

# Part 2: Managing Effort on Sponsored Projects





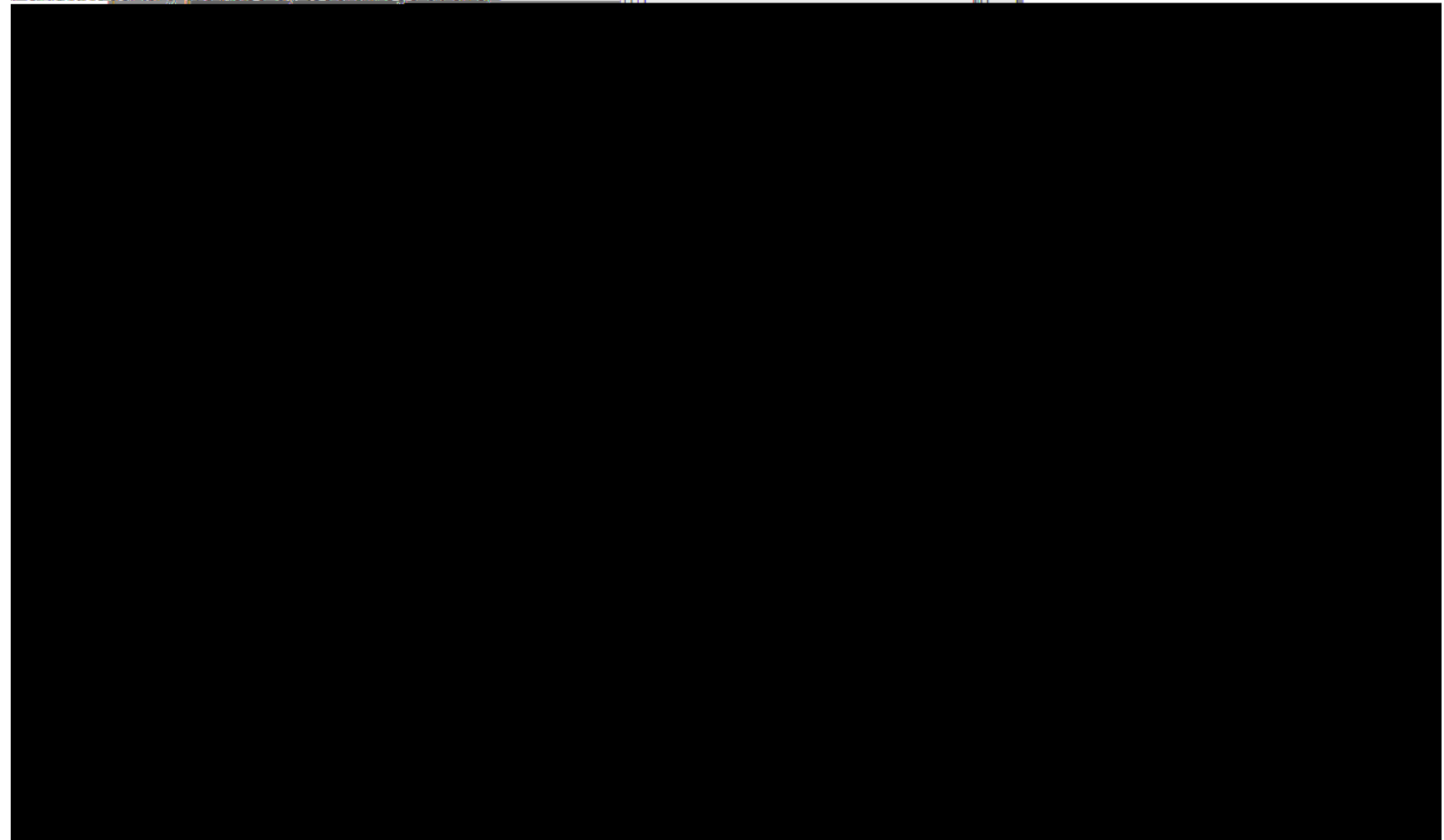


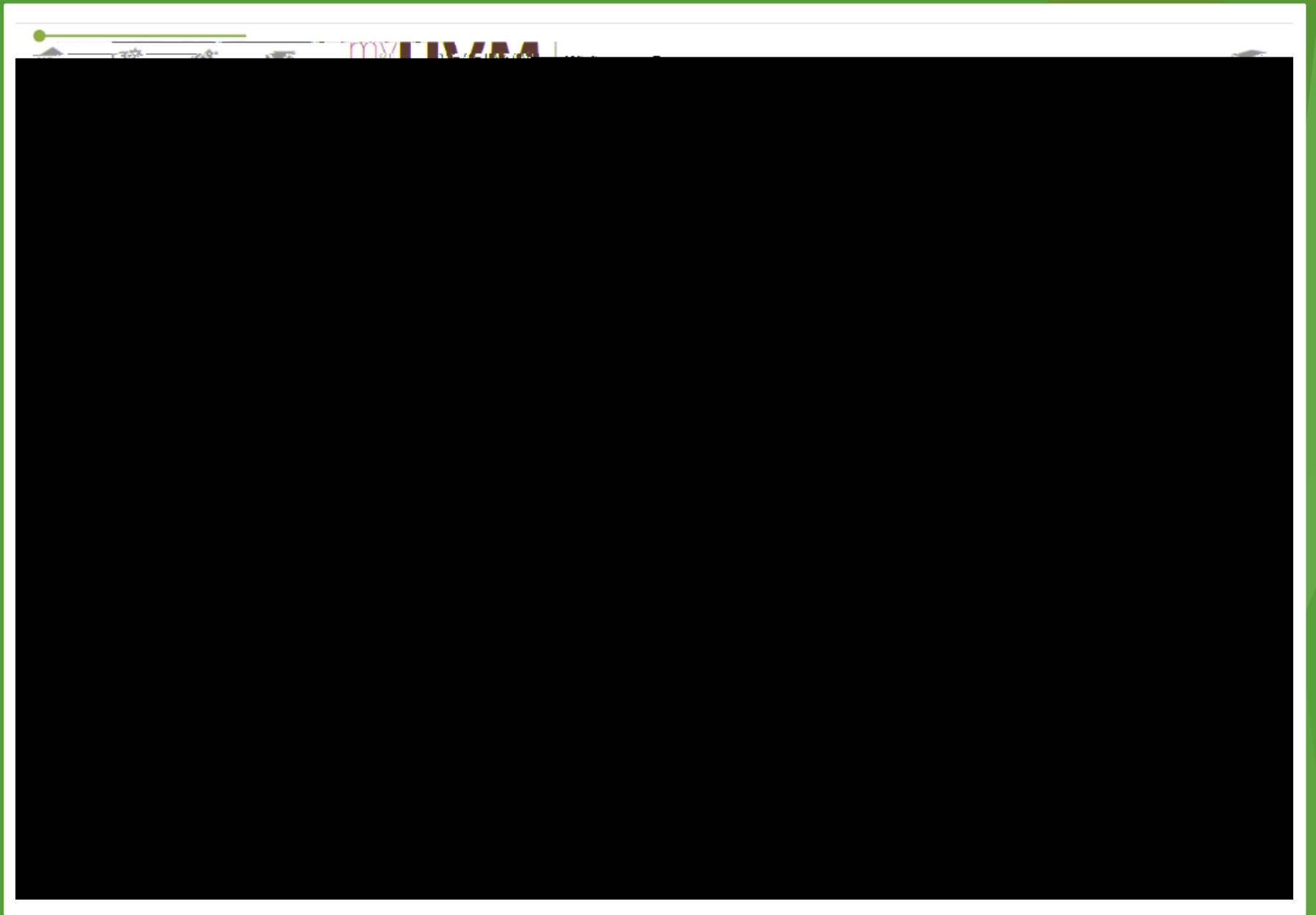


# Effort Management & Reporting

As a recipient of sponsored funds, UVM must assure sponsors that the "effort" (assignment of time and resources) is reported in a manner that is consistent with the terms of the sponsored agreement. This includes the reporting of effort and the reporting of costs on sponsored agreements.

**COST TRANSFERS INVOLVING SPONSORED**













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# Conducting Effort Verifications - Who?

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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.

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 \_\_\_\_\_ effort.

