Part 2: Managing Effort on Sponsored Projects

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The University of Vermont

SPA EDU 23/24 School Year Sessions

Topic	Course	Date	Time
UVMClick New Proposals	POL036	Sept 27, 2023	9 AM - 10:30 AM
Introduction into Sponsored Project (PDF)	POL012	Sept 29, 2023	2:30 PM - 4 PM
Budget Building for Proposal Development	POL034	Oct 31, 2023	9 AM - 10:30 AM
Reviewing and Understanding Sponsored Agreements	POL039	Nov 15, 2023	1:30 PM - 3 PM
Cost Transfers on Sponsored Projects	POL021	Nov 28, 2023	1 PM - 2:30 PM
Proposal Submission to National Science Foundation	POL043	Nov 30, 2023	9 AM - 10:30 AM
Cost Sharing on Sponsored Projects (PDF)	POL022	Dec 13, 2023	1:30 PM - 3 PM
Sponsored Billing	POL040	Feb 21, 2024	10 AM - 1130 AM
Part I: Personnel Effort on Sponsored Projects	POL042	Feb 20, 2024	10 AM - 11:30 PM
PeopleSoft Tools & Best Practices for Financial Management of Sponsored Projects	CPT075	March 6, 2024	9:30 AM - 11 AM
Part 2: Effort Verification on Sponsored Projects: PI Portal Commitments	CPT044	March 14, 2024	9 AM - 11 AM
Accepting and Managing International Agreements	POL045	March 27, 2024	9:30 AM - 11 AM
Award Acceptance for Sponsored Agreements & Establishment of Advance Accounts	POL020	April 10, 2024	9:30 AM - 11 AM
Sponsored Project Financial Reporting and Closeout	POL024	April 25, 2024	9 AM - 10:30 AM
Outgoing Subawards	POL010	May 22, 2024	1:30 PM - 3 PM
Proposal Submission to NIH in UVMClick	POL038	May 29, 2024	9 AM - 10:30 AM
Trainee and Participant Support Costs		TBD	

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

Agenda

- **Quarterly verifications at UVM (who, why)**
- **PeopleSoft – Sponsored Effort Commitment Tools**
  - Commitments by Person
  - Distributions by Person
  - Documentation
- **PI Portal – Commitments by Project**
  - Personnel Commitments
  - 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

Effort Management & Reporting

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.

USER GUIDES

QUARTERLY EFFORT VERIFICATION QUESTIONS TO CONSIDER

QUARTERLY EFFORT VERIFICATION STEPS

FREQUENTLY ASKED QUESTIONS

COSTS ON SPONSORED AGREEMENTS

COST TRANSFERS INVOLVING SPONSORED PROJECTS

EFFORT MANAGEMENT & REPORTING

Key Resources

- Effort Verification presentation (MP4) (1:40:00)
- Effort Verification training (PDF)
- ERS Overview (PDF) (UVM login required)

ERS LOGIN

NO-COST EXTENSIONS GUIDANCE

Policies

User Guides

COMMITMENTS: PI PORTAL

- Effort Verification (PDF)
- PI Portal (PDF)

myUVM

Welcome, Dawn
You are currently logged in.

Brightspace | PeopleSoft | Software | UVMHome | Email

Employee | Library | Alumni | Help

Announcements

Want to register for courses?

ORCID

An ORCID® iD (unique identifier) will soon be required for federal grants.

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

ORCiD

go.uvm.edu/orcid-uvm

Join an Interest Group

Join an Interest Group Today!

Click here to log on to UVMCONNECT

Emergency Resources

- Emergency Management

PeopleSoft

- Human Resources
- Financials
- PeopleSoft Email Help (Footprints)
- PeopleSoft Access Request
- PeopleSoft User Guides

Banner Administrative Pages

Banner Administrative Pages

If you need access to Banner Administrative Pages (formerly Banner INB), please complete the Banner Access Request Form.

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)

Tools for Employees

- Calendar
- Event Management
- Footprints at UVM
- Kronos
- LinkedIn Learning (Lynda Training)
- Listserv
- *NEW* Planon
- Professional Development and Training
- Salesforce
- Software Downloads
- Webfiles
- WebXtender (non-Banner databases)

The above applications may require a separate l

Quick Links for Employees

- A to Z
- Basic Course Information Report
- Bookstore
- Calendar of Events
- Call Pilot Voicemail Guide
- Campus Map
- CATcard Service Center
- Communications Request
- Course Catalogue
- Course Renumbering Widget
- Course Renumbering Report (3 to 4 Digit)
- Davis Center
- Directory
- Disbursement Center
- Email (Network) Account Management
- Effort Reporting System (ERS) Login
- Employee Wellness

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.

Conducting Effort Verifications - Who?

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.**

Effort Mgmt. & Reporting Policy Update (July 2015) – Effort Verification

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.

Uniform Guidance 200.430 Documentation Standards of Personnel Expenses

"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"

Effort Mgmt. & Reporting Policy Update (Sept 2020) – Effort Verification

Required Effort Contributions from Principal Investigators: The University of Vermont requires Principal Investigators to include some level of effort in all proposals being submitted that reflects the size and scope of the project, supports programmatic execution, award management and compliance oversight. Such proposed effort must take into account any sponsor required minimum level of effort and must average no less than 1% per budget period.

- 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.

Uniform Guidance (200.308) - Effort related Sponsor Prior Approvals

- **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

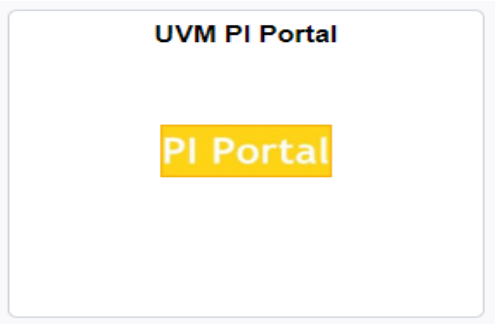
- Major financial settlements with large Research Universities
  - Northwestern ($ 5.5 million settlement)
  - John Hopkins ($ 2.6 million settlement)
  - Harvard ($ 3.2 million Settlement)
  - Yale ($ 7.6 million settlement)
  - Columbia ($ 9.0 million settlement)
  - University of Florida ($19.875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

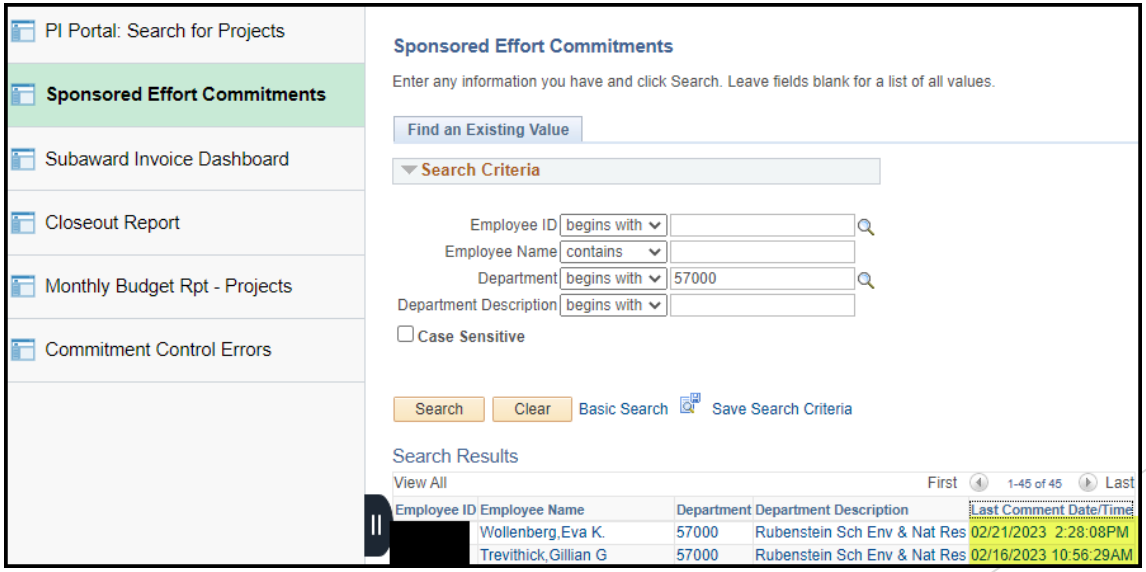
Effort Planning and Management

Navigating to PeopleSoft Commitment Tools

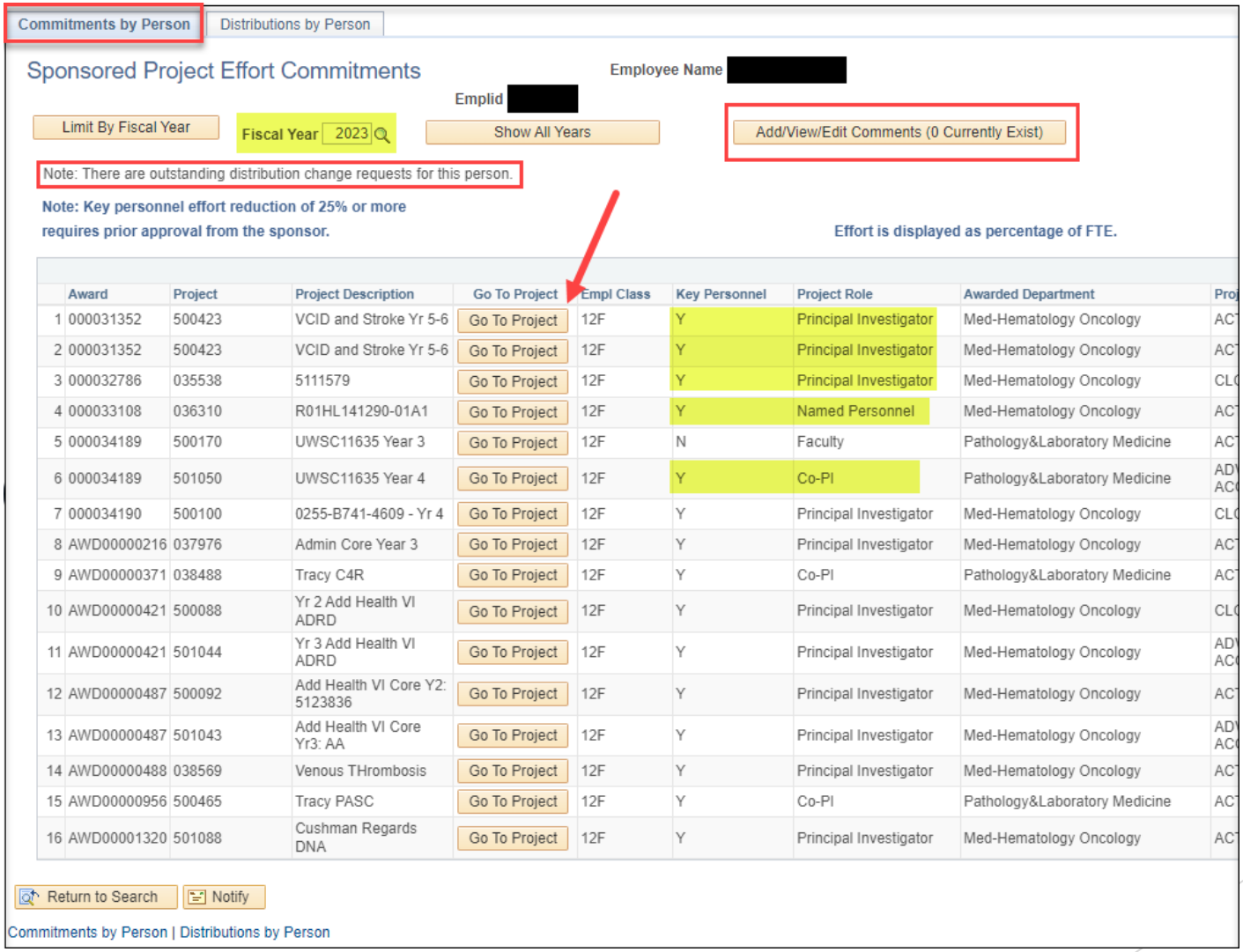
In PeopleSoft Financials UVM Employee Homepage click on the UVM PI Portal tile.



