

Effort Verification

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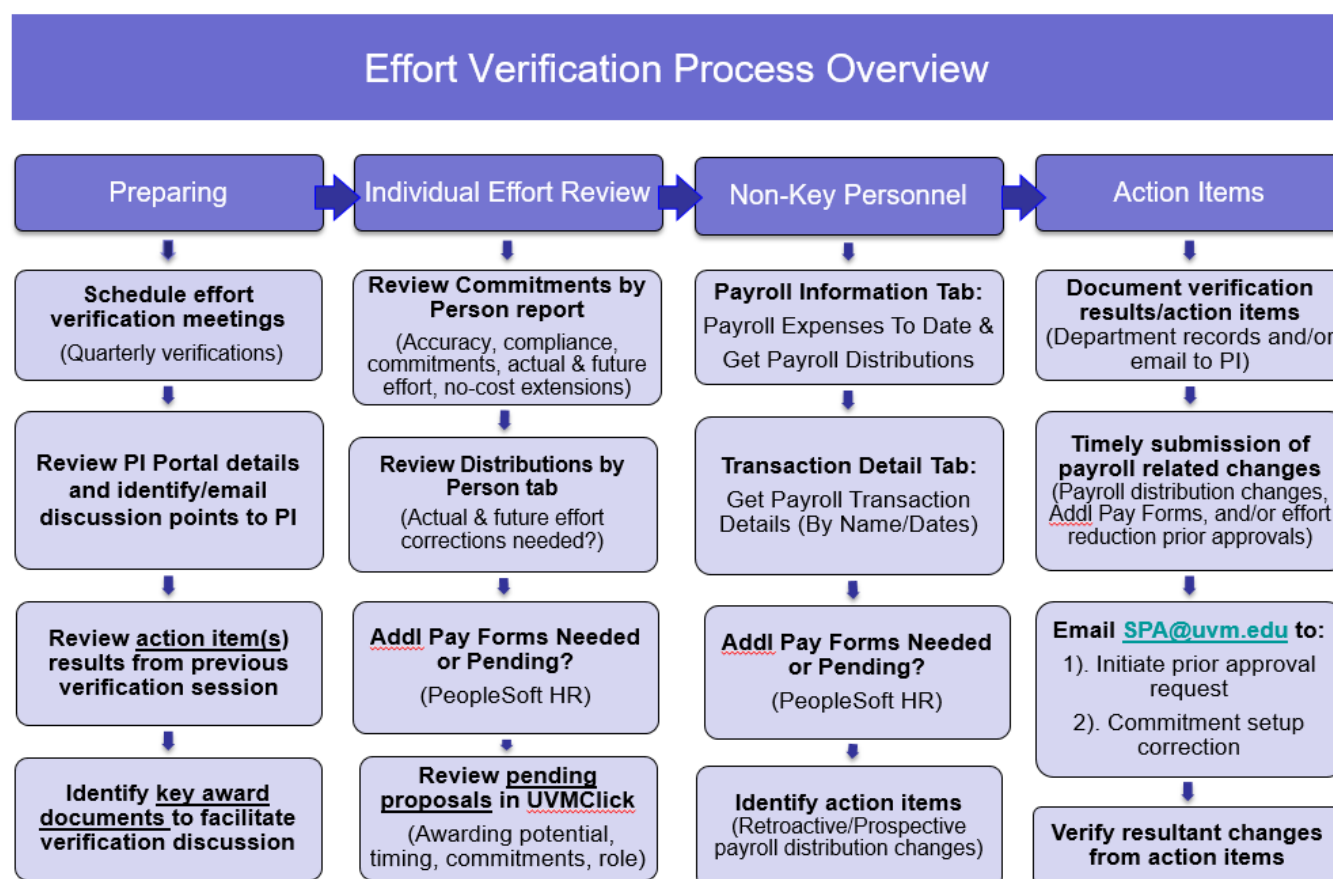
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Overview

The quarterly effort verification process is an important internal control to ensure payroll charges are accurate, allowable and properly allocated on sponsored agreements. Quarterly verification is on-going internal control process driven by federal regulations (Uniform Guidance 200.430) and comply with the UVM [Effort Management and Reporting on Sponsored Agreements](#) policy. The effort verification objectives are as follows:

- Perform an after-the-fact review of actual payroll charges on sponsored agreement
- Assess/update effort plans for PIs, CO-PI and other key personnel
- Identify applicable action items (prior approvals, salary distribution changes, APF payments)
- [Document](#) the effort verification results

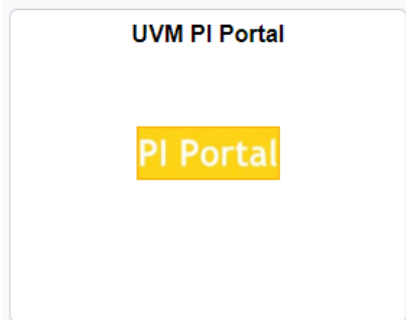
The process overview below summarizes the key steps during the effort verification process:



User Guide Purpose - This user guide provides instructions to prepare, conduct and document effort verifications using the PI Portal in PeopleSoft Financials.

