these classes may be accessed through employee's My Self Service menu in *myUFL*.

In some circumstances, training may be offered by the Office of Institutional Planning and Research or Cost Analysis to assist newly appointed effort reporters on a temporary basis. These small classes do not provide the trainees credit within the HR training program, nor will they count towards the PRO3 certification. The official Effort Reporting class offered by Training and Organizational Development should be taken at the earliest opportunity.

Larger departments, with more than two or three trainees, and off-campus offices may request credited Effort Reporting training within their own facilities. Please contact Training and Organizational Development for more information.

For security reasons, users are allowed to access only the records of employees paid by their unit(s).

Effort reports are certified by individual employees, their supervisors (with suitable means of verification), the PI (if the employee works for only one PI), or in unusual cases, such as where the employee has left University employment and is unavailable, the Dean, Director, or Departmental Chair (with suitable means of verification) may certify the record.

After the record(s) have been certified, or in any case before the term has been closed, all effort records for each department must be authorized by the dean, director or department chair for the administrative unit. The department security administrator should request for the authorizer the following roles: **UF_ET_FPAR_Authorizer** *and* **UF_ER_HRPR_Workforce**. This will enable access to the effort tracking system to authorize submitted records. For printing Effort Reports the authorizer will also need the **UF_ER_HRPR_EffortTrack** role. Effort Reporting Authorizers are not required to have certified training to obtain these roles. It is expected that the Effort Reporter will provide the authorizer with guidance as needed.

C. Employees Selected for Inclusion

Employees selected for inclusion in the UFER are determined by criteria established by federal guidelines. Most University of Florida faculty, graduate assistants, exempt and non-exempt TEAMS and USPS, OPS and student assistant employees are surveyed. Inclusion is determined by salary admin plan codes and funding sources. Users may not add or delete pay records.

D. Payroll Information Provided for Included Employees

Pay records are created from data supplied by the payroll system for included employees. Each pay record includes the employee's name, UFID, department, HR account code, Salary Admin Plan, Job Code, and the amount paid (gross salary including fringe benefits).

The effort %, calculated from payroll records, is also shown. The formula used to determine effort % paid is as follows:

$$\textbf{Effort \%} = \frac{\textbf{Hours Paid in the Term}}{\textbf{Available Work Hours in the Term}}$$

The Effort % is then spread to individual activities or loaned to other units in order to complete each pay record.

E. Reporting Dates and Completion Process

The UFER is completed *after* each of the summer, fall and spring semesters. The reporting dates coincide as closely as possible with the beginning and ending dates of each academic term. The UFER is opened to the administrative units when payroll records are available and instructional contact hours are finalized and accepted by the State. The completion process is as follows:

1. Effort Reporters and Authorizers (base on security roles) receive a notification from the Office of Institutional Planning and Research (Academic Affairs) and The Office of Cost Analysis (Office of the Chief Financial Officer) requesting completion of the effort records by a specific date. Included are the dates for the semester as well as updates in instructions. It is important to meet completion deadlines so that the information described in Part I, Section A can be produced and reporting deadlines for the University can be met.

2. Approximately two weeks after the term is initially opened, it will be temporarily closed in order to include new information resulting from the processing of salary retros after the *initial* downloading of effort data. All records of an employee affected by this retro process will be placed in "Retro" status to be re-allocated, certified and authorized. In order to avoid the need for "reprocessing" previously completed effort, it is important to process all retros as soon as possible following the end of each semester.

3. Once the "allocation" process is completed, the next step is "Certification". Federal regulations as outlined in OMB CIRCULAR A-21 (http://www.whitehouse.gov/omb/circulars/a021/a021.html) require that "*the reports will be signed by the employee, principal investigator, or responsible official(s) using suitable means of verification that the work was performed.*" During the certification process, a copy of each employee's effort report is produced to be signed either by the employee, principle investigator (if all reported effort relates to work done for a single PI) or a "responsible official(s) with suitable means of verification that the work was performed."

4. After the initial transmission of data is processed and payroll adjustments are made, the data is analyzed. The *Teaching Effort Not Reported* report is sent to administrative units that have not reported teaching effort for employees with instructional contact hours produced in the term. (The instructional contact hours are obtained from the *Instructor Workload Report*.) The data should be reviewed and corrected, if necessary, by revising the allocations made for those employees.

5. The *Individuals with Greater than 30 Contact Hours* reports are distributed after sufficient time has been allowed for finalizing records. Also, at this time the person with the primary responsibility for completing the records is notified if the amount of teaching reported has caused any employees to be out of compliance with the 12 Hour Law.

6. Salary Cost sharing is downloaded from Effort Reporting by Bridges at the request of Cost Analysis (see Part III, Section B for more information about cost-sharing) approximately two weeks after Effort reporting for the term has been closed.

7. During the open term or after the term has been closed, a *Final Activities Report* can be run by administrative units using Enterprise Reporting. The unit may retain a copy for their records.

After the effort term has been closed, the data for that term remains static and changes may not be made within the system. If obligated cost-sharing was not properly reported for any reason, a request revising the spread of effort must be sent to Contracts & Grants Accounting Services for preparation of a manual cost sharing entry.