Select the **Sponsored Effort Commitments** menu option on the left of the screen to bring up the search menu.



PeopleSoft - Commitments by Person



Commitments by Person | Distributions by Person

Sponsored Project Effort Commitments

Employee Name [redacted]

Emplid [redacted]

Limit By Fiscal Year | Fiscal Year 2023 | Show All Years | Add/View/Edit Comments (0 Currently Exist)

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

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

Effort is displayed as percentage of FTE.

	Award	Project	Project Description	Go To Project	Empl Class	Key Personnel	Project Role	Awarded Department	Proj
1	000031352	500423	VCID and Stroke Yr 5-6	Go To Project	12F	Y	Principal Investigator	Med-Hematology Oncology	AC
2	000031352	500423	VCID and Stroke Yr 5-6	Go To Project	12F	Y	Principal Investigator	Med-Hematology Oncology	AC
3	000032786	035538	5111579	Go To Project	12F	Y	Principal Investigator	Med-Hematology Oncology	CL
4	000033108	036310	R01HL141290-01A1	Go To Project	12F	Y	Named Personnel	Med-Hematology Oncology	AC
5	000034189	500170	UWSC11635 Year 3	Go To Project	12F	N	Faculty	Pathology&Laboratory Medicine	AC
6	000034189	501050	UWSC11635 Year 4	Go To Project	12F	Y	Co-PI	Pathology&Laboratory Medicine	AD AC
7	000034190	500100	0255-B741-4609 - Yr 4	Go To Project	12F	Y	Principal Investigator	Med-Hematology Oncology	CL
8	AWD00000216	037976	Admin Core Year 3	Go To Project	12F	Y	Principal Investigator	Med-Hematology Oncology	AC
9	AWD00000371	038488	Tracy C4R	Go To Project	12F	Y	Co-PI	Pathology&Laboratory Medicine	AC
10	AWD00000421	500088	Yr 2 Add Health VI ADRD	Go To Project	12F	Y	Principal Investigator	Med-Hematology Oncology	CL
11	AWD00000421	501044	Yr 3 Add Health VI ADRD	Go To Project	12F	Y	Principal Investigator	Med-Hematology Oncology	AD AC
12	AWD00000487	500092	Add Health VI Core Y2: 5123836	Go To Project	12F	Y	Principal Investigator	Med-Hematology Oncology	AC
13	AWD00000487	501043	Add Health VI Core Yr3: AA	Go To Project	12F	Y	Principal Investigator	Med-Hematology Oncology	AD AC
14	AWD00000488	038569	Venous THrombosis	Go To Project	12F	Y	Principal Investigator	Med-Hematology Oncology	AC
15	AWD00000956	500465	Tracy PASC	Go To Project	12F	Y	Co-PI	Pathology&Laboratory Medicine	AC
16	AWD00001320	501088	Cushman Regards DNA	Go To Project	12F	Y	Principal Investigator	Med-Hematology Oncology	AC

Return to Search | Notify

Commitments by Person | Distributions by Person

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

Project Status	Start Date	End Date	Academic	Academic Cost Share	Calendar	Calendar Cost Share	Summer	Summer Cost Share	Principal Investigator
ACTIVE	02/01/2021	07/31/2021			13.66	11.34			Cushman,Mary
ACTIVE	08/01/2021	01/31/2022			14.01	10.99			Cushman,Mary
ACTIVE	04/01/2021	03/31/2022			1.58	0.92			Cushman,Mary
ACTIVE	03/01/2021	02/28/2022			3.06	1.94			Zakai,Neil A.
ACTIVE	03/01/2022	02/28/2023			3.06	1.94			Zakai,Neil A.
ACTIVE	12/19/2020	12/18/2021			2.71	2.27			Tracy,Russell P.
ACTIVE	01/01/2021	12/31/2021			3.01	1.49			Cushman,Mary
ADVANCE ACCOUNT	01/01/2022	06/30/2022			1.69	1.71			Cushman,Mary
ACTIVE	06/01/2021	05/31/2022			14.16	10.84			Cushman,Mary
ACTIVE	10/01/2020	09/30/2021			1.85	1.15			Tracy,Russell P.
ACTIVE	10/01/2021	05/31/2022			3.00	1.68			Tracy,Russell P.
ACTIVE	01/15/2021	12/31/2021			1.12	0.88			Cushman,Mary
ADVANCE ACCOUNT	01/01/2022	06/30/2022			1.32	0.68			Cushman,Mary
ACTIVE	03/01/2021	12/31/2021			2.26	1.34			Cushman,Mary
ADVANCE ACCOUNT	01/01/2022	06/30/2022			3.27	1.73			Cushman,Mary
ACTIVE	03/15/2021	09/30/2021			6.74	4.26			Cushman,Mary

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

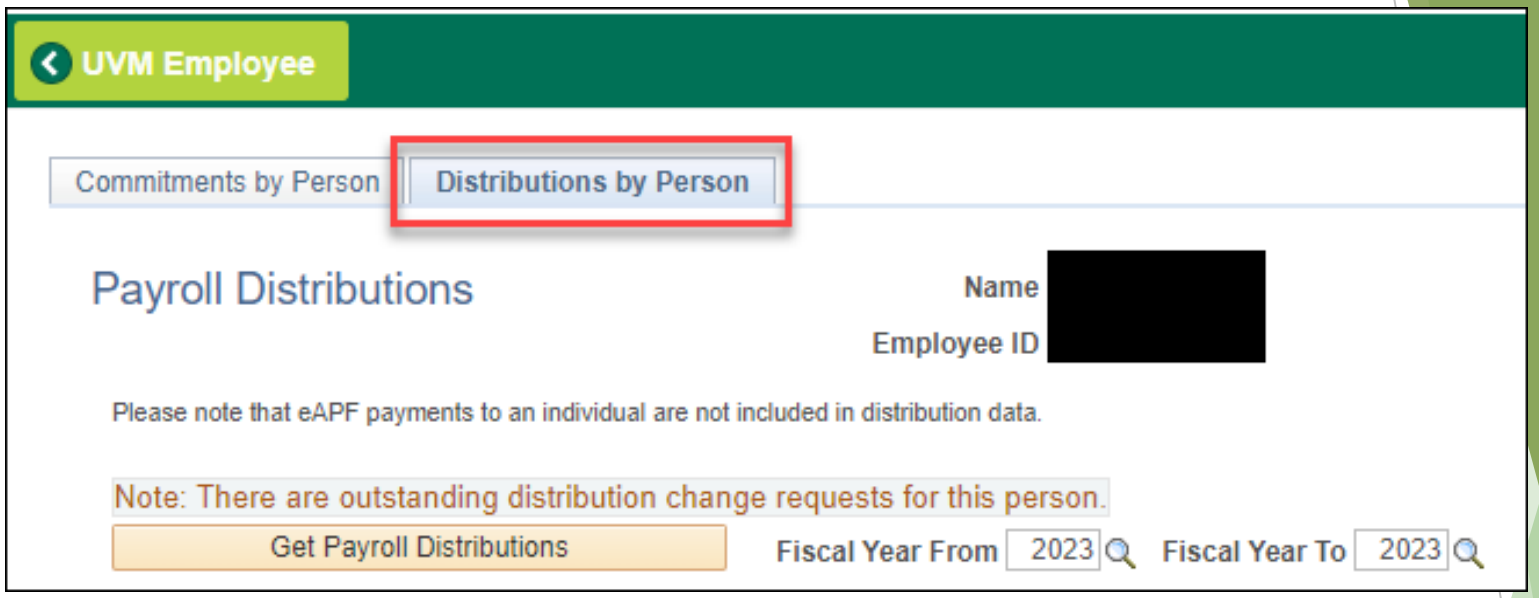
Header

- 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

PeopleSoft – Commitments – Distributions by Person



- 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.

