

Effort Reporting
Answers to Common Questions

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Overview of the FACET Application

What is FACET and what does the acronym stand for?

FACET is the acronym for Faculty Assignments, Commitments & Effort Certification Tracking which began with the Fall 2008 semester. It is the system used for certification of effort by Florida State University.

Who is required to certify their effort?

All employees who work a portion of their time on sponsored projects, plus certain employees paid from state funds or who participate in instructional activities at the university, must certify their effort.

What system does FSU use for effort certification?

The FACET application replaced the Personnel Activity Report System (PARS) with the Fall 2008 reporting period. It is Florida State University's official effort reporting application and is required for compliance with federal and state regulations governing sponsored research and other activities at FSU. Data from this application is also used to satisfy state accountability measures.

From where does FACET get its information?

FACET is updated regularly to gather salary information from the OMNI payroll system, project information from the OMNI Grants/Projects module and instructional information from the Course Schedule Master File.

What is effort?

Effort is all work related to a University compensated position. This is not limited to "normal work hours" or a 40-hour week. You are accounting for 100% of your effort that was required for each of your university compensated appointments.

The university does not specify the number of hours per week a faculty member must work. There is an expectation that members of the faculty will work the hours necessary to carry out the professional responsibilities of their position. There is also the realization that the number of hours required for any activity will change over time. That's one of the reasons effort reporting is based on a percentage of effort rather than a number of hours.

Faculty appointments generally specify an annual salary amount that is negotiated between the department/college and the individual faculty member. That rate of pay covers all the activities you perform for your department - research, teaching, public service..

What is effort reporting and why do we have to do it?

Effort Reporting is the means by which employees document the breakdown of their total effort into pre-defined categories. With this information the University supports the salary expenditures that are related to sponsored projects.

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How does effort relate to hours worked and job FTE?

FTE and hours worked are tools used to determine effort, but they are not effort certification. FTE is the proportion of any activity against a full-time equivalency. In FACET, you must always report ALL (100%) of your effort. For example, if you are appointed at 0.50 FTE, and are working on only one project, your effort certification report must show 100% of your effort towards that project.

Is my effort report a system to track hours worked?

No. While hours worked may be used to calculate the percent of effort spent on any project and/or activity, hours are not reported, nor is the calculation of your percent effort based on a 40-hour work week. For example, if a full-time employee worked 40 hours in one week on a sponsored project and 20 hours in the same week on an unrelated University project, then the employee's effort report should show 67% effort devoted to the sponsored project (40 hours divided by 60 total effort hours) and 33% on the unrelated University project -- regardless of the fact that the employee's normal work week might be 40 hours. Effort is expressed as a percentage based on the total number of hours worked by the individual and is not reflected as hours. The total effort expended must equal, but cannot exceed, 100%.

How often do I have to certify my effort?

Exempt professorial and professional employees certify their effort after each of the three semesters in an academic year: summer, fall, and spring. Non-exempt employees certify their effort 12 times a year (once a month).

What is the difference between Exempt and Non-Exempt employees?

Exempt employees ARE NOT covered by the federal Fair Labor Standards Act (FLSA); they work whatever number of hours necessary to complete their job. Non-exempt employees ARE covered by the FLSA, which means they have to be compensated if they work more than 40 hours in their defined workweek.

Who should certify effort reports?

Reports should be certified by the employee, if at all possible. If the employee is unavailable, Federal regulations require that a person with first-hand knowledge of the employee's effort (a "knowledgeable person") certify the effort. Departmental staff cannot certify effort for faculty or other personnel they do not supervise directly. In the case of laboratory personnel, it may be necessary for supervisory faculty or staff to certify on their behalf because the employee may be unaware of which project their work is supporting.

What is the Twelve-Hour Law?

