

# Effort Reporting January – June 2019

Fall Certification Session (delayed)

Begin date: March 3, 2020

End date: April 30, 2020

## Overview

Thank you for your patience in awaiting the first effort certification period to include UCPath payroll. As we open this certification session, we wanted to make you aware of several issues and changes related to the Effort Reporting System (ERS).

ERS has been upgraded to a new version to work with earnings from either UCPath or PPS.

As a reminder, this certification period January through June 2019, includes PPS transactions for payroll in January and February, and UCPath transactions for March through June.

The following pages will illustrate some of the changes, as well as discuss some issues you will encounter in this January to June 2019 certification period.

## Payroll Detail Report with new hybrid (PPS and UCPath) Headings

ERS 10.12 Previous version Headers / Columns	ERS 11.0 New version Headers / Columns
Pay Period	Pay Period
Pay Cycle Code	Pay Cycle Code
FAU	FAU
DOS Code	Earn / DOS
Trans Code	Restate / Trans
Title Code	Job / Title
Pay Rate	Comp / Pay Rate
Rate Type	Basis / Type
	Pay Amount
Paid %	Paid %
Derived %	Derived Effort %
Weighted %	Weighted Effort %
	OTC Ind
Pay Category	Pay Cat
Time Code	Time Code
Pay Cycle End Date	Pay Cycle End Date

## Other Data Differences between PPS and UCPath

- Title Code is now 'Job' Code. Pay Rate is now 'Compensation'.
- Pay Cycle Code is now 'M' instead of 'MO' and 1,2,or 3 instead of B1, B2, B3.
- 'E1' / 'E3' Salary Cost Transfers
  - Replaced by Restatement Flag in UCPath
  - R (Reversal) is equivalent to E1
  - Y (Restatement) is equivalent to E3.

# Vacation and Sick Pay – UCPath vs PPS

## UCPath Sick and Vacation earnings in ERS will go 'Above the Line'

Effort Report: 2019 Jan-Jun | Version: 1.1 (12/06/2019 11:23) | Status: Open  
 Employee: Sample Employee | Emp. #: 012345678

### Federally Sponsored Projects

Project: NSF Nat-1721279-Lee Fle-06/19 (60102-23803-EILFL)

Payroll %: 7%<sup>1</sup>

Pay Period	Pay Cycle Code	FAU	Earn /DOS	Restate /Trans	Job/ Title	Comp/Pay /Rate	Basis /Type	Pay Amount	Paid %	Derived Effort %	Weighted Effort %	OTC Ind	Pay Cat	Time Code	Pay Cycle End Date
01-31-2019	MO	1-51210-60102-23803-44- -EILFL	REG	AU	7552	\$7,085.44	A	1062.82	0.1500	0.1500	0.1500		N	1	01-31-2019
02-28-2019	MO	1-51210-60102-23803-44- -EILFL	REG	AU	7552	\$7,085.44	A	354.27	0.0500	0.0500	0.0500		N	1	02-28-2019
03-31-2019	M	1-51200-60102-23803-44- -EILFL	REG	N	7552	\$7,085.44	S	354.27	0.0500	0.0500	0.0500		1	1	03-31-2019
03-31-2019	M	1-51200-60102-23803-44- -EILFL	REG	N	7552	\$7,085.44	S	-48.86	-0.0071	-0.0071	-0.0071		1	1	04-30-2019
03-31-2019	M	1-51200-60102-23803-44- -EILFL	VAC	N	7552	\$7,085.44	S	16.29	0.0024	0.0024	0.0024		2	1	04-30-2019
03-31-2019	M	1-51200-60102-23803-44- -EILFL	SKL	N	7552	\$7,085.44	S	32.58	0.0048	0.0048	0.0048		2	1	04-30-2019
04-30-2019	M	1-51200-60102-23803-44- -EILFL	REG	N	7552	\$7,085.44	S	354.26	0.0500	0.0500	0.0500		1	1	04-30-2019
05-31-2019	M	1-51200-60102-23803-44- -EILFL	REG	N	7552	\$7,085.44	S	354.27	0.0500	0.0500	0.0500		1	1	05-31-2019
06-30-2019	M	1-51200-60102-23803-44- -EILFL	REG	N	7552	\$7,085.44	S	354.27	0.0500	0.0500	0.0500		1	1	06-30-2019
06-30-2019	M	1-51200-60102-23803-44- -EILFL	REG	N	7552	\$7,085.44	S	-65.15	-0.0100	-0.0100	-0.0100		1	1	07-31-2019
06-30-2019	M	1-51200-60102-23803-44- -EILFL	VAC	N	7552	\$7,085.44	S	48.87	0.0075	0.0075	0.0075		2	1	07-31-2019
06-30-2019	M	1-51200-60102-23803-44- -EILFL	SKL	N	7552	\$7,085.44	S	16.29	0.0025	0.0025	0.0025		2	1	07-31-2019
<b>Total:</b>											<b>0.4001*</b>				