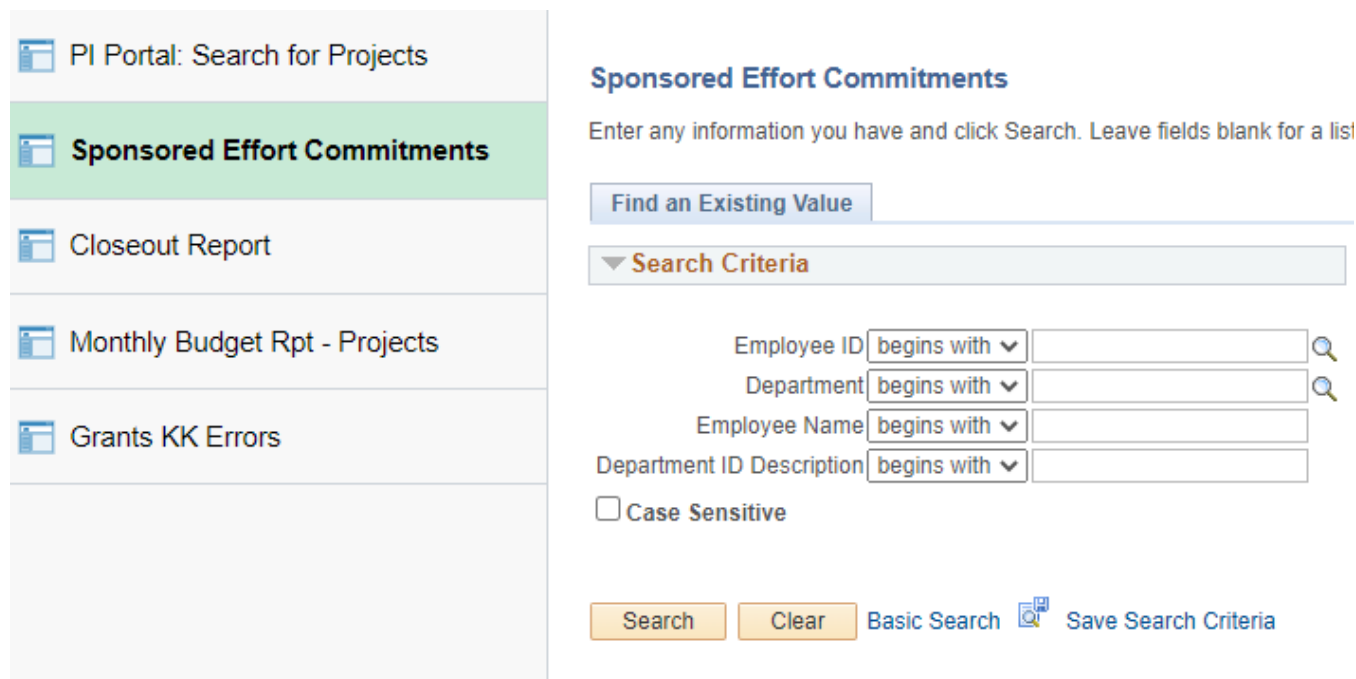
Navigating to the PI Portal

In PeopleSoft Financials UVM Employee Homepage click on the UVM PI Portal tile.



Commitments by Person Tool

Select the **Sponsored Effort Commitments** menu option on the left of the screen. Use the search options to bring up the commitment details for a specific individual or search by department to obtain a list of all faculty and key personnel who require quarterly effort verifications.



PI Portal: Search for Projects

Sponsored Effort Commitments

Closeout Report

Monthly Budget Rpt - Projects

Grants KK Errors

Sponsored Effort Commitments

Enter any information you have and click Search. Leave fields blank for a list

Find an Existing Value

▼ Search Criteria


Employee ID begins with 🔍

Department begins with 🔍

Employee Name begins with

Department ID Description begins with

☐ Case Sensitive

Search Clear Basic Search  Save Search Criteria

Once you click on the hyperlink for the commitment report for an individual you will see two tabs. The first is the **Commitments by Person** tab and the second is the **Distributions by Person** tab to allow you to compare their current distribution to their commitments within the PI Portal. Both tabs default to the current fiscal year, but you have the option to show commitments for all years or to see distribution breakdowns for a select range of fiscal years.

Commitments by Person:

Commitments by Person

Distributions by Person

Sponsored Project Effort Commitments

Limit By Fiscal Year

Fiscal Year 2022

Show All Years

Add/View/Edit Comments (3 Currently Exist)

Emplid

Employee Name

Note: Key personnel effort reduction of 25% or more requires prior approval from the sponsor.

Effort is displayed as percentage

	Award	Project	Project Description	Go To Project	Empl Class	Key Personnel	Project Role	Awarded Department
1	000031124	033022	1R35HL135828-05	Go To Project	12F	N	Faculty	Pathology&Lab
2	000031339	035416	2R01HL136917-01	Go To Project	12F	Y	Co-PI	Med-Pulmonary
3	000031339	035416	2R01HL136917-01	Go To Project	12F	Y	Co-PI	Med-Pulmonary
4	000032558	034508	R01HL142081/1/4	Go To Project	12F	N	Faculty	Med-Pulmonary
5	000033180	035756	1R01HL141364	Go To Project	12F	Y	Principal Investigator	Pathology&Lab
6	000033180	035756	1R01HL141364	Go To Project	12F	Y	Principal Investigator	Pathology&Lab
7	AWD00000111	037591	2R01HL122383	Go To Project	12F	Y	Principal Investigator	Pathology&Lab
8	AWD00000111	037591	2R01HL122383	Go To Project	12F	Y	Principal Investigator	Pathology&Lab

Project Status	Start Date	End Date	Academic	Academic Cost Share	Calendar	Calendar Cost Share	Summer	Summer Cost Share	Principal Investigator
ACTIVE	01/01/2021	12/31/2021			5.00				Janssen-Heininger, Yvonne
ACTIVE	08/01/2020	07/31/2021			25.00				Dixon, Anne Elizabeth
ACTIVE	08/01/2021	07/31/2022			25.00				Dixon, Anne Elizabeth
ACTIVE	04/01/2021	03/31/2022			5.00				Poynter, Matthew E
ACTIVE	01/01/2021	12/31/2021			25.00				Anathy, Vikas
ACTIVE	01/01/2022	12/31/2022			25.00				Anathy, Vikas
ACTIVE	05/01/2021	04/30/2022			25.00				Anathy, Vikas
ACTIVE	05/01/2022	04/30/2023			25.00				Anathy, Vikas

Commitment by Person Report Details: The report will list award and project specific details pertaining to the commitment such as the project description, awarded department and PI, project description and award title. The report also indicates if the individual is considered Key Personnel based on the role type set up by SPA after review of the award documents. Commitments are listed as a percentage.