PeopleSoft - Commitments - Distributions by Person

Commitments by Person | **Distributions by Person**

Payroll Distributions

Name [redacted]

Employee ID

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

Payroll Distributions Find | Download Results to Excel First 1-18 of 18 Last

Payroll Distributions | Chartfield

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

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

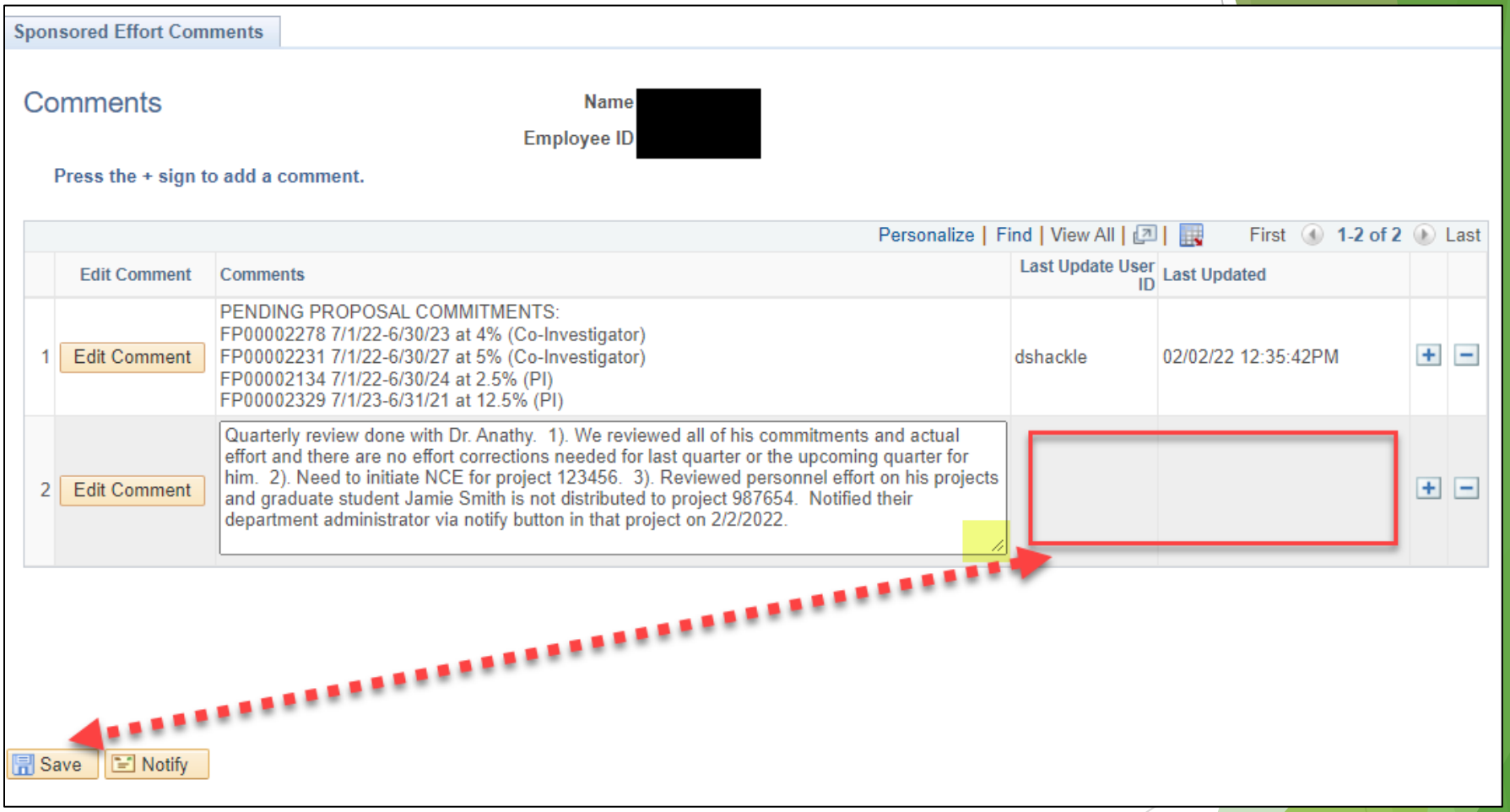
Payroll Distribution Details

- 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)

PeopleSoft – Commitments – Comments

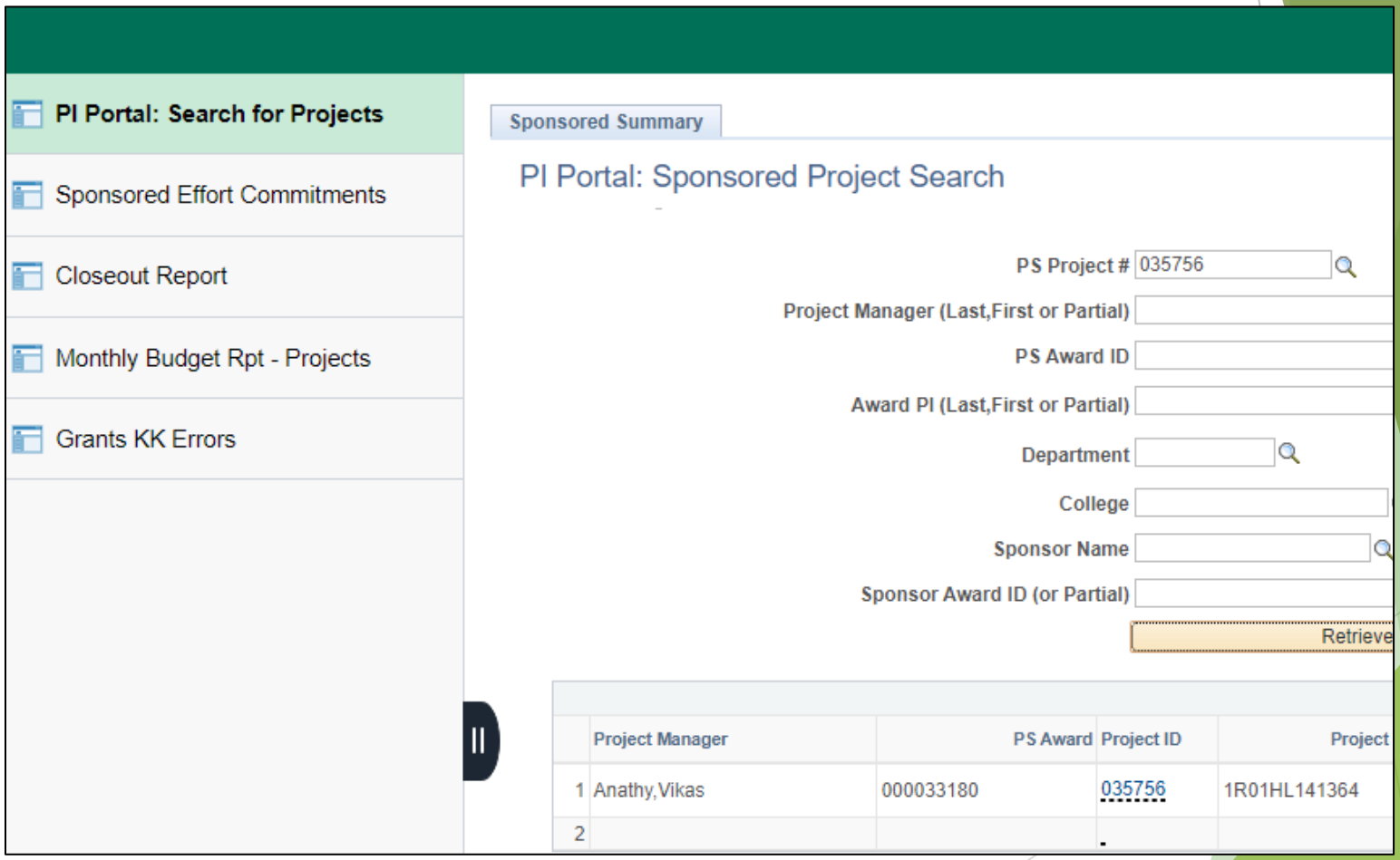
- Document your review in the comments
  - Include scope of your review
  - List action items
  - NOTE: This opens in a new window.
  - Be sure to click the save button.

PeopleSoft – Commitments – Comments



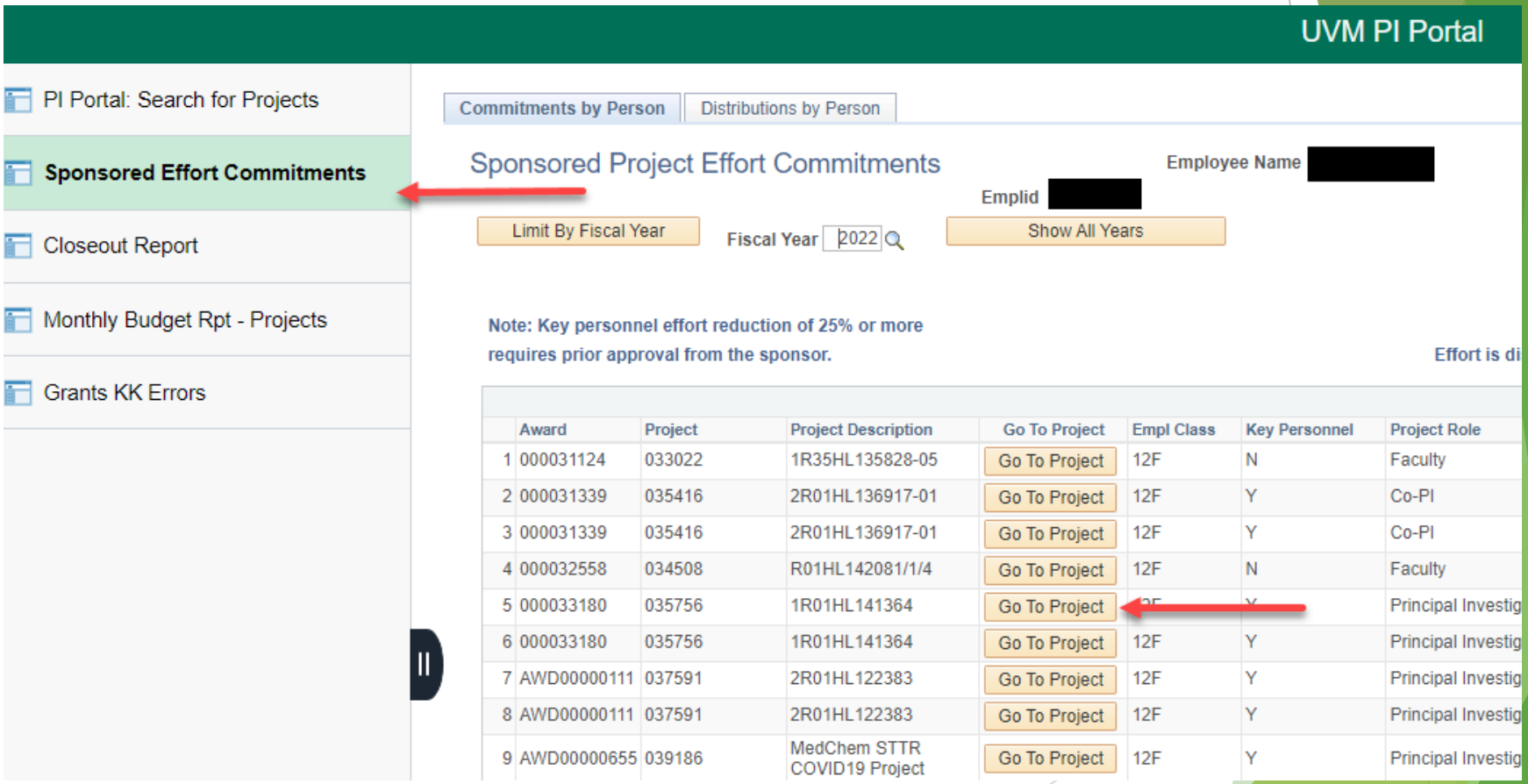
PI Portal – Personnel Commitments by Project