F. The Semester Faculty Assignment Report – The First Step in the Reporting Process

The Semester Faculty Assignment Report form is completed for all faculty members five days **prior** to the first day of regular registration **each** semester by the unit administrator and is to be updated during the semester as assignments change. This information is to be kept by the department and should correlate with the activities reported in the Effort Certification Report. Assignment report forms and instructions for completion are available on the web at:
www.aa.ufl.edu/aa/forms/AAForm001inst.pdf for the MAIN Campus users.
www.aa.ufl.edu/aa/forms/AAForm002inst.pdf for the Health Center users.
http://ded.ifas.ufl.edu/reports/facassign.shtml for IFAS Extension users.

When the assignment report for each faculty member is completed, the unit administrator is required to list the percentage of time assigned to each activity.
The following table converts work hours to percentages for a 40 hour work. This information should be helpful when completing the Faculty Assignment Report, but does not imply that 100% of an employee's effort is limited to 40 hours per work week.

Average Hours Worked per Semester for Assignment Percentages

Percentage Assigned	Semester Hours (Based on 40 Hour) Work Week
1	8
5	40
15	120
25	200
33	264
50	400
75	600
100	800

G. Information Needed to Complete the UFER

As described above, the **Semester Faculty Assignment Report** is the first step in the reporting process and should correlate with what is reported in the UFER. This report is a guide and one of many different sources that may be used to help complete the effort reporting process. It is also important to have access to the *Instructor Workload Report* completed for the term to accurately report teaching effort (refer to Part II, Section B, for more information).

Part II -- Definitions of Activities

A. Introduction

To complete a pay record for an employee, effort must be allocated (spread) among the activities listed in this section and/or loaned to other account codes. If a loan is made, the resulting borrow record must be allocated. Refer to Part III for more information about loaning, borrowing and cost-sharing.

The activities defined below may change as reporting requirements dictate. If revisions are made, new instructions will be distributed to primary contacts. The abbreviations used in this Guide are listed in parenthesis next to the name of each activity.

Following is a chart of activities available within academic context. The activities listed in the first column are available for spreading in academic/exempt records only. The second column lists activities available in both academic and non-academic/non-exempt records, and the third column lists activities that are available only within a non-academic/non-exempt context. Please note that only those activities which are most appropriate for a particular record should appear. Therefore, activities in the academic column would not be available to spread for a non-academic employee.

Academic	Academic/Non-Academic	Non-Academic
LWR	AGEXT	AXOIA
UPR	ASLVE	GENAD
G-1	CLSVC	INSTR
G-2	D_ADM	LIBRY
G-3	D_RSC	OSA
ACADV	GOV	SPINS
AUX	O_RSC	STUAD
CLTCH	PATCR	
OIA	PDLSB	
STSVC	PUSVC	
	P_ADM	
	S_ADM	
	UNION	

B. Classroom Teaching:

Lower Division Teaching (LWR) – Includes courses Numbered 0000-2999

Upper Division Teaching (UPR) – Includes courses Numbered 3000-4999

Graduate Level I Teaching (G-1) -- Instruction of master (beginning) level students in graduate level courses including thesis supervision.

Graduate Level II Teaching (G-2) -- Instruction of doctoral (advanced) students in graduate level courses including dissertation supervision.

Graduate Level III Teaching (G-3) -- Instruction of first professional students in the Colleges of Medicine, Dentistry and Veterinary Medicine.

Classroom teaching includes time spent instructing students who are registered for <u>credit</u> instruction on or off campus, and all activities directly related to instruction such as preparation for class and assisting students. The employee must have been given credit for teaching in the *Instructor Workloads Report* to report teaching in the UFER. Effort by graduate assistants who have no contact with students during class or laboratory sessions (e.g. paper graders) must be reported under "Other Instructional Activities".

It is understood that a faculty member may be doing both dissertation/thesis supervision and research. The reporting for this function should be reported under the appropriate graduate level when contact hours have been assigned. The research function of this activity should be reported under "Departmental Research" or "Sponsored Research" as appropriate.

Important Information about Determining When and How Much Effort Percentage Should Be Reported for Teaching in the UFER:

1. Florida Statute 1012.945(b) defines a contact hour as follows: "Classroom contact hour means a regularly scheduled 1-hour period of classroom activity in a course of instruction which has been approved by the university." It is taken into consideration that it takes two hours outside the classroom for each hour of teaching. The two hours are to prepare the lecture, do course grading and for office hours. Most laboratory sections, which meet for three hours per week, require less effort and therefore are assigned less than two contact hours. The following table converts contact hours to maximum Effort Percentage.

Conversion Table for Contact Hours

Teaching Contact Hours (CH)		Maximum Effort % To Report (CH/12)
1.0		8.33
2.0		16.66
3.0	← *This number of Contact Hours*	25.00
4.0	*Equals Maximum Effort %*	33.33
5.0	*to be spread* →	41.66
6.0		50.00
7.0		58.33
8.0		66.66
9.0		75.00
10.0		83.33
11.0		91.66
12.0		100.00

2. Classroom teaching should be reported in each level where contact hours are shown unless the reporting of other activities takes precedence. If contact hours are listed, the employee was given credit for teaching in the *Instructor Workload Report* completed for the term. This report is an online report handled by the Office of the Registrar. It is completed campus-wide by every unit offering classes. Users are able to view a complete listing of courses taught by each instructor by accessing the workload report. If the contact hours in the UFER are incorrect changes cannot be made, as this data has already been submitted and accepted by the State.

3. **The contact hours for the faculty member are provided, as well as the *maximum* percentage to be reported in order to be in compliance with the 12-Hour Law.** If effort devoted to teaching exceeds this value, the remainder may be reported in "Other Instructional Activities".