Commitments are set up under the calendar columns for 12-month employees. Commitments are set up under the academic and summer columns for non-12-month employees, typically 9-month faculty. The start and end date listed pertains to the effort commitment. For more information on the project simply click on the following button:

[Go To Project](#)

Distributions by Person

UVM PI Portal

Commitments by Person
Distributions by Person

Payroll Distributions

Name [REDACTED]

Employee ID [REDACTED]

Please note that eAPF payments to an individual are not included in distribution data.

Note: There are outstanding distribution change requests for this person.

[Get Payroll Distributions](#)

Fiscal Year From 2022 Fiscal Year To 2022

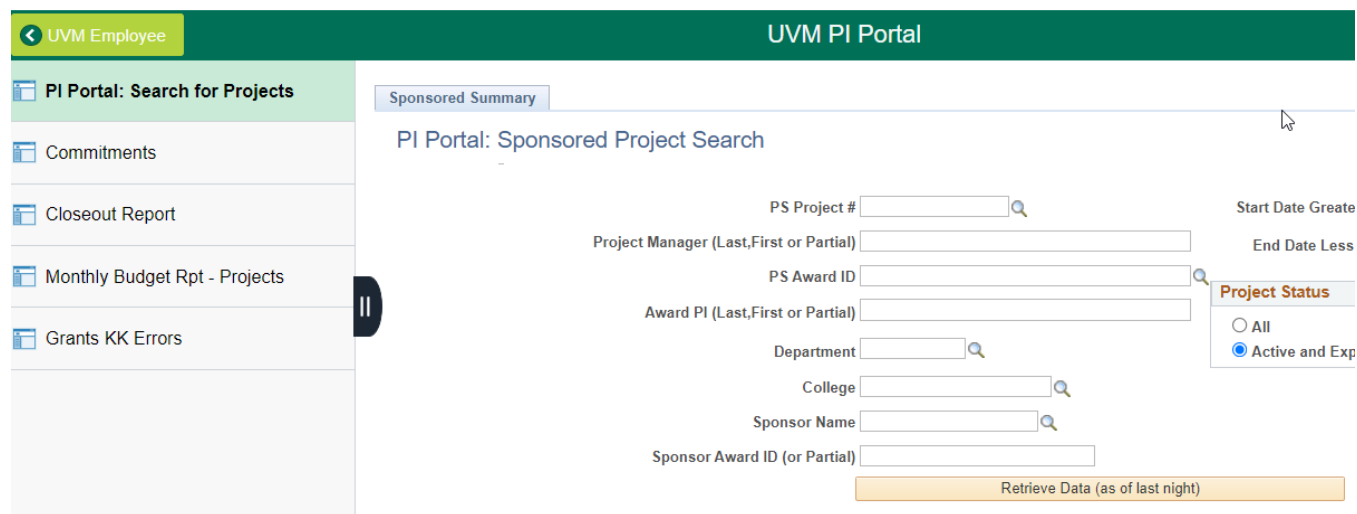
Distribution by person data DOES NOT include additional payment information. Please see the [FAQ](#) for guidance on navigating to eAPFs that have been submitted for an individual. This tab will also indicate if there is an outstanding distribution change request in process for the individual you are reviewing.

If an individual has multiple employee records for the fiscal year(s) being reviewed the distribution breakdown for each record will be included. The full chartstring can be seen by clicking on either the “chartfield” tab or the ‘expand’ icon next to “chartfield” tab. By default, the data will sort by the starting effective date.