Option # 1: Access the project details using the PI Portal: Search for Projects search options



PI Portal – Personnel Commitments by Project

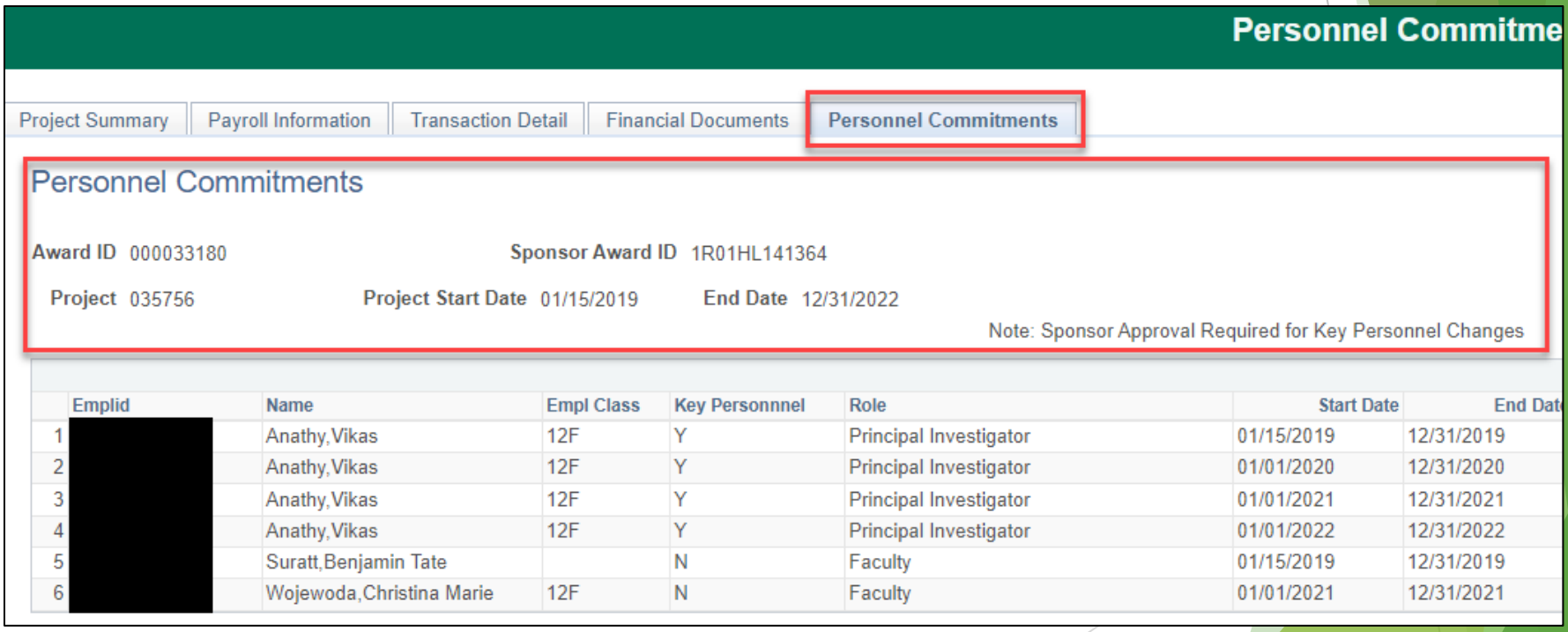
Option # 2: Access the project details using the “Go To Project” button from the Commitments by Person report.



PI Portal – Personnel Commitments by Project

Header

- Award ID (PeopleSoft/UVMClick)
- Sponsor Award ID
- Start and End Date of the Project

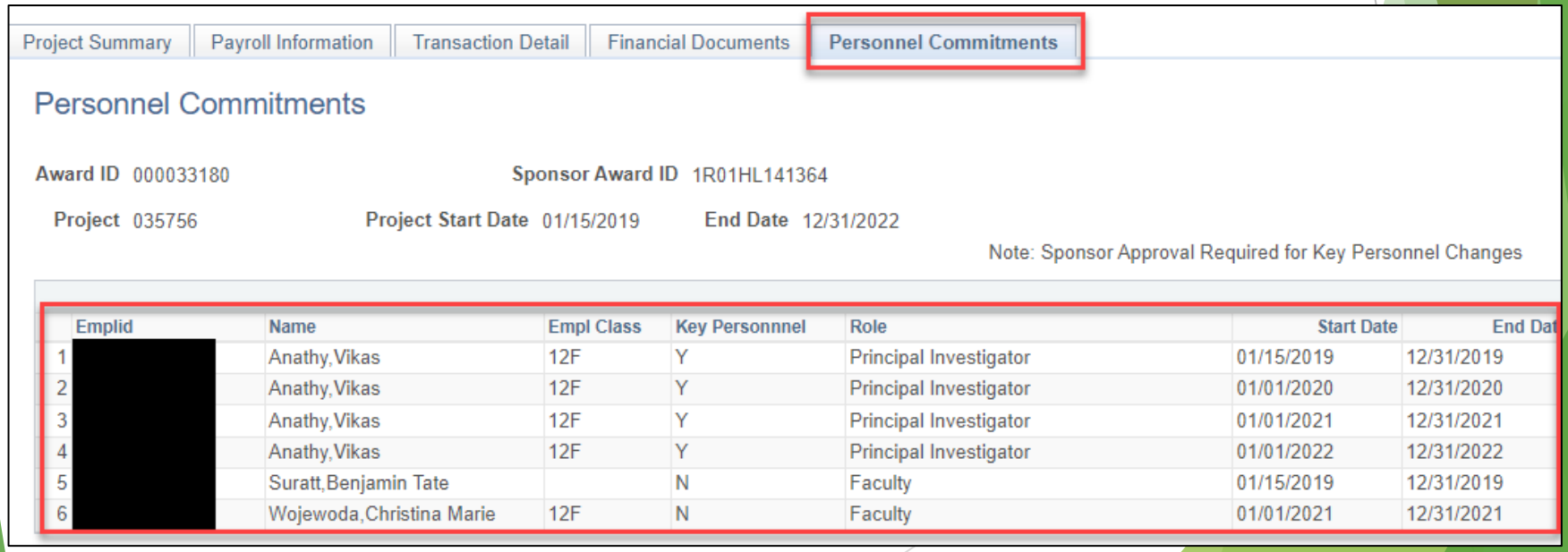


	Emplid	Name	Empl Class	Key Personnnel	Role	Start Date	End Dat
1	[redacted]	Anathy,Vikas	12F	Y	Principal Investigator	01/15/2019	12/31/2019
2		Anathy,Vikas	12F	Y	Principal Investigator	01/01/2020	12/31/2020
3		Anathy,Vikas	12F	Y	Principal Investigator	01/01/2021	12/31/2021
4		Anathy,Vikas	12F	Y	Principal Investigator	01/01/2022	12/31/2022
5		Suratt,Benjamin Tate		N	Faculty	01/15/2019	12/31/2019
6		Wojewoda,Christina Marie	12F	N	Faculty	01/01/2021	12/31/2021

PI Portal – Personnel Commitments by Project

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



	Emplid	Name	Empl Class	Key Personnnel	Role	Start Date	End Dat
1	[redacted]	Anathy,Vikas	12F	Y	Principal Investigator	01/15/2019	12/31/2019
2		Anathy,Vikas	12F	Y	Principal Investigator	01/01/2020	12/31/2020
3		Anathy,Vikas	12F	Y	Principal Investigator	01/01/2021	12/31/2021
4		Anathy,Vikas	12F	Y	Principal Investigator	01/01/2022	12/31/2022
5		Suratt,Benjamin Tate		N	Faculty	01/15/2019	12/31/2019
6		Wojewoda,Christina Marie	12F	N	Faculty	01/01/2021	12/31/2021

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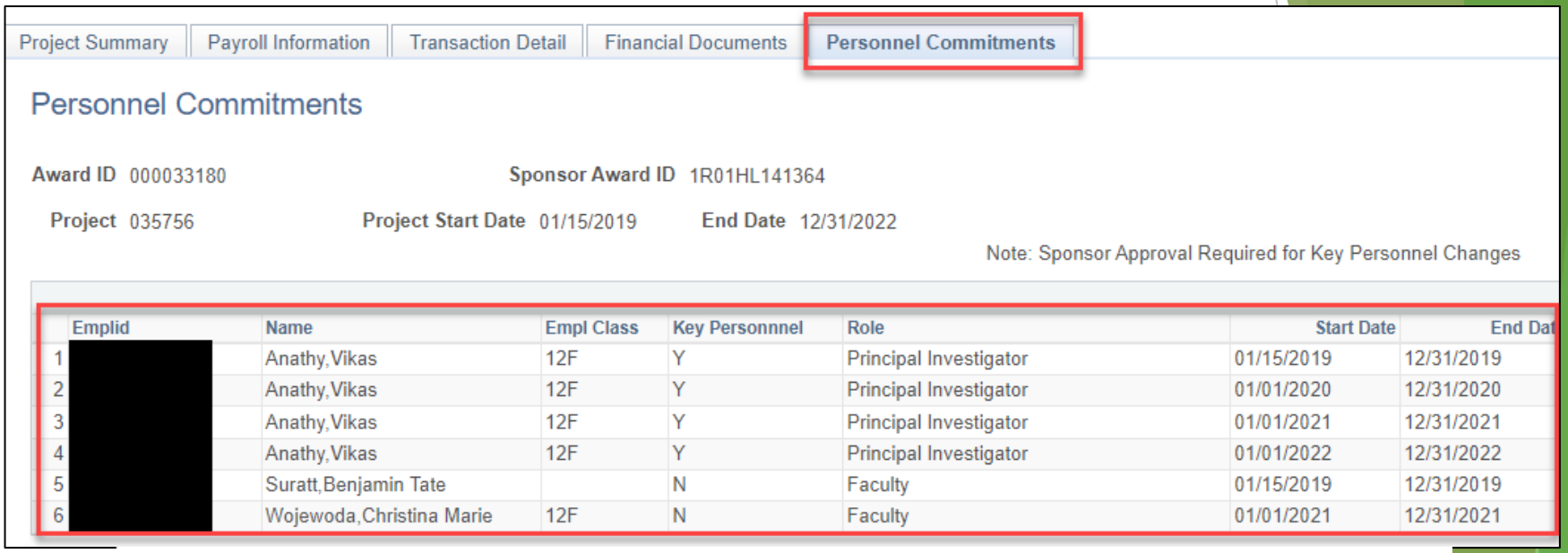
nnel Changes