4. Teaching can only be reported in the unit's account code in funds 101, 102, or 103, with a program code of 1100. If the employee is paid from another account code, the appropriate effort percentage must be *loaned* to an account code matching these criteria.

5. When effort is loaned to an account code in fund 101, 102, or 103, with a program code of 1100 to report teaching, the borrow record must then be completed. Users should coordinate the reporting of teaching with other departments when applicable.

6. **The teaching reported may not exceed the maximum Effort %** listed for each course and section within Effort Tracking, or the employee will be out of compliance with the "12-Hour Law."

7. If an individual was not paid by the University but taught classes, classroom teaching may still be reported. A loan must be made from a courtesy account code (000CTSY) to the correct account code in fund 101, 1100 (See Form FPAR/002 on the web at www.aa.ufl.edu). The resulting borrow record should be completed with the appropriate spread of effort percentage for classroom teaching. This transaction will show that the employee taught a class without compensation from the University.

8. In any instance for Summer semesters where a conflict exists between the maximum assignment required by F.S. 1012.945 and Article 8.6(b) (2) of the UFF Collective Bargaining Agreement, the difference should be reported in "Other Instructional Activities".

C. Other Instructional Activities (OIA)

(1.) Effort devoted to the development of new approaches and improvement of new or current courses. This includes adaptation of audio-visual methods and experimentation with teaching methodologies. (2.) Effort spent in activities related to teaching a course by a faculty member who does not participate in classroom meetings and has, therefore, not been assigned contact hours. (3.) Effort necessary to develop and/or maintain a clinical instructional environment.

Extra effort devoted to a class of extraordinary size should be reported as instruction not in this activity. Sections with extraordinary size of 200 or more should have a flag that allows to report more teaching effort. This applies when an instructor has expended more effort than what it was anticipated in assisting students and grading.

Examples of other activities to be reported are: (1.) Activities funded by a training grant, (2.) resident and intern effort, and (3.) Effort spent in Teacher Education Center activities. This activity also includes activities of Direct Instructional Support organizations as defined by the Provost, and Organized Teaching which is defined as effort expended on distance learning activities and paid from miscellaneous gifts and grants funds.

D. Clinical Teaching (CLTCH)

Clinical teaching includes effort expended on the instruction of interns, residents and postdoctoral trainees who are not formally registered students and is limited to faculty in the University Counseling Center and Health Center colleges. Effort expended teaching in a clinical environment in the Colleges of Pharmacy, Nursing, Public Health and Health Professions, etc. should be reported in the appropriate classroom teaching activity when the students receive credit hours. Instruction in a clinical setting of MD, DMD or DVM students who are registered students should be shown under "Graduate Level III".

If faculty are paid from a restricted grant and clinical teaching is not allowed on that grant, written approval must be received from the granting agency to perform clinical teaching. If permission is not received from the granting agency, a payroll correction must be processed to transfer the Effort % and the salary to the appropriate account code.

E. Academic Advisement (ACADV)

Assigned academic counseling with students on general educational problems such as course selection and vocational goals. Effort spent on discussion of specific course-related problems by a faculty member assigned contact hours for the course should be reported in the appropriate classroom teaching activity on the account code where the student credit hours are awarded. Effort performed as an undergraduate/graduate coordinator should also be reported in this activity. It is important that the Semester Faculty Assignment Report form include such indicators as number of students formally advised and hours designated for advising.

F. Departmental Research (D_RSC)

Research development, scholarly and creative activities that are not "Organized Research" and, consequently, are not separately budgeted and accounted for. Departmental Research, for purposes of this document, is not considered as a major function but as part of the instruction function of the institution. Research is also reported as departmental in some unrestricted-type contracts and grants such as Returned Overhead, Miscellaneous Gifts and Grants and some Miscellaneous Donor's. Effort can be loaned from unrestricted account codes to report in this activity.

G. Organized Research (O_RSC)

Includes separately budgeted research activities. The types of organized research are:

Sponsored Research -- All research and development activities sponsored by federal and non-federal agencies and organizations. This term includes activities involving the training of individuals in research techniques (commonly called "research training") where such activities utilized the same facilities as other research and development activities and where such activities are not included in the instruction function. Also includes effort spent administering research grants and preparing progress reports for current awards.

University Research -- All research and development activities separately budgeted by the institution under an internal application of institutional funds. Examples may include

Division of Sponsored Research grant awards, College Incentive Funds awarded for a specific project and IFAS research funded by General Revenue, Hatch, Regional and McIntire-Stennis funds. Effort administering Agricultural Experiment Station research programs should also be shown in this activity.

H. Public Service (PUSVC)

Assigned duties such as serving as a consultant to local, state or national agencies, serving as an officer in professional societies, or as an editor for a professional journal. This activity includes effort expended in short courses, correspondence courses, etc. Effort expended in non-credit Division of Continuing Education (DOCE) courses must be loaned to DOCE and reported in this activity. Effort spent in the administration of DOCE accounts should be shown under Departmental Administration. Do not include effort spent on nonresident credit instruction (off campus). This effort must be loaned to the appropriate unit and reported under classroom teaching. DOCE non-credit overload should be reported in this activity.

I. Agricultural Extension Service (AGEXT)

Effort expended for duties involving the Institute of Food and Agricultural Sciences (IFAS) Cooperative Extension Service. Effort expended on Cooperative Extension Service activities must be loaned to the appropriate IFAS account code and recorded in this activity by the borrowing unit. Effort administering Cooperative Extension Service Programs should also be shown in this activity.