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

(Uniform Guidance, Effective December 26, 2014)

Focus on Internal Controls

COSO/Green Book models cited

(Fall 2014)

UVM's internal controls processes align with Uniform Guidance

Use \_\_\_\_\_

# 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 follows:

On sponsored agreements, the principal investigator (PI) shall verify that the planned effort of the PI and other key personnel is being performed as planned. The PI shall also verify that the actual effort of the PI and other key personnel is being performed as planned. The PI shall also verify that the planned effort of the PI and other key personnel is being performed as planned. The PI shall also verify that the actual effort of the PI and other key personnel is being performed as planned. All necessary

## Uniform Guidance 200.430 Documentation Standards of Personnel Expenses

“It is recognized that teaching, research, service, and administration management activities are being directed in many instances through a grant or contract. It is also recognized that recording salaries and wages charged to Federal awards requires maintaining a precise assessment of the portion of the total contribution to costs is therefore not always feasible. It is expected”

that non-Federal entities (including the non-Federal entity's written policies) are identified and entered the non-Federal entity's records in a uniform manner.



## Uniform Guidance (200.308) - Effort related Sponsor Prior Approvals

\_\_\_\_\_ specified in the award document of the Federal award.

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

\_\_\_\_\_ of the project or program (even if there is no associated budget revision requiring prior written approval).

NIH now allows effort reduction during NCE period without prior approval. However, this needs to be indicated at time of NCE request when working with SPA.



# Effort Compliance Audit Landscape

## 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





# PeopleSoft - Commitments by Person

Commitments by Person

Distributions by Person

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

It is displayed as percentage of FTE. requires prior approval from the sponsor.

Department	Project	Award	Project Description	Go To Project	Empl Class	Key Personnel	Project Role	Awarded Date
				Go To Project		Principal Investigator		
				Go To Project		Member		

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 Data Elements and Features

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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

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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

