Part 2: Managing Effort on Sponsored Projects

Dawn Caffrey – Senior Cost Accounting Analyst, Financial & Cost Accounting Services

Joshua Tyack – Research Administrator Sr., Sponsored Project Administration
<table>
<thead>
<tr>
<th>Topic</th>
<th>Course</th>
<th>Date</th>
<th>Time</th>
</tr>
</thead>
<tbody>
<tr>
<td>UVMClick New Proposals</td>
<td>POL036</td>
<td>Sept 27, 2023</td>
<td>9 AM - 10:30 AM</td>
</tr>
<tr>
<td>Introduction into Sponsored Project (PDF)</td>
<td>POL012</td>
<td>Sept 29, 2023</td>
<td>2:30 PM - 4 PM</td>
</tr>
<tr>
<td>Budget Building for Proposal Development</td>
<td>POL034</td>
<td>Oct 31, 2023</td>
<td>9 AM - 10:30 AM</td>
</tr>
<tr>
<td>Reviewing and Understanding Sponsored Agreements</td>
<td>POL039</td>
<td>Nov 15, 2023</td>
<td>1:30 PM - 3 PM</td>
</tr>
<tr>
<td>Cost Transfers on Sponsored Projects</td>
<td>POL021</td>
<td>Nov 28, 2023</td>
<td>1 PM - 2:30 PM</td>
</tr>
<tr>
<td>Proposal Submission to National Science Foundation</td>
<td>POL043</td>
<td>Nov 30, 2023</td>
<td>9 AM - 10:30 AM</td>
</tr>
<tr>
<td>Cost Sharing on Sponsored Projects (PDF)</td>
<td>POL022</td>
<td>Dec 13, 2023</td>
<td>1:30 PM - 3 PM</td>
</tr>
<tr>
<td>Sponsored Billing</td>
<td>POL040</td>
<td>Feb 21, 2024</td>
<td>10 AM - 11:30 AM</td>
</tr>
<tr>
<td>Part 1: Personnel Effort on Sponsored Projects</td>
<td>POL042</td>
<td>Feb 20, 2024</td>
<td>10 AM - 11:30 PM</td>
</tr>
<tr>
<td>PeopleSoft Tools &amp; Best Practices for Financial Management of Sponsored Projects</td>
<td>CPT075</td>
<td>March 6, 2024</td>
<td>9:30 AM - 11 AM</td>
</tr>
<tr>
<td>Part 2: Effort Verification on Sponsored Projects; PI Portal Commitments</td>
<td>CPT044</td>
<td>March 14, 2024</td>
<td>9 AM - 11 AM</td>
</tr>
<tr>
<td>Accepting and Managing International Agreements</td>
<td>POL045</td>
<td>March 27, 2024</td>
<td>9:30 AM - 11 AM</td>
</tr>
<tr>
<td>Award Acceptance for Sponsored Agreements &amp; Establishment of Advance Accounts</td>
<td>POL020</td>
<td>April 10, 2024</td>
<td>9:30 AM - 11 AM</td>
</tr>
<tr>
<td>Sponsored Project Financial Reporting and Closeout</td>
<td>POL024</td>
<td>April 25, 2024</td>
<td>9 AM - 10:30 AM</td>
</tr>
<tr>
<td>Outgoing Subawards</td>
<td>POL010</td>
<td>May 22, 2024</td>
<td>1:30 PM - 3 PM</td>
</tr>
<tr>
<td>Proposal Submission to NIH in UVMClick</td>
<td>POL038</td>
<td>May 29, 2024</td>
<td>9 AM - 10:30 AM</td>
</tr>
<tr>
<td>Trainee and Participant Support Costs</td>
<td>TBD</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

https://www.uvm.edu/spa/education-and-learning
Agenda

► Quarterly verifications at UVM (who, why)

► PeopleSoft - Sponsored Effort Commitment Tools
  o Commitments by Person
  o Distributions by Person
  o Documentation

► PI Portal - Commitments by Project
  o Personnel Commitments
  o Tips for reviewing all personnel on projects

► Demo in PeopleSoft

► Quarterly Verification Planning and Considerations

► Open lab
Our Finance Services

DIVISION OF FINANCE & ADMINISTRATION

- Accounts Payable
- Accounts Receivable/Billing
- Administrative Business Services (ABSC)
- Benefit Rates
- Budgeting by Fund
- Cash Receipts & Deposits
- Chart of Accounts
- Costs on Sponsored Agreements
- Cost Transfers
- Course & Program Fees
- Debt Management
- Effort Management & Reporting
- Employee vs. Independent Contractor Determination
- F&A Costs & Rates
- Financial Reporting
- Fixed Assets
- Fuel Card Program
- Gifts & Endowments
- Incentive-based Budgeting
- Insurance Expense Accounting
- Lease Administration
- Monthly Closing
- Movable Equipment
- Non-sponsored Projects
- Payroll
- Petty Cash
- Print & Mail Services
- Private Business Use
- PurCard
- Purchasing & Contracts
- Research Study Participant Payments
- Revenue-Generating Activity Guide
- Space Inventory
- Tax Information
- Travel & Expense
- Treasury Management
- University Project Management Office
- UVM Bookstore
- Year-end Closing
As a recipient of sponsored funds, UVM must assure sponsors that the "effort" (assignment of time and associated salary costs) charged to their sponsored agreements is equitable and distinguishable from those charged to other activities, and effectively managed within the parameters of sponsors' requirements. UVM relies on the framework for effort reporting provided by federal regulations, principally the Office of Management and Budget's Uniform Guidance for Federal Awards. Financial & Cost Accounting Services, part of University Financial Services, oversees the University's effort management and reporting system in accordance with the Effort Management and Reporting on Sponsored Agreements Policy (PDF).

