Kuali Financial System
Training Guide

University of Hawaii
Effort Reporting

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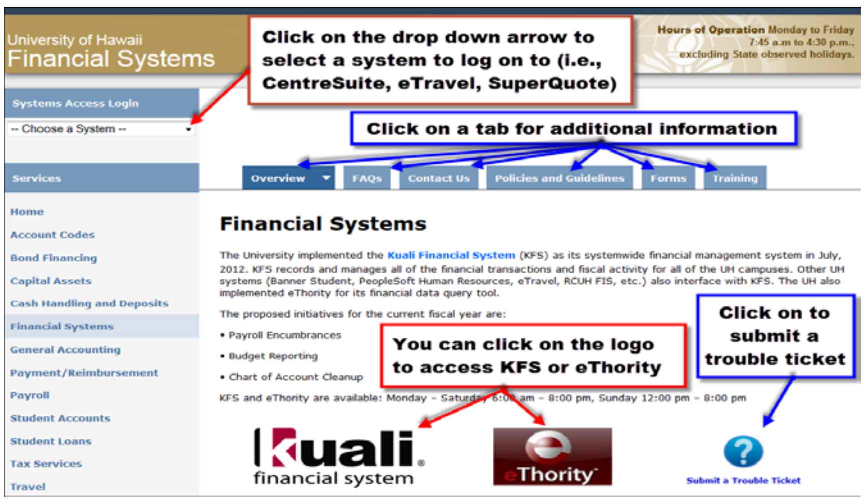
Resources

The FMO website has a Financial Systems page at http://www.fmo.hawaii.edu/financial_systems/index.html that focuses on specific material related to the systems with the following dedicated tabs Overview, FAQs, Contact Us, Policies and Guidelines, Forms and Training.

Click on http://www.fmo.hawaii.edu/financial_systems/index.html for access to our webpage and then click on the pertinent tab for assistance with your topic of interest. The screenshot below shows the layout of the website. A description of the tabs is provided beneath the screenshot.



Overview: This tab provides you with a brief overview and live links to KFS or eThority. Just click on the respective logo to begin the log in process.

FAQs: This tab provides frequently asked questions by topic.

Contact Us: In the event you need to contact a member of the Kuali Financial Project team you can view their name, area of responsibility, phone number, and a live link to their email address. The Contact Us tab also provides the live link to submit a trouble ticket: Submit a Trouble Ticket.

Policies and Guidelines: You can review the Process Documents for each business process to get a finer level of details related to each topic.

Forms: This tab provides you with links to forms related to KFS access used by UH employees.

Training: The KFS Training Team has developed training manuals and On-Line tutorials for KFS. There are training manuals for each of the sessions as well as On-Line tutorials for each topic within the session(s). If you want to attend in-person training refer to the Training Calendar found on the “Training Calendars & Other Schedules” tab on the FMO Website homepage. Additionally, notification of upcoming training is sent to the KFS-USERS listserv. Register for training by clicking on the registration links provided. There are also Tips of the Week for commonly asked questions.

Each of the Service Areas within the FMO website has similar tabs related to the specific areas. For example, for forms related to payments and reimbursements, go to the Forms tab of the Payment/Reimbursement page.

Objectives

- Review Effort Reporting Schedule
- Review Effort Report Document / Process
- Review Effort eThority Reports

Effort Reporting Overview

Purpose

The purpose of Effort Reporting is to ensure that compensation costs are allowable and comply with the U.S. Office of Management and Budget's Uniform Guidance at 2 CFR 200.430. Effort Reports provide an after-the-fact accounting of effort for employees who are paid in whole or part from a federally sponsored agreement. Effort Reports confirm that the distribution of an employee's salary and wages to sponsored projects and all other activities reasonably reflects the actual activity of the employee.

Guidelines and Key Dates

COMMUNICATION

The Office of Research Services (ORS) will notify the field once the Effort Certifications eDocs (ECs) are available in KFS.

RESPONSIBILITY

- Principal Investigators (PIs) are responsible for ensuring that amounts charged to their projects reasonably represent the labor efforts performed by project personnel. PIs / KFS Account Supervisors are responsible for reviewing and approving all ECs that are added to their action list as a result of the creation of the KFS Effort Certifications. ECs will route to all PIs / Account Supervisors associated with the federal extramural accounts in which an employee receives salaries or wages.
- Fiscal Administrators (FAs) shall be responsible for processing all Effort Certification Salary Transfers (ECSTs) required to reflect reasonable labor charges based upon information provided by the PIs on their projects. The ECST functions like a regular ST but is automatically generated when changes are made to an EC. FAs / KFS Fiscal Officers are responsible for reviewing and approving all ECs that are routed for approval after the PI's / Account Supervisor's approval.

SALARY EXPENSE TRANSFER IDENTIFICATION

- PI's and FA’s shall generate eThority reports such as "CBMR289 To Assist with Effort Reporting" and "Payroll Inquiry by Employee - %age by Account" to reconcile payroll transactions and identify all employees that require a Salary Transfer (ST) adjustment. Report Samples available in Appendix A.