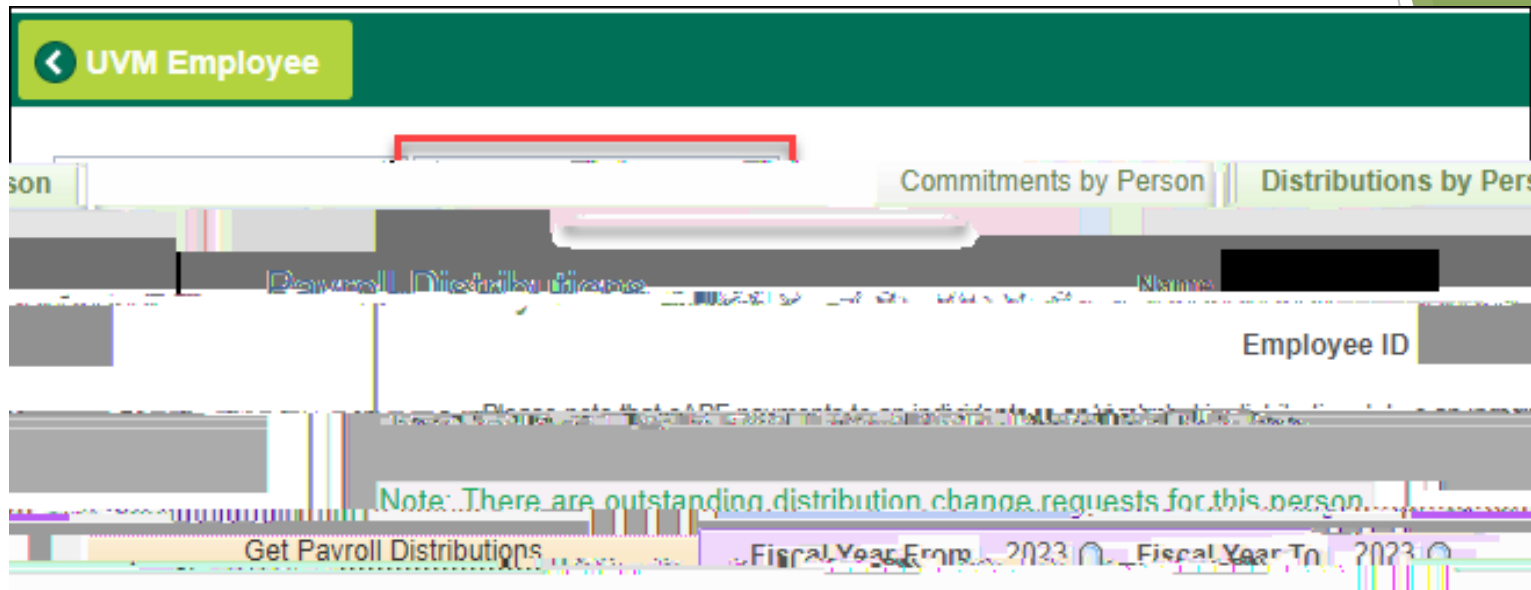
Start & end date of the commitment

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

The screenshot displays the 'Distributions by Person' report in PeopleSoft. At the top, there are tabs for 'Commitments by Person' and 'Distributions by Person'. Below the tabs, there are search fields for 'Name' and 'Employee ID'. A note states: 'Please note that eAPF payments to an individual are not included in distribution data.' Below this, there are buttons for 'Get Payroll Distributions' and 'Get Payroll Distributions'. The main area shows a table with columns for 'First', 'Last', 'Payroll Distributions', and 'Chartfield'. The table contains one row of data. At the bottom, there are navigation controls including 'First', '1 of 18', and 'Last', along with a 'Download Results to Excel' button.

First	Last	Payroll Distributions	Chartfield



# PeopleSoft - Commitments - Distributions by Person Data Elements and Features

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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

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Project and description

Employee record number

Home department

Effective dates









# PI Portal - Personnel Commitments by Project

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Award ID (PeopleSoft/UVMClick)

# PI Portal - Personnel Commitments by Project

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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 \_\_\_\_\_

Commitment for direct and cost share for either calendar, academic, and

# PI Portal - Personnel Commitments by Project

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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 \_\_\_\_\_



# PI Portal - Personnel Commitments by Project

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

ward ID 000033180      Sponsor Award ID 1R01HL141364

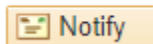
Project 035756      Project Start Date 01/15/2019      End Date 12/31/2022

Note: Sponsor Approval Required for Key Personnel Changes

Emp. Name	Special Class	Key Personnel	Role	Start Date	End Date	Emp. ID
[Redacted]	12F	Y	Principal Investigator	01/15/2019	12/31/2019	[Redacted]
Anathy Vikas	12F	Y	Principal Investigator	01/01/2020	12/31/2020	[Redacted]
[Redacted]	12F	Y	Principal Investigator	01/01/2021	12/31/2021	[Redacted]
Anathy Vikas	12F	Y	Principal Investigator	01/01/2022	12/31/2022	[Redacted]