<sup>1</sup>Line Item Total Report Total = Payroll % (0.4001 / 6.0001 = 0.0667)\*

## PPS Sick and Vacation earnings in ERS continue to go 'Below the Line'

### Excluded Earnings

Pay Period	Pay Cycle Code	FAU	Earn /DOS	Restate /Trans	Job/ Title	Comp/Pay /Rate	Basis /Type	Pay Amount	Paid %	Derived Effort %	Weighted Effort %	OTC Ind	Pay Cat	Time Code	Pay Cycle End Date
01-12-2019	B2	1-51210-19900-10665-40- -	VAC	TX	7376	\$33.24	H	0.00	1.92	0.0110	0.0110		L	1	01-12-2019
01-12-2019	B2	1-51210-27644-10805-44- -CCSRL	VAC	TX	7376	\$33.24	H	0.00	14.40	0.0828	0.0828		L	1	01-12-2019
01-12-2019	B2	1-51210-81672-10805-44- -CCSRL	VAC	TX	7376	\$33.24	H	0.00	3.36	0.0193	0.0193		L	1	01-12-2019
01-12-2019	B2	1-51210-81726-10805-44- -CCSRL	VAC	TX	7376	\$33.24	H	0.00	2.40	0.0138	0.0138		L	1	01-12-2019
01-12-2019	B2	1-51210-88728-10805-44- -CCSRL	VAC	TX	7376	\$33.24	H	0.00	1.92	0.0110	0.0110		L	1	01-12-2019
02-09-2019	B2	1-51210-19900-10665-40- -	SKL	TX	7376	\$33.24	H	0.00	1.28	0.0074	0.0074		L	1	02-09-2019

# ERS Payroll Details – Definitions and Guide (Former Version)

The ERS "Payroll Details" page displays all payroll transaction details supporting an employee's effort report and calculations. Sections are grouped by payroll category, and then by specific chartstring. Basic information is in the "Pay Period End Date", "FAU", "DOS Code" and "Paid/Derived/Weighted%" columns. Below each payroll detail block, the "Line Item Total/Report Total" shows the formula used to calculate the % effort ("Payroll %") shown on the effort report.

**Category Name:**  
 • Federal Sponsored Projects  
 • Other Sponsored Projects  
 • Non-Sponsored Activities  
 • Unrecognized Earnings  
 • Excluded Earnings

**Pay Period End Date:**  
 The month when the effort was reported as worked.

**FAU:**  
 Full chartstring of the payroll transaction.

**Dos Code:**  
 Description of Service for the payroll. Common types are:  
 • REG, RG1 – Regular Pay  
 • ACR – Summer research Pay  
 • SLN – Sabbatical Pay  
 • OTS, OTP – Overtime  
 • VAC, SKL – Leave Usage  
 • TRM – Terminal Vacation Pay