Effort management is the budgeting, planning, and monitoring of someone's effort for a specific period of time such as a budget period. Effective effort management ensures that effort commitments to sponsors within the context of all UVM-compensated activities are included in someone's 100% effort. Effort reporting is the federally mandated process by which the salary charged to a sponsored agreement is certified as being reasonable in relation to work performed on the sponsored agreement.

PeopleSoft PI Portal: Effort Verification & Management

The PI Portal provides an efficient tool for faculty to manage their awarded commitments on sponsored agreements. The risk of not meeting sponsor regulations is mitigated through the use of this important effort management tool.
An ORCID® id (unique identifier) will soon be required for federal grants.

1. Get an ORCID id
2. Connect your ORCID id to UVM

go.uvm.edu/orcid-uvm

Join an Interest Group Today!

Click here to log on to UVMconnect

Human Resource Services Quick Links
- HRS Main Page
- HRS Forms
- Benefit Plan Providers
- Staff Handbook
- University and University Officers’ Manual
- New Employees (Orientation)
- PeopleAdmin (Jobs at UVM)

The above applications may require a separate login.
Conducting Effort Verifications - Who?

All individuals who have **payroll charged directly or as cost share** to a sponsored agreement including a review of any key personnel with commitments on sponsored projects.

**Semi-Monthly Employees**

- Faculty & key personnel will have a Sponsored Effort Commitments page to be reviewed.
- NOTE: Semi-monthly and employees certify effort annually in ERS *(Kronos employees will certify in ERS as well for FY24 effort. More to come.)*

**Traditional Bi-weekly hourly employees**

- Temporary hourly employees
- Hourly undergraduate and graduate students
- Actuals are charged and certified at the time hours are submitted by employee
- No budget estimates to modify
- Effort verified by PI/Co-PI
**Conducting Effort Verifications - Who?**

**Kronos hourly employees (transition starts in April 2024)**

- Plan-Confirmation approach to allocate effort, similar to semi-monthly employees
- Actuals charged for hours worked
- Will be encumbered
- Effort verified by PI/Co-PI
- Kronos employees will certify in ERS once a year (more to come)

For more guidance on the transition to Kronos for non-exempt employees please visit:

https://legacy.drup2.uvm.edu/finance/kronos-time-keeping-expansion

**Note:** Pre/Post Doc trainees/fellows who receive stipends from a sponsored agreement do not certify, but are required to be verified quarterly.
Conducting Effort Verifications - Who?

Commitments in PI Portal - Source data entered by SPA during award set up.

- Principal Investigator
- Co-PI
- Named Personnel
- Faculty: Non-key personnel

NOTE: If commitments are entered incorrectly at the time of award set up you should contact SPA@uvm.edu and ask that the source data be corrected. Once they have confirmed that the correction has been made you will see the update in the PI Portal the following day.
No **Commitments** in PI Portal:

- Lab techs
- Graduate students
- Other non-key **staff**
- Pre/Post Doc trainees/fellows
  - (payroll is excluded from effort reporting)

The PI/Co-PI is still responsible for verifying their effort and payroll charges on a quarterly basis. The PI Portal is a useful tool for verifying their effort.
“Plan-Confirmation” Approach at UVM

Budget, monitor and adjust effort plan (Plan)

- Establish/update effort plans on sponsored agreements
- Use planned effort to distribute payroll on sponsored agreements
- Conduct quarterly verifications of effort commitments/projections and make changes to reflect actual effort.

Annual certification of Payroll Charges (Confirmation)

- July through June certification period
- Review/certify effort during August/September time frame
- Web based certification in effort reporting system

UVM’s Uniform Guidance Effort Subcommittee recommended to continue using Plan-Confirmation approach
Effort Verifications - Federal Regulations Assessment

Federal Regulations (Uniform Guidance, Effective December 26, 2014)
- Focus on Internal Controls
- COSO/Green Book models cited

UVM Assessment results of Uniform Guidance (Fall 2014)
- UVM’s internal controls processes align with Uniform Guidance
- Use PeopleSoft commitment tools to conduct quarterly verifications
- Annual certifications will continue in ERS (UVM’s fiscal year)
- Updated IBS definition to exclude supplemental pay for “overload”
- Allow PI/Co-PI to “verify” reasonableness of effort/payroll charges
- No changes anticipated for UVM effort management and reporting based on the proposed changes to Uniform Guidance for 2024.
Verification of Effort: On a quarterly basis, the planned and actual effort of all employees on sponsored agreements shall be verified as reasonable by the Principal Investigators or employee. Any anticipated or retroactive significant changes of effort shall be communicated by the employee to their appropriate responsible official or designee in a timely manner.

Charging of Salaries and Wages to Sponsored Agreements: Salaries charged to sponsored agreements shall be based on the planned or actual effort applied by employee(s) toward those respective sponsored agreements. Wages shall be charged based on actual effort on sponsored agreements and be posted in a timely manner. All necessary payroll adjustments must be made such that the final amount charged to the sponsored agreement is accurate, allowable and properly allocated.

University Effort Management and Reporting Policy

“The University’s level of precision of an employee’s effort on each sponsored agreement or activity shall be within 5% of an employee’s total effort of the activities included in the IBS.”

Example: 10% charged on a grant but the effort fluctuated between 8% and 12% over a 3 month period.
“It is recognized that teaching, research, service, and administration are often inextricably intermingled in an academic setting. When recording salaries and wages charged to Federal awards for Institutions of Higher Education, a precise assessment of factors that contribute to costs is therefore not always feasible, nor is it expected.”

“Significant changes in the corresponding work activity (as defined by the non-Federal entity’s written policies) are identified and entered into the records in a timely manner.

Short term (such as one or two months) fluctuation between workload categories need not be considered as long as the distribution of salaries and wages is reasonable over the longer term.”
The minimum effort requirement from PIs was edited to clarify that it is to be an average over the budget period and therefore allocated to the sponsored project when the effort is actually applied.