## Personnel Changes

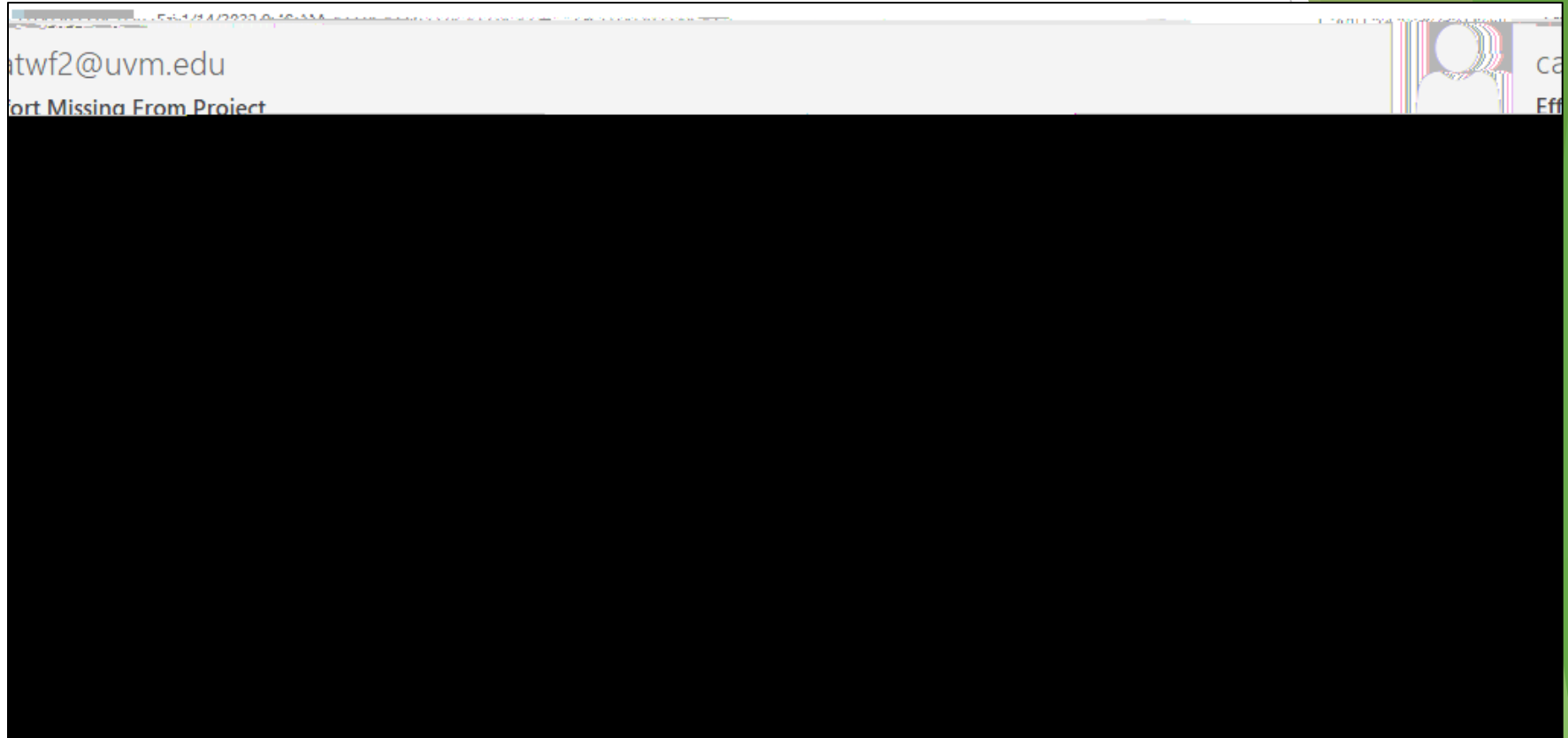
End Date	Academic	Academic Cost Share	Calendar	Calendar Cost Share	Summer	Summer Cost Share
12/31/2019			25.00			
12/31/2020			25.00			
12/31/2021			25.00			
12/31/2022			25.00			
12/31/2019			1.67	0.33		
12/31/2021			1.14	0.36		



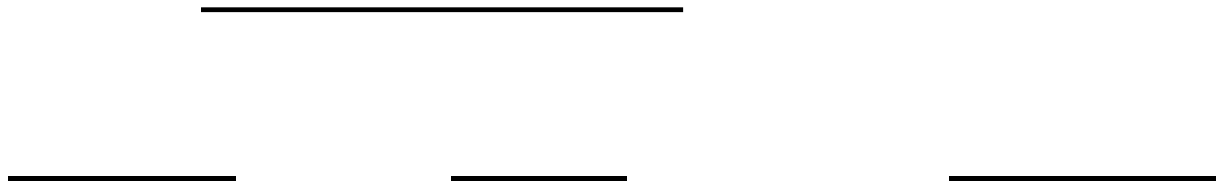
Notify

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



# Effort Verifications in PeopleSoft









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

Get Payroll Distributions (%)

## Effort Verification by Project (Key PatEffor)







## Effort Verifications Process – Preparing for Success

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

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

Set expectation in faculty meeting early in fiscal year

Report status periodically

## Effort Verification: Individual Effort Review

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.

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

# 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  $7 \times .25 = 1.75$  person months already worked on the award, if PI wants to reduce effort starting in month eight to 15%, then  $5 \times .15 = .75$  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.