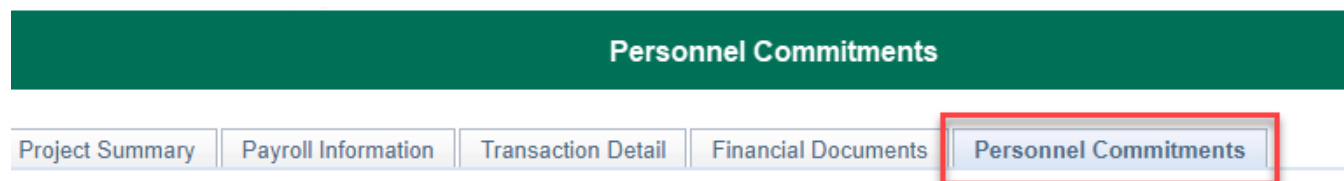
Payroll Distributions									
Payroll Distributions		Chartfield							
Project	Description	Empl Rcd Nbr	Fiscal Year	Home Dept	Message	Effective Date	Distrib End Date	Percent	Function Descr
1		0	2022	57000		07/01/2021	09/30/2021	15.00	Instruction
2		0	2022	57000		07/01/2021	09/30/2021	20.00	Faculty Admin
3 037307	L-2019-104	0	2022	57000		07/01/2021	09/30/2021	6.00	CostShr -Rsch
4 037299	Marsden Yr 5	0	2022	57000		07/01/2021	09/30/2021	9.06	CostShr -Rsch
5 034410	2018_STO_44074	0	2022	57000		07/01/2021	09/30/2021	1.00	CostShr -Rsch
6		0	2022	57000		07/01/2021	09/30/2021	33.94	Instruction - Di
7		0	2022	57000		07/01/2021	09/30/2021	15.00	Department Ac
8 037307	L-2019-104	0	2022	57000		10/01/2021	12/31/2021	6.00	CostShr -Rsch
9		0	2022	57000		10/01/2021	12/31/2021	34.94	Instruction - Di
10		0	2022	57000		10/01/2021	12/31/2021	15.00	Instruction
11 037299	Marsden Yr 5	0	2022	57000		10/01/2021	12/31/2021	9.06	CostShr -Rsch
12		0	2022	57000		10/01/2021	12/31/2021	20.00	Faculty Admin
13		0	2022	57000		10/01/2021	12/31/2021	15.00	Department Ac
14		0	2022	57000		01/01/2022	06/30/2022	15.00	Department Ac
15 037307	L-2019-104	0	2022	57000		01/01/2022	06/30/2022	6.00	CostShr -Rsch
16		0	2022	57000		01/01/2022	06/30/2022	15.00	Instruction
17		0	2022	57000		01/01/2022	06/30/2022	44.00	Instruction - Di
18		0	2022	57000		01/01/2022	06/30/2022	20.00	Faculty Admin

Personnel Commitments by Project

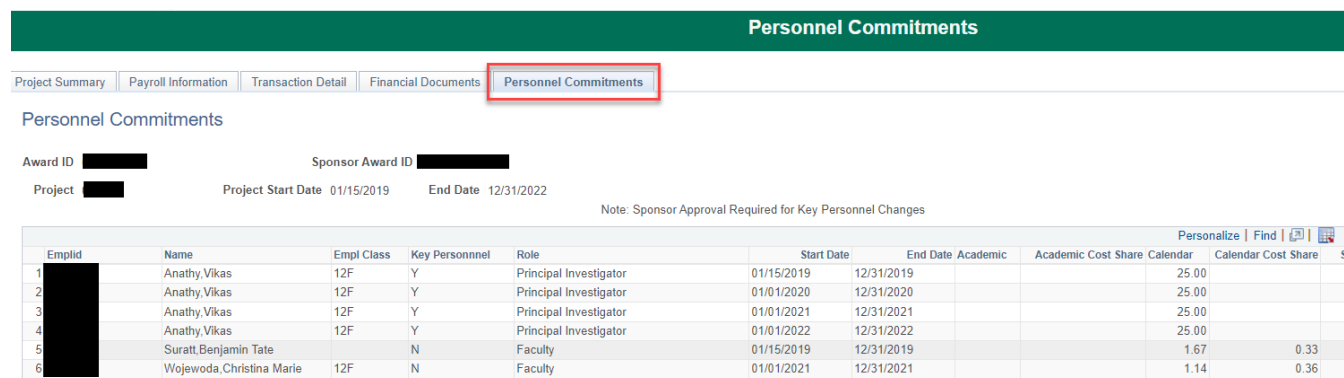
Select the **PI Portal: Search for Projects** menu option on the left of the screen. Enter the applicable search criteria necessary to bring up the project you wish to review and click on the “Retrieve Data (as of last night)” button. Click on the **Project ID** hyperlink to access the project details.



Select the **Personnel Commitments** tab.



Personnel Commitment Details: This tab will display all faculty and key personnel commitments on the project along with their role on the project. This tab also indicates if the individual is considered Key Personnel based on the role type set up by SPA after review of the award documents.



EmplID	Name	Empl Class	Key Personnel	Role	Start Date	End Date	Academic	Academic Cost Share	Calendar	Calendar Cost Share	Su
1	Anathy, Vikas	12F	Y	Principal Investigator	01/15/2019	12/31/2019			25.00		
2	Anathy, Vikas	12F	Y	Principal Investigator	01/01/2020	12/31/2020			25.00		
3	Anathy, Vikas	12F	Y	Principal Investigator	01/01/2021	12/31/2021			25.00		
4	Anathy, Vikas	12F	Y	Principal Investigator	01/01/2022	12/31/2022			25.00		
5	Suratt, Benjamin Tate	N	N	Faculty	01/15/2019	12/31/2019			1.67	0.33	
6	Wojewoda, Christina Marie	12F	N	Faculty	01/01/2021	12/31/2021			1.14	0.36	

Commitments are set up under the calendar columns for 12-month employees. Commitments are set up under the academic and summer columns for non-12-month employees, typically 9-month faculty.