Personalize | Find | First 1-6 of 6 Last

End Date	Academic	Academic Cost Share	Calendar	Calendar Cost Share	Summer	Summer Cost Share
12/31/2019			25.00			
12/31/2020			25.00			
12/31/2021			25.00			
12/31/2022			25.00			
12/31/2019			1.67	0.33		
12/31/2021			1.14	0.36		

PI Portal – Personnel Commitments by Project



Project Summary | Payroll Information | Transaction Detail | Financial Documents | **Personnel Commitments**

Personnel Commitments

Award ID 000033180 **Sponsor Award ID** 1R01HL141364

Project 035756 **Project Start Date** 01/15/2019 **End Date** 12/31/2022

Note: Sponsor Approval Required for Key Personnel Changes

	Emplid	Name	Empl Class	Key Personnnel	Role	Start Date	End Dat
1	[redacted]	Anathy,Vikas	12F	Y	Principal Investigator	01/15/2019	12/31/2019
2		Anathy,Vikas	12F	Y	Principal Investigator	01/01/2020	12/31/2020
3		Anathy,Vikas	12F	Y	Principal Investigator	01/01/2021	12/31/2021
4		Anathy,Vikas	12F	Y	Principal Investigator	01/01/2022	12/31/2022
5		Suratt,Benjamin Tate		N	Faculty	01/15/2019	12/31/2019
6		Wojewoda,Christina Marie	12F	N	Faculty	01/01/2021	12/31/2021

ınel Changes

Personalize | Find | First 1-6 of 6 Last

End Date	Academic	Academic Cost Share	Calendar	Calendar Cost Share	Summer	Summer Cost Share
12/31/2019			25.00			
12/31/2020			25.00			
12/31/2021			25.00			
12/31/2022			25.00			
12/31/2019			1.67	0.33		
12/31/2021			1.14	0.36		

Notify

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

PI Portal – Personnel Commitments by Project

Fri 1/14/2022 9:40 AM

catwf2@uvm.edu

Effort Missing From Project

To Dawn Caffrey

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/FSSUP_20/EMPLOYEE/ERP/c/UV_MODIFICATIONS.UV_GRANTS_INQUIRY.GBL?Page=UV_GRANTS_INQUIRY5&BUSINESS_UNIT=GCA01&PROJECT_ID=035756&Action=U

The email notification includes a hyperlink to bring the person directly into the Personnel Commitments tab of the PI Portal

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.

Effort Verifications in PeopleSoft

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**

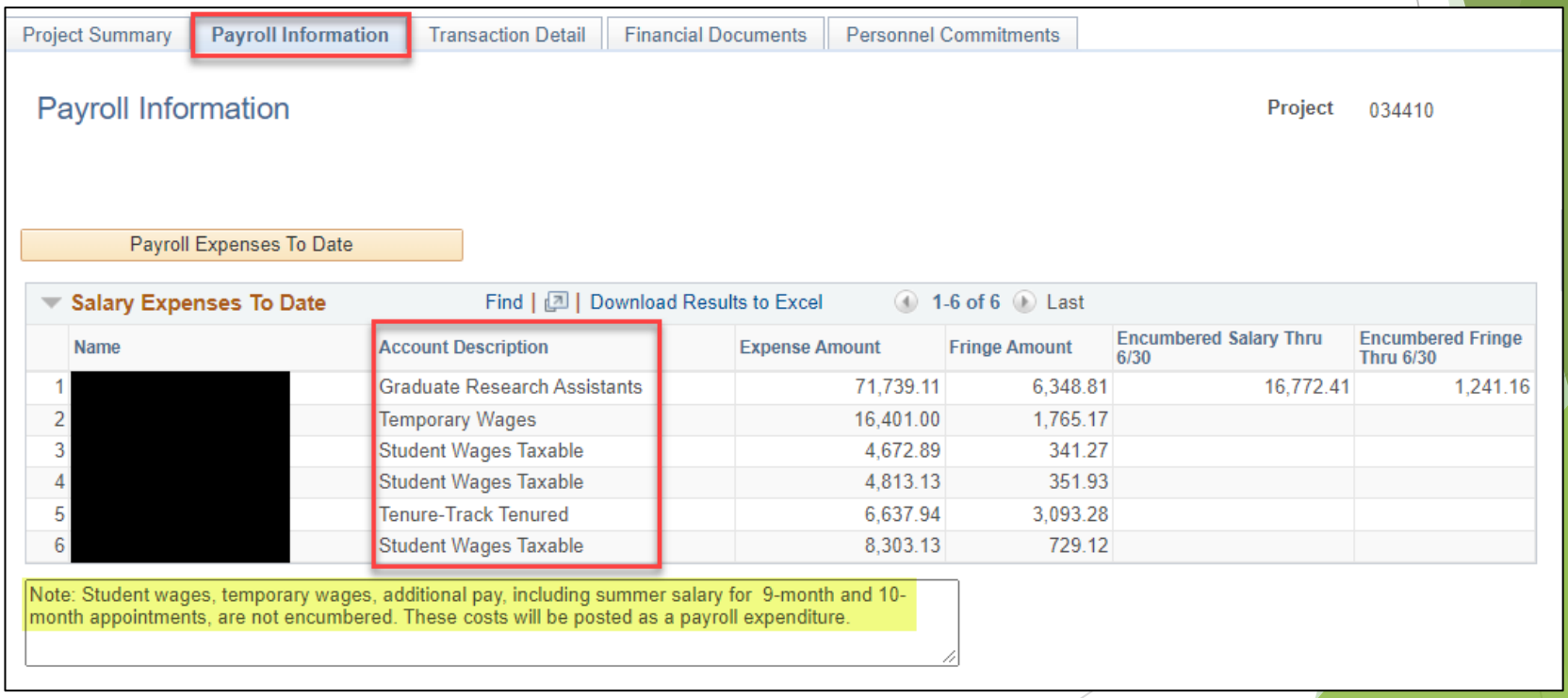
Uniform Guidance 200.430: The non-Federal entity's system of internal controls includes processes to review after-the-fact interim charges made to a Federal award based on budget estimates.

How to monitor status?

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

Payroll Expenses to Date

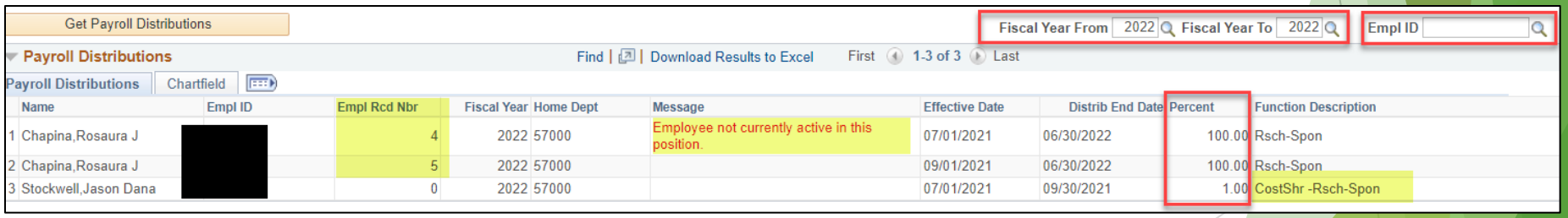
- Displays the job title associated with the account code used for each person charged to the project
  - Is anyone missing from the project?



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.