1% for budget period, not 1% for active work period (ex. 1% summer only does not meet the UVM effort policy UNLESS the award is only for the 3 summer months).

The effort policy does not require the 1% effort to be cost shared.
Change in a key person specified in the award document of the Federal award.

The disengagement from the project for more than three months, or a 25 percent or greater reduction in time devoted to the project, by key personnel.

Change in the scope or the objective of the project or program (even if there is no associated budget revision requiring prior written approval).

Note: NIH now allows effort reduction during NCE period without prior approval. However, this needs to indicated at time of NCE request when working with SPA.
Effort Compliance Audit Landscape

Results of Federal Audits

- **Major financial settlements with large Research Universities**
  - Northwestern ($5.5 million settlement)
  - John Hopkins ($2.6 million settlement)
  - Harvard ($3.2 million Settlement)
  - Yale ($7.6 million settlement)
  - Columbia ($9.0 million settlement)
  - University of Florida ($19.875 million settlement)
  - University of North Texas Health Science Center ($13 million settlement)

- **Audits at UVM**
  - Internal Audits/Investigations
  - Uniform Guidance single audit (KPMG)
  - Office of Inspector General Audits/Investigations
  - Agency specific audits
Effort Planning and Management

- Committed Effort
- Faculty Workload Plans
- Effort Confirmation
- Fiscal Year Budget
- Quarterly Monitoring
- Payroll Distribution

Effort Planning
Navigating to PeopleSoft Commitment Tools

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

Select the **Sponsored Effort Commitments** menu option on the left of the screen to bring up the search menu.
Defaults to show commitments in the current fiscal year, but you can change the year or show all years with commitments.
### PeopleSoft - Commitments by Person

<table>
<thead>
<tr>
<th>Project Status</th>
<th>Start Date</th>
<th>End Date</th>
<th>Academic</th>
<th>Academic Cost Share</th>
<th>Calendar Cost Share</th>
<th>Summer Cost Share</th>
<th>Principal Investigator</th>
</tr>
</thead>
<tbody>
<tr>
<td>ACTIVE</td>
<td>02/01/2021</td>
<td>07/31/2021</td>
<td></td>
<td>13.65</td>
<td>11.34</td>
<td>Cushman, Mary</td>
<td></td>
</tr>
<tr>
<td>ACTIVE</td>
<td>08/01/2021</td>
<td>01/31/2022</td>
<td></td>
<td>14.01</td>
<td>10.99</td>
<td>Cushman, Mary</td>
<td></td>
</tr>
<tr>
<td>ACTIVE</td>
<td>04/01/2021</td>
<td>03/31/2022</td>
<td></td>
<td>1.58</td>
<td>0.92</td>
<td>Cushman, Mary</td>
<td></td>
</tr>
<tr>
<td>ACTIVE</td>
<td>03/01/2021</td>
<td>02/28/2022</td>
<td></td>
<td>3.05</td>
<td>1.94</td>
<td>Zakai, Neil A.</td>
<td></td>
</tr>
<tr>
<td>ACTIVE</td>
<td>03/01/2022</td>
<td>02/28/2023</td>
<td></td>
<td>3.05</td>
<td>1.94</td>
<td>Zakai, Neil A.</td>
<td></td>
</tr>
<tr>
<td>ACTIVE</td>
<td>12/19/2020</td>
<td>12/18/2021</td>
<td></td>
<td>2.71</td>
<td>2.27</td>
<td>Tracy, Russell P.</td>
<td></td>
</tr>
<tr>
<td>ACTIVE</td>
<td>01/01/2021</td>
<td>12/31/2021</td>
<td></td>
<td>3.01</td>
<td>1.49</td>
<td>Cushman, Mary</td>
<td></td>
</tr>
<tr>
<td>ADVANCE ACCOUNT</td>
<td>01/01/2022</td>
<td>06/30/2022</td>
<td></td>
<td>1.69</td>
<td>1.71</td>
<td>Cushman, Mary</td>
<td></td>
</tr>
<tr>
<td>ACTIVE</td>
<td>06/01/2021</td>
<td>05/31/2022</td>
<td></td>
<td>14.10</td>
<td>10.84</td>
<td>Cushman, Mary</td>
<td></td>
</tr>
<tr>
<td>ACTIVE</td>
<td>10/01/2020</td>
<td>09/30/2021</td>
<td></td>
<td>1.85</td>
<td>1.15</td>
<td>Tracy, Russell P.</td>
<td></td>
</tr>
<tr>
<td>ACTIVE</td>
<td>10/01/2021</td>
<td>05/31/2022</td>
<td></td>
<td>3.00</td>
<td>1.68</td>
<td>Tracy, Russell P.</td>
<td></td>
</tr>
<tr>
<td>ACTIVE</td>
<td>01/15/2021</td>
<td>12/31/2021</td>
<td></td>
<td>1.12</td>
<td>0.88</td>
<td>Cushman, Mary</td>
<td></td>
</tr>
<tr>
<td>ADVANCE ACCOUNT</td>
<td>01/01/2022</td>
<td>06/30/2022</td>
<td></td>
<td>1.32</td>
<td>0.68</td>
<td>Cushman, Mary</td>
<td></td>
</tr>
<tr>
<td>ACTIVE</td>
<td>03/01/2021</td>
<td>12/31/2021</td>
<td></td>
<td>2.20</td>
<td>1.34</td>
<td>Cushman, Mary</td>
<td></td>
</tr>
<tr>
<td>ADVANCE ACCOUNT</td>
<td>01/01/2022</td>
<td>06/30/2022</td>
<td></td>
<td>3.27</td>
<td>1.73</td>
<td>Cushman, Mary</td>
<td></td>
</tr>
<tr>
<td>ACTIVE</td>
<td>03/15/2021</td>
<td>09/30/2021</td>
<td></td>
<td>6.74</td>
<td>4.26</td>
<td>Cushman, Mary</td>
<td></td>
</tr>
</tbody>
</table>