J. Departmental Administration (D_ADM)

Includes effort expended for administrative and supporting services benefiting common or joint departmental activities. This activity does not include direct administrative effort related to a specific course, which should be reported under the appropriate instructional activity. Included is proposal preparation for new and continuing awards. Direct administrative effort related to a specific sponsored project, and funded by the sponsored project, should be reported in "Other Instructional Activities" or "Organized Research" depending upon the grant type. Effort assigned for an undergraduate or graduate coordinator must be assigned to "Academic Advisement".

K. Practice Plan Administration (P_ADM)

Effort expended on activities for the administration of the Florida Practice Plans of the Health Center including, but not limited to, the administrative and supporting services for the billing, collecting, and distribution of professional fees.

L. Sponsored Research Administration (S_ADM)

Effort to be reported includes grant and contract administration (not the administration of a specific sponsored project). This activity is to be used only by designated units that administer sponsored projects (Division of Sponsored Research, Contracts & Grants Accounting Services, and the Contracts & Grants offices in Engineering and IFAS). Federal directives have been issued which prohibit departments from reporting administrative effort incurred by employees paid from unrestricted accounts for activities benefiting sponsored research and training projects.

M. Governance (GOV)

Any significant effort devoted to departmental, college and university-wide committee assignments including committee work benefiting sponsored research and training programs. Effort assigned as an undergraduate or graduate coordinator must be reported as "Academic Advisement". Also includes participation in UF Senate activities.

N. Clinical Service (CLSVC)

This activity is intended for reporting effort of faculty involved in the performance of non-reimbursable public service activities in a clinical environment that have been assigned by the unit administrator. Units using this activity include the Colleges of Medicine, Nursing, Pharmacy, Public Health and Health Professions, Dentistry and Veterinary Medicine as well as the University Counseling Center, Student Health Care Center, and Animal Care Services. Clinical activities supported by AEF (in fund 171) funding should be reported as Paid Patient Care.

O. Auxiliary Effort (AUX)

All activities paid for in the auxiliary budget that are not specifically assigned to other activities. This activity includes effort expended on the operation of residence halls, dining halls, hospitals and clinics, student unions, intercollegiate athletics, bookstores, faculty housing, chapels, theaters, public museums, and other similar auxiliary enterprises. Also included in this activity is the effort of employees involved in revenue activities such as the Engineering "charge-back" centers. Effort for employees paid from state funds cannot be reported directly in this activity; therefore, the effort should be loaned to the auxiliary account code set up by the unit.

P. State Mandated Service (STSVC)

Public service activities required by rule or statute to be performed by state universities. This includes educational service effort of faculty and other professional employees involved in the performance of public service activities in the K-12 system that have been assigned by the unit administrator. **It is very important to report effort in this activity rather than reporting the effort as public service**. This effort should be reported in the state account code of the unit. Colleges and departments involved in these activities include:

Colleges	Departments
Agriculture	Agricultural Education and Communication
Education	All
Fine Arts	Art, Music, Theatre
Florida Museum of Natural History	All
Health and Human Performance	Dean's Office, Applied Physiology and Kinesiology, Health Education Behavior

Q. Professional Development Leave Programs or Sabbaticals (PDLSB)

The effort expended on professional development leave program, i.e. sabbaticals, professional and faculty development leaves. This activity may be used for faculty only and must be pre-approved by the Provost Office in advance.

R. Annual or Sick Leave (ASLVE)

If an employee is on annual or sick leave for more than 20 percent of the workdays in Fall or Spring terms or more than 13 percent in Summer term, that effort should be reported under ASLVE. This activity should be used only if the employee actually accrues annual or sick leave.

S. Union Activities (UNION)

Release time for effort devoted to United Faculty of Florida activities should be reported in this activity.

T. Paid Patient Care (PATCR)

For employees paid from Academic Enrichment Funds who are involved in compensated clinical activities in the Health Center. The amount to be reported as paid patient care in the FPAR is the amount shown on line 11 of the Semester Faculty Assignment Report for Health Science Center Faculty.

U. Auxiliary/Other Institution Activities (AXOIA)

To report all activities of an institution that are not specifically assigned to other activities. Includes operation of residence halls, dining halls, hospitals and clinics, student unions, intercollegiate athletics, bookstores, faculty housing, chapels, theaters, public museums, and other similar auxiliary enterprises, Also includes development and fund-raising, intercollegiate activities, public relations, rare book collections, and any other categories of activities, the costs of which are “unallowable” to sponsored agreements. This activity DOES NOT include Admissions, Registrar’s Office, Counselor Services, and the Student Health and Infirmary Offices. These are considered Student Administration (STUAD).

V. General Administration (GENAD)

To report activities for the general executive and administrative offices of educational institutions and other activities of a general character that do not relate solely to any major function of the institution. This activity is only for areas that benefit the entire university. This includes the president’s and vice president’s offices, Office of the General Counsel, Bridges, Finance and Administration, central administration of health affairs, and payroll.

W. Instruction (INSTR)

To report all teaching, training, and instructional activities, whether offered for credit toward a degree, certificate, or on a non-credit basis. Includes all activities related to teaching, such as preparation, grading, labs, and assistance to students registered in a class. It also includes administrative support related to instruction, such as syllabus production, exam preparation, textbook orders, and roster preparation., formal classroom teaching, academic counseling and advising students, course preparation, and effort related to departmental libraries (not a part of the main university library system).

