

**PROCEDURE NUMBER:** FINA 3.12 Procedure  
**SECTION:** Administration and Finance  
**SUBJECT:** Grants and Funds Management – Time and Effort Reporting Policy  
**DATE:** July 1, 2022  
**Procedure for:** All Campuses  
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**Issued by:** Administration and Finance – Controller’s Office

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## Procedure

The following procedure provides details on the administration and management of Time and Effort reporting and certification for the University. Refer to **FINA 3.12** – Time and Effort Reporting policy to determine if you are subject to this procedure.

A. Controller’s Office Compliance Area Responsibilities and Creation of Time and Effort Reports

Time and Effort Reports will automatically be created for any employee that receives earnings funded by a sponsored award project directly or has earnings recorded as cost share on a sponsored award project.

The Controller’s Office Compliance Area will generate reports twice year using PeopleSoft HCM eforms. The reports will be generated approximately 30 days after the reporting period ends. The reporting or certification cycles are as follows:

1. January – June
2. July - December

Once reports are generated, all applicable business managers will receive an email notification and a detailed memo containing pertinent information regarding due dates and resources available.

The Controller’s Office Compliance Area responsibilities are to ensure reports are generated timely and accurately reflect all related earnings for the employee and to provide support to the Business Managers as needed. The Controller’s Office will provide training and updates annually.

B. Business Manager Responsibilities

The Business Manager is responsible for:

- I. Review of the effort reports for employee's within their purview for accuracy and facilitate any needed corrections. Effort reports are assigned based on the primary home department for the employee.
- II. Business Managers are expected to coordinate with other colleges and departments as necessary to verify the accuracy of each effort report prior to releasing it for approvals.
- III. Upon review completion, release effort reports to the approval workflow.
- IV. Serve as an intermediary between approvers and Grants and Funds Management as it relates to troubleshooting, facilitating updates, or corrections to reports.
- V. Coordinate and troubleshoot with pending approvers (employees, PIs, and supervisors) until all applicable approvals are completed.
- VI. Ensure all created effort reports within their purview are fully approved and executed within PeopleSoft HCM Time and Effort.
- VII. Reports should be executed and fully approved within 30 days of issuance.

C. Employee Responsibilities:

Employees are required to:

- I. Review their effort report for accuracy and coordinate with Business Managers for any needed corrections.
- II. Employees must electronically certify all lines on their effort report within the PeopleSoft HCM Time and Effort system.

Employees are expected to communicate and coordinate with Business Managers to ensure their effort report is accurately captured. Upon employee certification, the report will route to applicable sponsored project PI(s).

D. Principal Investigator (PI) Responsibilities:

Principal Investigators are required to:

- I. Review the effort report for accuracy and coordinate with Business Managers for any needed corrections.
- II. PIs must electronically certify the lines associated with their projects on the effort report within the PeopleSoft HCM Time and Effort system.

PIs are expected to communicate and coordinate with Business Managers to ensure reports are accurately captured based on effort the employee provided to their project(s). Once the PI completes their approval, the report will route to the employee's Supervisor for final approval.

E. Supervisor Responsibilities:

Supervisors are required to:

- I. Review the effort report for accuracy and coordinate with Business Managers for any needed corrections.
- II. Supervisors will have access to certify all the lines on the report.
- III. If an employee is no longer with the University and/or unavailable to certify their own report, the supervisor must ensure all lines are certified.

Supervisors are expected to communicate and coordinate with Business Managers to ensure reports are accurately captured based on effort the employee provided to the best of their knowledge. Once the Supervisor completes their approval, the report will be considered complete and fully executed.

F. Overall Reporting:

Time and Effort Reports should be fully certified and approved within 30 days of issuance. Any effort not certified by day 60 are subject to be moved to departmental funds.

The University's effort reporting process relies on payroll distributions to provide information regarding the projects to which an individual's salary was provisionally charged during the reporting period. As a result:

- Payroll charges must be monitored on a regular basis, with adjustments processed timely to reflect significant variations in effort.
- It is imperative that material changes in effort are routinely communicated and recorded on the University's financial records continuously throughout the award and reporting period and not after the reporting period has ended and an effort report has been generated.
- If the salary allocation reflected on the effort report is not consistent with the percentage of effort expended on the sponsored awards, it is the responsibility of the individuals completing the effort certification to report actual effort percentages and coordinate with Business Managers to ensure any necessary corrections are recorded in the University's accounting system.
- When such corrections result in the need to reduce the charge to a sponsored award, they are mandatory and always permissible. Corrections that result in increasing the amount charged to a sponsored award are subject to the University's Cost Transfer Policy **FINA 3.35**.

Refer to **FINA 3.12** – Time and Effort Reporting policy for additional information.

**Resources**

FINA 3.12 – Time and Effort Policy

Training Resources are available on the [Controller's Office](#) website.