- As much as possible, STs should be finalized prior to creation of the annual ECs. Once the ECs are generated, adjustments can only be made through the EC and related ECST.

SCHEDULE FOR ANNUAL EFFORT REPORTING

- **August** – ORS generates ECs for the previous fiscal year
- **August / September** - PIs and FAs review and approve ECs. If additional revisions are required, the PI should revise amounts on the EC. ORS sends out reminders to follow up on outstanding ECs.
- **September 30 -** ORS ensures that all ECs have been reviewed and finalized.
    - ORS may escalate any outstanding ECs to the appropriate Dean / Director or suspend account activity, if necessary.

Effort Certifications

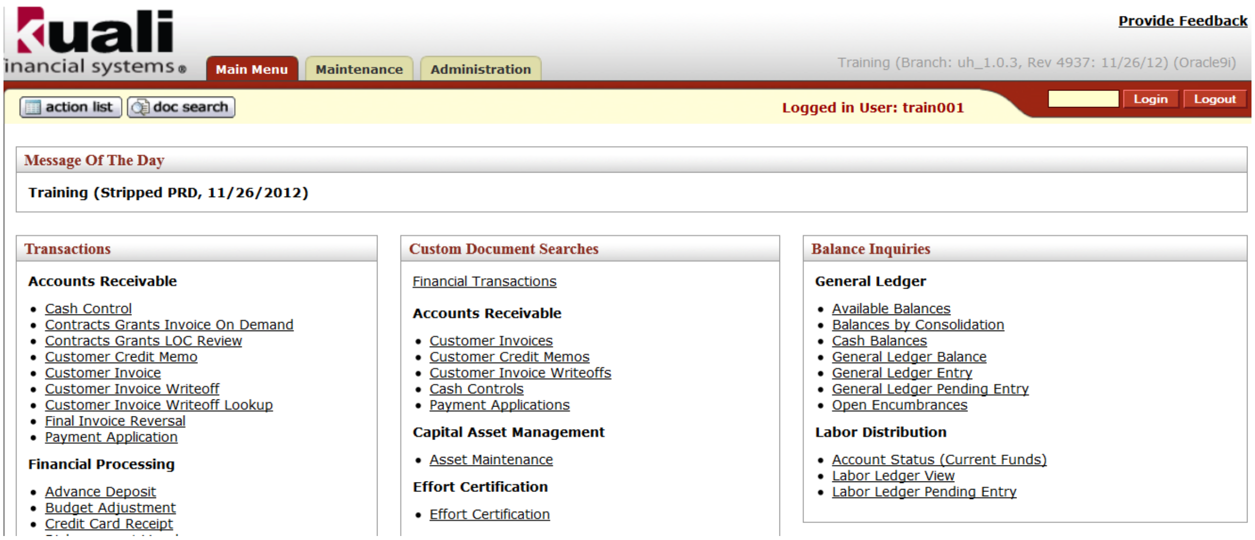
Process

The KFS Effort Certification module uses a batch process to automate the creation of ECs. ECs are generated annually for each UH employee receiving salaries / wages from a federally sponsored account. These ECs are used to certify the percentage of effort an employee worked on a particular project. Each EC routes for approval. If the distribution of an employee's salary and wages to sponsored projects and all other activities is not reasonably reflected on the EC, the Principal Investigator can enter the adjustments on the EC.

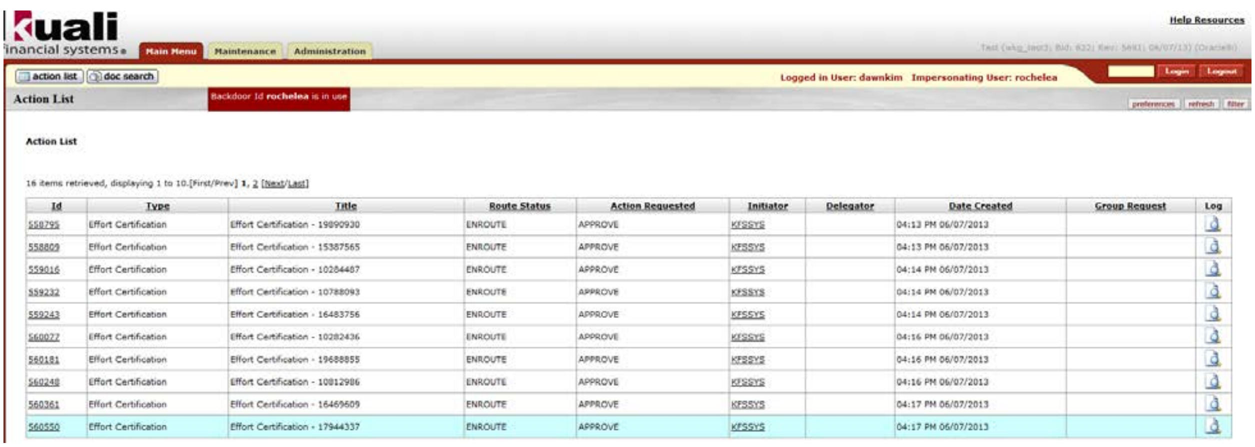
The percentage of effort should represent reasonable estimates of time and effort expended on specific projects. UH procedures require an adjustment if there is a 5% change over a long-term period (i.e. greater than 2 months). In other words, if the percentage of effort is within 5% of the actual or for less than 2 months, then no adjustment would be required.