Preparing for an Effort Verification Meeting

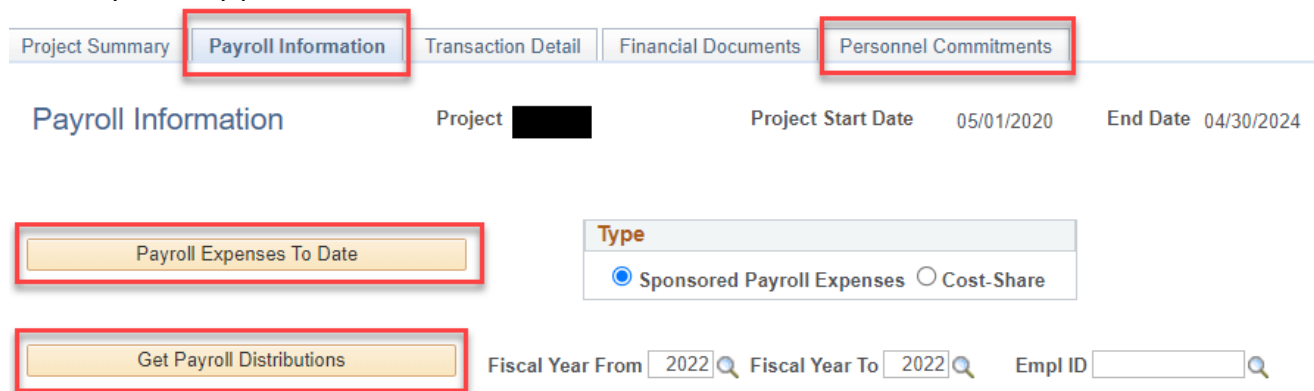
Scheduling - Designated effort unit administrators play an important role in facilitating the effort verification process for PI, CO-PI and other key personnel. **Schedule a meeting well in advance** with the PI, CO-PI or faculty member. **Important considerations are:**

- The effort verifications can be staggered to accommodate volume. For example, one faculty member could have their verification reviews in August, November, and March. A second faculty member verification review schedule could occur in September, December, and April.
- Conduct an effort verification review of the current fiscal year during the faculty member certification review of the previous fiscal year.

Assessing effort and personnel charged on active awards – Prior to the meeting, assess the current effort distribution of the person and personnel charged to the person's sponsored agreements in the current fiscal year. Identify potential discussion points.

- Assess whether effort commitments are complete in the **Commitment by Person** report.
- Does the actual payroll charged by person seem reasonable in the **Get Payroll Distributions** (percentages) and/or **Get Payroll Transaction Details** (by Name/Date) (dollars) for the dates pertaining to your review?
- Review departmental payroll suspense to assess if projects have been set up and effort can be allocated to a project or follow up with the sponsor and/or SPA on the award or advanced account set up if necessary.
- Review last quarterly verification action items and resulting effects.

If the faculty member is verifying for others as PI or CO-PI, obtain a list of personnel charged to their active sponsored agreements by reviewing the **Payroll Expenses to Date** and **Get Payroll Distributions** data sections of the **Payroll Information** tab in the PI Portal and cross referenced with the commitments of faculty and key personnel in the **Personnel Commitments** tab.



The screenshot shows the 'Payroll Information' tab selected in the PI Portal. The tab bar at the top includes 'Project Summary', 'Payroll Information' (highlighted with a red box), 'Transaction Detail', 'Financial Documents', and 'Personnel Commitments' (also highlighted with a red box). Below the tabs, the 'Payroll Information' section is displayed. It includes a 'Project' field with a blacked-out name, 'Project Start Date' as 05/01/2020, and 'End Date' as 04/30/2024. There are two main data sections: 'Payroll Expenses To Date' (highlighted with a red box) and 'Get Payroll Distributions' (also highlighted with a red box). To the right of these sections is a 'Type' dropdown menu with 'Sponsored Payroll Expenses' selected (indicated by a blue radio button) and 'Cost-Share' as an option. At the bottom, there are search filters for 'Fiscal Year From' (set to 2022), 'Fiscal Year To' (set to 2022), and 'Empl ID' (with a search icon).

Note: Student wages, temporary wages, additional pay, including summer salary for 9-month and 10-month appointments, are not encumbered. These costs will be posted as a payroll expenditure. The **Transaction Detail** tab can be referenced to see the individual payroll transactions by name/date for the entire project or a specific date range pertaining to the quarterly review.

Transaction Detail

Project Summary
Payroll Information
Transaction Detail
Financial Documents
Personnel Commitments

Transaction Detail
Project [REDACTED]

Project Start Date 10/01/2020
End Date 12/31/2021

*Data as of Last Night

Get Transaction Detail

Enter Date Range

From Date

To Date

Budgetary Account or Account Description

Get Payroll Transaction Details (By Name/Dates)

Enter Date Range

From Date

To Date

Account Description or Name (Partial OK)

Payroll Actuals by Person
Find | Download Results to Excel
First 1-199 of 199 Last

Expenses

Chartfields

[Filter]

Name	Journal ID	Journal Date	Empl ID	Account	Account Description	Expense Amount	Function Description
1 MacPherson,Maximilia	PAY0383612	11/30/2021	[REDACTED]	52000	Staff Salary	973.290	Rsch-Spon
2 Janssen-Heininger,Yv	PAY0383612	11/30/2021	[REDACTED]	50100	Tenure-Track Tenured	824.830	CostShr -SalCap -Rsch

Note: Stipend payments are not subject to effort reporting requirements. Please reference the sponsors terms and conditions for minimal time commitments and review those charges in the verification process of the respective PI/CO-PI.

Review Action item(s) from previous verification session – Prior to a verification meeting, assess whether the previous actions items have been completed. Facilitate the closure of any remaining action items prior to the upcoming meeting.

Identify key award documents to facilitate verification discussion – Prior to a verification meeting, identify key award documents (UVMClick, PeopleSoft, eAPFs) that will likely aid the discussion points. Key documents will clarify any confusion on commitments and payroll distribution results.

Effort Verification by Individual

Principal Investigators, Co-PIs, Co-Investigators and faculty working on sponsored agreements should have a **Commitment by Person** report in the PI Portal, which should be verified on a quarterly basis. Non-key personnel or students do not have commitment reports. Upon completion of the verification review [document](#) the scope of the review, the verification review results and any action items.