X. Library (LIBRY)

Use this activity to report most effort related to the University's libraries that are part of the official state library system. In addition to the George A. Smathers Libraries, this includes the Health Science Center Library and the Law Library. It also includes Library West, Smathers Library, Marston Science Library, Education Library, Journalism Reading Room, Music Library, Architecture and Fine arts Library, Map and Imagery Library, Mead Library (P. K. Yonge), Veterinary Medicine Reading Room and Legal Information Center.

Y. Other Sponsored Activities (OSA)

Used to report effort expended on sponsored projects that are not organized research or sponsored instruction this activity would include such programs as children's medical services, mother/infant care services, nurse practitioner services, child abuse prevention program, as well as programs designated by the agency as "other than research."

Z. Sponsored Instruction (SPINS)

To report specific instructional or training activities established by a grant, contract or cooperative agreement.

AA. Student Administration (STUAD)

Use this activity for effort related to the administration of student affairs and for services to students. Examples of areas that would use this activity are Admissions, Registrar's Office, Counseling Center, and Student Health Care Services.

Part III – Loaning, Borrowing, Cost-Sharing and Creating Courtesy Records

A. Why Loans are Made from Pay Records to Correctly Report Effort

Many employees are involved in activities associated with account codes other than their salary account(s). To report these activities accurately, loans must be made from the pay records to appropriate account codes. Examples include:

1. Often effort must be loaned to give an instructor credit for classroom teaching. This occurs when an employee is paid from an account code other than the unit's state account code (in fund 101, 102 and 103 program code 1100) associated with the course taught. If the pay source account code is unrestricted, a loan of effort percentage is made to the unit's state account code so that the employee may receive proper credit for classroom teaching. When the loan of effort is made in the UFER, a borrow record will be created where the teaching effort is to be reported.

2. An employee who is paid from an unrestricted account code (i.e. Fund is not 201 or 209) but works on a sponsored project (Fund is 201 or 209) may be loaned to the appropriate account code to reflect Cost Sharing to the sponsored project. **Borrow records are**

created where the effort can be reported and cost sharing designated. By reporting effort directly on grant account codes, this will link the effort to specific sponsored projects. It is through the loaning of effort that cost sharing is appropriately recorded to the University's Cost Sharing system.

It is important to loan to the special non-salary account codes listed in Section C, to other departmental account codes established for a specific purpose or to other units to properly reflect how effort was expended. **When loaning to other departments, obtain the correct account code and coordinate the percentage of effort with the borrowing department.** A current listing of the primary contacts for Effort reporting is available from the Effort Toolkit http://www.hr.ufl.edu/training/myUFL/Toolkits/EffortReporting.asp#guides

B. Loaning from Federal Grant Accounts

Some contracts and grants are intended for specific research. These are referred to as "restricted" sponsored contracts or grants. Effort may be loaned *to* a federally-funded contract or grant from an unrestricted source but may NOT be loaned *from* a federally-funded contract or grant to any other entity without specific permission from the granting agency.

C. Special Non-Salary Accounts (HRACs)

It is important to report effort of individuals who are not paid their entire salaries by the University, but expend effort exceeding the FTE paid by UF on UF activities. When the UFER is opened, only employees who are paid by UF are automatically included. Departments may request that the Office of Institutional Planning and Research create borrow records from the non-salary account codes described below. This is accomplished by completing Form FPAR/002. This form is available on the web at www.aa.ufl.edu/aa/forms .

For example, a doctor employed by both the VA Hospital and UF expends 100% of his effort on teaching classes for the Department of Medicine. This doctor is paid 33% by UF and 67% by the VA. To show that 100% of his effort was expended on UF activities, the department requests that a loan in the amount of 67% be made from 00000VA to the Department of Medicine's account code in fund 101, program code 1100. A pay record is created by the Office of Institutional Planning and Research to show this loan of effort from the VA. The borrow record created as a result of this loan is then completed by the Department of Medicine by spreading the effort in the appropriate teaching activities. The effort loaned from the VA non-salary account code plus the effort paid by UF cannot exceed 100%.

The non-salary account codes and a description of their use follow:

VA Hospital -- If part or all of an individual's salary is paid by the Veterans Administration Hospital, the effort expended but not paid for by the University of Florida should be loaned from account code **00000VA**. It is important that the entire effort used (borrowed and paid) does not exceed 100%.

Due to the affiliation agreement between the Veterans Administration Medical Center (VA) and the College of Medicine, faculty paid partially by the VA are considered full-time UF faculty unless specifically excluded from the affiliation agreement or appointed on a part-time basis. Faculty effort at the VA should be loaned to the appropriate UF account code in order to reflect the appropriate effort.

Shands Teaching Hospital -- If an individual is employed by Shands Teaching Hospital and provides effort to the University of Florida, that effort should be loaned from account code **SHANDS**. It is important that the entire effort used (borrowed and paid) not exceed 100%.

Courtesy Staff -- If an individual is not employed by one of the three above, but provides effort to the University, that effort should be loaned from account code **000CTSY**. In this situation, the amount loaned should be the exact amount of the individual's effort expended on the unit's activities.

D. Cost Sharing

Cost sharing occurs when part of the effort or expenditures on an externally-sponsored program, contract, or grant are provided by someone other than the sponsor. Sponsors may include agencies of the federal or state government, foundations or private industry, etc. When the contribution made is in the form of salary paid by the university, the appropriate effort must be loaned from the paying department to the sponsored project. The UFER serves as the primary instrument for gathering and recording salary cost sharing to the University's cost sharing record. Effort expended for cost sharing purposes that is not properly recorded in the Effort Reporting System must later be manually recorded to the cost sharing system. For information on the manual cost sharing process, please contact your Contracts and Grants office.