The Twelve-Hour Law is Florida Statute 1012.945. It specifies expectations for instructional and other responsibilities of full-time faculty paid from state monies. It states in part, "Each full-time equivalent teaching faculty member at a university who is paid wholly from state funds

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shall teach a minimum of 12 classroom contact hours per week at such university. However, any faculty member who is assigned by his or her departmental chair or other appropriate university administrator professional responsibilities and duties in furtherance of the mission of the university shall teach a minimum number of classroom contact hours in proportion to 12 classroom hours per week as such especially assigned aforementioned duties and responsibilities bear to 12 classroom contact hours per week. Any full-time faculty member who is paid partly from state funds and partly from other funds or appropriations shall teach a minimum number of classroom contact hours in such proportion to 12 classroom contact hours per week as his or her salary paid from state funds bears to his or her total salary”.

Where can I find the federal requirement for effort reporting?

The federal requirement can be found in OMB Circular A-21, J.8.

Salary

What is the difference between how an employee is funded and what he or she certifies?

The decision of how to fund a position is made at the beginning of a semester based on an estimate of how much time the employee is expected to work on various tasks. Effort reporting is an after-the-fact certification of how an employee actually spent his or her time.

If I ended up working differently than how I was funded, what happens?

The administrative staff in the department will determine the differences and, if necessary, will prepare a Retroactive Adjustment of Funding to reflect your actual effort.

Assignment of Responsibilities

What is the relationship between the Assignment of Responsibilities (AOR) and FACET?

The AOR is a document that reflects the agreement between a department and a faculty member as to the expectations of assigned duties for the next academic year. The AOR is generally drawn up in April prior to the academic year. FACET is an after-the-fact effort reporting application of activities actually performed.

Can effort in FACET be different from the AOR or must they match?

Yes, they can be different. The AOR is an estimate of expectations at a certain point in time. FACET is what the faculty member actually did. An example would be a faculty member receiving sponsored funding that was not anticipated when the AOR was prepared; this would result in actual effort being different from what was outlined in the AOR. To remedy the difference, the AOR should be changed to reflect the change.

Course Information

What is the Course Schedule Master (CSM) File?

The CSM is the official database containing the approved curriculum of the University. The CSM as it relates to effort reporting displays the name of the instructor(s), the budget number of the department funding the instructor's appointment, the instructor's workload for the course and the course contact hours.

Can I change the funding source?

Yes, however changes cannot be made in FACET. Changes to funding for the course sections must be made in the CSM. Changes should display the budget number of the department that should receive "credit" for the instructor's instructional effort.

What is Workload in the CSM?

Workload in the CSM indicates what percentage of the instructional delivery is associated with each funding account of an appointment. In the case where more than one individual is teaching the course section, it indicates the workload covered by each individual.

Why does it matter what funding source is associated with a course section?

The funding source indicates what department paid for the course section regardless of which department offered the course section. There are limitations imposed on the university by the various funding sources. For example, a grant that provides funding for a specific research task

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normally cannot be used to fund classroom instruction. Selecting a research project to fund instruction for credit may result in an error that will need to be corrected.

What if the course information listed on my effort report is not correct?

The course information listed on the effort report is copied directly from the CSM. If the instructor or the funding for the course section is incorrect make the necessary changes in the CSM. This data should be reviewed prior to the certification process for accuracy.

What is a contact hour and where does it come from?

Contact hours originate in the CSM. A contact hour indicates the number of instructional hours of contact between faculty and student per week. This number is generated automatically using BOG guidelines.

Can the Contact Hours be changed?

No, this field may not be modified. However, additional contact hours may be set in the Personnel screen of the CSM if deemed necessary by the academic department chair.

Who decides how many contact hours should be related to each course?

The BOG provides guidance for the appropriate number of contact hours each course is credited. This is generally based on the mode of instruction or the numbers of students in the course section.

What are Additional Contact Hours as Reported on the CSM?

In addition to the contact hours generated for each course section, departments may add Additional Contact Hours for any of the listed instructors on a course section on the Registrar's Course Schedule Master File at the discretion of the department chair. They are contact hours over those generated in the CSM.