**Trans Code:**  
 The system transaction that generated the pay. Common types are:  
 • TX – Timecard Pay  
 • AU – Automatic Salary Pay  
 • LX – Late Pay  
 • AP – Additional Pay  
 • RX – Reduction in pay  
 • E1 – Cost Transfer Credit  
 • E3 – Cost Transfer Debit  
 • RA – Range Adjustment

**Help:**  
 Click the "?" for more information.

**Employee, Period, and Status Information**

**Title Code:**  
 A numeric code assigned to a specific job position, such as GSR, AA2, etc...

**Pay Rate:**  
 This is the pay rate of the payroll transaction

**Paid %, Derived%, and Weighted %:**  
 Paid % - Actual hours or percentage paid to an employee. (If 0.0000 %, refer to the "Derived %" column)

**Derived % -** Used if ERS needs to calculate a percentage from the raw payroll data. Common examples include hourly payroll, or debits of expense transfers. This percentage drives the effort report calculations.

**Weighted % -** Used when an employee's pay is issued over more months than they work (ex. 9/12, 11/12 employees.)

**Pay Cycle End Date:**  
 Period when the system processed the transaction. (Not necessarily the same as "Pay Period End Date.")

ERS :: REPORT DETAIL Export Print ? Close

Effort Report: 2014 Jul-Dec | Version: 2.0 (06/01/2015 04:41) | Status: Open  
 Employee: SAMPLE EMPLOYEE | Emp. #: 012345678

**Federally Sponsored Projects** Payroll %: 24%

Pay Period End Date	Pay Cycle Code	FAU	DOS Code	Trans Code	Title Code	Pay Rate	Rate Type	Paid %	Derived %	Weighted %	Pay Category	Time Code	Pay Cycle End Date
10-31-2015	MO	1-51015-32293-23801-44 -NDRWB	REG	AU	7182	\$5,957.22	A	0.1000	0.1000	0.1000	N	1	10-31-2015
11-30-2015	MO	1-51015-32293-23801-44 -NDRWB	REG	AU	7182	\$5,957.22	A	0.1000	0.1000	0.1000	N	1	11-30-2015
12-31-2015	MO	1-51015-32293-23801-44 -NDRWB	REG	AU	7182	\$5,957.22	A	0.1000	0.1000	0.1000	N	1	12-31-2015
12-31-2015	XX	1-51015-32293-23801-44 -NDRWB	REG	E3	7182	\$0.00	A	0.1250	0.1250	0.1250	N	1	12-31-2015
<b>Total:</b>										<b>0.4250*</b>			

Line Item Total/Report Total = Payroll % (0.4250/1.8000 = 0.2361)\*

**Project: RAMP (11058-23801-EHJXW)** Payroll %: 17%

Pay Period End Date	Pay Cycle Code	FAU	DOS Code	Trans Code	Title Code	Pay Rate	Rate Type	Paid %	Derived %	Weighted %	Pay Category	Time Code	Pay Cycle End Date
10-31-2015	MO	1-51015-11058-23801-44 -EHJXW	REG	AU	7182	\$5,957.22	A	0.1000	0.1000	0.1000	N	1	10-31-2015
11-30-2015	MO	1-51015-11058-23801-44 -EHJXW	REG	AU	7182	\$5,957.22	A	0.1000	0.1000	0.1000	N	1	11-30-2015
12-31-2015	MO	1-51015-11058-23801-44 -EHJXW	REG	AU	7182	\$5,957.22	A	0.1000	0.1000	0.1000	N	1	12-31-2015
<b>Total:</b>										<b>0.3000*</b>			