Instructions for PIs / KFS Account Supervisors

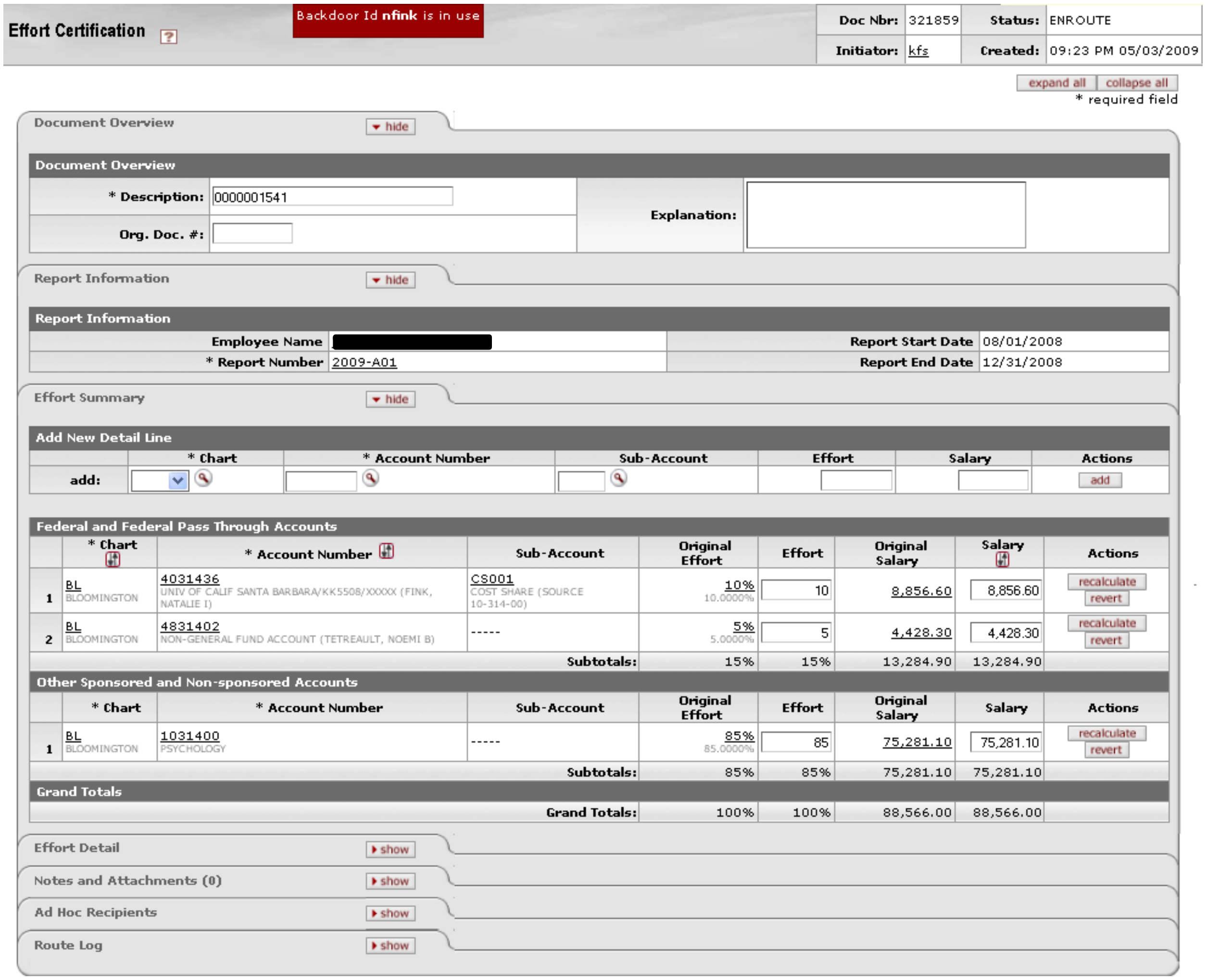
Navigation: Main Menu>action list



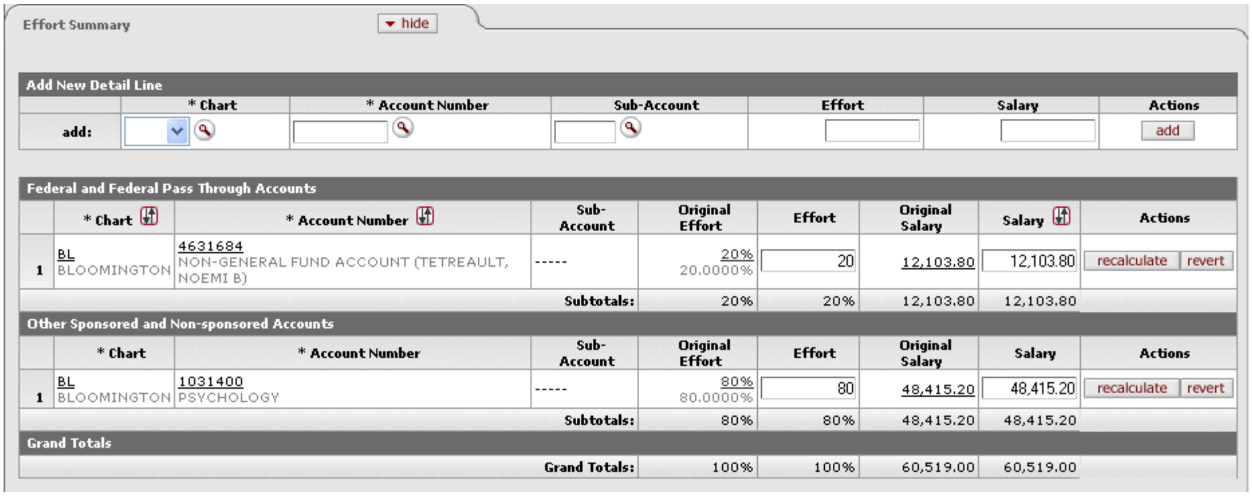
Step #	Procedure
1.	Click on the "**action list**" button.



Step #	Procedure
2.	The EC will display **Type** as Effort Certification
3.	Click on the **Id** link for the EC to be reviewed.



Step #	Procedure
4.	In the **Document Header** - Note that the **Initiator** is stamped as kfs / kfssys; this value reflects the fact that ECs are generated automatically via a batch process rather than initiated manually by a user.
5.	On the **Document Overview** tab, the **Description** field will display the **UH Employee ID**.
6.	On the **Report Information** tab, the **Employee Name** is displayed, as well as, the **Report Number**. The **Report Start Date** and **Report End Date** represent the service period in which the salaries and wages reflected on the effort report pertain to.