What are the reasons for adding additional contact hours?

Additional contact hours may be added for an instructor, at the discretion of the department chair, in the Personnel screen of the CSM. These hours are over and above those already generated by the course. Typically used for individuals instructing large lecture classes, some distance learning classes, or by those serving on thesis/dissertation committees. They may also be used for an individual who assists with, but does not help teach, a course section.

How do contact hours relate to the amount of effort that I should enter for a course section?

There really is no direct relationship. Historically, a 3-hour course section has taken a maximum of 25% effort. However, the amount of effort should be based on the amount of time spent on teaching the course section. This may vary widely for a course where the instructor of record is

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teaching it for the first time, as compared to a faculty member who has taught the same course section twenty times.

Are contact hours associated with effort other than instruction for credit?

Yes. The system is programmed consistent with BOG guidelines to calculate contact associated with other effort. These are called contact hour equivalencies.

What is a Contact Hour Equivalency?

Activities other than teaching are converted to something equivalent to teaching. Where the teaching of courses is measured in contact hours, all other activities are converted into Contact Hour Equivalencies.

Entering Effort

How does an employee decide how much effort to associate with each line on the effort report?

Employees must look back over the reporting period and decide which type of activity they were involved in as part of their university employment then make a **reasonable estimate** of the relative amount of time each activity required.

What if I get started and don't have all the information I need or someone needs to approve it before I move it along to the next step. Can I save it?

Yes, as you are entering effort, you can save what has been entered and come back to it later. However, if you have entered effort that is not allowed, as reflected by the following symbol , you will not be allowed to save until you correct that issue.

Effort on Instruction

For effort reporting purposes, what is the difference between Instruction for Credit and Other Instructional Effort-Non-Credit?

"Instruction for Credit" is the preparation, evaluation, and delivery of teaching and training activities of the University for course sections offered for credit. "Other Instructional Effort-Non-Credit" includes instruction-related activities such as thesis advice, mentoring of students, development of new courses or materials, program planning, evaluation of curricula, and planning new degree programs.

Does a faculty member need to enter effort for each course section?

No. Effort can be entered at the highest level of Instruction for Credit and the system will distribute effort to each course section based on relative contact hours.

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Can a sponsored project be used to fund Instruction for Credit?

Yes. If the purpose code for a sponsored project is INS (Instruction), then any instruction for credit is allowed except for course sections coded as Supervised Research as long as the course is related to the sponsored project.

Additionally, RES (Research) projects may fund course sections with instruction types of Graduate Thesis hours, Graduate Dissertation hours, Directed Individual Study, or Supervised Research if the registered students' work is directly related to the project funding the instructor's salary. Mentoring of students related to a sponsored research project is appropriately included in effort directly charged to a faculty member's sponsored agreement. OMB Circular A-21 states that charges to sponsored agreements may include reasonable amounts for activities contributing and intimately related to work under the agreements, such as delivering special lectures about specific aspects of the ongoing activity, writing reports and articles, participating in appropriate seminars, consulting with colleagues and graduate students, and attending meetings and conferences.

There are exceptional cases where a sponsored project with a purpose code of OSA (Other Sponsored Activity) or RES (Research) may provide for funding Instruction for Credit beyond what is indicated in A-21. In these cases, the Office of Sponsored Research Services will indicate this by adding either the ALLOW_INSTR or ALLOW_INSCS attribute to the sponsored project. If one of these attributes is added, then the project may fund any type of instruction as long as the course is related to the sponsored project.

If Instruction for Credit is funded from my grant, how do I enter the effort in the Sponsored Research Section?

First determine the total effort spent on the project. Enter the effort associated with the specific courses in the "Instruction for Credit" section. Enter the remainder of the total effort for the project in the "Sponsored Research" Section.

Can a cost-share budget be used to fund instruction for credit?

Yes, the same criteria apply for cost share budgets as would apply to the direct charge project budget.