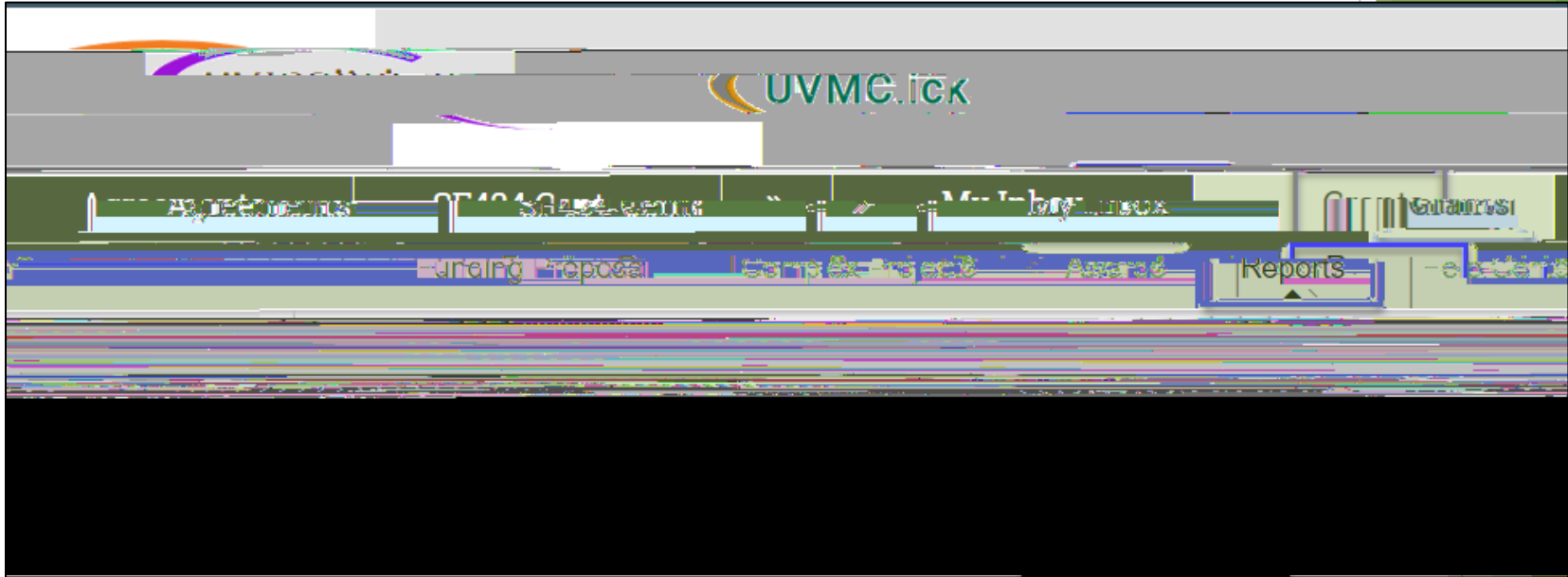
Navigating to the reports: Grants > Reports > Custom Reports and then in the search filter enter: Investigators on Proposals.

The following four reports are suggested by SPA.