Review Active Commitments – Review the current fiscal year effort commitments (PeopleSoft default), as well as additional fiscal years that fall within the scope of the quarterly review for reasonableness. Review [salary distributions](#) and [eAPFs](#) if necessary to determine if actual effort was allocated accurately and if there are any future effort adjustments that need to be processed. The following discussion points should occur to complete a comprehensive review of the individual's effort:

- Are commitments in the active sponsored agreements correct and complete?
 - If a commitment was set up incorrectly email SPA@uvm.edu.
 - Document any planned effort changes for future reference. If effort changes require prior sponsor approval email SPA@uvm.edu to start the prior approval process. Upon sponsor notification, SPA will make the appropriate change(s).
- Are salary distribution and eAPF percentages accurate, reasonable and properly allocated based on actual effort since the last quarterly review?
- Are salary distribution and eAPF percentages accurate, reasonable and properly allocated based on planned future effort for the remainder of the fiscal year and upcoming quarter under review?
- If there is effort in department suspense, assess if projects have been set up and effort can be allocated to the appropriate sponsored project or follow up with the sponsor and/or SPA on the award or advanced account set up if necessary.
- Assess what level of effort needs to be applied on each sponsored agreement during the remaining time of the budget period to meet effort commitment?
- Do I need to communicate to a PI or obtain a prior approval from a sponsor on a planned effort commitment reduction or disengagement greater than 3 month? Departments/PIs are responsible for communicating directly with SPA on prior approval requests.
- What will be my effort commitment for any upcoming no-cost extension period requests?

Review Pending Proposals section of the effort plan – UVMClick has a custom reports for proposals. To navigate to the reports in UVMClick select Grants > Reports > Custom Reports and then in the filter box enter: Investigators on Proposals. The following four reports are suggested by SPA.

- Investigator on Proposals – All States
- Investigator on Proposals – In Development
- Investigator on Proposals (Other than PI) – by Investigator
- Investigator on Proposals (PI only) – by Investigator

Recommended discussion points related to pending proposals are:

- Will my pending proposals affect my ability to meet my commitments on my current active sponsored agreements?
- Should I communicate effort commitment changes to the sponsor(s) to proactively address reductions of effort and/or disengagement longer than 3 months?
- Should I request an advance account be established to account for a likely award?

- Have the sponsors communicated that your pending proposals will not be funded?

Communication on pending proposal changes should be with your assigned [Research Administrator in the University's Sponsored Project Administration \(SPA\) office](#).

Upon completion of the quarterly verification review [document](#) the scope of the review, the verification review results and any action items.

Effort Verification by Project (Including Non-Key Personnel Effort)

Personnel who have payroll charged directly or as cost share on sponsored agreements are required to have their effort reviewed on a quarterly basis. The PI or CO-PI, who have first-hand knowledge of the effort by personnel charged to their respective sponsored agreements, may perform the project level effort verification review in collaboration with support from the designated unit effort administrator.

Review Key Personnel and Faculty Effort –The PI or CO-PI should review the [committed effort](#) of faculty (non-key personnel) and key personnel on their projects and confirm their actual effort on the project. Refer to the [effort reduction](#) section for additional considerations if planned effort changes are anticipated from the original committed effort proposed to the sponsor.

Review Other Non-Key personnel – The PI or CO-PI should review their other non-key personnel effort charged as direct or as cost share on their projects. These other non-key personnel, such as students, outreach professional and lab techs, will not have a Commitment by Person report. However, the [Payroll Information tab](#) and the [Transaction Detail tab](#) are convenient tools within the PI Portal to review actual and planned payroll charges. Effort verification considerations:

- Review the individuals' fiscal year effort on the active sponsored agreements for accuracy, reasonableness and proper allocation.
- Determine whether changes should occur on existing employees charged to the sponsored agreement or if someone has not charged but should be.
- **Reminder:** Student wages, temporary wages, additional pay, including summer salary for 9-month and 10-month appointments, are not encumbered. These costs will be posted as a payroll expenditure.

Upon completion of the quarterly verification review [document](#) the scope of the review, the verification review results and any action items.

Effort Reductions

PI assessment of effort reduction request – The PI plays an important role in assessing the impact of the effort reduction request and determining whether the sponsor needs to approve it. The following questions are common examples of what a PI weighs when considering an effort reduction request:

- Will the ability to achieve the scope of work be impacted?
- What will be the impact of my reduced effort as PI?
- Which faculty member will replace me as PI?
- What will be the effect of the reduction of effort by other key personnel (CPI, OKP)?
- Should non-key faculty commitments be replaced with other faculty?
- What commitments should continue during a no-cost extension period?
- Does the sponsor require a prior approval of this effort reduction?

The department administrator and/or SPA should support/facilitate this assessment process.

PI assessment only – If the PI assessment doesn't require sponsor prior approval of the effort reduction request, the PI assessment results should be documented for future reference.


Sponsor approval required – The PI should contact [SPA](#) to submit a formal request to the sponsor. Upon sponsor notification, SPA will make the appropriate change(s) to the commitment data.

Pending Proposals

UVMClick has custom reports to view funding proposals. The following four reports are suggested by SPA:

- Investigator on Proposals – All States
- Investigator on Proposals – In Development
- **Investigator on Proposals (Other than PI) – by Investigator**
- **Investigator on Proposals (PI only) – by Investigator**

Navigating to the reports: Grants > Reports > Custom Reports and then in the filter box enter: Investigators on Proposals.