Line Item Total/Report Total = Payroll % (0.3000/1.8000 = 0.1667)\*

**Other Sponsored Projects** Payroll %: 17%

Pay Period End Date	Pay Cycle Code	FAU	DOS Code	Trans Code	Title Code	Pay Rate	Rate Type	Paid %	Derived %	Weighted %	Pay Category	Time Code	Pay Cycle End Date
10-31-2015	MO	1-51015-94125-23808-44 -EHBXN	REG	AU	7182	\$5,957.22	A	0.0500	0.0500	0.0500	N	1	10-31-2015
10-31-2015	MO	1-51015-94125-23808-44 -NDRWB	REG	AU	7182	\$5,957.22	A	0.0500	0.0500	0.0500	N	1	10-31-2015
11-30-2015	MO	1-51015-94125-23808-44 -EHBXN	REG	AU	7182	\$5,957.22	A	0.0500	0.0500	0.0500	N	1	12-31-2015
11-30-2015	MO	1-51015-94125-23808-44 -NDRWB	REG	AU	7182	\$5,957.22	A	0.0500	0.0500	0.0500	N	1	10-31-2015
12-31-2015	MO	1-51015-94125-23808-44 -EHBXN	REG	AU	7182	\$5,957.22	A	0.0500	0.0500	0.0500	N	1	11-30-2015
12-31-2015	MO	1-51015-94125-23808-44 -NDRWB	REG	AU	7182	\$5,957.22	A	0.0500	0.0500	0.0500	N	1	12-31-2015
<b>Total:</b>										<b>0.3000*</b>			

Line Item Total/Report Total = Payroll % (0.3000/1.8000 = 0.1667)\*

**Non-Sponsored Activities** Payroll %: 42%

Pay Period End Date	Pay Cycle Code	FAU	DOS Code	Trans Code	Title Code	Pay Rate	Rate Type	Paid %	Derived %	Weighted %	Pay Category	Time Code	Pay Cycle End Date
10-31-2015	MO	1-51015-43301-23801-44 -NDRWB	REG	AU	7182	\$5,957.22	A	0.3000	0.3000	0.3000	N	1	10-31-2015
11-30-2015	MO	1-51015-43301-23801-44 -NDRWB	REG	AU	7182	\$5,957.22	A	0.3000	0.3000	0.3000	N	1	11-30-2015
12-31-2015	MO	1-51015-43301-23801-44 -NDRWB	REG	AU	7182	\$5,957.22	A	0.3000	0.3000	0.3000	N	1	12-31-2015
12-31-2015	XX	1-51015-43301-23801-44 -NDRWB	REG	E1	7182	\$5,957.22	A	-0.3000	-0.1250	-0.1250	N	1	12-31-2015
<b>Total:</b>										<b>0.7750*</b>			

Line Item Total/Report Total = Payroll % (0.7750/1.8000 = 0.4306)\*

**Unrecognized Earnings**

Updated, 02/26/2020

As found on CGA website: [ERS Job Aids – Payroll Details Report](#)

# ERS Payroll Details – Definitions and Guide (UCPath version)

Updates to the ERS Payroll Details post UCPath are identified below:

ERS :: Report Details

ERS :: Report Details Export Print ? X Close

Effort Report: 2019 Jan-Jun | Version: 1.0 (02/25/2020 08:46) | Status: Exception  
 Employee: SAMPLE EMPLOYEE | Emp. #: 012345678

UCPath Codes:  
 S=Salaries,  
 H=Hourly,  
 E=Exception  
 Hourly, N=Not  
 applicable.

Amount  
 paid on  
 Project

Indicates capped funding:  
 N-OTCXXX = Portion up to cap limit  
 Y-OTCXXX = Over the cap limit

### Federally Sponsored Projects

PPS Title Code is  
 now "Job Code"  
 in UCPath

Project: (60261-31150-IQSAK)