**Notes:**
- Commitments are listed as a percentage, not person months.
- Tool: NIH Percent of Time & Effort to Person Months
- Cost share and salary cap are combined under the cost share columns
- Commitment data is available the day after the award set up is completed
PeopleSoft- Commitments by Person
Data Elements and Features

Header
- Name and employee ID
- Option to change the fiscal year or show all years of commitments
- Alert if there is a pending distribution request for the individual
- Button to access comment page to document your reviews and action items

Commitment Data
- PeopleSoft/UVMClick award number, project number, project description and Award Title
- “Go to Project” button
- Empl class (9 vs 12-month appointment)
- Project role and an indicator if the person is key personnel or not
- Awarded Department and PI
- Start & end date of the commitment
- Commitment percentage
  - 12-month faculty under the calendar columns
  - Non-12-month faculty under the academic and/or summer columns
- Defaults to show distribution for the current fiscal year, but you can change the year or show all years.
- eAPFs are not included in this data.
- A note is displayed if the individual has an outstanding distribution change in process.
- Click on “Get Payroll Distributions” button.
- Sort by any of the column headers.
### Payroll Distributions

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

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

#### Fiscal Year Filters
- Fiscal Year From: 2022
- Fiscal Year To: 2022

#### Payroll Distributions

<table>
<thead>
<tr>
<th>Payroll Distributions</th>
<th>Chartfield</th>
<th>Project</th>
<th>Description</th>
<th>Empi Rcd Nbr</th>
<th>Fiscal Year</th>
<th>Home Dept</th>
<th>Message</th>
<th>Effective Date</th>
<th>Distrib End Date</th>
<th>Percent</th>
<th>Function Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>0</td>
<td>0</td>
<td></td>
<td>0237307</td>
<td>2022</td>
<td>57000</td>
<td></td>
<td>07/01/2021</td>
<td>09/30/2021</td>
<td>15.00</td>
<td>Department Administration</td>
</tr>
<tr>
<td>2</td>
<td>0</td>
<td>0</td>
<td>L-2019-104</td>
<td>0237307</td>
<td>2022</td>
<td>57000</td>
<td></td>
<td>07/01/2021</td>
<td>09/30/2021</td>
<td>6.00</td>
<td>CostShr - Resch-Spon</td>
</tr>
<tr>
<td>3</td>
<td>0</td>
<td>0</td>
<td>Marsden Yr 5</td>
<td>037299</td>
<td>2022</td>
<td>57000</td>
<td></td>
<td>07/01/2021</td>
<td>09/30/2021</td>
<td>9.00</td>
<td>CostShr - Resch-Spon</td>
</tr>
<tr>
<td>4</td>
<td>0</td>
<td>0</td>
<td></td>
<td>037299</td>
<td>2022</td>
<td>57000</td>
<td></td>
<td>07/01/2021</td>
<td>09/30/2021</td>
<td>15.00</td>
<td>Instruction</td>
</tr>
<tr>
<td>5</td>
<td>0</td>
<td>0</td>
<td></td>
<td>037299</td>
<td>2022</td>
<td>57000</td>
<td></td>
<td>07/01/2021</td>
<td>09/30/2021</td>
<td>33.94</td>
<td>Instruction - Dept Research</td>
</tr>
<tr>
<td>6</td>
<td>0</td>
<td>0</td>
<td>2010_STO_44074</td>
<td>034410</td>
<td>2022</td>
<td>57000</td>
<td></td>
<td>07/01/2021</td>
<td>09/30/2021</td>
<td>1.00</td>
<td>CostShr - Resch-Spon</td>
</tr>
<tr>
<td>7</td>
<td>0</td>
<td>0</td>
<td></td>
<td>034410</td>
<td>2022</td>
<td>57000</td>
<td></td>
<td>07/01/2021</td>
<td>09/30/2021</td>
<td>20.00</td>
<td>Faculty Admin Assignments</td>
</tr>
<tr>
<td>8</td>
<td>0</td>
<td>0</td>
<td></td>
<td>034410</td>
<td>2022</td>
<td>57000</td>
<td></td>
<td>10/01/2021</td>
<td>12/31/2021</td>
<td>20.00</td>
<td>Faculty Admin Assignments</td>
</tr>
<tr>
<td>9</td>
<td>0</td>
<td>0</td>
<td></td>
<td>034410</td>
<td>2022</td>
<td>57000</td>
<td></td>
<td>10/01/2021</td>
<td>12/31/2021</td>
<td>15.00</td>
<td>Instruction</td>
</tr>
<tr>
<td>10</td>
<td>0</td>
<td>0</td>
<td></td>
<td>034410</td>
<td>2022</td>
<td>57000</td>
<td></td>
<td>10/01/2021</td>
<td>12/31/2021</td>
<td>34.94</td>
<td>Instruction - Dept Research</td>
</tr>
<tr>
<td>11</td>
<td>0</td>
<td>0</td>
<td>L-2019-104</td>
<td>034410</td>
<td>2022</td>
<td>57000</td>
<td></td>
<td>10/01/2021</td>
<td>12/31/2021</td>
<td>6.00</td>
<td>CostShr - Resch-Spon</td>
</tr>
<tr>
<td>12</td>
<td>0</td>
<td>0</td>
<td>Marsden Yr 5</td>
<td>034410</td>
<td>2022</td>
<td>57000</td>
<td></td>
<td>10/01/2021</td>
<td>12/31/2021</td>
<td>9.06</td>
<td>CostShr - Resch-Spon</td>
</tr>
<tr>
<td>13</td>
<td>0</td>
<td>0</td>
<td></td>
<td>037299</td>
<td>2022</td>
<td>57000</td>
<td></td>
<td>10/01/2021</td>
<td>12/31/2021</td>
<td>15.00</td>
<td>Department Administration</td>
</tr>
<tr>
<td>14</td>
<td>0</td>
<td>0</td>
<td></td>
<td>034410</td>
<td>2022</td>
<td>57000</td>
<td></td>
<td>01/01/2022</td>
<td>06/30/2022</td>
<td>44.00</td>
<td>Instruction - Dept Research</td>
</tr>
<tr>
<td>15</td>
<td>0</td>
<td>0</td>
<td></td>
<td>037307</td>
<td>2022</td>
<td>57000</td>
<td></td>
<td>01/01/2022</td>
<td>06/30/2022</td>
<td>15.00</td>
<td>Instruction</td>
</tr>
<tr>
<td>16</td>
<td>0</td>
<td>0</td>
<td></td>
<td>037307</td>
<td>2022</td>
<td>57000</td>
<td></td>
<td>01/01/2022</td>
<td>06/30/2022</td>
<td>15.00</td>
<td>Department Administration</td>
</tr>
<tr>
<td>17</td>
<td>0</td>
<td>0</td>
<td>L-2019-104</td>
<td>037307</td>
<td>2022</td>
<td>57000</td>
<td></td>
<td>01/01/2022</td>
<td>06/30/2022</td>
<td>6.00</td>
<td>CostShr - Resch-Spon</td>
</tr>
<tr>
<td>18</td>
<td>0</td>
<td>0</td>
<td></td>
<td>034410</td>
<td>2022</td>
<td>57000</td>
<td></td>
<td>01/01/2022</td>
<td>06/30/2022</td>
<td>20.00</td>
<td>Faculty Admin Assignments</td>
</tr>
</tbody>
</table>
PeopleSoft - Commitments - Distributions by Person
Data Elements and Features