Investigator on Proposals - All States

Investigator on Proposals - In Development

# 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 (Other than PI) - by Investigator	FP_AdditionalPersonnel



# Effort Verifications: UVMClick Proposal Reports

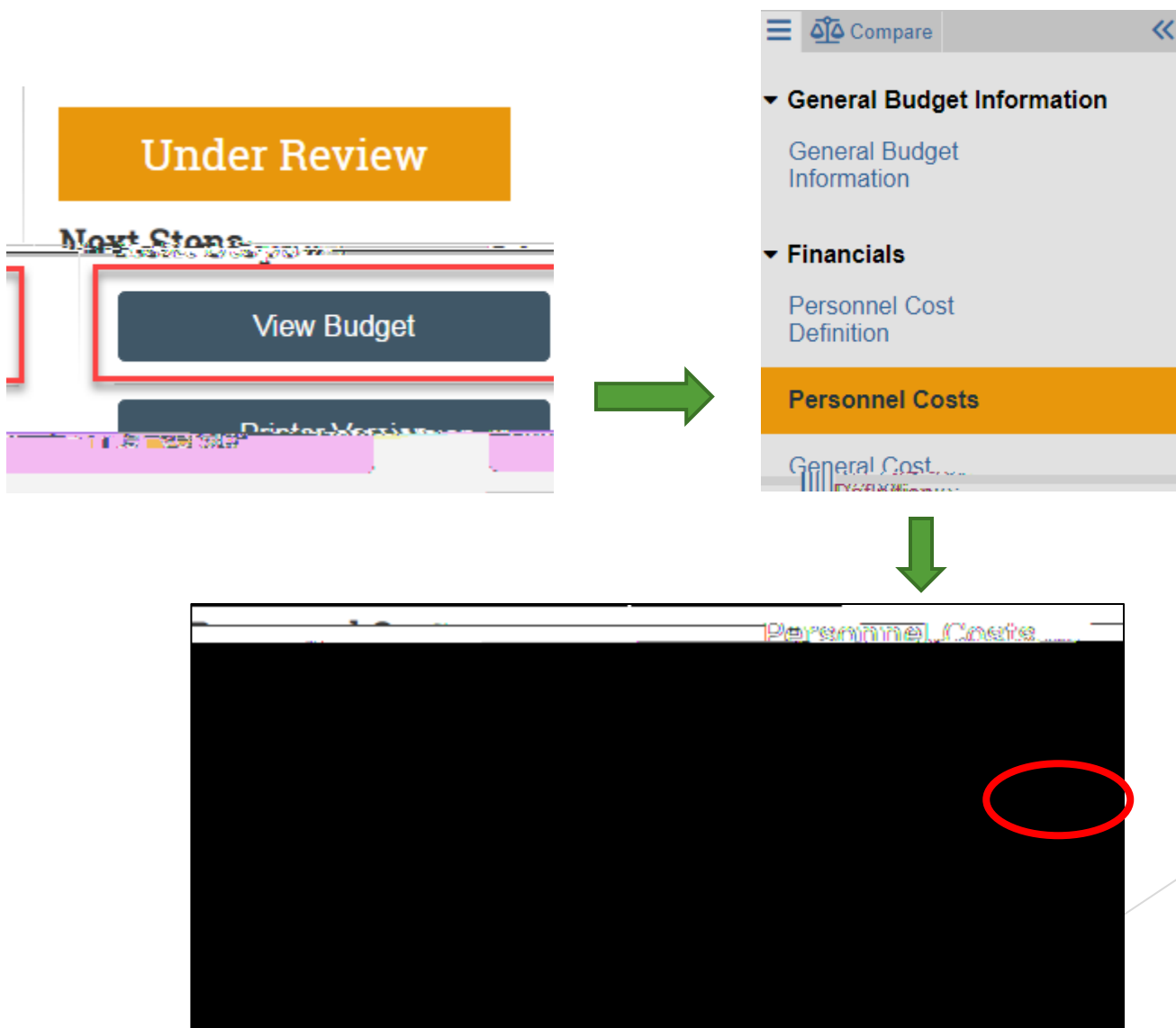
Investigators on Proposals (PI only) - by Investigator

Clear All Filter by <sup>?</sup> PI Last Name Anathy

Purpose	Start	End Date	FP	PI Last	PI First	Project State	Sponsor Name	Originating Sponsor	Lead Title
								Pending	



# Effort Verifications: UVMClick Proposal Reports



# Effort Verification Documentation

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

Person	Edit Comment	Comments
mitments and actual		Quarterly review done with Dr. Anathy. 1). We reviewed all com
as the unsubscribe		effort and there are no effort corrections needed for last quarter.
3E for project 123456789	<input type="button" value="Edit Comment"/>	quarter for him. 2). Need to initiate a N
graduate student Jane Smith is not distributed		personnel effort on his projects and a g
Jane Smith		project on 3/22/23.
stigator)		PENDING PROPOSAL COMMITMENTS:
		FP00002278 7/1/22-6/30/23 at 4% (Co-Inves
		FP00002234 7/1/22-6/30/23 at 5% (Co-Inves
		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?

