

Effort Certification and the Quali Financial System (KFS) – Guidance for Document Routing and Approval

Approving Effort Reports: Communication and Routing

Effort Certification Documents (ECD) are generated via KFS and first route to all Fiscal Officer(s) [FO] and delegate(s) with accounts listed on the document via the One.IU Action List. The routing is determined by the department's routing hierarchy on each account.

1) Effort Reports will be routed to Fiscal Officers first before being routed to Account Principal Investigators on Federal and Federal Pass-through Projects

Effort reports, like all KFS documents, will route to each approver's One.IU Action List. The Effort Report will route first to Fiscal Officers of all accounts represented on the document. Once ALL Fiscal Officers approve Effort Reports, the documents will then route to the Account Principal Investigators for certification approval.

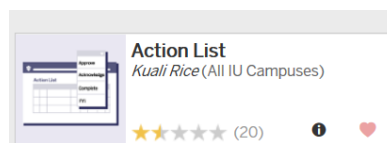
2) Account Principal Investigators on Federal and Federal Pass-through Projects will receive and approve Effort Reports electronically via One.IU

Account Principal Investigators on Federal and Federal Pass-through Projects are required to certify effort on sponsored projects. Account Principal Investigators on Non-Federal projects will not receive effort reports in their One.IU Action List.

3) Opening Effort Documents in the One.IU Action List for Effort Report review and approval

To approve an Effort Document, the approver will need to access their One.IU Action List. The One.IU Action List can be accessed by following these steps:

- Sign into the One.IU portal using Duo authorization
- Click "Action List"
- Click on the document # to access the Effort Certification (let the document fully load)



Approvers should review the effort for each of the accounts for which they are responsible.

How to handle when an FO/delegate listed in the Effort Certification is no longer with IU or is no longer in a position where they would be the appropriate person to authorize the certification

The current FO would access the document via document search using the ECD# in KFS, review the Effort Certification, and enter a note of approval in the NOTES/ATTACHMENTS Tab. The FO would then contact Rayna Amerine or Tim Burriss in the Office of Research Administration in order to have the document administratively moved forward in the electronic routing.

The department is responsible for maintaining and updating the routing throughout the life of the award account.

Once either the primary or secondary FO/delegate approve for their account, the Effort Certification routes to the Account Principal Investigator [PI] in **Kuali Coeus (KC)**.

Process for handling when a PI listed in the award account is no longer with I.U.

1. The FO will notify Rayna Amerine ramerine@iu.edu or Tim Burris thburris@indiana.edu in the Office of Research Administration (ORA) that the PI in the routing is no longer with I.U.
2. Attach one of the following verifications to the effort certification document:
 - Written verification of the effort by the terminated principal investigator. This written verification may be communicated via email.
 - If the award account is on-going, written verification of the effort may be provided by the current principal investigator. This written verification may be communicated via email.
 - If the account is closed, the PI is no longer available or not responding to any communication, then the department's Chair or Dean may provide the required effort verification.
3. The FO will communicate the verifications noted above to Rayna Amerine or Tim Burris in ORA in order to have the document administratively moved forward in the electronic routing. **Effort certifications without this documentation attached will not be reviewed and approved by ORA.**

Please see the following examples for further guidance.

Account Principal Investigators are listed on the Account Lines of the Effort Report (See Image 01 Below)

Image 01 – Project Information

Effort Certification Backdoor Id mscheutz is in use

Doc Nbr: 13841892 Status: ENROUTE
 Initiator: kfs Created: 06:45 AM 02/22/2013

Document Overview expand all collapse all
* required field

Document Overview

* Description: 0002164343
 Organization Document Number: Explanation:

Report Information hide

Report Information

Employee Name: Hsu, Yu-Yin Report Start Date: 07/01/2012
 * Report Number: 2013-B01 Report End Date: 12/31/2012

Effort Summary hide

Add New Detail Line

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

Federal and Federal Pass Through Accounts

	* Chart	* Account	Sub-Account	Original Effort	Effort	Original Salary	Salary	Actions
1	BL BLOOMINGTON	4029304 UNIV OF MIAMI, 66651R, (KUEBLER) SCHEUTZ (Scheutz, Matthias)	-----	100% 100.0000%	100	267.60	267.60	recalculate revert
Subtotals:				100%	100%	267.60	267.60	
Grand Totals:				100%	100%	267.60	267.60	

Effort Detail show

Notes and Attachments (0) show

Account Principal Investigators that need to approve a document are listed in the **Action Request** sections under the **Route Log** tab. (See Image 02 Below)

Image 02 - Action Requests (Approvers)

Route Log hide

⚠ This is a non-production environment (Staging)

Route Log Backdoor Id mscheutz is in use refresh

ID: 13841892 hide

Title	Effort Certification - 0002164343		
Type	Effort Certification	Created	06:45 AM 02/22/2013
Initiator	KFS	Last Modified	06:45 AM 02/22/2013
Route Status	ENROUTE	Last Approved	
Node(s)	ProjectManagement	Finalized	

Actions Taken hide

Action	Taken By	For Delegator	Time/Date	Annotation
COMPLETED	KFS		06:45 AM 02/22/2013	

Pending Action Requests hide

Action	Requested Of	Time/Date	Annotation
IN ACTION LIST APPROVE	Scheutz, Matthias	06:56 AM 02/22/2013	KFS-SYS Award Project Director BL 4029304

Future Action Requests show

1) Effort Report Approval (Certification)