IV. Steps to Effort Tracking in PeopleSoft

A. Basic Effort Allocation

1. Sign on to PeopleSoft.
2. Follow the navigation: Effort Tracking > Effort Tracking > Effort Tracking
3. Enter the term or look up the value using the magnifying glass. You will be provided a list of all individuals within the department(s) to which you've been granted security. Select an individual from the resulting list.
4. The next effort tracking page is the Holistic View of that individual and is divided into several parts, depending on types of activities (i.e.: teaching or non-teaching) and the funding (i.e. sponsored, non-sponsored).
    a. **Header**: UFID, Name, Effort Term, Term Begin and End Dates and Term Status
    b. **Instruction**: Course and Contact Hour information, maximum effort % to be allocated and effort % already allocated per course, etc.
    c. **Funding Sources**: Account codes shown in **blue** and underlined are hyperlinks to records that you may access based on your effort department security. Account codes without a link are for information only and may only be accessed by a certifier with security to the corresponding department. These sections provide information such as Salary Admin Plan, Job Code, HR account code, Chartfields, Project number, Project Title, PI, Effort, Loans, Borrows, and Record Status. **Note: Paid amounts are not shown on the Holistic View page.**
    d. **Allocation Results:** This lower section provides a summary of all effort that has been spread to a specific activity for the individual.
5. Records are sub-grouped as either Restricted (Sponsored Funds 201 or 209) or Unrestricted (all other Funds.)

6. Click on one of the blue HR account links to enter effort allocations (including Teaching effort) or to create loans for effort from that unrestricted HR account.
7. To create a loan from an *unrestricted* HR account, click on the "Loans" button and supply the requested information: Borrowing department, Borrowing HR account code, and Effort % for the loan. The loan will result in a new or updated effort record on the Holistic Page which can then be selected and the effort spread by an effort reporter with the appropriate security.
8. If additional loans are required, click on the plus (+) sign in the upper right-and corner of the loans screen. Complete the fields to indicate the additional loan(s). Repeat these steps as often as needed to record all loans from a single HR account code.
9. When the loaning process is complete, click the "OK" button to return to the Effort Tracking Detail screen.
10. Allocate any remaining effort appropriately.
11. Teaching: If the individual has corresponding contact hours, a "Teaching" button will appear on the screen (for records in funds 101, 102, and 103, program code 1100 only) above the list of non-teaching activities. Click on the "Teaching" button to view Contact Hour information by specific course and the maximum Effort % that may be spread for each course. Spread the appropriate teaching effort % for each course. You may not exceed the total Teaching effort or the available effort for that individual.
12. Click "Save" and then "Done" to return to the main Effort Tracking Detail screen.
13. Click the "Save" button to insure your work is not accidentally lost.
14. If all work for that HR account has been completed (as indicated by a record status of Complete) click the "Submit" button in the Account Details section. Doing this will make the record available for certification by the employee and for final authorization. Then, click the "Save" button at the bottom before leaving the page.
14. Click on the "Return to Holistic" button to return to it. Here you will see any new loans that have been created, the total effort that has been spread (Used %), any remaining records to be processed, and the current summary of allocated effort for that individual.
15. If you select an HR account code link and the "Borrows" button on the effort tracking entry screen is active (not grayed out), it means that some portion of the Effort % for that record is borrowed from another HR account. If the chartfield includes Fund 201 or 209 (Restricted), you must spread the appropriate effort and also click on the "Borrows" button to indicate the cost sharing percentage as a combination of:

> **"No Cost Sharing"** (the cost sharing is Voluntary Uncommitted-not required by the granting agency nor committed in the proposal), If available, you may click the "Borrows" button to see the loaning department and the effort percentage loaned.
> **"Mandatory"** (the cost sharing is required by the granting agency as a term of the award", or
> **"Voluntary Committed"** (the cost sharing was not required by the granting agency, but was included by the PI in the proposal, and is therefore required).
> **"borrowed" records in Funds 201 and 209 cannot be saved without designating the cost sharing type(s).**

16. Return to and continue to select any available HR account links from the Holistic View page in order to spread the effort, enter loans, and indicate cost sharing as necessary.
17. After your portion of the effort reporting is completed for each employee, return to the Holistic View page and select the "Return to Search" button to continue working on other employees in your department(s), as needed.

**Helpful Hint: On the Search Criteria page, you may use the "Save Search Criteria" option to save the Term and DepartmentID values for easier navigation. As you move from one individual to another in your department, using this shortcut will eliminate the need to retype your search values. They will instead be available in a drop down box. We suggest naming the criteria according to these examples:

TermCode_Dept
2091_29010000
2091_34010200

B. **Processing Retro Records**

During the effort allocation process, departments may realize that some payroll records will require a retroactive payroll entry in order to properly report the source of an employee's salary. This is especially important if it is discovered that an employee has been paid from a restricted fund (Fund 201 or 209) but did not expend sufficient effort for the percentage of his/her salary that was charged to the project. For example, an employee may have been paid 50% of his/her salary from a sponsored project, but only worked 30% on the project during the term. 20% of that employee's salary must be retroactively removed from the sponsored project.

About two weeks after opening the Effort term, the Effort System is temporarily closed to download any retroactive distributions processed since the data was initially loaded. The data from this download is compared to the initial data. If any record for an employee has been affected by a retroactive distribution, all records for that employee are placed in retro status. All previous loans and allocations are removed. These records must be re-allocated, loans re-processed, and cost sharing re-designated. As soon as the retro load process is complete, the term is re-opened so that reporting, certification and authorizing may continue.