Get Payroll Distributions

Fiscal Year From 2022 Fiscal Year To 2022 Empl ID

Payroll Distributions Find | Download Results to Excel First 1-3 of 3 Last

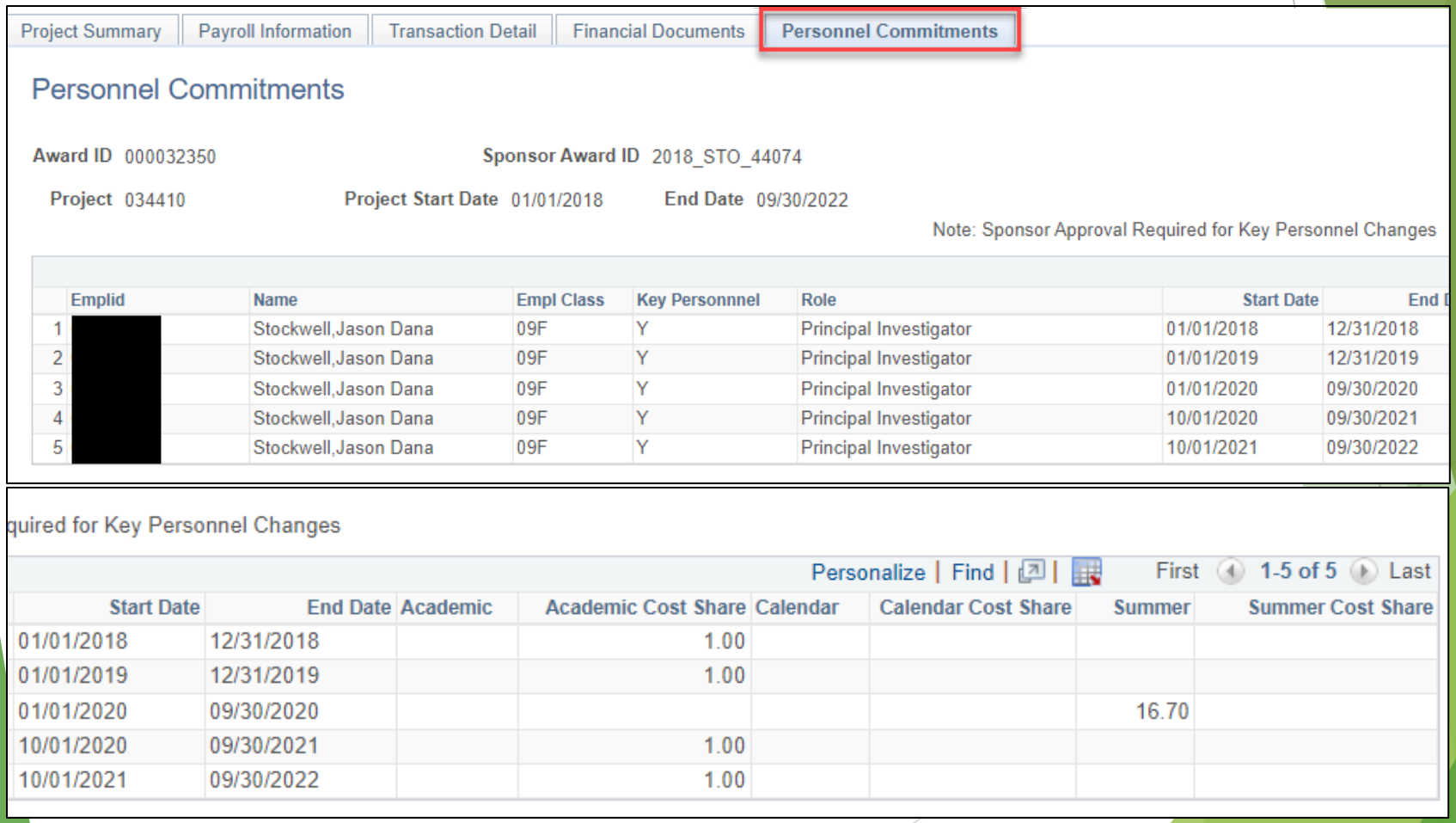
Payroll Distributions | Chartfield

	Name	Empl ID	Empl Rcd Nbr	Fiscal Year	Home Dept	Message	Effective Date	Distrib End Date	Percent	Function Description
1	Chapina,Rosaura J	[redacted]	4	2022	57000	Employee not currently active in this position.	07/01/2021	06/30/2022	100.00	Rsch-Spon
2	Chapina,Rosaura J		5	2022	57000		09/01/2021	06/30/2022	100.00	Rsch-Spon
3	Stockwell,Jason Dana		0	2022	57000		07/01/2021	09/30/2021	1.00	CostShr -Rsch-Spon

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.



Project Summary | Payroll Information | Transaction Detail | Financial Documents | **Personnel Commitments**

Personnel Commitments

Award ID 000032350 **Sponsor Award ID** 2018_STO_44074

Project 034410 **Project Start Date** 01/01/2018 **End Date** 09/30/2022

Note: Sponsor Approval Required for Key Personnel Changes

	Emplid	Name	Empl Class	Key Personnnel	Role	Start Date	End D
1	[redacted]	Stockwell,Jason Dana	09F	Y	Principal Investigator	01/01/2018	12/31/2018
2		Stockwell,Jason Dana	09F	Y	Principal Investigator	01/01/2019	12/31/2019
3		Stockwell,Jason Dana	09F	Y	Principal Investigator	01/01/2020	09/30/2020
4		Stockwell,Jason Dana	09F	Y	Principal Investigator	10/01/2020	09/30/2021
5		Stockwell,Jason Dana	09F	Y	Principal Investigator	10/01/2021	09/30/2022

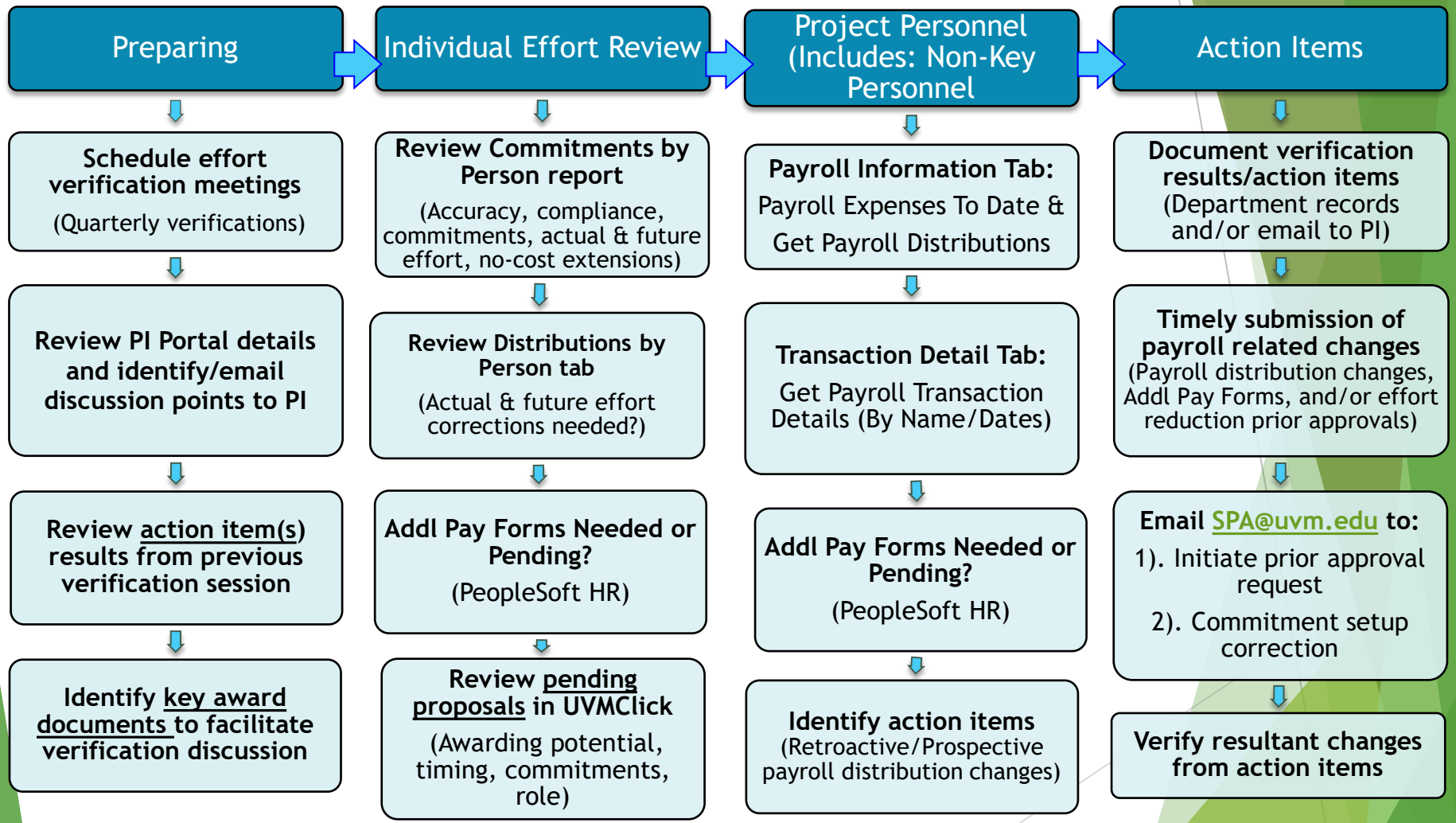
quired for Key Personnel Changes

Personalize | Find | First 1-5 of 5 Last

Start Date	End Date	Academic	Academic Cost Share	Calendar	Calendar Cost Share	Summer	Summer Cost Share
01/01/2018	12/31/2018		1.00				
01/01/2019	12/31/2019		1.00				
01/01/2020	09/30/2020					16.70	
10/01/2020	09/30/2021		1.00				
10/01/2021	09/30/2022		1.00				

How to monitor status?

Effort Verification Process Overview



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

Effort Verification: Individual Effort Review

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.

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

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

Effort Verifications: UVMClick Proposal Reports

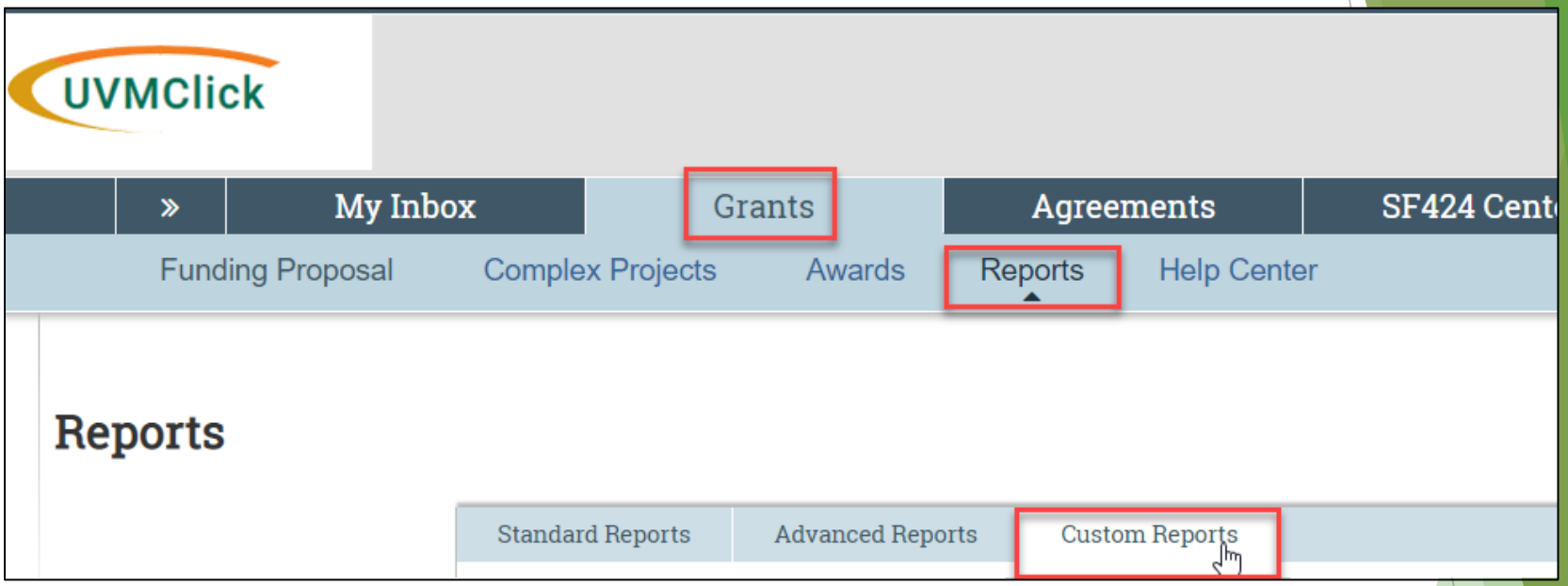
UVMClick has custom reports for proposals.

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.