Payroll %: 10%<sup>1</sup>

Pay Period	Pay Cycle Code	FAU	Earn /DOS	Restate /Trans	Job/ Title	Comp/Pay /Rate	Basis /Type	Pay Amount	Paid %	Derived Effort %	Weighted Effort %	OTC Ind	Pay Cat	Time Code	Pay Cycle End Date
01-31-2019	MO	1-50215-60261-31150-44 - -IQSAK	REG	AU	1981	\$11,850.00	A	237.00	0.0200	0.0200	0.0150		N	1	01-31-2019
02-28-2019	MO	1-50215-60261-31150-44 - -IQSAK	REG	AU	1981	\$11,850.00	A	237.00	0.0200	0.0200	0.0150		N	1	02-28-2019
03-31-2019	M	1-50200-60261-31150-44 - -IQSAK	REG	N	001981	\$3,555.00	S	237.12	0.0188	0.0200	0.0150	N-OTC002	1	1	03-31-2019
04-30-2019	M	1-50200-60261-31150-44 - -IQSAK	REG	N	001981	\$3,555.00	S	237.12	0.0188	0.0200	0.0150	N-OTC002	1	1	04-30-2019
05-31-2019	M	1-50200-60261-31150-44 - -IQSAK	REG	N	001981	\$0.00	S	-237.12	-0.0188	-0.0200	-0.0150	N-OTC002	1	1	06-28-2019
06-30-2019	M	1-50200-60261-31150-44 - -IQSAK	ACR	N	001982	\$5,603.28	S	7591.05	0.4519	0.4738	0.4738	N-OTC001	1	1	06-30-2019
<b>Total:</b>											0.5188 <sup>1</sup>				

<sup>1</sup> Line Item Total/Report Total = Payroll % (0.5188/4.7480 = 0.1092)

### Excluded Earnings

Pay Period	Pay Cycle Code	FAU	Earn /DOS	Restate /Trans	Job/ Title	Comp/Pay /Rate	Basis /Type	Pay Amount	Paid %	Derived Effort %	Weighted Effort %	OTC Ind	Pay Cat	Time Code	Pay Cycle End Date
01-31-2019	MO	1-50215-36812-31150-44 - -3500MC-IQSAK	CAP	AU	3998	\$225.00	A	225.00	0.0000	0.0000	0.0000		N	9	01-31-2019
02-28-2019	MO	1-50215-36812-31150-44 - -3500MC-IQSAK	CAP	AU	3998	\$225.00	A	225.00	0.0000	0.0000	0.0000		N	9	02-28-2019
03-31-2019	M	1-50200-36812-31150-44 - -3500MC-IQSAK	REG	N	001981	\$119.98	S	119.98	0.0095	0.0000	0.0000	Y-OTC001	1	1	03-31-2019
03-31-2019	M	1-50200-36812-31150-44 - -3500MC-IQSAK	REG	N	001981	\$15.01	S	15.01	0.0012	0.0000	0.0000	Y-OTC002	1	1	03-31-2019
03-31-2019	M	1-50200-36812-31150-44 - -3500MC-IQSAK	REG	N	001981	\$89.99	S	89.99	0.0071	0.0000	0.0000	Y-OTC003	1	1	03-31-2019
04-30-2019	M	1-50200-36812-31150-44 - -3500MC-IQSAK	REG	N	001981	\$119.98	S	119.98	0.0095	0.0000	0.0000	Y-OTC001	1	1	04-30-2019

Pay Cycle Code:  
 MO, M = Monthly  
 BX, 1, 2, 3 = Bi-weekly

PPS Transaction codes will not exist in UCPath. They will be replaced by Restatement Flags:  
 R = Reversal from prior FAU  
 Y = Restatement to correct FAU  
 N = Normal. Not a SCT

UCPath Codes:  
 1=Normal/Regular Pay  
 2=Leave  
 3=Additional Pay  
 4=Differential Pay  
 5=Prerequisite  
 6=Suspense/No Pymt  
 7=External  
 X=Not Specified

UCPath Codes:  
 1=Regular  
 2=Overtime Straight  
 3=Overtime at 1.5  
 4=Overseas Premium  
 5=On Call Time  
 7=Terminal Vacation  
 8=Regular at Other Rate  
 9=By Agreement or prerequisite  
 X=Not Specified

## January – June 2019 Effort Certification

In order to prepare for the January – June 2019 effort certification session, the UCB Contracts & Grants Accounting (CGA) team reviewed each of the 400,000+ payroll transaction lines fed to ERS from UCPath.