C. Effort Certification

Effort records must be "certified" by the employee, or by a proxy certifier who has suitable means of verification that the records are a reasonable reflection the employee's work for the term.

In order to more fully respond to requirements related to who should certify effort reports, the University is now requiring (except in certain circumstances) the employee to certify his/her own effort.

An on-line effort certification page has been designed to closely resemble the Faculty Assignment Report (FAR). The same definitions and examples provided for that report apply here as well. Instructions for the FAR can be found at:

www.aa.ufl.edu/aa/forms/AAForm001inst.pdf	for the MAIN Campus users
www.aa.ufl.edu/aa/forms/AAForm002inst.pdf	for the Health Center users
http://ded.ifas.ufl.edu/reports/facassign.shtml	for IFAS Extension users

Using the navigation provided in your notification email, **please review your effort data** (as recorded by your department effort reporter) for corresponding term. The effort term code is provided in your notification email.

If you **agree** with the allocation of the activities for your effort, please **select the Agree button** at the bottom of the page.

If **you do not agree** for any reason, please refer questions to your departmental effort reporter, who will follow up with any necessary corrections in the system. You will then be prompted to log on again to complete the certification process.

This process is accomplished in four steps:

1. **Run the Master List for your department(s)**
2. **Electronic Effort Reporting Certifications**
3. Process any necessary changes based on the employee's corrections
4. Have all effort reporting data Authorized by an administrator at the Dean, Director or Department Chair level

Step One: Run the Master List

Because many employees are paid from more than one department or HR account code, and it is not desirable to ask them to sign more than one effort certification, a departmental Master List has been developed that assigns each employee to a single Effort Home Department for certification purposes. The report is run in Excel format so that the effort reporter may sort the data and arrange it in the most effective manner. Additional columns may be added to record dates when the certification forms are distributed, returned, and forwarded to Cost Analysis. Additional columns may be used to record dates when employees are reminded of the importance of signing and returning the documents, if necessary. If the reports are to be certified by someone other than the employees themselves, a column may be used to record the name of the supervisor, PI or other designee.

The path to access the Effort Master List in myUFL is: Enterprise Reporting > Access Reporting > Human Resources Information > Workforce Information > Effort Tracking > Semester Effort Report – Master List. Enter the required 4-digit department ID in the top Keywords field, and click "Search." When the screen returns the results of the search, click "Select all," "Insert," and then, at the bottom of the screen, click "Finish." When returned, the document will be in a Microsoft Excel format.

Step Two: Electronic Effort Reporting Certifications

1. When the departmental effort reporter, or reporters if more than one department is involved, completes and submits an employee's effort reporting for a term, an email notice is automatically generated by PeopleSoft® informing the employee that his or her effort report for the term is complete and available for certification. The email contains instructions to access the report, and informs the employee that additional emails will be sent to the employee and responsible dean, director, or chair every four days until the report has been certified.

2. The employee accesses the report by signing on to PeopleSoft®, clicking on “My Self Service,” then clicking on “Effort Certification.”
3. The employee may access the certification by entering the Term, i.e. “2091” for spring, 2009 and clicking the search button. If the search button is clicked without indicating the term, a list of all terms beginning with spring 2008 (2081) will be brought up and the employee should select the most recent term.
4. The Semester Effort Certification document for the selected term will come up on the screen. The employee should review the document, and if he/she has any questions, should contact the effort reporter for the Effort Department designated at the top of the form. Alternately, the employee may address questions the Effort Reporting administrative team by email to effort@admin.ufl.edu.
5. When the employee is satisfied that the report provides a “reasonable estimate” of his/her work done during the term represented by the report, he will scroll to the bottom of the page and click the “Agree” button. By pressing this button, the employee is certifying that he/she agrees that the report represents a reasonable estimate per OMB A21 of his/her work for the related term.
6. If the employee disagrees with all or part of the report, appropriate changes to the report should be worked out between the employee and the Effort Reporter, and the changes entered into the Effort system by the departmental Effort Reporter. Once the changes have been completed, the employee would go back into the Effort System and press the “Agree” button to complete the process.
7. If the electronic Effort Certification system for the desired term is no longer available because too much time has passed, there is a “Printer Friendly Version” hyperlink available at the top of the page, allowing the employee to print the report, sign it manually and forward the signed original to the departmental effort reporter, who will forward it to Cost Analysis as soon as possible.

Steps to Certify a Semester Effort Report by Proxy

The Semester Effort Report is available on-line and may be certified electronically from anywhere internet access is available. However, In certain circumstances it may not be feasible for an employee to certify his/her own report. Federal directive OMB A-21 makes provision allowing another person with suitable means of verification, perhaps a supervisor, principal investigator or, in limited cases, the Dean, Director or Departmental Chair, to certify a report. This “substitute signer” is designated, on a term by term basis, as a “Proxy Certifier.” Following, are the steps to designate a Proxy Certifier.

1. The departmental Effort Reporter sends an email to the Effort Reporting Administrative Group (effort@admin.ufl.edu) explaining the circumstances making it unfeasible for the employee to certify his/her own Semester Effort Report, and asking that a Proxy Certifier be approved. The Effort Reporter designates the prospective proxy, providing the name, UFID# and email address .
2. An Effort Administrator will examine the request and may authorize the Proxy Certifier within the Effort Certification system, seek additional information from the Departmental Effort Reporter, request another Proxy Certifier by designated, or decline the request, explaining the reasons by return email.