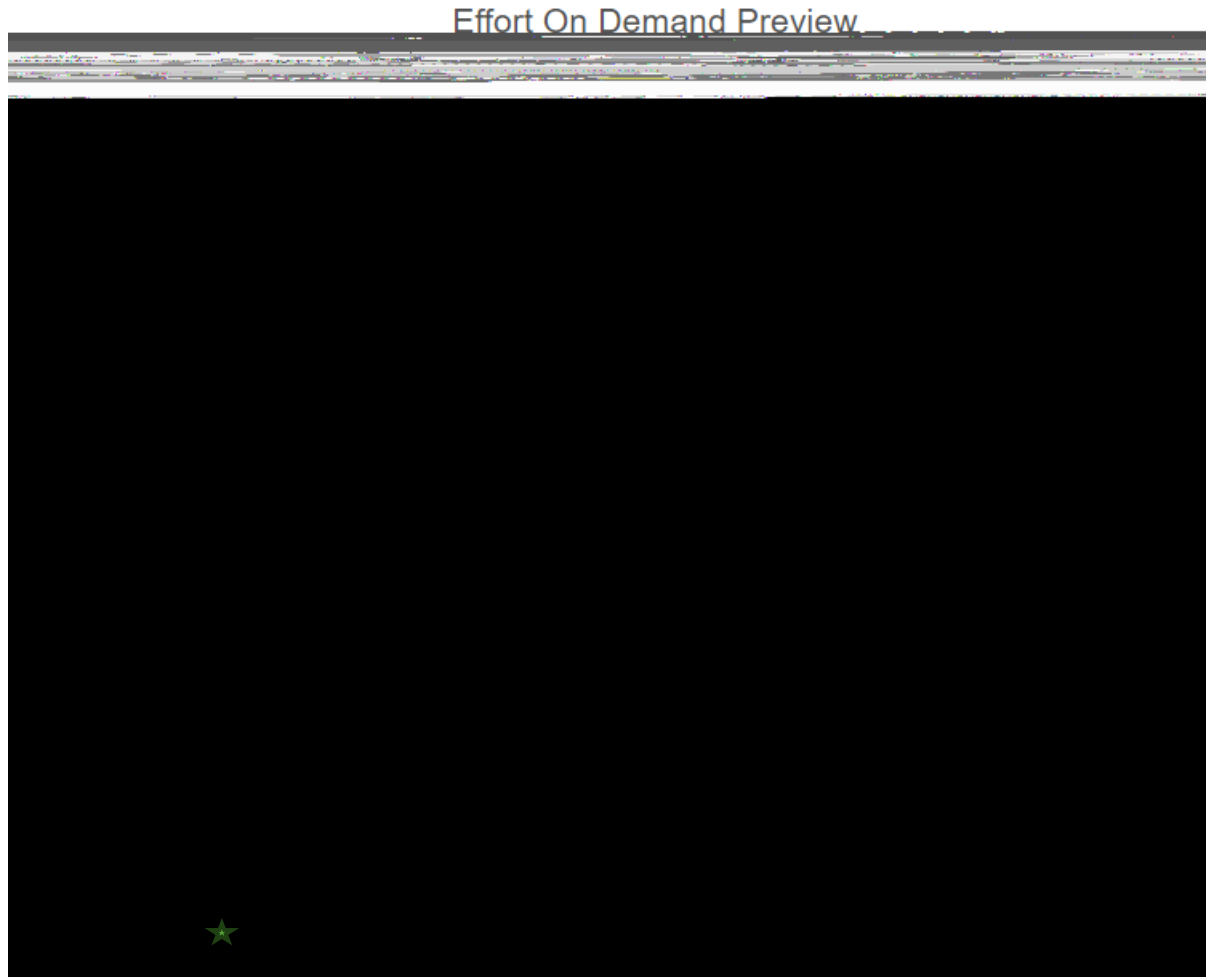
Have the sponsors communicated that your pending proposals will not be funded?

Communication on pending proposal changes should be with your assigned \_\_\_\_\_



## 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.





# Reviewing Impacts of Dual Appointments & Additional Pays (eAPF)



# 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 UVMVMC Common Paymaster salary.

Payroll Details By Month

Report Period: 01/2024 through 03/2024

Month	Effort Percentage	Payroll Amount
01/2024		
02/2024		
03/2024		

# How to monitor status?





Feedback?

# Effort Verifications Process - Central Support Available

<https://www.uvm.edu/finance/effort-management-reporting>

- Overviews
- Policies
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