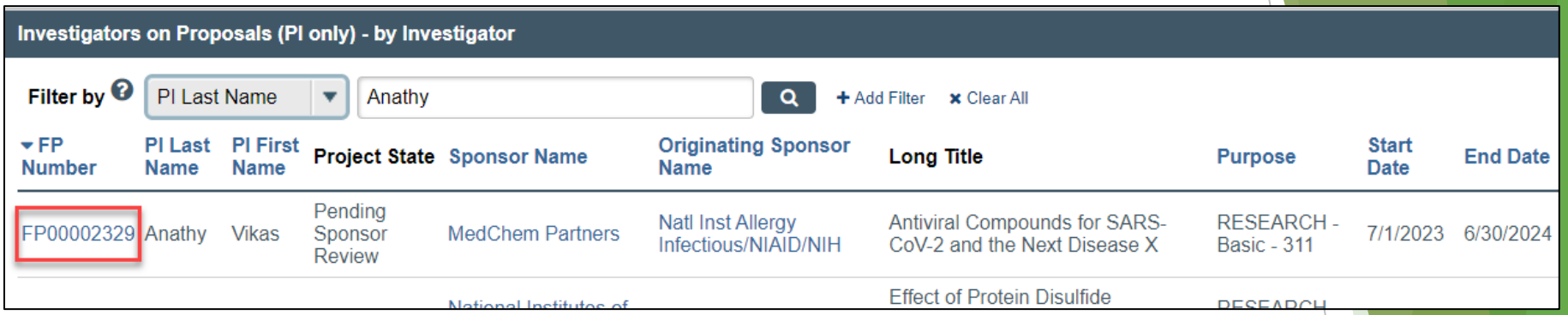
- Investigator on Proposals – All States
- Investigator on Proposals – In Development
- Investigator on Proposals (Other than PI) – by Investigator
- Investigator on Proposals (PI only) – by Investigator

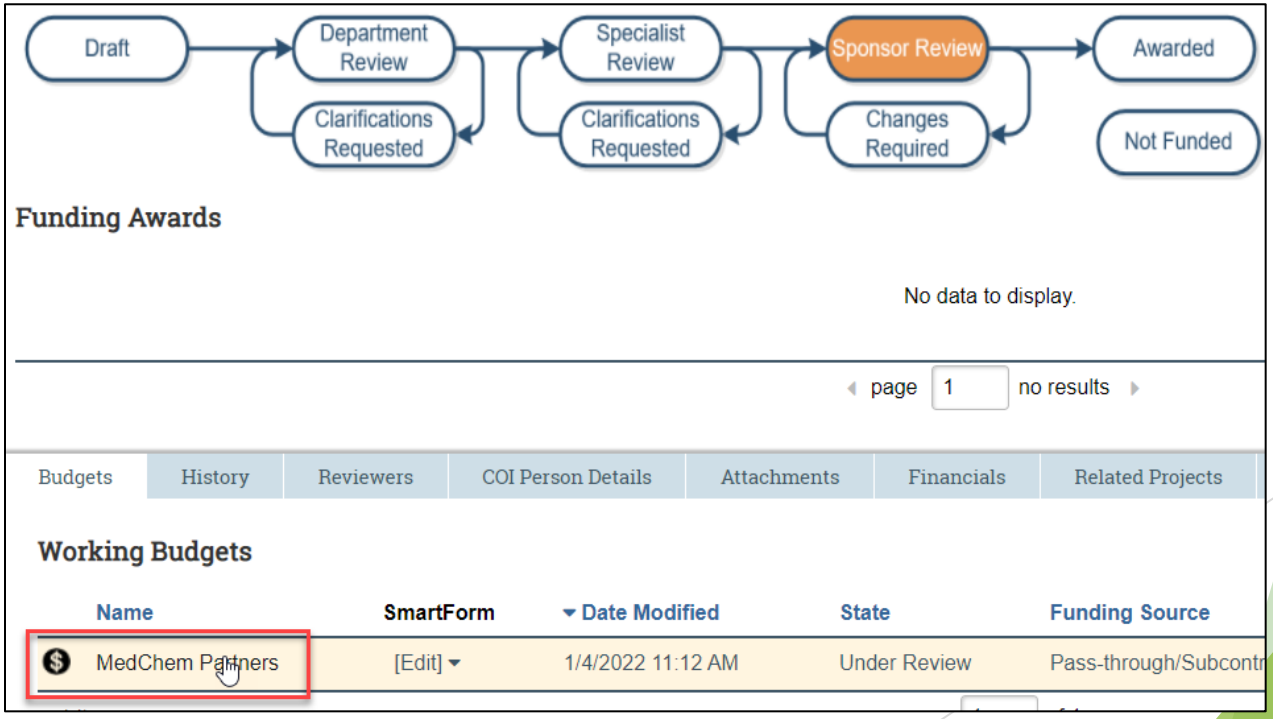
Effort Verifications: UVMClick Proposal Reports



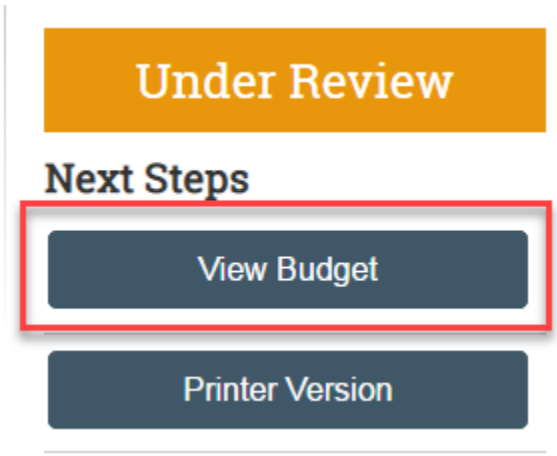
Investigators on Proposals - All States	Funding Proposal
Investigators on Proposals - In Development	Funding Proposal
Investigators on Proposals (Other than PI) - by Investigator	FP_AdditionalPersonnel
Investigators on Proposals (PI only) - by Investigator	Funding Proposal

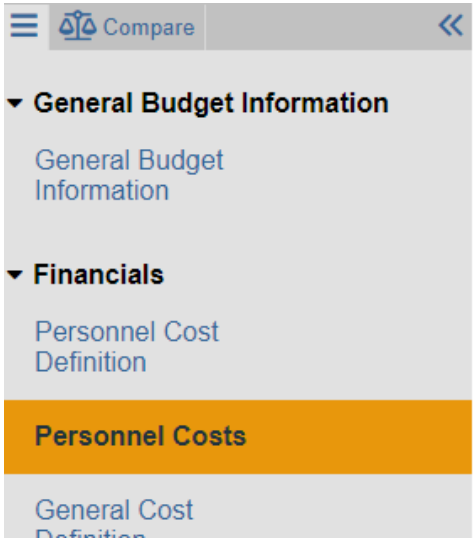
Effort Verifications: UVMClick Proposal Reports





Effort Verifications: UVMClick Proposal Reports





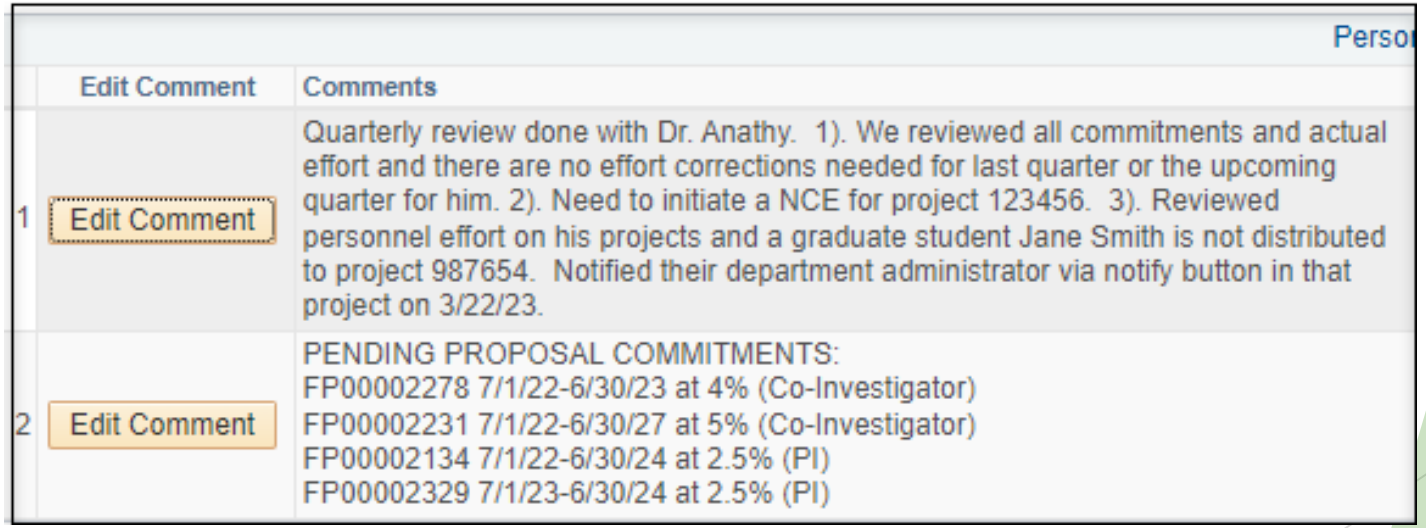
Personnel Costs

	Period 1 7/1/2023 6/30/2024
Person: [redacted]	Effort: 12.5% Sal Req: FB Rate: Base: Salary: Benefits: Total: [redacted]

Effort Verification Documentation

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.



Perso

	Edit Comment	Comments
1	Edit Comment	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.
2	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 7/1/23-6/30/24 at 2.5% (PI)

Effort Verifications: UVMClick Proposal Reports

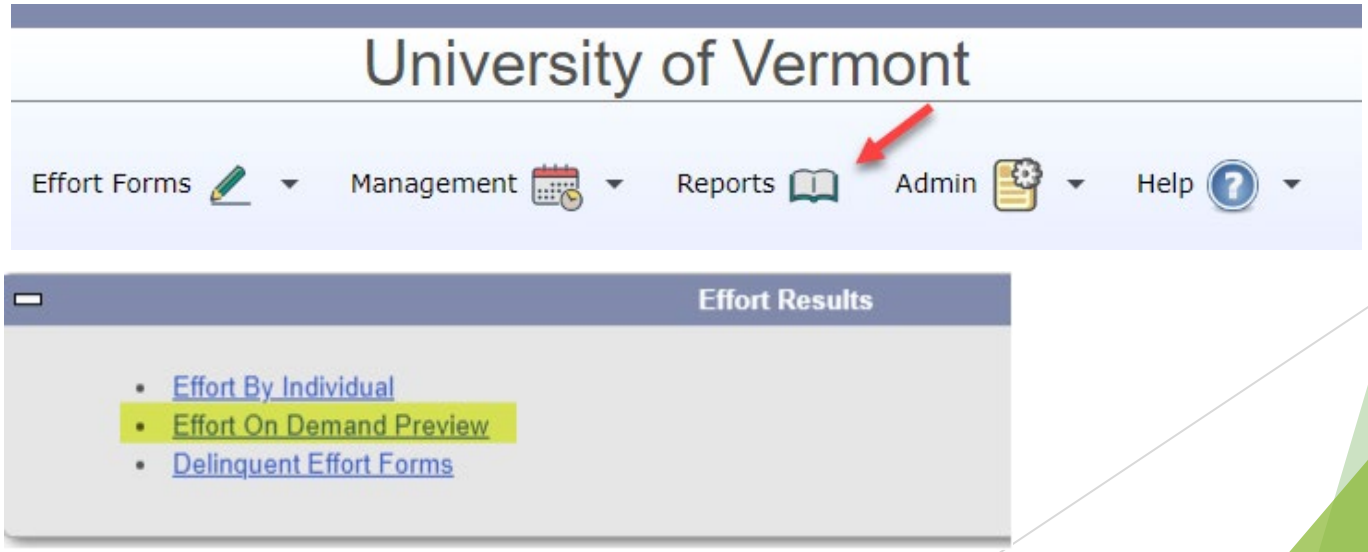
Recommended discussion points related to pending proposals are:

- 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.