Effort Summary ▾ hide

Add New Detail Line

	* Chart	* Account Number	Sub-Account	Effort	Salary	Actions
add:						add

Federal and Federal Pass Through Accounts

	* Chart	* Account Number	Sub-Account	Original Effort	Effort	Original Salary	Salary	Actions
1	BL BLOOMINGTON	4631684 NON-GENERAL FUND ACCOUNT (TETREAULT, NOEMI B)	-----	20% 20.0000%	20	12,103.80	12,103.80	recalculate revert
			Subtotals:	20%	20%	12,103.80	12,103.80	

Other Sponsored and Non-sponsored Accounts

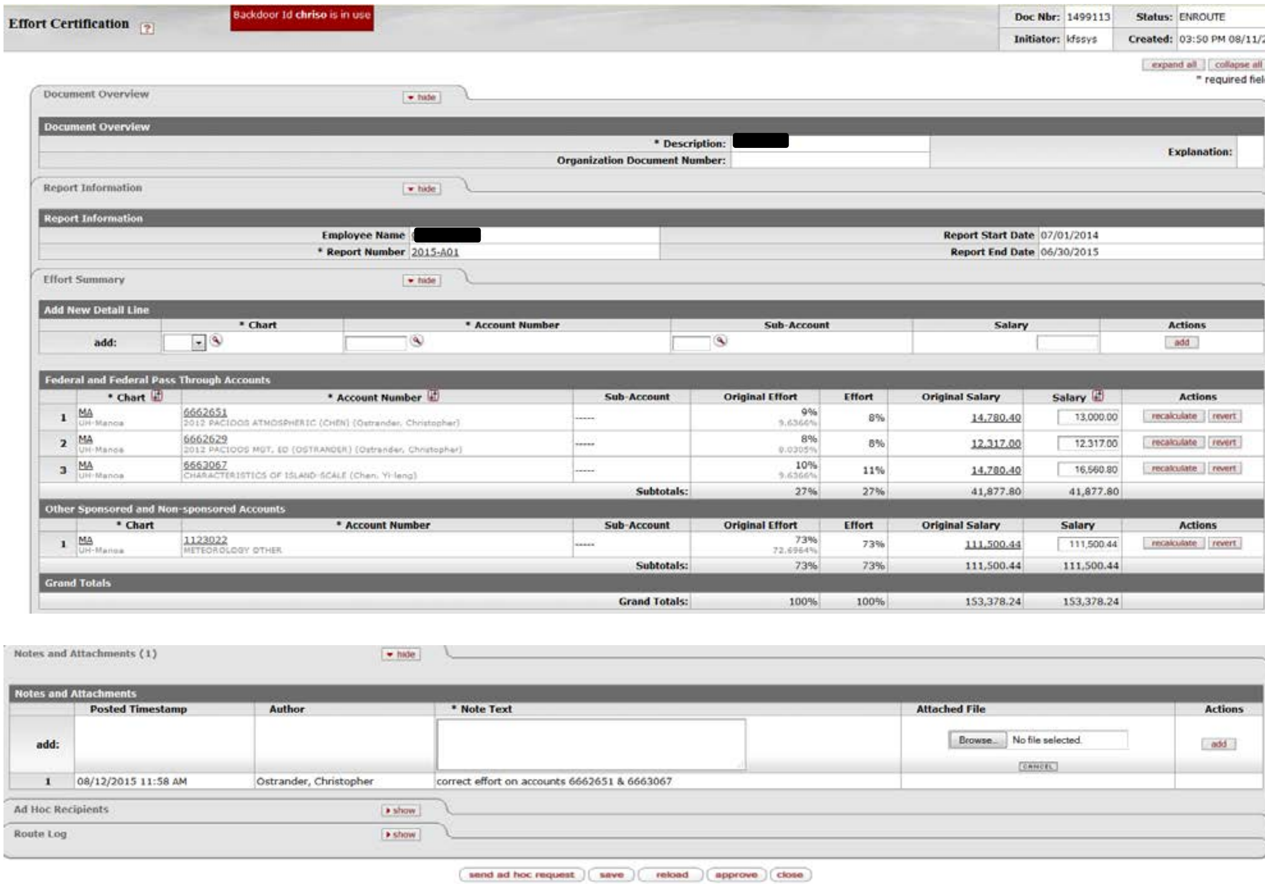
	* Chart	* Account Number	Sub-Account	Original Effort	Effort	Original Salary	Salary	Actions
1	BL BLOOMINGTON	1031400 PSYCHOLOGY	-----	80% 80.0000%	80	48,415.20	48,415.20	recalculate revert
			Subtotals:	80%	80%	48,415.20	48,415.20	