**Header**
- Name and employee ID
- Option to change the fiscal year or show all years of commitments
- Note that eAPF payments are not included on this tab
- Alert if there is a pending distribution request for the individual

**Payroll Distribution Details**
- Project and description
- Employee record number
- Home department
- Effective dates
- Percentage
- Function description (note direct effort vs. cost share)
- Chartfields (note any in department suspense purpose code 0010 and look to see if new projects are available on the commitments by person tab)
Document your review in the comments

- Include scope of your review
- List action items
- NOTE: This opens in a new window.
- Be sure to click the save button.
### Comments

Press the + sign to add a comment.

<table>
<thead>
<tr>
<th>Edit Comment</th>
<th>Comments</th>
</tr>
</thead>
</table>
| 1            | 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)  

<table>
<thead>
<tr>
<th>Last Updated User ID</th>
<th>Last Updated</th>
</tr>
</thead>
<tbody>
<tr>
<td>dishackle</td>
<td>02/02/22 12:35:42PM</td>
</tr>
</tbody>
</table>

2. **Edit Comment**  
Quarterly review done with Dr. Anethy.  
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 987554. Notified their department administrator via notify button in that project on 2/2/2022.
PI Portal - Personnel Commitments by Project

Option # 1: Access the project details using the PI Portal:
Search for Projects search options
Option # 2: Access the project details using the “Go To Project” button from the Commitments by Person report.
**Header**
- Award ID (PeopleSoft/UVMClick)
- Sponsor Award ID
- Start and End Date of the Project

![Personnel Commitments screenshot](image)
Commitment Data

- Lists all faculty and key personnel with commitments at time of project set up
- Project role and a field to indicate if the role is key personnel
- Start and end dates of the commitments
- Commitment for direct and cost share for either calendar, academic, and summer depending on the employee class (as set up at the time for the project set up)
- NOTE: The Empl Class is blank when the individual no longer has an active employee record

![Personnel Commitments](image-url)
Commitment Data

- Lists all faculty and key personnel with commitments at time of project set up
- Project role and a field to indicate if the role is key personnel
- Start and end dates of the commitments
- Commitment for direct and cost share for either calendar, academic, and summer depending on the employee class (as set up at the time for the project set up)
**PI Portal - Personnel Commitments by Project**

Use the notify button below the commitment table to contact the appropriate department administrator when distribution changes are required.

### Personnel Commitments

<table>
<thead>
<tr>
<th>Emplid</th>
<th>Name</th>
<th>Empl Class</th>
<th>Key Personnel</th>
<th>Role</th>
<th>Start Date</th>
<th>End Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Anathy, Vikas</td>
<td>12F</td>
<td>Y</td>
<td>Principal Investigator</td>
<td>01/15/2019</td>
<td>12/31/2019</td>
</tr>
<tr>
<td>2</td>
<td>Anathy, Vikas</td>
<td>12F</td>
<td>Y</td>
<td>Principal Investigator</td>
<td>01/01/2020</td>
<td>12/31/2020</td>
</tr>
<tr>
<td>3</td>
<td>Anathy, Vikas</td>
<td>12F</td>
<td>Y</td>
<td>Principal Investigator</td>
<td>01/01/2021</td>
<td>12/31/2021</td>
</tr>
<tr>
<td>4</td>
<td>Anathy, Vikas</td>
<td>12F</td>
<td>Y</td>
<td>Principal Investigator</td>
<td>01/01/2022</td>
<td>12/31/2022</td>
</tr>
<tr>
<td>5</td>
<td>Suratt, Benjamin Tate</td>
<td>12F</td>
<td>Y</td>
<td>Faculty</td>
<td>01/01/2019</td>
<td>12/31/2019</td>
</tr>
<tr>
<td>6</td>
<td>Wojewoda, Christina Marie</td>
<td>12F</td>
<td>N</td>
<td>Faculty</td>
<td>01/01/2021</td>
<td>12/31/2021</td>
</tr>
</tbody>
</table>