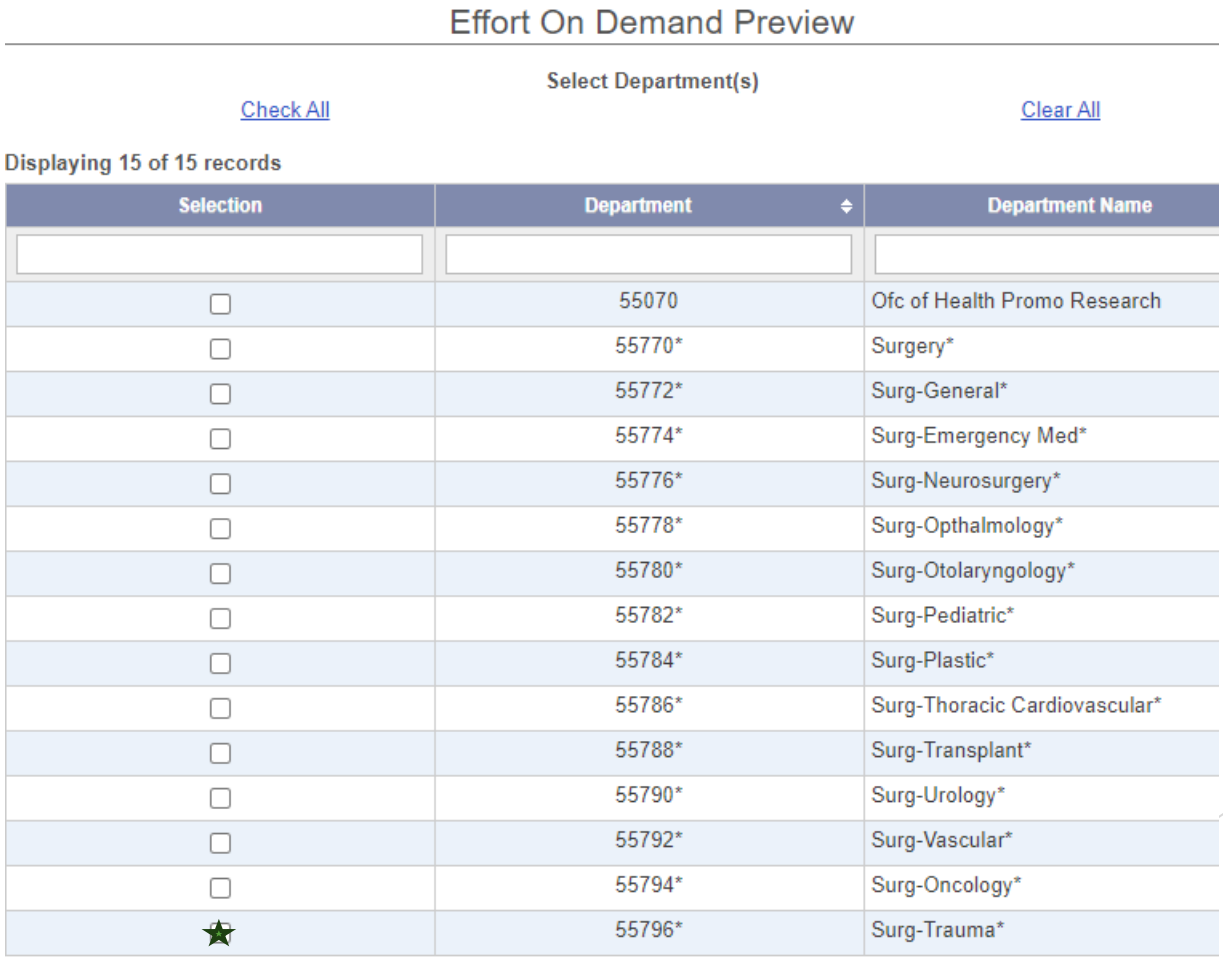
Reviewing Impacts of Dual Appointments & Additional Pays (eAPF)

- 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



Reviewing Impacts of Dual Appointments & Additional Pays (eAPF)

- You will see the departments you have been assigned to in ERS. Select the particular department or check all and click the proceed button.



Effort On Demand Preview

Select Department(s)

Check All Clear All

Displaying 15 of 15 records

Selection	Department	Department Name
☐	55070	Ofc of Health Promo Research
☐	55770*	Surgery*
☐	55772*	Surg-General*
☐	55774*	Surg-Emergency Med*
☐	55776*	Surg-Neurosurgery*
☐	55778*	Surg-Opthalmology*
☐	55780*	Surg-Otolaryngology*
☐	55782*	Surg-Pediatric*
☐	55784*	Surg-Plastic*
☐	55786*	Surg-Thoracic Cardiovascular*
☐	55788*	Surg-Transplant*
☐	55790*	Surg-Urology*
☐	55792*	Surg-Vascular*
☐	55794*	Surg-Oncology*
★	55796*	Surg-Trauma*

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.

Effort On Demand Preview

Displaying 4 of 4 records

Employee ID	Employee Name	Title Code	Title	Subdept	Reporting Period
0143[redacted]	[redacted]	0890	Professor (COM)	55796	063024
0133[redacted]		0890	Professor (COM)	55796	063024

Reviewing Impacts of Dual Appointments & Additional Pays (eAPF)

- Click on the total payroll amount hyperlink to view the monthly payroll breakdown by chartstring.

Pre Review - Read Only

Name [redacted]
Sub Dept: 55796 - Surg-Trauma

Employee ID: 0143[redacted]
Division: 15 - Larner MD College of Medicine

Title: Professor (COM)
Title Code: 0890

Reporting Period: 063024 (07-01-2023 through 06-30-2024)

Commitment	Payroll		Accounts	Description
			Sponsored Accounts	
5%	$0.00	0%	AWD00001237-501400	PI[redacted]C-FROM INFOED 34363
	$63,124.98	19%	501400-311-55796-300-201003-0000-0000-15	PI[redacted]C-FROM INFOED 34363
1%	$0.00	0%	AWD00001583-501625	PI:Cockrell,Robert Chase-Post Burn Sepsis Digital Twin
6%	**$63,124.98**	**19%**		**Sponsored Subtotal**
			Control Salary/Suspense/Payroll Clearing Accounts	
	$36,656.24	11%	000000-291-55770-100-100001-0000-0010-15	100001-GOF-General Operating
	$36,656.24	**11%**		**Control Salary/Suspense/Payroll Clearing Subtotal**
			Non-Sponsored Accounts	
	$48,046.90	14%	000000-201-55770-100-100001-0000-0000-15	100001-GOF-General Operating
	$21,546.90	6%	000000-401-55770-305-200001-0000-0000-15	200001-UVMMC Commitment
	$169,375.02	50%	FAHCXX-411-FA796-305-000000-0000-0000-00	FAHC
	$238,968.82	**70%**		**Non-Sponsored Subtotal**
	$338,750.04	**100%**		**Grand Total**

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 06/30/2024)

Name [redacted] **Employee ID:** 0143[redacted] **Title:** Professor (COM)

Sub Dept: 55796 - Surg-Trauma **Division:** 15 - Larner MD College of Medicine **Title Code:** 0890

Change to All Details By Transaction

Effort Payroll through 02/29/2024

Account	July, 2023		August, 2023		September, 2023		October, 2023		November, 2023		December, 2023		January, 2024	
	$	%	$	%	$	%	$	%	$	%	$	%	$	%
000000-201-55770-100-100001-0000-0000-15	$3,078.12	7.50%	$3,078.12	7.50%	$3,078.12	7.50%	$10,781.26	25.00%	$10,781.26	25.00%	$10,781.26	25.00%	$3,234.38	7.50%
000000-291-55770-100-100001-0000-0010-15	$0.00	0%	$0.00	0%	$0.00	0%	$0.00	0%	$0.00	0%	$0.00	0%	$18,328.12	42.50%
000000-401-55770-305-200001-0000-0000-15	$7,182.30	17.50%	$7,182.30	17.50%	$7,182.30	17.50%	$0.00	0%	$0.00	0%	$0.00	0%	$0.00	0%
035013-320-55770-305-200009-0000-0000-15	$0.00	0%	$0.00	0%	$0.00	0%	$0.00	0%	$0.00	0%	$0.00	0%	$0.00	0%
501400-311-55796-300-201003-0000-0000-15	$10,260.42	25.00%	$10,260.42	25.00%	$10,260.42	25.00%	$10,781.24	25.00%	$10,781.24	25.00%	$10,781.24	25.00%	$0.00	0%
FAHCXX-411-FA796-305-000000-0000-0000-00	$20,520.84	50.00%	$20,520.84	50.00%	$20,520.84	50.00%	$21,562.50	50.00%	$21,562.50	50.00%	$21,562.50	50.00%	$21,562.50	50.00%
Totals By Month	**$41,041.68**	**100%**	**$41,041.68**	**100%**	**$41,041.68**	**100%**	**$43,125.00**	**100%**	**$43,125.00**	**100%**	**$43,125.00**	**100%**	**$43,125.00**	**100%**
Grand Total	**$41,041.68**		**$41,041.68**		**$41,041.68**		**$43,125.00**		**$43,125.00**		**$43,125.00**		**$43,125.00**	

EXCEL Download Close

How to monitor status?

Questions?

Feedback?

Effort Verifications Process – Central Support Available

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

Open Lab Objectives

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