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# Effort Verification

## Contents

Overview .....	2
Navigating to the PI Portal .....	3
Commitments by Person Tool .....	3
Personnel Commitments by Project .....	6
Preparing for an Effort Verification Meeting .....	7
Effort Verification by Individual .....	8
Effort Verification by Project (Including Non-Key Personnel Effort).....	10
Effort Reductions.....	11
Pending Proposals .....	11
Documenting Results and Completing Action Items .....	14
FAQs .....	15
Additional Resources/Help .....	16





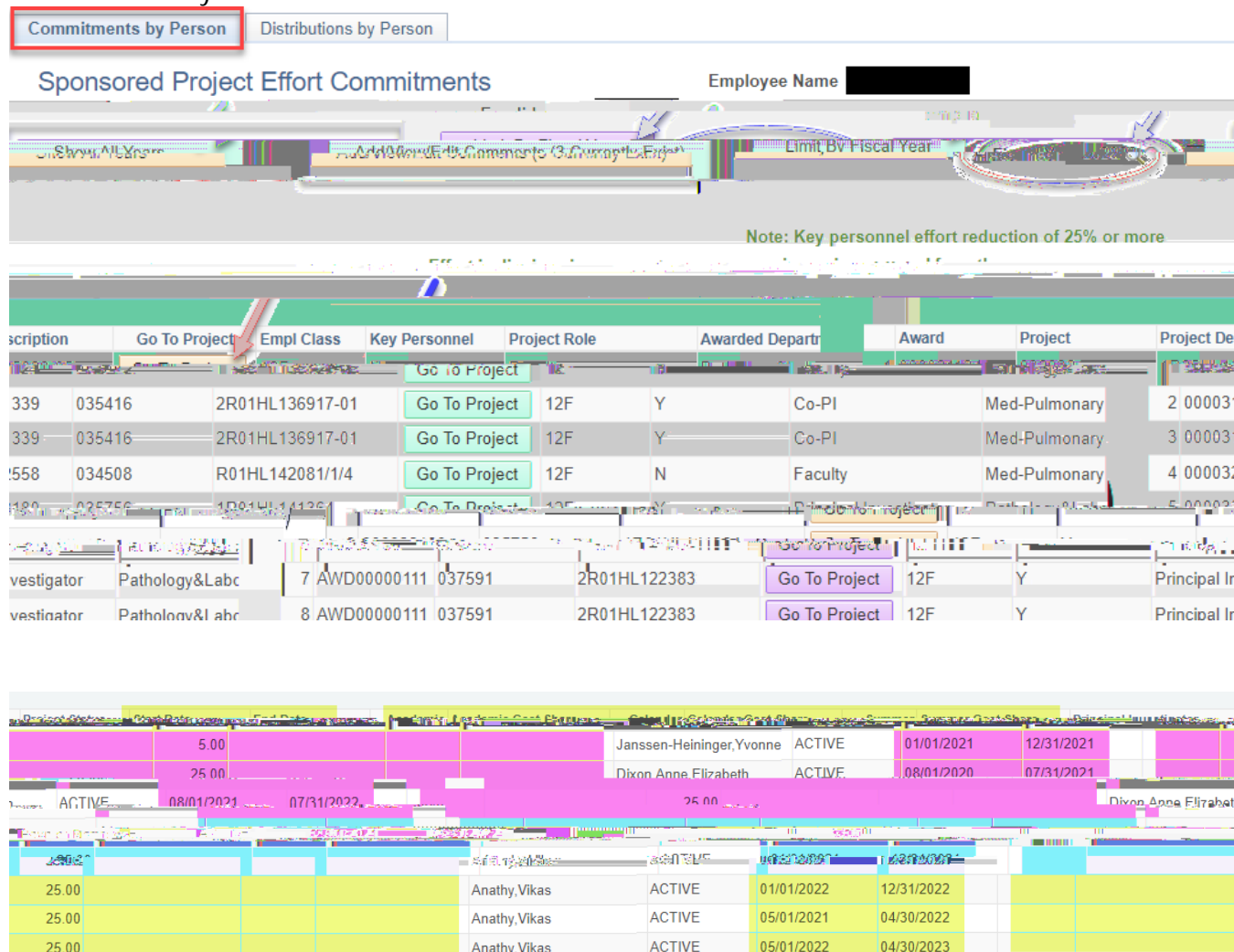
## Navigating to the PI Portal

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

## Commitments by Person Tool

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:



Note: Key personnel effort reduction of 25% or more

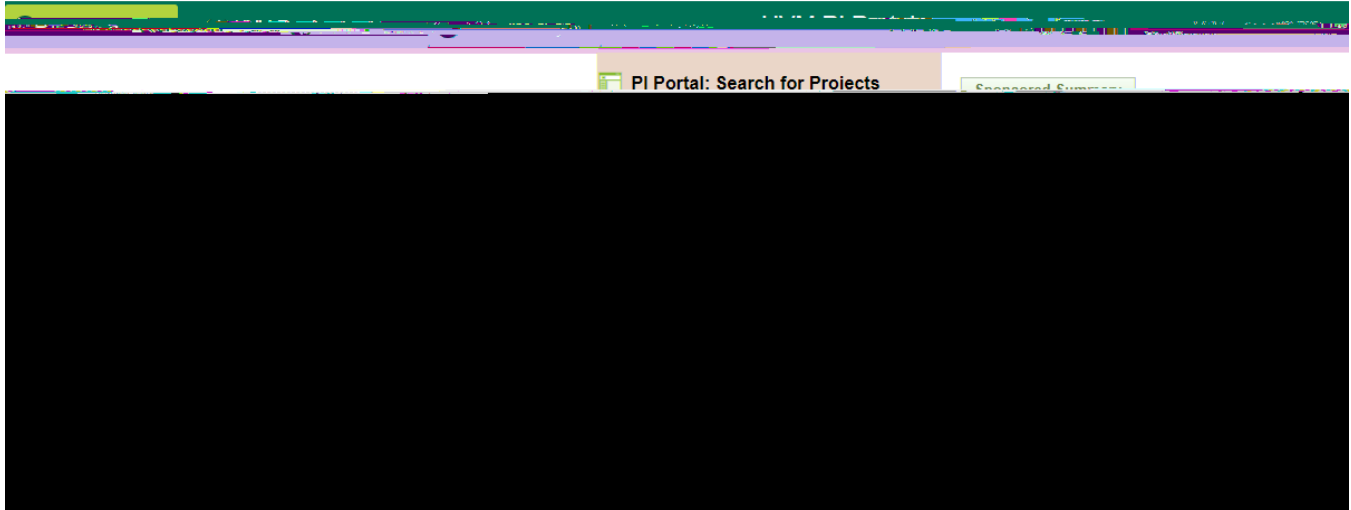
Description	Go To Project	Empl Class	Key Personnel	Project Role	Awarded Department	Award	Project	Project Description
339	035416	2R01HL136917-01	Go To Project	12F	Y	Co-PI	Med-Pulmonary	2 00003
339	035416	2R01HL136917-01	Go To Project	12F	Y	Co-PI	Med-Pulmonary	3 00003
558	034508	R01HL142081/1/4	Go To Project	12F	N	Faculty	Med-Pulmonary	4 00003
180	025756	1R01HL141261	Go To Project	12F	Y	Principal Investigator	Pathology&Lab	5 00003
Investigator	Pathology&Lab	7 AWD00000111	037591	2R01HL122383	Go To Project	12F	Y	Principal Investigator
Investigator	Pathology&Lab	8 AWD00000111	037591	2R01HL122383	Go To Project	12F	Y	Principal Investigator

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.