### Personnel Changes

<table>
<thead>
<tr>
<th>End Date</th>
<th>Academic</th>
<th>Academic Cost Share</th>
<th>Calendar</th>
<th>Calendar Cost Share</th>
<th>Summer</th>
<th>Summer Cost Share</th>
</tr>
</thead>
<tbody>
<tr>
<td>12/31/2019</td>
<td></td>
<td>25.00</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>12/31/2020</td>
<td></td>
<td>25.00</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>12/31/2021</td>
<td></td>
<td>25.00</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>12/31/2022</td>
<td></td>
<td>25.00</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>12/31/2019</td>
<td></td>
<td>1.67</td>
<td>0.33</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>12/31/2021</td>
<td></td>
<td>1.14</td>
<td>0.36</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Workflow Notification

Priority:

Date Sent: 2022-01-14

Sent To: dawn.caffrey@uvm.edu

cc:

Please click on the link below to access this transaction:
https://catalyst-test.uvm.edu/psp/SSUP_20/EMPLOYEE/ERP/c/UV_MODIFICATIONS.UV_GRANTS_INQUIRY.GBL?
Page=UV GRANTS_INQUIRY5&BUSINESS UNIT=GCA01&PROJECT ID=035756&Action=U

Message Text:

Please set up a distribution change to have Christina Wojewoda effort allocated to project 035756 before the 90 days past the payroll date has been reached.
Objectives

- Perform After-the-fact review of interim charges (3 months)
- Perform a prospective review of anticipated effort (3 months)
- Document scope of reviews and resulting action items
- Complete action items in a timely manner

Uniform Guidance 200.430: The non-Federal entity’s system of internal controls includes processes to review after-the-fact interim charges made to a Federal award based on budget estimates.
How to monitor status?

Quarterly Effort Verifications

- Preparing
- Individual Effort Review
- Project Personnel
- Action Items
Effort Verification by Project (Including Non-Key Personnel Effort)

Payroll Expenses to Date

- Displays the job title associated with the account code used for each person charged to the project
- Is anyone missing from the project?

<table>
<thead>
<tr>
<th>Name</th>
<th>Account Description</th>
<th>Expense Amount</th>
<th>Fringe Amount</th>
<th>Encumbered Salary Thru 6/30</th>
<th>Encumbered Fringe Thru 6/30</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Graduate Research Assistants</td>
<td>71,739.11</td>
<td>6,348.81</td>
<td>16,772.41</td>
<td>1,241.16</td>
</tr>
<tr>
<td>2</td>
<td>Temporary Wages</td>
<td>16,401.00</td>
<td>1,765.17</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Student Wages Taxable</td>
<td>4,672.89</td>
<td>341.27</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Student Wages Taxable</td>
<td>4,813.13</td>
<td>351.93</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Tenure-Track Tenured</td>
<td>6,637.94</td>
<td>3,093.28</td>
<td></td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>Student Wages Taxable</td>
<td>8,303.13</td>
<td>729.12</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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

Get Payroll Distributions (%)

- Defaults to current fiscal year for all semi-monthly individuals distributed to the project. However, it can be run for a range of fiscal years or EmplID.
  - Is anyone missing from the project for the past and future quarters under review?
  - Are all distribution percentage reasonable for the effort?
  - Is effort allocated correctly between direct and cost share?
  - Note multiple employee record numbers for an individual.

The PI would review, confirm and/or request changes for the employees distributed on his/her grant. **Missing employees who should be distributed would be part of the PI’s review.**
Effort Verification by Project (Key Personnel Effort)

Compare actual and planned effort to the data in the personnel commitments tab as well as any documented effort changes from prior effort verifications.

![Personnel Commitments Table]

<table>
<thead>
<tr>
<th>Emplid</th>
<th>Name</th>
<th>Empl Class</th>
<th>Key Personnel</th>
<th>Role</th>
<th>Start Date</th>
<th>End Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Stockwell, Jason Dana</td>
<td>09F</td>
<td>Y</td>
<td>Key Personnel</td>
<td>01/01/2018</td>
<td>12/31/2018</td>
</tr>
<tr>
<td>2</td>
<td>Stockwell, Jason Dana</td>
<td>09F</td>
<td>Y</td>
<td>Principal Investigator</td>
<td>01/01/2019</td>
<td>12/31/2019</td>
</tr>
<tr>
<td>3</td>
<td>Stockwell, Jason Dana</td>
<td>09F</td>
<td>Y</td>
<td>Principal Investigator</td>
<td>01/01/2020</td>
<td>09/30/2020</td>
</tr>
<tr>
<td>4</td>
<td>Stockwell, Jason Dana</td>
<td>09F</td>
<td>Y</td>
<td>Principal Investigator</td>
<td>10/01/2020</td>
<td>09/30/2021</td>
</tr>
<tr>
<td>5</td>
<td>Stockwell, Jason Dana</td>
<td>09F</td>
<td>Y</td>
<td>Principal Investigator</td>
<td>10/01/2021</td>
<td>09/30/2022</td>
</tr>
</tbody>
</table>

Note: Sponsor Approval Required for Key Personnel Changes
How to monitor status?

