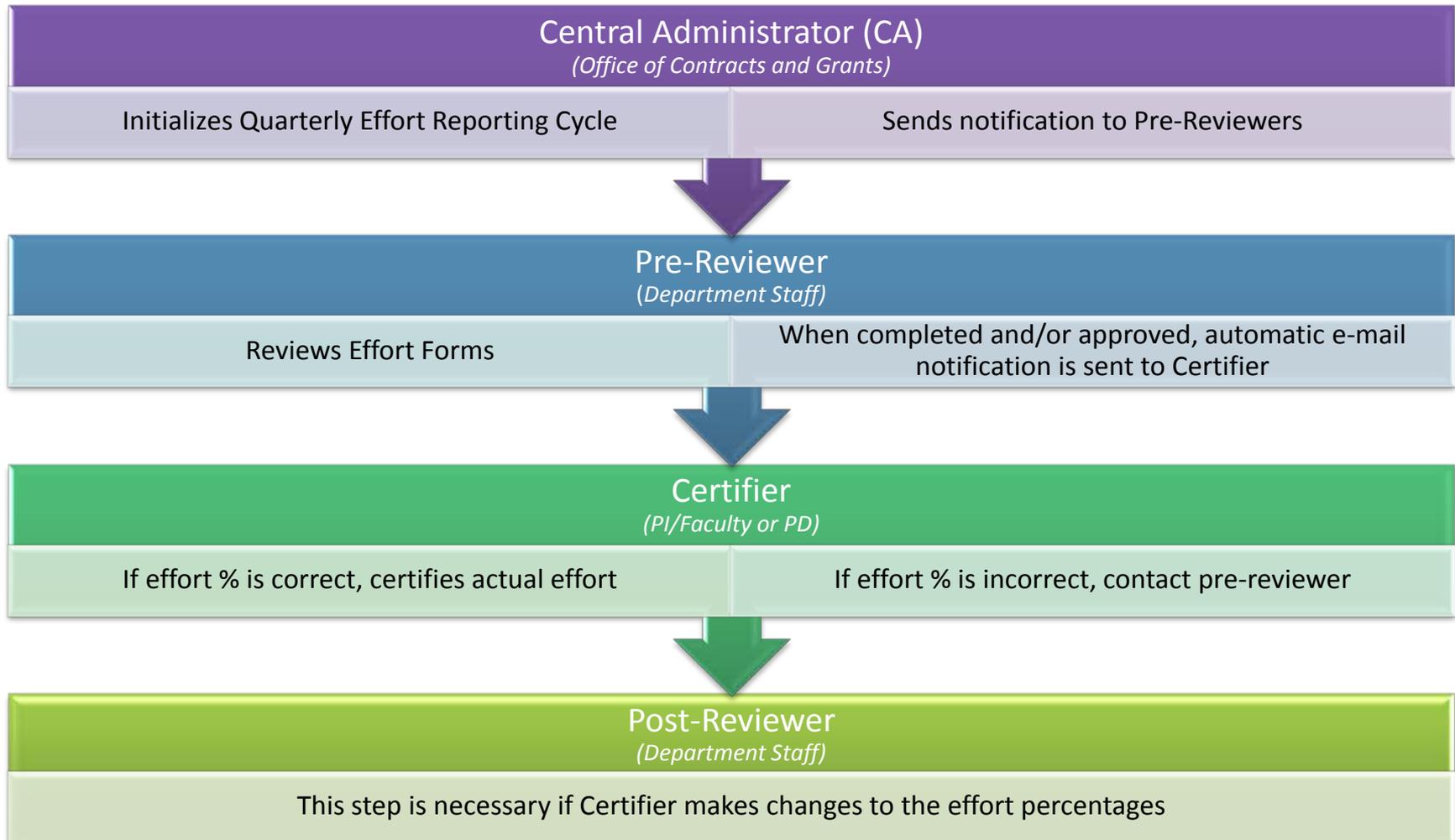# MAXIMUS Effort Reporting System

CBA Meeting on 10/08/2015

Why MAXIMUS Effort System

- It is an online Web-based system with email notifications that replaces the manual process and paper certification forms

- Ability to track and report effort commitment for cost sharing

- Faculty can see payroll details as it relates to effort or work on their projects.

- It flags DHHS Salary Cap to alert users when pay is above the limit allowed by sponsor.

