

C1: Sponsored Research Accounting and Compliance (SPAC)

C2: Cost Effort Reporting

C3: Effort Form Escalation Procedure & Resources

Approval Date:

Link:

PURPOSE

To detail the escalation procedure and resources available for late effort forms that have not been completed in the Effort Reporting System (ERS).

APPLICABILITY

This applies to all effort forms which are past the effort certification due date. For audit purposes, a certified effort form must be on file for any salary charges on sponsored accounts to document allowability of costs under the provisions of the OMB Uniform Guidance.

PROCESS

1. Reminder Emails for New/Current Reporting Period

At various intervals in the effort reporting cycle, from the initiation of the effort reporting period through the completion and eventual archiving of the effort form, ERS users will receive reminder emails to complete their relevant outstanding tasks.

Manual Reminders: The hyperlink below details the schedule of the manual reminder emails sent to the previewers, certifiers, post reviewers, department coordinators, sub department coordinators and division heads after initiation.

[https://www.umaryland.edu/media/umb/af/cost/ERS-Reminders_Summary-for-Current-and-Delinquent-Periods-V2-\(002\).pdf](https://www.umaryland.edu/media/umb/af/cost/ERS-Reminders_Summary-for-Current-and-Delinquent-Periods-V2-(002).pdf)

2. Delinquent Reminder Emails: Weekly, Automated and System Generated

Weekly, the Effort Reporting System (ERS) automatically sends out an email to the following users:

- a. Certifiers: A list of all effort forms which have been pre-reviewed but not completed.
- b. Post Reviewers: A list of all effort forms which have been certified but not completed.
- c. Pre-Reviewers: A list of all outstanding effort forms which are past the certification due date.

Note: The system cannot distinguish forms pending pre-review only. This is addressed in all emails with the following statement:” If you receive this notification and you do not have any effort form pending your pre-review, then it is pending certification and the certifier has been alerted. In the latter case, disregard the notice.”

3. Monthly Basis: Responsibilities and Chair Notifications

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- a. Department coordinators (DCs) and sub-department coordinators (Sub DCs) must run the “Delinquent Effort Forms” report in ERS for all outstanding effort forms reporting periods and follow up with the appropriate parties to clear them.
<https://highereducation.maximus.com/UMB-ERS/templates/framework.jsp>
 - o Click on the “Reports” menu option.
 - o Click on “Standard Report.”
 - o Go to the “Effort Results” area.
 - o Select “Delinquent Effort Forms.”
 - b. The SPAC Cost team will send emails monthly to the Department Chairs copying the DCs and Sub DCs for delinquent effort forms over 90 days past due.
 - c. If effort forms continue to be outstanding over 120 days, an additional quarterly escalation process will then be followed, as outlined below.
4. Quarterly Basis: Responsibilities and Escalation
- a. On a quarterly basis, the Cost team will prepare a list of all outstanding effort forms by department. The list will:
 - o Be prepared in July, October, January, and April.
 - o Include all effort forms which are 120 days past the effort certification due date.
 - o Be sent to the SPAC Director for initial review of dates and quantities of forms to determine if they require a higher escalation notification.
 - b. Those delinquent effort forms identified for escalation will be sent to the SPAC Assistant Vice President.
 - c. The SPAC AVP (or designee) will escalate the delinquent forms to the appropriate Dean and copy both the VP Finance and Auxiliary Services//Deputy CFO and the Chief Business and Finance Officer & Senior VP.
5. Additional Effort Resources and Maintenance
- a. Costing and Compliance will keep their schedule open every Wednesday to resolve effort certification issues. An email should be sent to effort@umaryland.edu with questions and the department should provide its availability for the meeting.
 - b. For prior fiscal years’ outstanding efforts, the Cost team will contact the department’s appropriate parties and schedule meetings to review and help with the completion.

Related Documents:

- [Effort Reporting Policy PDF](#)
- [Effort Reporting System](#)
- [Effort Training](#)
- [ERS Cloud Reporting Upgrade Training and Demo – June 2021 PDF](#)

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Link:

- [ERS Cloud Training and Demo 06/21/24 Zoom Recording](#)
- [Effort Reporting Periods PDF](#)
- [Administrator Quick Guide PDF](#)
- [Certifiers Quick Guide PDF](#)
- [ERS Central Administrator Guide PDF](#)
- [How to Post Review an effort form PDF](#)
- [How to Recertify PDF](#)