- Preparing
- Quarterly Effort Verifications
- Project Personnel
- Individual Effort Review
- Action Items
Effort Verification Process Overview

**Preparing**
- Schedule effort verification meetings (Quarterly verifications)
- Review PI Portal details and identify/email discussion points to PI
- Review action item(s) results from previous verification session
- Identify key award documents to facilitate verification discussion

**Individual Effort Review**
- Review Commitments by Person report (Accuracy, compliance, commitments, actual & future effort, no-cost extensions)
- Review Distributions by Person tab (Actual & future effort corrections needed?)
- Addl Pay Forms Needed or Pending? (PeopleSoft HR)
- Review pending proposals in UVMClick (Awarding potential, timing, commitments, role)

**Project Personnel (Includes: Non-Key Personnel)**
- Payroll Information Tab: Payroll Expenses To Date & Get Payroll Distributions
- Transaction Detail Tab: Get Payroll Transaction Details (By Name/Dates)
- Addl Pay Forms Needed or Pending? (PeopleSoft HR)
- Identify action items (Retroactive/Prospective payroll distribution changes)

**Action Items**
- Document verification results/action items (Department records and/or email to PI)
- Timely submission of payroll related changes (Payroll distribution changes, Addl Pay Forms, and/or effort reduction prior approvals)
- Email SPA@uvm.edu to:
  1). Initiate prior approval request
  2). Commitment setup correction
- Verify resultant changes from action items
Effort Verifications Process - Preparing for Success

Scheduling considerations (Teams/Zoom or in person)

- Same time as effort certification: (Aug/Sept)
- Mid-year: (Nov/Dec)
- Next year budgeting/eAPF: (Feb/March)
- eAPF and Clearing Suspense: (May/June)
- Within 90 days of award/project closeout
- Schedule in advance

Preparations

- Assess results from last verification
- Identify and send potential discussion points in advance
- Have supporting documentation/data ready including pending proposal data from UVMClick reports

Enroll Dean’s Office/Department Chair Support

- Set expectation in faculty meeting early in fiscal year
- Report status periodically
Conducting the Effort Verification by Individual

- Must be done quarterly for all faculty with commitments on sponsored projects

- Review all dates and percentages in the Commitment by Person report for accuracy and completeness

- Review Distribution by Person details to ensure allocated effort matches actual effort applied and the planned effort for the remainder of the fiscal year

- Compare commitments to actual and planned effort of each award
  - If there is an effort reduction and the individual’s role is key personnel assess who needs to be contacted (PI or SPA).

- If the individual is a PI/Co-PI an effort verification of all personnel on the project must be done quarterly as well.
PI/Co-PI must Complete an Effort Verification by Project

- Run Get Payroll Distributions (%) and/or Get Payroll Transaction Details (by Name/Dates) ($) and review with PI
- Note: Payroll Expenses to Date will provide job descriptions
- Compare distribution percentage to personnel commitments percentage for any faculty and key personnel on the project
- Discuss future effort of each personnel by project
- Review pending electronic Additional Payment Forms (eAPFs) in PeopleSoft HR for faculty with commitments if appropriate
Effort Reduction Considerations

- PI must be involved in assessing the impact of the effort commitment reduction of key personnel
  - Who is listed in the Notice of award
  - Will the scope of work have to be reduced/changed?
  - Will the effort reduction be during a No-cost extension budget period?

- Does the sponsor have to approve?
  - If yes, submit a MOD request in UVMClick
  - Unsure, email your SPA Research Administrator
  - If no, just document the planned effort for future reference.

- Timely communication

- SPA will update commitment percentage in source data upon approval from the sponsor.
Effort Reduction Calculations

- To determine if sponsor approval is needed, compare committed person months with projected person months
  - Add person months already applied to period in question to projected future person months for remainder of period in question
  - Compare this projection to committed person months in the same period

- How to calculate person months? 12 month faculty:
  - Number of months x percent effort
  - E.g. PI wants to reduce effort on NIH award seven months into award period, committed effort is 3 person months
  - Effort in PS would show .25, so 7x.25=1.75 person months already worked on the award, if PI wants to reduce effort starting in month eight to 15%, then 5x.15=.75 person months, so projected effort on award will be 2.5 person months

- For faculty with Acad appointment?
  - Be mindful of the dates of the periods in question to apply the percent effort for sum and acad time frame separately
UVMClick has custom reports for proposals.

Navigating to the reports: Grants > Reports > Custom Reports and then in the search filter 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
# Effort Verifications: UVMClick Proposal Reports

## Investigators on Proposals (PI only) - by Investigator

<table>
<thead>
<tr>
<th>FP Number</th>
<th>PI Last Name</th>
<th>PI First Name</th>
<th>Project State</th>
<th>Sponsor Name</th>
<th>Originating Sponsor Name</th>
<th>Long Title</th>
<th>Purpose</th>
<th>Start Date</th>
<th>End Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>FP00002329</td>
<td>Anathy</td>
<td>Vikas</td>
<td>Pending Sponsor Review</td>
<td>MedChem Partners</td>
<td>National Inst Allergy Infectious/NIAID/NIH</td>
<td>Antiviral Compounds for SARS-CoV-2 and the Next Disease X</td>
<td>RESEARCH - Basic - 311</td>
<td>7/1/2023</td>
<td>6/30/2024</td>
</tr>
</tbody>
</table>

## Funding Awards

- Draft
- Department Review
- Specialist Review
- Clarifications Requested
- Changes Required
- Sponsor Review
- Awarded
- Not Funded

## Working Budgets

<table>
<thead>
<tr>
<th>Name</th>
<th>SmartForm</th>
<th>Date Modified</th>
<th>State</th>
<th>Funding Source</th>
</tr>
</thead>
</table>
Effort Verifications: UVMClick Proposal Reports

Under Review

Next Steps

- View Budget
- Printer Version

General Budget Information
- General Budget Information

Financials
- Personnel Cost Definition
- Personnel Costs

Personnel Costs

<table>
<thead>
<tr>
<th>Period 1</th>
<th>7/1/2023 – 6/30/2024</th>
</tr>
</thead>
<tbody>
<tr>
<td>Effort:</td>
<td>12.5%</td>
</tr>
<tr>
<td>Sal Req:</td>
<td></td>
</tr>
<tr>
<td>FB Rate:</td>
<td></td>
</tr>
<tr>
<td>Base:</td>
<td></td>
</tr>
<tr>
<td>Salary:</td>
<td></td>
</tr>
<tr>
<td>Benefits:</td>
<td></td>
</tr>
<tr>
<td>Total:</td>
<td></td>
</tr>
</tbody>
</table>

Person: [Redacted]
Document Scope of Review:

- Upon completion of the quarterly verification review: document the scope of the review, the verification review results and any action items.

