Time and Effort Reporting Webinar – Updates & Refresher Training for Business Managers
Grants and Funds Management – Controller’s Office
July 2022
Agenda

• Summary of eForm Updates
• Current and New Resources and Tools
• Troubleshooting, Tips, and Tricks
• Refresh our Understanding of:
  – Federal law for expenses associated with sponsored awards.
  – What is Effort and Effort Reporting and the relationship between effort and salary.
  – Review what a salary cap is and how to properly account for it.
  – Review tool to assist in the salary cap calculations.
  – Appreciate the consequences of effort reporting non-compliance.

• Overall Review of Certification Process
• Where to find Resources
eForm

UPDATES
Summary of eForm Updates

- Updated Column within Report
- Updated Job Aids available
- Updated Email notifications
Percent of Pay Column

• The title of the “Percent of Pay” column has been renamed to:
  – “Percent of Pay/Computed Effort”
  – This column is calculated as follows:

  Salary charged (eligible ERN Codes) to a Chartstring divided by
  Total Salary captured within the Report

• Reminder: Bonuses, one-time cash payments, and annual leave payouts are excluded from effort reporting.
### Percent of Pay Column

<table>
<thead>
<tr>
<th>Certified?</th>
<th>Earnings</th>
<th>Percent of Pay/Computed Effort</th>
<th>Details</th>
<th>Project/Grant</th>
<th>Department</th>
<th>Cost Share</th>
<th>Op Unit/Dept/Fund/Acct/Class</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>3383 80</td>
<td>51.41</td>
<td>Details</td>
<td>1000868 Justice Sector Training, Resea</td>
<td>610000</td>
<td></td>
<td>CL002 610000 F100 51600 301</td>
</tr>
<tr>
<td>Yes</td>
<td>987 80</td>
<td>15.80</td>
<td>Details</td>
<td>10041429 Think Tank Capacity Building</td>
<td>610000</td>
<td></td>
<td>CL002 610000 F100 51600 202</td>
</tr>
<tr>
<td>Yes</td>
<td>1362 50</td>
<td>29.71</td>
<td>Details</td>
<td>10048086 Subaward from The Asia Foundat</td>
<td>610000</td>
<td></td>
<td>CL002 610000 F100 51600 301</td>
</tr>
</tbody>
</table>

**Subtotal**: 5732.59  
**Percent Subtotal**: 87.12

**University Accounts**

<table>
<thead>
<tr>
<th>Certified?</th>
<th>Earnings</th>
<th>Percent of Pay/Computed Effort</th>
<th>Details</th>
<th>Project/Grant</th>
<th>Department</th>
<th>Cost Share</th>
<th>Op Unit/Dept/Fund/Acct/Class</th>
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</thead>
<tbody>
<tr>
<td>Yes</td>
<td>847 50</td>
<td>12.88</td>
<td>Details</td>
<td></td>
<td>610000</td>
<td></td>
<td>CL002 610000 F4200 51600 262</td>
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</tbody>
</table>

**Subtotal**: 847.50  
**Percent Subtotal**: 12.88

**Total Qualifying Accounts**

<table>
<thead>
<tr>
<th>Total</th>
<th>6580.00</th>
</tr>
</thead>
<tbody>
<tr>
<td>Percent Total</td>
<td>100.00</td>
</tr>
</tbody>
</table>

3,383 / 6,580 = 51.41%
Updated Job Aids

• Job Aids on the Controller’s Office website have been updated for both navigation options for Effort Reporting within PeopleSoft HCM.

• Access Effort Reporting by selecting:
  – “My Workplace” or
  – “My Homepage”

• The name you see is based on the assigned role(s) you have within HCM.
Updated Job Aids

Controller’s Office – Grants and Funds Management

Time and Effort Reporting – Employee

1. Navigation in HCM PeopleSoft (hcm-prd.ps.sc.edu)

To view the Time and Effort home screen navigate to:

*Employee Self Service > My Workplace/My Homepage > Grant Time and Effort*

Step 1: Click the Employee Self Service drop-down arrow.

Step 2: Click the My Workplace or My Homepage option from the list.
Updated Email Notifications

• PeopleSoft Email notifications have been updated to include links to respective job aids.
• These emails will come from: PeopleSoft@peoplesoft.com
• These emails are NOT spam or phishing.
• However, if your faculty are uncomfortable clicking on the link contained within the email, they may always log directly into PeopleSoft HCM to approve any pending forms.
From: HTST@peoplesoft.com <HTST@peoplesoft.com>
Sent: Thursday, July 14, 2022 10:46 AM
To: [email_address]
Subject: Approval Needed: # Effort Report, Form #410053

Hello,

A Time and Effort Report has been created for [redacted] for the July - December 2021 reporting period that requires review and approval. Please login into PeopleSoft HCM to approve this form or follow the link below.