3. Once a Proxy Certification has been approved and set up by the core office an email is sent to the Proxy Certifier, informing him/her of the department's request and providing instruction to complete the on-line certification, using these steps:
4. The Proxy Certifier navigates to the report by signing on to PeopleSoft®, clicking on "Effort Reporting," then clicking on "Effort Certification."
5. The Proxy may access the Semester Effort Reports by entering the Term, i.e. "2091" for spring, 2009, and clicking the search button.
6. A list of employees for whom the Proxy Certifier may certify will come up on the screen. If the search button is clicked without indicating the term, a list of all terms beginning with spring 2008 (2081) will be brought up and the Proxy should select the most recent term.
7. The Semester Effort Certification document for the selected employee will come up on the screen. The Proxy should review the document, and if he/she has any questions, should
8. contact the effort reporter for the Effort Department designated at the top of the form. Alternately, the Proxy may address questions to the Effort Reporting administrative team by email to effort@admin.ufl.edu.
9. When the Proxy is satisfied that the report provides a "reasonable estimate" of the employee'swork during the term represented by the report, he/she will scroll to the bottom of the page and click the "Agree" button. By pressing this button, the Proxy certifies that he/she has "suitable means of verification of the individuals' entire assigned effort and work performed," and confirms that he/she" has reviewed the information provided and that it is correct per the principles outlined in OMB Circular A-21 "Cost Principles for Educational Institutions" (http://www.whitehouse.gov/OMB/circulars/index.html).
10. If the Proxy disagrees with all or part of the report, appropriate changes to the report should be worked out between the Proxy and the Effort Reporter, and the changes entered into the Effort system by the Effort Reporter. Once the changes are completed, the Proxy would go back into the Effort System and press the "Agree" button to complete the process.
11. If the electronic Effort Certification system for the desired record is no longer available, there is a "Printer Friendly Version" hyperlink available at the top of the page, allowing the Proxy to print the report, sign it manually and forward the signed original to the departmental Effort Reporter, who will forward it to Cost Analysis as soon as possible.

Step Three: Process any necessary changes

The an email should be returned to the Effort Reporter in time for any changes the employee has requested (and departmental administration has approved) to be updated in the effort reporting system prior to authorization of the department *which must be done before the term is closed*.

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Step Four: Authorize Reports

All records for each department must be authorized by the department's Dean, Director, or Chair by the term closing date. The Effort Authorizer for the department, may authorize all submitted records for a department for which he/she has the UF_ET_FPAR_AUTHORIZER security by using the following steps:

1. Access the Effort Tracking-Authorizer menu by following this path: Effort Tracking → Effort Tracking → Effort Tracking Inquiries → Department Account-Authorize.
2. Enter the Term (i.e. 2085 for the Summer 2008 term) or select it from the drop-down menu
3. Enter a specific department number, or leave the department blank. If no department is designated, all departments for which the authorizer has security will be displayed,
4. Click on any department, and all employees for that single department will be displayed with Name, HR Account Code, Salary Admin. Plan, Academic Indicator, % Effort, % Difference, Authorizer's UFID # (previously authorized records for the term only), Authorized Date, and Status (Incomplete, Complete, Retro, Submitted, and Authorized). At this point, the authorizer may elect to view all records or filter by record status.
5. Click on the yellow "Authorize" button to authorize all records for the department that are in "Submitted" status.
6. The A-21 "Confirm Authorization" statement will be displayed. The authorization will be completed by clicking the "Yes" button. If the "No" button is clicked, the system will return to the previous page, and none of the records will have been authorized.
7. **Click the "Save" button or the newly authorized records will return to "Submitted" status upon exiting the screen.**
8. If the authorizer has other departments to authorize, he/she may click on the "Return to Search" button to select another department.

Appendix—Contact Information

A. Questions related to the Effort Reporting Process? **Email: effort@admin.ufl.edu**

B. **Contact the Office of Institutional Planning and Research for information related to faculty and professional Effort Reporting, contact hours, the Semester Faculty Assignment Report, and Instructor Name/Workload Report:**

Armando Ramirez
Office of Institutional Planning and Research
University of Florida
P.O. Box 113115
355 Tigert Hall
Gainesville, FL 32611-3115
Phone: (352) 392-0449
Email: aramire@ufl.edu
http://www.ir.ufl.edu

C. **Contact Cost Analysis for information related to *non-academic* activity reporting and *cost sharing*:**

Grady Darden
Senior Administrative Assistant
University of Florida
Cost Analysis
G-2 Tigert Hall
P. O. Box 113015
Gainesville, FL 32611-3015
Phone: (352) 392-5778 Ext. 601
gcd@ufl.edu

Curtis Ball
Crd, Admin. Svcs.
University of Florida
Cost Analysis
G-6 Tigert Hall
P. O. Box 113015
Gainesville, FL 32611-3015
Phone: (352) 392-5778 Ext. 604
cball@ufl.edu

D. **IFAS information:**

Juli A. Carter
Crd, Budget
Budget & Finance
2022 McCarty Hall
Gainesville, FL 32611-0280
Tel: (352) 392-1347
jare@ifas.ufl.edu

E. **Engineering information:**

Mary Lynn Slone
Administrative Assistant
340 Weil Hall
P. O. Box 116550
Gainesville, FL 32611-6550
Tel: (352)392-0904
mslon@eng.ufl.edu