- Assist in preventing a repeat of the audit finding of FY 2014 where the University did not always certify time and effort reports within the required time period.

Effort Reports Process Flow Chart

Central Administrator (CA)
(Office of Contracts and Grants)

Initializes Quarterly Effort Reporting Cycle	Sends notification to Pre-Reviewers

Pre-Reviewer
(Department Staff)

Reviews Effort Forms	When completed and/or approved, automatic e-mail notification is sent to Certifier

Certifier
(PI/Faculty or PD)

If effort % is correct, certifies actual effort	If effort % is incorrect, contact pre-reviewer

Post-Reviewer
(Department Staff)

This step is necessary if Certifier makes changes to the effort percentages

UNIVERSITY of **HOUSTON** | RESEARCH

Central Administrator (CA) Responsibilities

The Central Administrator is the Office of Contracts and Grants that will be responsible for general oversight of the system and maintenance of the integrity of the effort process. The CA will also be responsible for the following:

- Training of University staff (on the utilization of the system),

- Streamlining the progression of the Effort Form through Pre Review, Certify, and Post Review, and

- Configuring the system to adapt to the business and organizational structure of the institution

Pre-Reviewer Responsibilities

The Pre-Reviewer is the assigned staff in the Department that will be responsible for effort reporting for their unit . The individual will be responsible for the following:

- Reviewing the quarterly effort reports before releasing to the certifiers

- Updating cost sharing where necessary.

- Ensuring timely completion of the certification at the Department level

- Providing the PIs with training

Certifier (PI/Faculty or PD) Responsibilities

The Certifier is the Principal Investigator (Faculty) or the Program Director (PD) listed on the award. The PI or PD is responsible for the following:

- Ensuring that sponsored and non-sponsored activities are properly accounted for and represented on the form

- Ensuring that distributions are reasonable representations of the actual work performed.

- Notifying pre-reviewer or DBA of incorrect % distribution and take reasonable, making adjustment

- Certify the effort report

Post-Reviewer Responsibilities

The Post-Reviewer is the assigned staff in the Department that will be responsible for effort reporting for their unit. The individual will be responsible for the following:

- Reviewing the quarterly effort reports when the Certifier adjusts the effort form after the Pre-Reviewer's review, and

- Updating cost sharing to match changes initiated by Certifier.

MAXIMUS Effort Reports
(Pre-Previewer View)

1. **Employee Information**: Demographics on the employee e.g. Name/EMPL/Title/Department

2. **Commitment**: Cost Share and Committed Direct Charges are group together under this column

3. **Payroll**: Payroll from PeopleSoft only on viewable effort forms (*not* on the print out of the effort form)

4. **Accounts**: List of **all** accounts for the PI's only, even if payroll was not charged.

5. **Cost Share**: Changes to effort percentages on the form are updates to cost share.

6. **Certified Effort**: Percentage and dollar value the PI certified too

7. **Post Review Information**: Changes to the effort form after the form was certified by the PI and adjusted by Post-Reviewer

8. **Adjustments**: any adjustments to the original form

9. **Effort Report Information**: Shows the reporting period for the effort form

MAXIMUS Effort Reports
(Certifier View)

University of Houston
Reporting Period: FY15_Q3 (03/01/2015 - 05/31/2015)

Name: *XXXXXX* Employee ID: *XXXXXXX* Title: *XXXX*

SubDept: *XXXX* Division: *XXXX* Title Code: *XXXX*

Accounts		Payroll %	Cost Sharing %	Total %	Certified Effort %
Sponsored Accounts					
00730-5013-H0114-B0001-G105828 (52211)	Collaborative Observ	15%	18%	33%	33%
00730-5013-H0114-B0001-G106062 (53772)	Preschool Vision Scr	23%	0%	23%	23%
00730-5013-H0114-B0001-G107557 (55916)	Identification of op	0%	20%	20%	20%
00730-5013-H0114-B0100-C109510 (56702)	PEDIG Vice Chair-Ped	9%	15%	24%	24%
	Total Sponsored Accounts:	47%	53%	100%	100%
Non-Sponsored Accounts					
00730-2064-H0113-A9788-NA (38167)	DR CHARLES R STEWART	3%	-3%	0%	0%
00730-2075-H0113-D0799-NA (50804)	OPT FOUNDATION SUPPO	2%	-2%	0%	0%
00730-2080-H0113-F0857-NA (32336)	PAYROLL SUSPENSE	7%	-7%	0%	0%
00730-2160-H0113-D2631-NA (41015)	OPT PREMIUM TUITION	36%	-36%	0%	0%
00730-4042-H0113-A9788-NA (40855)	DR CHARLES R STEWART	5%	-5%	0%	0%
	Total Non-Sponsored Accounts:	53%	-53%	0%	0%
	Grand Total:	100%	0%	100%	100%