Certification is required to be completed within 30 days. Failure to certify may result in the removal of salary charges from sponsored awards. Do not reply to this email. If you have questions or need assistance, please contact your Business Manager.

If you need assistance accessing and approving the form, please use the training aids found on the Controller's Office website or by selecting the links below.

If you are an Employee, you can find the training aid [here].
If you are a Principal Investigator (PI), you can find the training aid [here].
If you are a Supervisor, you can find the training aid [here].

Thank you for your prompt attention to this request.

Controller's Office
Eform “Hold” Option

• Reminder, the option to HOLD an effort report should not be used.

• Once effort reports are released (or “submitted”) by the Business Managers, approvers should:
  – Recycle the form if there are discrepancies or corrections needed or
  – Approve the form

• Please remind your users!

• If you notice a report has been placed on hold by one of the approvers, be sure to reach out to them to ask why!
Important Dates

• January – June 2022 Effort Reports will be released **Monday, August 1st**.

• Reports will be due **Wednesday, August 31st**.

• You will receive an email notification and memo once reports have been generated and are ready for your review.

• Ensure all payroll corrections that affect the reporting period are submitted by **Wednesday, July 27th**.

• **Don’t Forget to Update Supervisors** listed in PeopleSoft!

  – This will prevent workflow routing errors and ease the administrative burden for all parties involved.
NEW AND CURRENT RESOURCES
New HCM Query

• A new Peoplesoft HCM query has been created that will give you a listing of all the effort reports that fall within a given HCM Home Department along with the funding strings present on each report.

• The query name is:

   **SC_PY_GRANT_TOTALS_BY_DEPT**

• Run in Excel or HTML

• Need: Reporting Period ID & Dept ID
New HCM Query

- **Reporting Period ID:** 9 (July – December 2021)
- **Dept ID:** 100025 (Rule of Law Collaborative)

<table>
<thead>
<tr>
<th>Reporting Period ID</th>
<th>Dept ID</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td></td>
</tr>
</tbody>
</table>

• **Recommendation:** Export to Excel and Pivot Data
• **Example Spreadsheet** can be found [here](#).
My Grant Reports Tile

- Use the “My Grant Reports” tile to manage the effort report approval process. Several queries are available on-demand.
My Grant Reports

• Select the Report you would like to run:

• The new query is also listed here as “Effort Reports by HCM Dept”.
My Saved Effort Reports

Report Name: My Saved Effort Reports

(USC_GRANT_TE_ROSTER_BUS_MGR_PV)

- Use this report to view all effort reports that currently have a “saved” status within your purview.
- This query will also show you the reporting period associated with each report.

```
<table>
<thead>
<tr>
<th>Row</th>
<th>Form ID</th>
<th>Reporting Period</th>
<th>EMPLID</th>
<th>Name</th>
<th>Dept ID</th>
<th>Days Since Form Created</th>
<th>Age Group</th>
<th>Form Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>394639</td>
<td>July - December 2021</td>
<td></td>
<td></td>
<td>181400</td>
<td>15.2 Weeks</td>
<td>Saved</td>
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<tr>
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<tr>
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<td>Saved</td>
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<tr>
<td>5</td>
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<td></td>
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<td>15.2 Weeks</td>
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<tr>
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<td>181400</td>
<td>15.2 Weeks</td>
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<td></td>
</tr>
</tbody>
</table>
```
Effort Reports Pending Approval by Other

Report Name: Effort Reports Pending Approval by Other (SC_MY_GRANT_FORMS_PENDING)

- Use this report to view all effort reports that are currently in a “PENDING” status within your purview.
- This query will show you the name and email address of each pending approver associated with the report.
Executed/Approved Effort Reports

Report Name: Executed/Approved Effort Reports (USC_GRANT_TE_EXECUTED_FORMS)

- Use this report to view all effort reports that have been fully approved or executed.
- Approval Date (greater than or approved after MM/DD/YYYY), Reporting Period ID (Optional).

![Data Table]

*Approved Date (> 01/01/2021) [Red]*

Reporting Period ID (optional)

View Results

Download results in: Excel Spreadsheet  CSV Text File  XL File (1313)

View All

<table>
<thead>
<tr>
<th>Row</th>
<th>Form ID</th>
<th>Period ID</th>
<th>Reporting Period</th>
<th>EMPLID</th>
<th>Name</th>
<th>Dept ID</th>
<th>Approved Date</th>
<th>Form Status</th>
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<td>02/16/2021</td>
<td>Executed</td>
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<tr>
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<td>101400</td>
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<td>Executed</td>
</tr>
<tr>
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<td>7 July - December 2020</td>
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<td>03/06/2021</td>
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<tr>
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<td>101400</td>
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<td>03/10/2021</td>
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<td>8</td>
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<td>7 July - December 2020</td>
<td>101400</td>
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<td></td>
<td>03/12/2021</td>
<td>Executed</td>
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<td>9</td>
<td>276002</td>
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<td>7 July - December 2020</td>
<td>101400</td>
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<td></td>
<td>03/14/2021</td>
<td>Executed</td>
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<td>101400</td>
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<td>03/24/2021</td>
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# Reporting Period IDs