[»](#)
[My Inbox](#)
[Grants](#)
[Agreements](#)
[SF424 Cent](#)


[Funding Proposal](#)
[Complex Projects](#)
[Awards](#)
[Reports](#)
[Help Center](#)

Reports

[Standard Reports](#)
[Advanced Reports](#)
[Custom Reports](#)

Select the report you wish to review. Using the various filter features search for the PI or Investigator you wish to search for by last name. Review each funding proposal that is currently listed as Pending Sponsor Review by clicking on the funding proposal number hyperlink. Then click on the sponsor name below the proposal workflow diagram:

Investigators on Proposals (PI only) - by Investigator									
Filter by ?		PI Last Name	Anathy		<input type="text"/> <input type="button" value="Q"/> <input type="button" value="+ Add Filter"/> <input type="button" value="x Clear All"/>				
FP Number	PI Last Name	PI First Name	Project State	Sponsor Name	Originating Sponsor Name	Long Title	Purpose	Start Date	End Date
FP00002329			Pending Sponsor Review	MedChem Partners	Natl Inst Allergy Infectious/NIAID/NIH	Antiviral Compounds for SARS-CoV-2 and the Next Disease X	RESEARCH - Basic - 311	7/1/2023	6/30/2024
					National Institutes of Health	Effect of Protein Disulfide	RESEARCH		