Sponsored Research

What information from the Grants Module is needed for effort reporting?

In FACET, there is a new functionality that allows FSU to enter effort commitments made as part of sponsored project agreements.

What rate of pay can be charged to a sponsored award?

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Sponsors expect that the salary charged to their project for the effort performed will be at the same rate as the salary charged to other activities performed by the faculty member. Effort on grants is to be based on your total university effort. The principle is that sponsors are not to be charged at a higher rate per unit of effort than the institution pays an employee for effort directed towards other university activity. The percent of salary allocated to your grant should be commensurate with the percent of your total university work effort, directed towards the goals of the grant. This principle demonstrates that regardless of the activity engaged in for the university the compensation for that effort is at a consistent rate.

Effort for “Other Non-Sponsored Activities”

What types of effort should be reported in the “Other Non-Sponsored Activities” section of the effort report?

- Residency Instruction (Medicine only)
- Other Instructional Effort –Non-Credit
- Departmental Research / Creative Activity
- Faculty Development / Sabbatical
- Public Service
- K-12 Public Service
- Academic Advising
- Dept / Unit / College Admin
- University Governance / General Administration
- Leave of Absence (paid)
- Release Time (UFF Rep.)
- Sponsored Projects Admin

A definition for each activity is provided in the Glossary.

Differences between Effort and Payroll

What if the effort entered for a sponsored project is less than the salary charged to the sponsored project for the term?

If the employee was paid at a rate greater than the effort entered, the report may be certified. However, a payroll correction will be required before the report can be finalized.

What if the effort entered for a sponsored project is more than the salary charged to the sponsored project for the term?

If the employee was paid at a rate less than the effort entered, the system will record this difference as voluntary cost share. If there is no appropriate funding available for this cost share, a payroll correction will be required before the report can be certified. This correction may be

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moving more salary to the project (increasing the direct funded effort) or to another non-sponsored source of funds (to fund the cost share).

Differences between Effort and Commitments

What if the effort reported is less than the commitment that was entered for the term?

The Commitments Module will need to be adjusted so that future semester commitments can be increased as needed to ensure that the overall level of commitment is met.

What if the effort reported is more than the commitment that was entered for the term?

There is no requirement to update the commitments module in cases where the actual effort is greater than the committed effort. However, keep in mind that in the future, if there is a semester wherein actual is less than committed, you may need this “extra” effort to satisfy the commitment.

Graduate Assistants and Adjunct Faculty

Effort for Graduate Assistants and Adjunct Faculty is automatically populated and approved. Is that correct?

Effort for Faculty Adjuncts and Graduate Assistants, both teaching and research, is pre-populated by the system for individuals with NO sponsored research funding.

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For Faculty Adjuncts and Graduate Teaching Assistants listed as instructors or assisting instructors on the CSM, the pre-populated effort appears in Instruction for Credit.

For Faculty Adjuncts and Graduate Teaching Assistants not listed as instructors or assisting instructors on the CSM, the pre-populated effort appears in Other Instructional Effort – Non-Credit.

For Graduate Research Assistants, the pre-populated effort appears in Departmental Research/Creative Activity.

Does this mean that the Department doesn't have to look at the effort report that is generated?

No. All these reports should be reviewed. If changes are necessary, then the approval path must be changed from ALTERNATE to STANDARD, the changes made, and the report forwarded to the knowledgeable person to be reviewed and certified.

Printed Reports

Do I still need to print final copies of the exempt personnel certification pages to be signed and dated and returned to the Office of Institutional Research, and to keep in departmental files?

No. Beginning with the Fall 2008 Exempt Effort Reporting period, the online FACET system is the official repository for effort reporting forms. The Dean of the Faculties has agreed that beginning with Fall 2008 effort reporting period, printed effort reporting forms will no longer be required in faculty members' Twelve-Hour Law folders. NOTE: printed, signed, and dated forms are still required for the departmental folders for faculty through, and including, Summer 2008.