If no changes are required to account(s) on the Effort Report, the report may be approved to certify employee effort. Click the **approve** icon at the bottom of the report. (See Image 03 below)

Image 03 – Document Actions - Approve

The screenshot displays the 'Route Log' interface for document ID 13841892. At the top, it indicates 'Backdoor Id mscheutz is in use' and a 'refresh' button. The document details include:

ID:	13841892	hide	
Title	Effort Certification - 0002164343		
Type	Effort Certification	Created	06:45 AM 02/22/2013
Initiator	KFS	Last Modified	06:45 AM 02/22/2013
Route Status	ENROUTE	Last Approved	
Node(s)	ProjectManagement	Finalized	

Below the details are sections for 'Actions Taken', 'Pending Action Requests', and 'Future Action Requests'. The 'Pending Action Requests' section shows an 'IN ACTION LIST APPROVE' request by Scheutz, Matthias on 06:56 AM 02/22/2013. At the bottom of the interface, there are buttons for 'send ad hoc request', 'save', 'reload', 'approve', and 'close'. An arrow points from the caption to the 'approve' button.

2) Effort Changes

If changes in effort allocation are required, the document may then be changed to accurately reflect the correct employee effort. To change the effort percentage reflected on an account for an employee:

- a. Identify accounts on the Effort Report to be modified
- b. Change the effort percentage on each account by entering the correct effort percentage in the editable **Effort** box. (See Image 04 Below)

Image 04 – Effort Changes

The screenshot displays the 'Effort Certification' interface. At the top, it shows document details: Doc Nbr: 13841892, Status: ENROUTE, Initiator: kfs, and Created: 06:45 AM 02/22/2013. The main content is divided into sections: Document Overview, Report Information, Effort Summary, and Effort Detail. The Effort Summary section contains a table with columns for Chart, Account, Sub-Account, Original Effort, Effort, Original Salary, and Salary. A red arrow points to the 'Effort' column in the table.

Federal and Federal Pass Through Accounts							
	* Chart	* Account	Sub-Account	Original Effort	Effort	Original Salary	Salary
1	BL BLOOMINGTON	4029304 UNIV OF MIAMI, 66651R, (KUEBLER) SCHEUTZ (Scheutz, Matthias)	-----	100% 100.0000%	100	267.60	267.60
Subtotals:				100%	100%	267.60	267.60
Grand Totals:				100%	100%	267.60	267.60

- c. Once an effort percentage has been changed for an account recalculate for the account line by clicking **recalculate** under **Actions** to the right of the account line. KFS will only allow whole number percentages.
- d. Repeat for each account line to be modified.
- e. Verify that the Corrected Effort percentage(s) equal 100% and the Salary totals are equal to the Original Salary.
- f. If the Salary amounts are not equal, in the editable Salary box enter the adjusted amount and then click SAVE.
- g. Enter a note of justification on the Effort Report for the changes made under the **Notes and Attachments** tab. Once a note is entered, click **add** under **Actions** to the right of the note entered. (See Image 05 below)

Image 05 – Notes

The screenshot shows the 'Notes and Attachments' section. It features a table with columns for Posted Timestamp, Author, Note Text, Attached File, Notification Recipient, and Actions. A red arrow points to the 'Note Text' column, which contains a text input field with the placeholder text 'Enter Note of Justification Here'.

Notes and Attachments					
Posted Timestamp	Author	* Note Text	Attached File	Notification Recipient	Actions
		Enter Note of Justification Here	<input type="text"/> Browse...		<input type="button" value="add"/>

- h. Approve document by clicking the **approve** icon at the bottom of the report. (See Image 03 above)

Once the Principal Investigator approves (and or edits, then approves) the document, it will continue through the routing sequence to finalization. **The document will not route back to the Fiscal Officer.**

Once fully approved, the Effort Document will become the permanent record of effort certification for the University. Departments will no longer be required to retain paper copies.

3) Adding an Account

To add an account not previously on the Effort Document, enter the account number to be added and the correct effort percentage under **Add New Detail Line** at the top of the **Effort Summary** tab. Click **Add** at the right of the account line under **Actions**. (See Image 06 below) Once the account has been added to the Effort Report Document, click **recalculate** under **Actions** to the right of the new account line.

Image 06 – Add Account

Add New Detail Line						
	* Chart	* Account	Sub-Account	Effort	Salary	Actions
add:						add

After all accounts have been added and effort modified, approve the document by clicking the **approve** icon at the bottom of the report. (See Image 03 above)

Things to Remember:

- **A note of justification must be added to the document for all changes made.**
- If the Ad Hoc function is used, the document edit function will be closed. Only those in the regular routing have editing rights.
- The **Grand Totals** for Effort Percentage and Total Salary **must equal** Original Effort and Original Salary Totals. (See Image 07 below)

Image 07 – Effort Totals

Add New Detail Line								
	* Chart	* Account	Sub-Account	Effort	Salary	Actions		
add:						add		
Federal and Federal Pass Through Accounts								
	* Chart	* Account	Sub-Account	Original Effort	Effort	Original Salary	Salary	Actions
1	BL BLOOMINGTON	4023304 UNIV OF MIAMI, 6651R, (KUEBLER) SCHEUTZ (Scheutz, Matthias)	100% 100.0000%	100	267.60	267.60	recalculate revert
Subtotals:				100%	100%	267.60	267.60	
Grand Totals				Grand Totals:	100%	100%	267.60	267.60