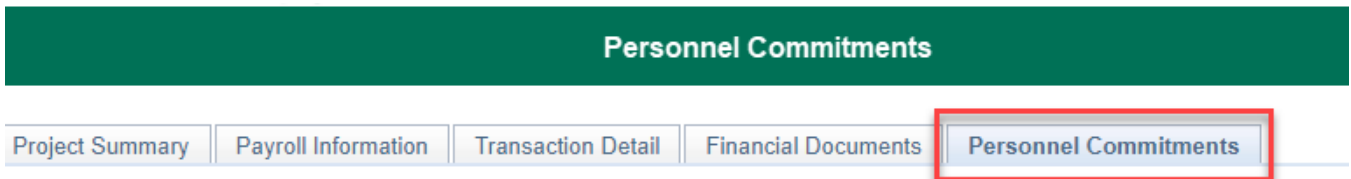


## Personnel Commitments by Project

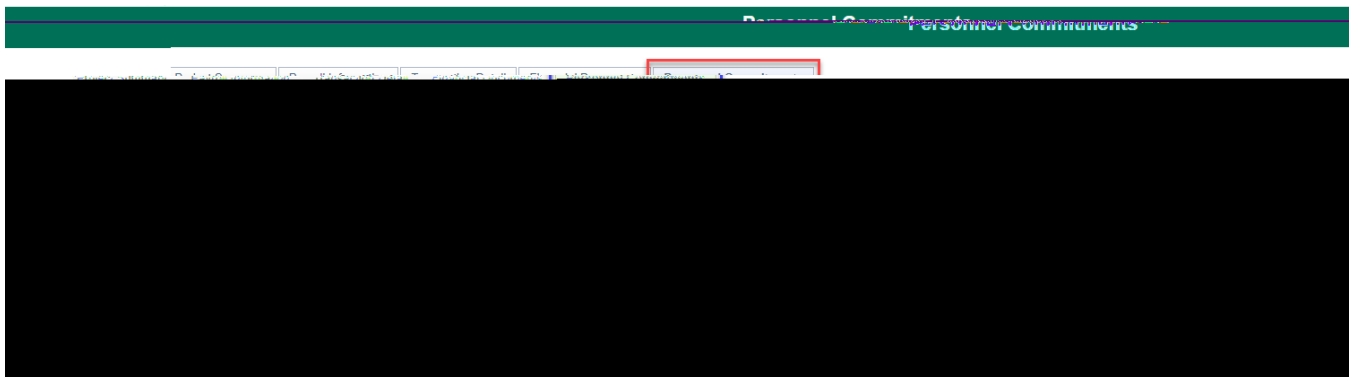
Select the **PI Portal: Search for Projects** menu option on the left of the screen. Enter the applicable search criteria necessary to bring up the project you wish to review and click on the “Retrieve Data (as of last night)” button. Click on the **Project ID** hyperlink to access the project details.



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.



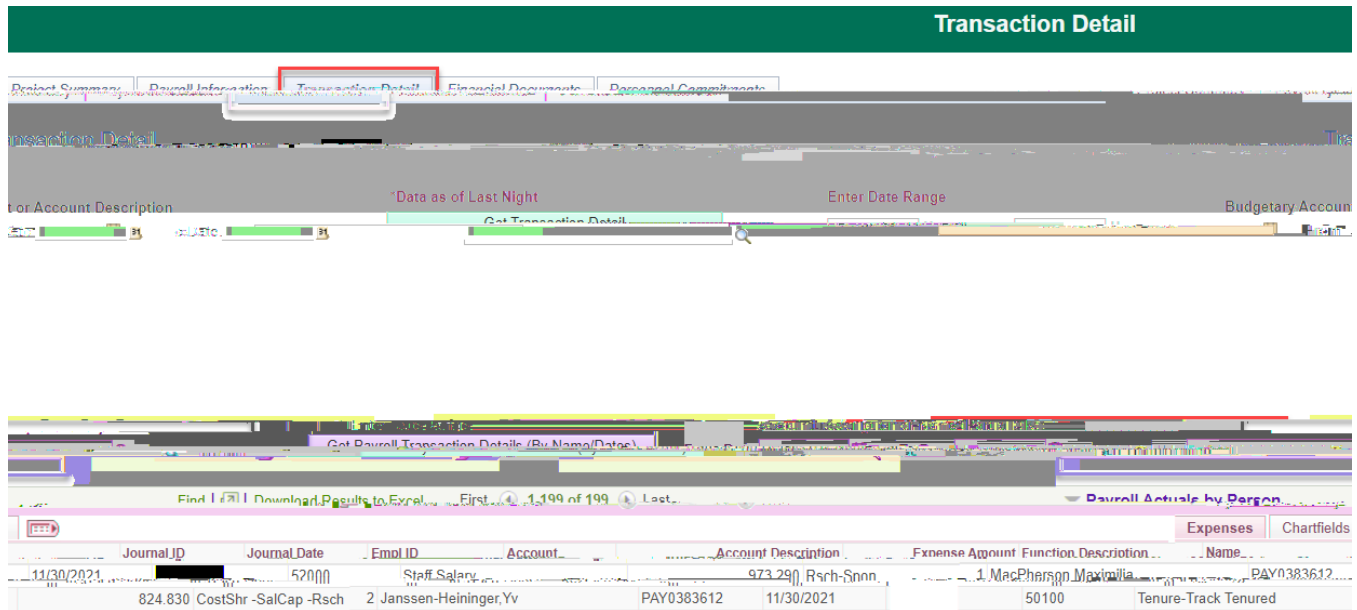
Commitments are set up under the calendar columns for 12-month employees. Commitments are set up under the academic and summer columns for non-12-month employees, typically 9-month faculty.