Grand Totals

Grand Totals:	100%	100%	60,519.00	60,519.00

Step #	Procedure
7.	The **Effort Summary** tab shows the accounts to which effort is currently distributed for this employee. It is displayed for the Account Supervisor's / PI's view. The accounting lines are organized into two sections: **Federal and Federal Pass through Accounts** and **Other Sponsored & Non-Sponsored Accounts**. The detailed labor ledger view can be accessed by clicking on the original salary amounts. See Balance Type Code "AC" for amounts by paid dates and "A2" for amounts related to service period.

8.	Review salaries and wages charged to the project account and confirm reasonableness of amounts. The percentage of effort is a calculation based upon the salary charged to an account for services related to the applicable fiscal year as a percentage of total salary paid to the individual. It may not agree with the FTE displayed on the Personnel Notification Form (PNF) at a given point in time, since the EC reflects an annualized effort percentage. The EC include the following types of wages: • 2001 - REG EMP-PAYROLL • 2002 - REG EMP-OVERTIME, ORDINARY • 2003 - REG EMP-OVERTIME, HOLIDAY • 2004 - REG EMP-OVERTIME, SPLIT SHIFT • 2005 - REG EMP-DIFFERT'L, SPLIT SHIFT • 2006 - REG EMP-DIFFERT'L, NIGHT SHIFT • 2007 - REG EMP-PREM, TEMP ASSIGNMENT • 2009 - REG EMP-PAYROLL, RETROACTIVE • 2011 - REG EMP-DIFFERT'L, HAZ, HI ALT • 2015 - REG EMP-WAGES IN KIND • 2017 - REG EMP-DIFFERT'L, SAB LEAVE • 2018 - REG EMP-PAYROLL, OVERSEAS • 2019 - REG EMP-STIPEND • 2025 - REG EMP-PREM, STANDBY DUTY • 2026 - REG EMP-PREM, HAZARDOUS DUTY • 2027 - REG EMP-PREM, EMERGENCY WORK • 2301 - LECT REG-PAYROLL • 2309 - LECT REG-RETROACTIVE PAY