Where it was determined that derived effort from UCPath was incorrect for a significant population, CGA overrode the values. This means there will be discrepancies between what you see in the ledger and what you see in ERS in the derived effort fields on those lines.

Other discrepancies, such as missing transactions and duplicate transactions were also corrected.



## January – June 2019 Effort Certification (cont'd)

CGA did not correct errors that affected only a small population of transactions, in order to be able to proceed with the certification process as soon as possible and minimize further compliance delay.

For these errors, it is possible that a fix, in the form of a direct retro or a benefit cost transfer processed in UCPath, is not possible at this time. In those rare cases we ask that you adjust the effort in the report to the correct value, and have the PI certify the report with errors. The report status will be 'Certified/AdjustReqd'.

If a fix and retroactive adjustment are available in the future, the report can be re-opened and final certification can be completed at that time.

## Derived Effort Calculation

According to UCPath's functional specifications, derived effort is a calculation on each payroll transaction line.

- ERS determines included/excluded earnings from Time Code and Pay Category values.
- Both Time Code and Pay Category values in the earnings record have to be true (both have to be 'yes') for the earning to be effort bearing. If either value is not true, the earning is considered not effort bearing and is reported 'below the line' in the Payroll Detail report in the Excluded Earnings section.

PPS Time Code	UCPath Time Code	Time Code Description	Effort Bearing
1	1	Regular	Yes
2	2	Overtime Straight	Yes
3	3	Overtime @1.5	No
4	4	Overseas Premium	No
5	5	On Call Time	Yes
7	7	Terminal Vacation	No
8	8	Regular @ Other Rate	No
	9	By Agreement/Perquisite	No
	X	Not Specified	No

PPS Pay Category	UCPath Pay Category	Pay Category Description	Effort Bearing
N	1	Normal/Regular Pay	Yes
L	2	Leave	Yes
A	3	Additional Pay	No
D	4	Differential Pay	No
P	5	Perquisite Pay	No
E	6	Suspense/No Payment	No
	7	External Pay	No
	X	Not Specified	No

## Derived Effort Calculation – Monthly Employees

- For monthly employees, the calculation is based on the number of hours worked in a month divided by the total working hours in that month. Working hours vary from month to month for this category of employees<sup>(a)</sup>.
- Derived effort can also be calculated by multiplying an employee's FTE by the Pay Distribution % on a project's chartstring.

Year	Month	Working Days in Month	Working Hours in Month
2019	January	23	184
	February	20	160
	March	21	168
	April	22	176
	May	23	184
	June	20	160
	July	23	184
	August	22	176
	September	21	168
	October	23	184
	November	21	168
	December	22	176

(a) Details on working hours for faculty summer appointments can be found on page 10 of [APM-600](#)

## Derived Effort Calculation – Biweekly Employees

Derived effort for biweekly employees is calculated as the number of hours worked divided by 174.

- The ERS Paid % column on the payroll details report for biweekly employees reflects the number of hours worked on a chartstring during the specified earnings period.
- Note that some direct retro transactions may not reflect total hours correctly in this column. These are an example of where CGA overrode the derived effort because the hours were incorrect, and/or validated the effort was calculated correctly.

## Derived Effort – Monthly and Biweekly Employees

As was the practice before, the total effort by chartstring and pay period for Federally Sponsored Projects, Other Sponsored Projects, and Non Sponsored Activities is aggregated and represents the basis for the effort in those three categories. Effort on the header page is the total effort by project divided by the aggregate.



Thank you.

Please be sure to email [cgahelp@berkeley.edu](mailto:cgahelp@berkeley.edu) for any questions or problems that arise.