<table>
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<th>Reporting Period ID</th>
<th>Reporting Period Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>April – December 2019</td>
</tr>
<tr>
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<td>7</td>
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<tr>
<td>8</td>
<td>January – June 2021</td>
</tr>
<tr>
<td>9</td>
<td>July – December 2021</td>
</tr>
<tr>
<td>10</td>
<td>January – June 2022</td>
</tr>
</tbody>
</table>

Future Report IDs will be added as they are created within the system. The Reporting Period ID will increase by one as they are added. For example, the next reporting cycle of July - December 2022 will have the Reporting Period ID of “11”.
Troubleshooting

• If you or one of your faculty members has trouble logging into PeopleSoft HCM or Accessing a form, below are most common solutions:
  – 1. Try a different browser (Edge, Chrome, Safari, etc.)
  – 2. If a different browser doesn’t work, have them clear the cache of their current browser and try again.
    • You must completely close out of the browser (all tabs) and re-open after clearing your cache.

• If you don’t know how to clear your cache or need instructions, email GFMeCert@mailbox.sc.edu.

• Pro-Tip: Create an email template or “signature” with these troubleshooting steps to quickly respond to staff.

• If you or your staff are still having trouble, submit a self-service helpdesk ticket.
Tips and Tricks

• Save PeopleSoft HCM as a shortcut in your browser.
• Use the “My Grant Reports” tile to run real-time data on reports in your purview.
• Log in daily and navigate to the “Update a Grant Report” tab and perform “open” searches for reports in “Saved” or “Partially Approved” Status.
  – This will show you a listing off all the reports that need to be confirmed and released to approvers by you.
• Remember, effort reporting is a multi-approver process. If one approver in the process (a PI, etc.) recycles the form for corrections – You must review and take action.
  – Once the issue is addressed the whole report will have to go through the approval process again.
  – You will have **re-release** it to approvers.
Recommendation: Managing Multiple Notifications

- Currently, PeopleSoft automatically sends an email notification to the person in each approval role.
- As a result, if the same person is listed in multiple approval roles on the report, they will receive multiple emails alerting them to approve (although they only need to approve once).
- We are working with our IT Team to fix this for future reporting periods, however, in the meantime we have recommended the following:
  1. Create a Folder within your Outlook mailbox and use Mailbox rules to route these notifications to a created designated folder.
  2. Log directly into PeopleSoft HCM to view your cue at least once or twice a week.
## Earning Codes EXCLUDED:

<table>
<thead>
<tr>
<th>Earn Code</th>
<th>Descr</th>
<th>Earn Code</th>
<th>Descr</th>
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</thead>
<tbody>
<tr>
<td>ADP</td>
<td>Adoption Assistance</td>
<td>ISV</td>
<td>Intl Fac Overload Std Trty</td>
</tr>
<tr>
<td>ALS</td>
<td>AL Payout Student Treaty</td>
<td>MEP</td>
<td>Media Engagement Pay</td>
</tr>
<tr>
<td>ALT</td>
<td>AL Payout Teaching Treaty</td>
<td>AWD</td>
<td>Monetary Cash Awards</td>
</tr>
<tr>
<td>$AC</td>
<td>All Earnings Codes - System Cd</td>
<td>AWT</td>
<td>Monetary Cash Awd Teach Treaty</td>
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<tr>
<td>ALL</td>
<td>Annual Leave Lost</td>
<td>AWS</td>
<td>Monetary Cash Student Treaty</td>
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<td>ALP</td>
<td>Annual Leave Payout</td>
<td>MOV</td>
<td>Moving Expenses</td>
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<tr>
<td>AL3</td>
<td>Annual Leave Payout Class III</td>
<td>MOS</td>
<td>Moving Expenses Student</td>
</tr>
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<tr>
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<tr>
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<td>RET</td>
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<tr>
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<td>On Call</td>
</tr>
<tr>
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<td>Bonus</td>
<td>OVP</td>
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<td>Bonus Student Treaty</td>
<td>PLV</td>
<td>Paid Leave</td>
</tr>
<tr>
<td>BNT</td>
<td>Bonus Teaching Treaty</td>
<td>ENP</td>
<td>Paid Not Earned</td>
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<td>Car Allowance Cash</td>
<td>PNE</td>
<td>Paid Not Earned</td>
</tr>
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<td>CAT</td>
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<td>Intl FaC Overload Retro Std</td>
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<td></td>
</tr>
</tbody>
</table>
Tips for Verifying Effort Reports using HCM Distribution