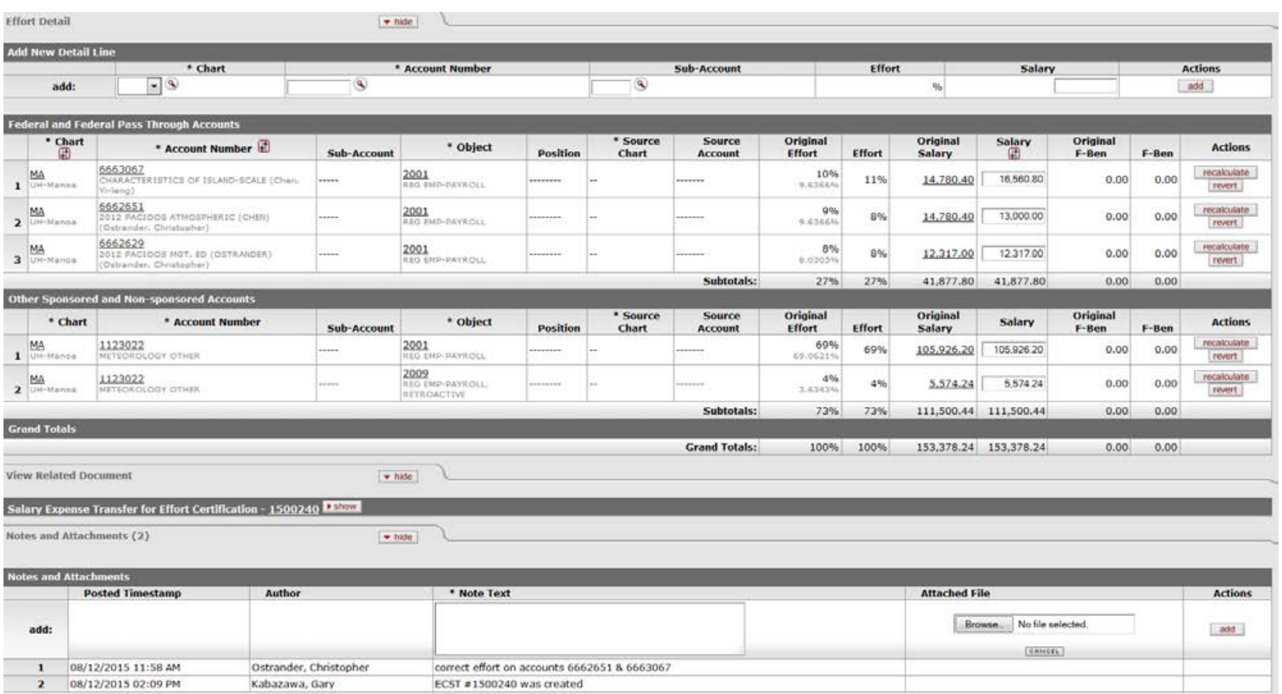
9.	The distribution of an employee's salary should be reasonably reflected on the EC. If adjustments are needed, the PI can enter the appropriate dollar amount that should be reflected for the applicable fiscal year. Enter the correct dollar amount under 'Salary" and click 'recalculate'. Grand Total Effort must equal 100%. Enter reason for adjustment in the 'Notes and Attachments' section. Click the "**approve**" button. A separate approval action is required for each Federal / Federal Pass Through account.

Instructions for FAs / KFS Fiscal Officers

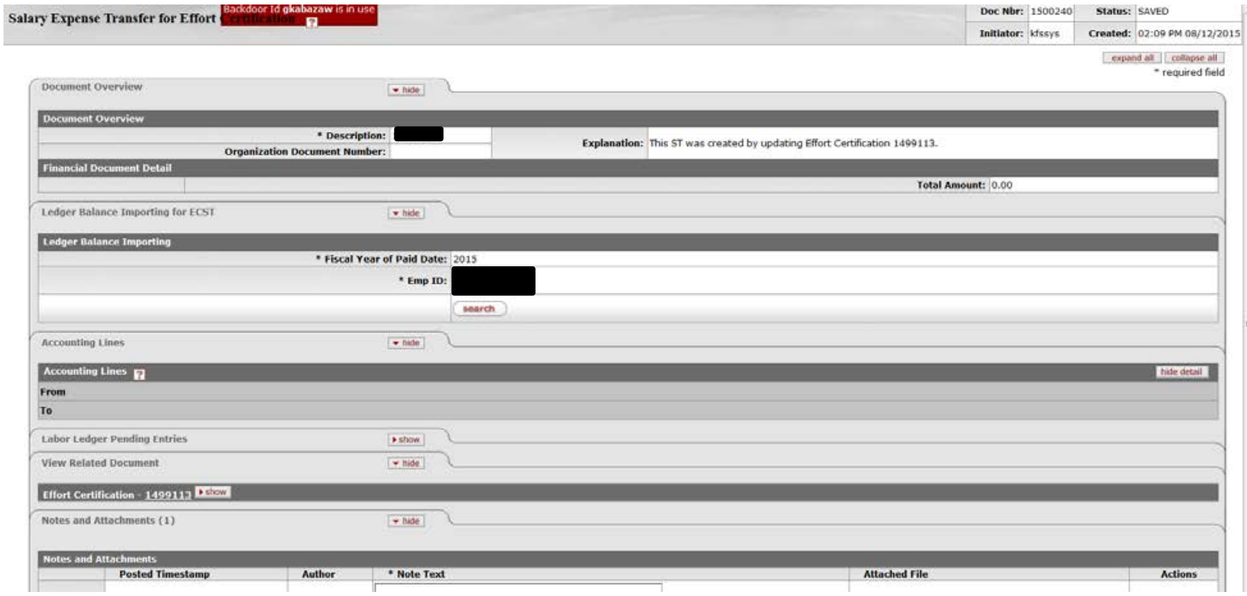
Step #	Procedure
10.	The **Effort Detail** tab is intended for use by FAs and ORS. It contains all the information found in the **Effort Summary** tab and includes additional fields such as:

	object code. The position, source chart, source account and fringe benefit fields appear but are not being updated for the Effort Report.
11.	Refer to steps 1 to 6 above.