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graph LR
    Draft --> DepartmentReview[Department Review]
    DepartmentReview --> SpecialistReview[Specialist Review]
    SpecialistReview --> SponsorReview[Sponsor Review]
    SponsorReview --> Awarded[Awarded]
    SponsorReview --> NotFunded[Not Funded]
    DepartmentReview --> ClarificationsRequested1[Clarifications Requested]
    ClarificationsRequested1 --> DepartmentReview
    SpecialistReview --> ClarificationsRequested2[Clarifications Requested]
    ClarificationsRequested2 --> SpecialistReview
    SponsorReview --> ChangesRequired[Changes Required]
    ChangesRequired --> SponsorReview
  
```

Funding Awards

No data to display.

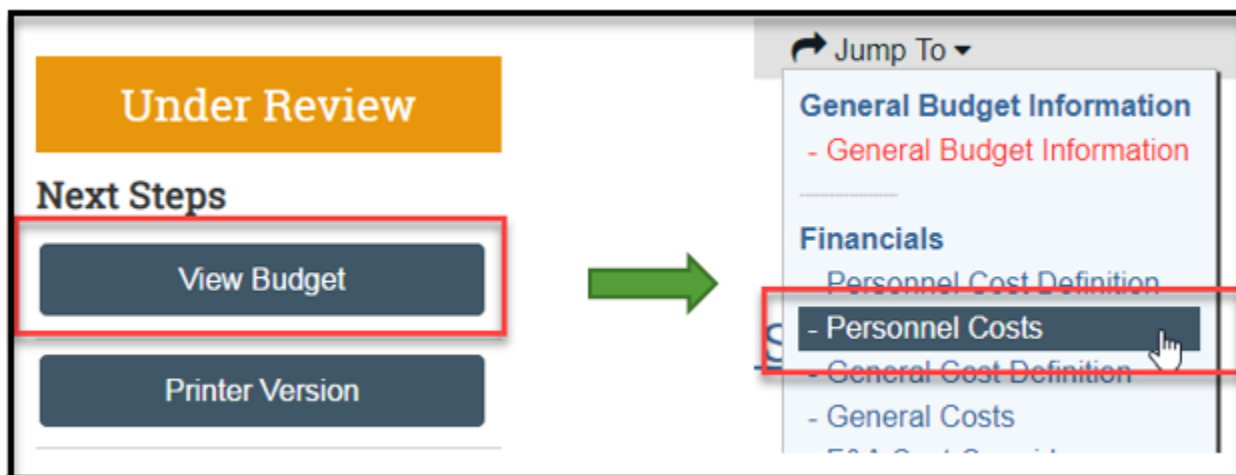
◀ page 1 no results ▶

[Budgets](#)
[History](#)
[Reviewers](#)
[COI Person Details](#)
[Attachments](#)
[Financials](#)
[Related Projects](#)

Working Budgets

Name	SmartForm	▼ Date Modified	State	Funding Source
\$ MedChem Partners	[Edit] ▼	1/4/2022 11:12 AM	Under Review	Pass-through/Subcont

Click on the “View Budget” option from the menu on the left of the screen and then select the “Personnel Costs” options from the “Jump To” drop down menu located at the top of the screen.



Personnel Costs	
	Period 1 7/1/2023 6/30/2024
Person: XXXXXXXXXX	Effort: 12.5%
	Sal Req: 12.5%
	FB Rate: 46.6%
	Base: XXXXXXXXXX
	Salary: XXXXXXXXXX
	Benefits: XXXXXXXXXX
	Total: XXXXXXXXXX

Recommended discussion points related to pending proposals are:

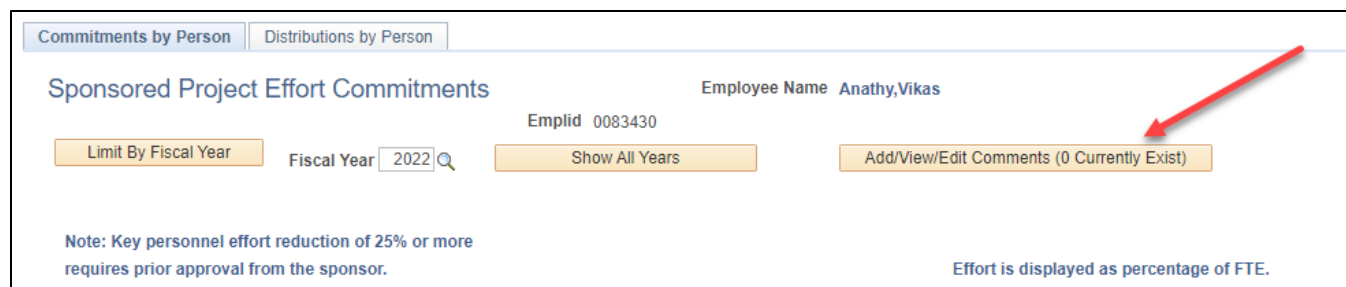
- Will my pending proposals affect my ability to meet my commitments on my current active sponsored agreements?
- Should I communicate effort commitment changes to the sponsor(s) to proactively address reductions of effort and/or disengagement longer than 3 months?
- Should I request an advance account be established to account for a likely award?
- Have the sponsors communicated that your pending proposals will not be funded?

Communication on pending proposal changes should be with your assigned Research Administrator in the University's Sponsored Project Administration (SPA) office.

Documenting Results and Completing Action Items

The documented completion of the verification review scope, the verification results and applicable action items from the quarterly verification is important for future verification reviews and establishing an audit trail of this payroll allocation internal control.

Documenting the quarterly review results and action items – The designated unit effort administrator should maintain a record of when the quarterly reviews were conducted and document results and any applicable action items using the “Add/View/Edit Comments” button in the individual’s Sponsored Effort Commitments report.



* You may need to disable pop up blocker for your browser if you don’t get a new tab for comments.

Steps to add/edit/save a comment:

- 1). Click on the + sign to add a new comment.
- 2). The text box opens small, but you can expand it by dragging the bottom right corner.
- 3). Be sure to click on the save button. That will provide the user ID and last updated date/time stamp.
- 4). If you need to make changes to your comment you can click the “Edit Comment” button or the – button and just start over. BE SURE TO SAVE.

Completing the action items – The resulting action items such as submitting prior approval of effort reduction, payroll distribution changes or processing of additional payments require timely action. The designated unit effort administrator should expedite actions that will retroactively charge or allocate costs on sponsored agreements.

Example:

Sponsored Effort Comments

Comments
Name [REDACTED]
Employee ID [REDACTED]

Press the + sign to add a comment.

	Edit Comment	Comments	Last Update User ID	Last Updated	
1	Edit Comment	PENDING PROPOSAL COMMITMENTS: FP00002278 7/1/22-6/30/23 at 4% (Co-Investigator) FP00002231 7/1/22-6/30/27 at 5% (Co-Investigator) FP00002134 7/1/22-6/30/24 at 2.5% (PI) FP00002329 7/1/23-6/31/21 at 12.5% (PI)	dshackle	02/02/22 12:35:42PM	+ -
2	Edit Comment	Quarterly review done with Dr. [REDACTED] 1). We reviewed all of his commitments and actual effort and there are no effort corrections needed for last quarter or the upcoming quarter for him. 2). Need to initiate NCE for project 123456. 3). Reviewed personnel effort on his projects and graduate student Jamie Smith is not distributed to project 987654. Notified their department administrator via notify button in that project on 2/2/2022.			+ -

Save
Notify

FAQs

What is committed effort?

Committed effort is that proportion of an individual's institutional effort that will be devoted to a sponsored activity. Effort proposed for a PI or other key personnel in a grant application, typically in the budget and/or budget narrative, becomes a commitment (or obligation) the university must fulfill unless explicitly modified during award negotiations with the sponsor. The cost associated with committed effort may be borne by the sponsor (charged to the grant or contract) or by the institution (cost-sharing).

Who is responsible for reviewing the faculty effort commitments?

The faculty member is responsible for their effort management. However, the unit effort administrator should schedule quarterly meetings with each faculty member and facilitate a review of their Commitment by Person report. The following business practices are recommended during quarterly verifications:

- Effort administrators should review the current effort commitments and identify potential issues or questions in preparation for the meeting with the faculty member.
- Email a list of the potential issues/questions to the faculty member prior to the meeting to allow the faculty member preparatory time
- Review the current effort commitment information together

- Decide on a course of action to resolve open issues, e.g., submit salary distribution changes, process an eAPF for summer effort, request sponsor prior approval for reductions greater than 25%, etc...
- Record action items such as prior approval requests and payroll distribution changes for future reference. A follow-up email to the faculty after the meeting to capture the results of the quarterly meeting is recommended.

What is the source of the commitment information in the PI Portal?

Effort commitments are derived based on the proposed budget and budget narrative of the award documentation. Commitments are only entered for key personnel and faculty on sponsored projects.

How do I update commitments?

- If an effort commitment was set up incorrectly, please email SPA@uvm.edu to request a correction.
- When an effort commitment is correct in the system, but the planned effort is changing:
 - If a person's planned effort has changed and is within the 25% reduction threshold and less than a 3 months disengagement for the budget period then no prior approval is required. In this case, make a note of your review and the planned effort and submit all necessary payroll changes to have the correct effort allocated to the project. No further action is needed.
 - If the person is key personnel and the planned effort change exceeds the 25% reduction threshold and/or is more than a 3 month disengagement and prior sponsor approval is required then email SPA@uvm.edu. Upon sponsor notification, SPA will make the appropriate change(s).

Additional Resources/Help**Resources**

- [SPA's PI Portal Job Aid](#)
- [Effort Management & Reporting Website](#)
- [Effort Management & Reporting Policy](#)

Training

- [Professional Development & Training Classes](#)

Relevant UVM Departments

- [Sponsored Project Administration \(SPA\)](#)
- [Financial & Cost Accounting Services](#)