## 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:**

- x 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.
- x Conduct an effort verification review of the current fiscal year during the faculty member certification review of the previous fiscal year.

**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.



Journal ID	Journal Date	Empl ID	Account	Account Description	Expense Account	Function Description
11/30/2021		52000	Staff Salary	973.290 Rsrch-Snon	1 MacPherson Maxwell	PAY0383612
824.830	CostShr -SalCap -Rsch	2 Janssen-Heininger,Yv	PAY0383612	11/30/2021	50100	Tenure-Track Tenured

**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.



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**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

x 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.

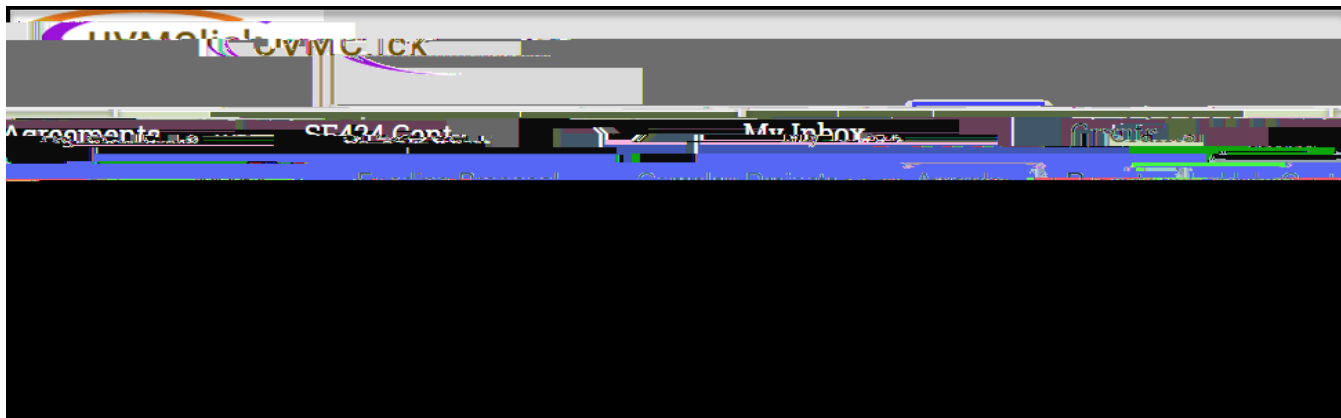
## Effort Reductions

**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:

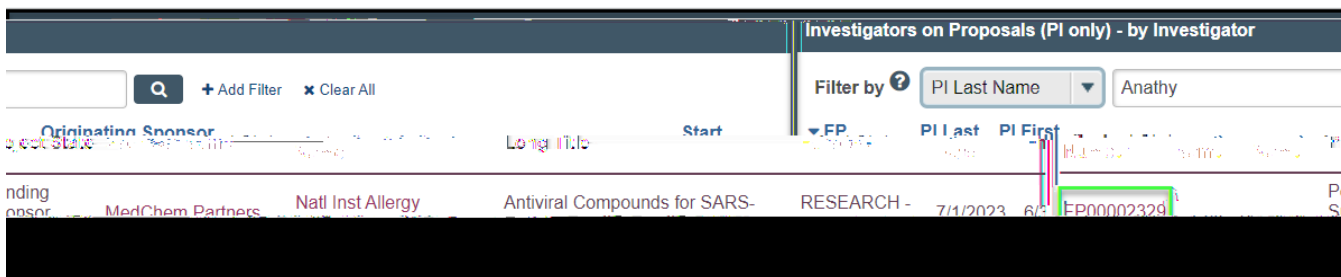
- x Will the ability to achieve the scope of work be impacted?
- x What will be the impact of my reduced effort as PI?
- x Which faculty member will replace me as PI?
- x What will be the effect of the reduction of effort by other key personnel (CPI, OKP)?
- x Should non-key faculty commitments be replaced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



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:



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.



**Recommended discussion points related to pending proposals are:**

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

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Example:

## 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

- 
- x Decide on a course of action to resolve open issues, e.g., submit salary distribution changes, process