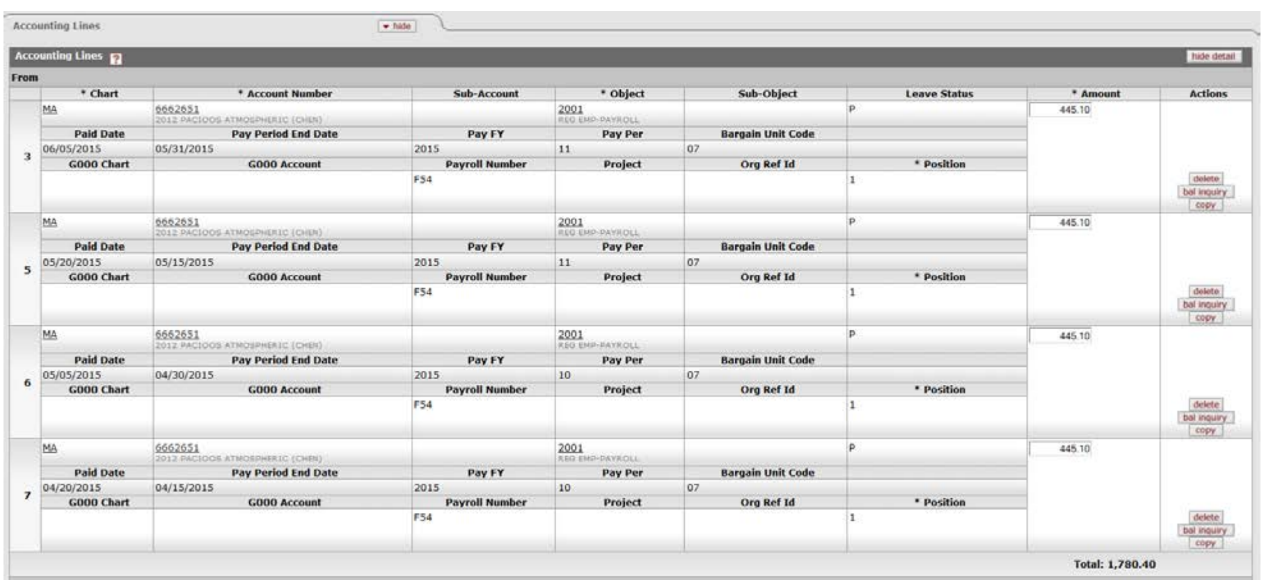
12.	After confirming that documentation on file agrees with the EC, click on the "**approve**" button. If adjustments were made by the PI, upon approval a prompt will be displayed: "The related Effort Certification Salary Transfer (ECST) document does not exist. Do you want to create it?" Click "yes". If no adjustments are made, approval action is required for all of the FAs' accounts listed.