1. **Employee Information**: Demographics on the employee e.g. Name/EMPL/Title/Department

2. **Accounts**: List of **all** active sponsored accounts for the PI, and accounts payroll was directly charged.

3. **Payroll % / Cost Share% / Total %**: Percentage of effort based on payroll distribution and cost share commitments.

4. **Certified Effort**: Changes to the Total Effort percentage made by the Certifier

UNIVERSITY of **HOUSTON** | RESEARCH

MAXIMUS Effort Reporting System (ERS) Training

[Effort Reporting Training PowerPoint](#)	*PowerPoint presentation on an introduction to what is effort and the importance of committed effort.*
[ERS Department Coordinator Training Video](#)	*Live presentation of the training by MAXIMUS representatives of ERS with possible scenarios departments face. (Originally presented July 8, 2015).*
[ERS Department Coordinator Training Manual (PDF)](#)	*Training Manual for Staff that will be responsible for coordinating Effort Reporting in their department. This training document will serve as an ongoing resource and reference manual as UH operates ERS online.*
[ERS Faculty Certifier Training Video](#)	*Live presentation of MAXIMUS and a step-by-step training for Certifiers. (Originally presented July 8, 2015).*
[ERS Faculty Certifier Training Manual (PDF)](#)	*Training Manual for Certifiers will serve as an ongoing resource and reference manual as UH operates ERS online.*
[ERS Faculty Certifier Quick Reference Guide](#)	*A quick reference guide for Certifiers of the 5 steps to certify effort reports in ERS.*
[Converting Person Months to Effort Percentages](#)	*This handout is created by the Division of Research and provides the formula for calculating person months to effort percentage.*
[PHS Salary Cap worksheet](#)	*Excel PHS (NIH) salary Cap Worksheet to be used to calculate amount charged based on % effort and to show when amount is in excess of the salary cap.*

Important Dates

- **September 1, 2015** (Go Live)
  - Email was sent out to the DBA/CBA and Research Faculty ListServ with instructions to process effort reports for the following periods:
    - Quarter 2 (Dec 2014 – Feb 2015)
    - Quarter 3 (Mar 2015 –May 2015)

- **October 30, 2015**
  - Deadline for completion of Quarters 2 and 3
  - Email will be sent for availability of Quarter 4 effort forms

- **December 30, 2015**
  - Deadline for completion of Quarter 4

Frequently Asked Question

1. **Why are there not any effort forms for the Certifier?**
   A. The Pre-Reviewer has to approve the effort form before the Certifier will see pending effort forms.

2. **How can I reassign the Pre-Reviewer role?**
   A. From the left-hand menu click on *Assignment*,
   B. Click on the *Change Assignments for Individuals* hyperlink,
   C. Select your *Department* and click Proceed,
   D. Select your *Sub Department* and click Proceed,
   E. Select the *individual(s)* and click Proceed,
   F. Select the new assignment for the selected individual(s) and click Proceed.

3. **If I need additional hands on training using MAXIMUS, who do I contact?**
   A. Please contact DeSandra Torbor, dtorbor@uh.edu or Grace Rosanes, tgrace@uh.edu. The training options are a Lync meetings or one-on-one's at DOR

4. **If the payroll percentage does not accurately show the effort contributed, what do I do?**
   A. It depends. If variance is $\pm 5\%$, the effort percentage should not be changed. Because of the effort of teaching, research, and administration is inextricably intermingled, the Uniform Guidance states that a precise measurement of effort is not feasible nor expected. If the effort percentage and payroll distribution vastly different, the department will have to work with the PI to adjust the payroll distribution. These changes should be addressed monthly during the account reconciliation process rather than during the effort reporting period.

5. **If the Certifier is no longer at UH during the Effort Reporting Period, who certifies their effort reports?**
   A. Their direct superior who has technical knowledge of the work they performed during the effort reporting period.