<table>
<thead>
<tr>
<th></th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Quarterly review done with Dr. Anathy. 1) We reviewed all commitments and actual effort and there are no effort corrections needed for last quarter or the upcoming quarter for him. 2) Need to initiate a NCE for project 123456. 3) Reviewed personnel effort on his projects and a graduate student Jane Smith is not distributed to project 987654. Notified their department administrator via notify button in that project on 3/22/23.</td>
</tr>
<tr>
<td>2</td>
<td>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 7/1/23-6/30/24 at 2.5% (PI)</td>
</tr>
</tbody>
</table>
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.
Reviewing Impacts of Dual Appointments & Additional Pays (eAPF)

- The Effort Reporting System (ERS) contains the fiscal year’s semi-monthly payroll regardless of payment type (job data record(s) and eAPFs).
- The ERS report, Effort On Demand Preview, allows ERS administrators to view a monthly breakdown of paid effort for individuals within their assigned departments.
- This is a useful tool for faculty with dual appointments such as directors, department chairs and clinical faculty with UVMMC Common Paymaster salary to be able to quickly see the impacts of an individual’s effort across appointments.
You will see the departments you have been assigned to in ERS. Select the particular department or check all and click the proceed button.
Reviewing Impacts of Dual Appointments & Additional Pays (eAPF)

- Click on the employee ID hyperlink for the individual you wish to review. A summary of commitment and fiscal year payroll to date will be presented.
Click on the total payroll amount hyperlink to view the monthly payroll breakdown by chartstring.
Reviewing Impacts of Dual Appointments & Additional Pays (eAPF)

Here you can view the effort percentage breakdown that accounts for all payroll, including additional payments or UVMMC Common Paymaster salary.

Payroll Details By Month

Reporting Period: 063024 (07/01/2023 through 08/30/2024)

Name: [Redacted]  Employee ID: 0143  Title: Professor (COM)
Sub Dept: 55796 - Surg-Trauma  Division: 15 - Larner MD College of Medicine  Title Code: 0890

Effort Payroll through 02/29/2024

<table>
<thead>
<tr>
<th>Account</th>
<th>July, 2023</th>
<th>August, 2023</th>
<th>September, 2023</th>
<th>October, 2023</th>
<th>November, 2023</th>
<th>December, 2023</th>
<th>January, 2024</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>$</td>
<td>%</td>
<td>$</td>
<td>%</td>
<td>$</td>
<td>%</td>
<td>$</td>
</tr>
<tr>
<td>000000-201-55770-100-100001-0000-0000-15</td>
<td>$3,078.12</td>
<td>7.50%</td>
<td>$3,078.12</td>
<td>7.50%</td>
<td>$3,078.12</td>
<td>7.50%</td>
<td>$10,781.26</td>
</tr>
<tr>
<td>000000-291-55770-100-100001-0000-0010-15</td>
<td>$0.00</td>
<td>0%</td>
<td>$0.00</td>
<td>0%</td>
<td>$0.00</td>
<td>0%</td>
<td>$0.00</td>
</tr>
<tr>
<td>000000-401-55770-305-200001-0000-0000-15</td>
<td>$7,182.30</td>
<td>17.50%</td>
<td>$7,182.30</td>
<td>17.50%</td>
<td>$7,182.30</td>
<td>17.50%</td>
<td>$0.00</td>
</tr>
<tr>
<td>035013-320-55770-305-200009-0000-0000-15</td>
<td>$0.00</td>
<td>0%</td>
<td>$0.00</td>
<td>0%</td>
<td>$0.00</td>
<td>0%</td>
<td>$0.00</td>
</tr>
<tr>
<td>501400-311-55796-300-201003-0000-0000-15</td>
<td>$10,260.42</td>
<td>25.00%</td>
<td>$10,260.42</td>
<td>25.00%</td>
<td>$10,260.42</td>
<td>25.00%</td>
<td>$10,781.24</td>
</tr>
<tr>
<td>FAHCXX-411-FA796-305-000000-0000-0000-00</td>
<td>$20,520.84</td>
<td>50.00%</td>
<td>$20,520.84</td>
<td>50.00%</td>
<td>$20,520.84</td>
<td>50.00%</td>
<td>$21,562.50</td>
</tr>
<tr>
<td>Totals By Month</td>
<td>$41,041.68</td>
<td>100%</td>
<td>$41,041.68</td>
<td>100%</td>
<td>$41,041.68</td>
<td>100%</td>
<td>$43,125.00</td>
</tr>
<tr>
<td>Grand Total</td>
<td>$41,041.68</td>
<td>100%</td>
<td>$41,041.68</td>
<td>100%</td>
<td>$41,041.68</td>
<td>100%</td>
<td>$43,125.00</td>
</tr>
</tbody>
</table>
How to monitor status?

Preparing

Quarterly Effort Verifications

Action Items

Individual Effort Review

Project Personnel
Questions?
Feedback?
Effort web site
(https://www.uvm.edu/finance/effort-management-reporting)

• Overviews
• Policies
• Effort verification user guides
• FAQS

Financial & Cost Accounting Services

• Department and faculty outreach
• costacct@uvm.edu
Attendees Recommended Exercises

- Validate your access to the new PeopleSoft commitment tools and review data for multiple people and project:
  - **PeopleSoft Commitment Search Tool**
    - Commitments by Person
    - Distributions by Person
  - **PI Portal - Commitments by Project**
    - Personnel Commitments