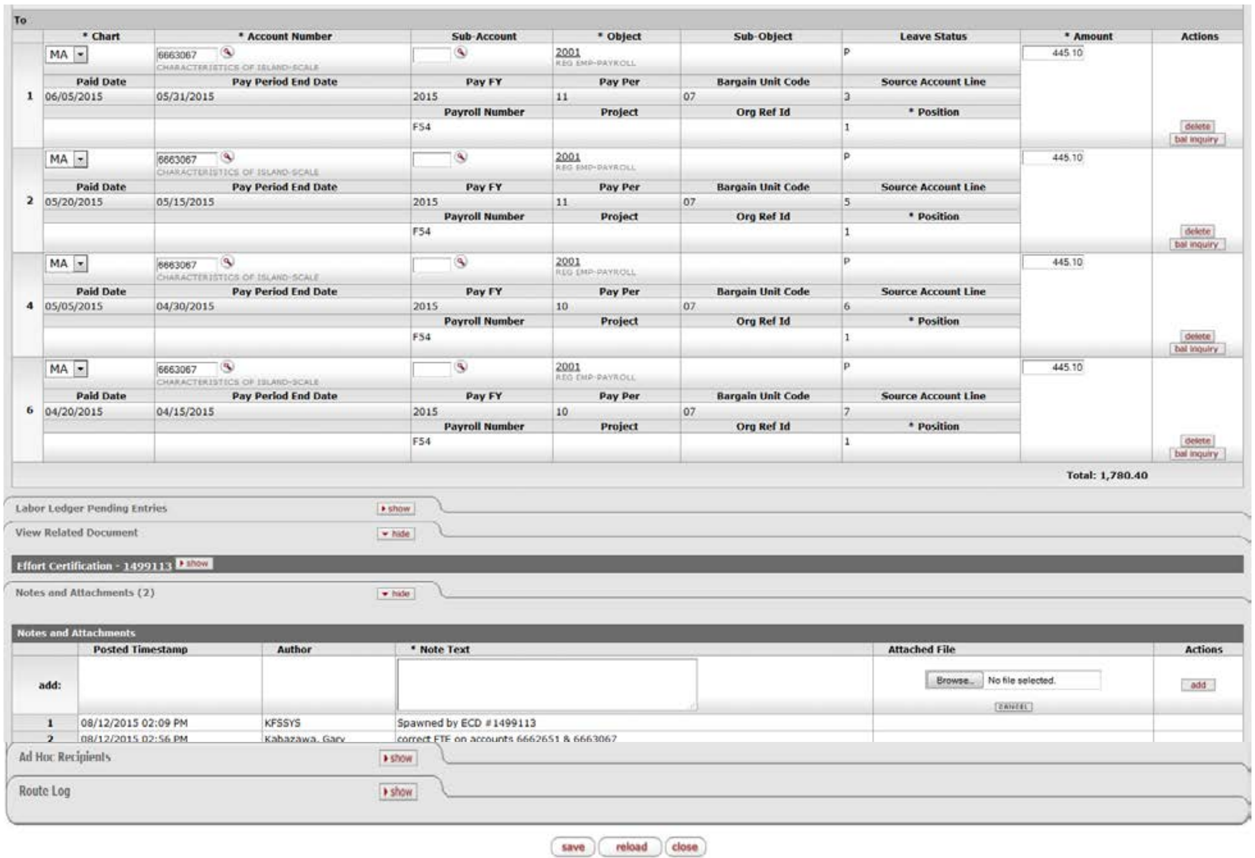


13.	The ECST eDoc # will appear in the View Related Document tab of the EC.



14.	Click on the ECST eDoc#. A new tab will open with the ECST eDoc. Click “search” under the employee’s name and select the appropriate payroll to move.





15.	Complete the ECST and save. Each "From" FA will complete the ECST for his/her account(s) if adjusted. Return to the EC from the ECST and click approve. Upon approval from UH ORS Compliance group for both the EC and the ECST, FA(s) reflected on the ECST will receive a request in their action list and must "acknowledge" to finalize the ECST eDoc.

Appendix A

Report Samples

CBMR289 - To Assist with Effort Reporting

Labor Ledger Cons (KFS & HR) - CBMR289 - To Assist with Effort Reporting

Fiscal Year	Employee Name	Position Title	Position Number	Source	FTE Person	Percent	Document Number	Service Date	Object Code	HR Amt	Labor Ledger Amt	Difference
FO: 181-John A Burns Sch of Medicine-[redacted]												
ACCOUNT: [redacted]												
Employee ID: [redacted]												
Paid Date: July, 2012												
	[redacted]	[redacted]	0086453	HR	1.00	0.40				$5,060.00	$0.00	$5,060.00
2013			------	Labor Ledger	0.00	0.00	20120721002545	6/30/2012	2001	$0.00	$2,530.00	-$2,530.00
2013			------	Labor Ledger	0.00	0.00	20120722002534	7/15/2012	2001	$0.00	$2,530.00	-$2,530.00
Total for July, 2012										$5,060.00	$5,060.00	$0.00
Paid Date: August, 2012												
	[redacted]	[redacted]	0086453	HR	1.00	0.40				$5,060.00	$0.00	$5,060.00
2013			------	Labor Ledger	0.00	0.00	20120803009869	7/31/2012	2001	$0.00	$2,530.00	-$2,530.00
2013			------	Labor Ledger	0.00	0.00	20120820008649	8/15/2012	2001	$0.00	$2,530.00	-$2,530.00
Total for August, 2012										$5,060.00	$5,060.00	$0.00
Paid Date: September, 2012												
	[redacted]	[redacted]	0086453	HR	1.00	0.40				$5,060.00	$0.00	$5,060.00
2013			------	Labor Ledger	0.00	0.00	20120905008509	8/31/2012	2001	$0.00	$2,530.00	-$2,530.00
2013			------	Labor Ledger	0.00	0.00	20120920009344	9/15/2012	2001	$0.00	$2,530.00	-$2,530.00
Total for September, 2012										$5,060.00	$5,060.00	$0.00
Paid Date: October, 2012												
	[redacted]	[redacted]	0086453	HR	1.00	0.40				$5,060.00	$0.00	$5,060.00
2013			------	Labor Ledger	0.00	0.00	20121006009829	9/30/2012	2001	$0.00	$2,530.00	-$2,530.00
2013			------	Labor Ledger	0.00	0.00	276809	9/30/2012	2001	$0.00	-$253.00	$253.00
2013			------	Labor Ledger	0.00	0.00	20121019010040	10/15/2012	2001	$0.00	$2,530.00	-$2,530.00
2013			------	Labor Ledger	0.00	0.00	276809	10/15/2012	2001	$0.00	-$2,530.00	$2,530.00
Total for October, 2012										$5,060.00	$2,277.00	$2,783.00
Total for [redacted]										$20,240.00	$17,457.00	$2,783.00

Payroll Inquiry by Employee ID - (% of total) - To Assist with Effort Reporting

Empl ID	Chart	Object	Amount	Transaction Ledger Entry Amount Pct of Total	Paid Date	Svc Date
Empl Name: [redacted]						
Account Number: 111[redacted]			$12,500.30	8.772 %		
Account Number: 112[redacted]			$48,749.88	34.210 %		
Account Number: 221[redacted]			$0.00	0.000 %		
Account Number: 226[redacted]2			$9,999.92	7.017 %		
Account Number: 666[redacted]			$71,249.90	50.000 %		
Total for Empl Name: [redacted]			$142,500.00	100.000 %		
Grand Total (all pages)			$142,500.00	100.000 %		

Note: eThority reports located in KFS Labor Ledger DataBooks folder