The screenshot shows a Time and Effort Report with the following details:

- **Employee Information**
  - Employee Name: [Name]
  - Primary Department: [Department]
  - Reporting Period: July - December 2021
  - Report Period Begin Date: 07/01/2021
  - Report Period End Date: 12/31/2021

- **Sponsored Accounts**
  - **Certified?**
    - Yes
  - **Earnings:**
    - 1: 7250.01
    - Subtotal: 7250.01
  - **Percent of Pay:**
    - 1: 15.06
    - Subtotal: 15.06
  - **Project/Grant:**
    - 1: 10007140 Teaching with Primary Sources
    - Subtotal:
  - **Department:**
    - 1: 157000
    - Subtotal:
  - **Op Unit/Dept/Fund/Acct/Class:**
    - 1: CL070 157000 F1000 51300 301
    - Subtotal:

- **University Accounts**
  - **Certified?**
    - Yes
  - **Earnings:**
    - 1: 3000.00
    - 2: 3781.99
  - **Percent of Pay:**
    - 1: 6.23
    - 2: 78.70
  - **Project/Grant:**
    - 1: 157000
    - 2: 157117
  - **Department:**
    - 1: 157000
    - 2: 157117
  - **Op Unit/Dept/Fund/Acct/Class:**
    - 1: CL070 157000 E8036 51300 301
    - 2: CL070 157117 A0001 51300 101

The screenshot illustrates the verification process for effort reports using HCM Distribution, highlighting key fields such as employee information, sponsored accounts, and university accounts.
### HCM Distribution

![HCM Distribution Form](image)

- **USCID**: [Redacted]
- **Supervisor USCID**: [Redacted]
- **Pay Group**: [Redacted]
- **Pay End Date (m/d/y)**: [Redacted]
- **Earn End Date (m/d/y)**: [Redacted]
- **Project BU**: [Redacted]
- **From Pay Period**: 07/15/2021
- **To Pay Period**: 12/31/2021
- **Num of Records**: 10000
- **Order By**: Chartfield_Name
- **Fiscal Month**: [Redacted]
- **Fiscal Year**: [Redacted]
- **Pay Run ID**: [Redacted]
- **Output**: Fringe-Summary/Hor

- **Submit**
- **Clear**
- **CSV**
## HCM Distribution

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<th>FISCAL PERIOD</th>
<th>JOB</th>
<th>HCM DEPT</th>
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**Subtotal:** 7,001.10

**Total:** 37,069.01

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*University of South Carolina*
## Pay Groups

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### Effort Report

#### Time and Effort Reporting: Time and Effort Report

**Employee Information**
- **Employee Name:** [Redacted]
- **Primary Department:** [Redacted]
- **Reporting Period:** July - December 2021
- **Report Period Begin Date:** 07/01/2021
- **Report Period End Date:** 12/31/2021

#### Sponsored Accounts

<table>
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<tr>
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<th>Earnings</th>
<th>Percent of Pay</th>
<th>Details</th>
<th>Project/Grant</th>
<th>Department</th>
<th>Cost Share</th>
<th>Op Unit/Dept/Fund/Accnt/Class</th>
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</thead>
<tbody>
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**Subtotal:** 7250.01
**Percent Subtotal:** 15.06

#### University Accounts

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<th>Department</th>
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# HCM Distribution

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## Additional Information

- **Name**
- **Job**
- **HCM Dept.**
- **Journal.**
- **Reg/Temp**
- **Check**
- **Std.Hours**
- **HCM BU [Campus]**
- **Dist. Status**
- **Dist. Type**
- **Dist. Class**
- **Dist. Code**
- **Operating Unit**
- **Department**
- **CFDA**
- **Fund**
- **Contract**
- **Class**
- **Account**
- **Costshare**
- **Project BU**
- **Project**
- **Fringe-Summary[Hor]**

## Buttons

- **Submit**
- **Clear**
- **CSV**
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<th>JOB</th>
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<th>COMBO</th>
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**ACCOUNT** | **EARN END** | **DIST TYPE CODE** | **CHECK** | **CHK DATE** | **FACTOR** | **AMOUNT** |
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**TOTAL** | **AMOUNT** |
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## Effort Report

**Employee Information**

- **Employee Name**: [Redacted]
- **Primary Department**: [Redacted]
- **Reporting Period**: July - December 2021
- **Report Period Begin Date**: 07/01/2021
- **Report Period End Date**: 12/31/2021

**Sponsored Accounts**

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<thead>
<tr>
<th>Certified?</th>
<th>Earnings</th>
<th>Percent of Pay</th>
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<th>Project/Grant</th>
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<td>7250.01</td>
<td>15.06</td>
<td>10007140 Teaching with Primary Sources</td>
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</table>

**University Accounts**

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<tr>
<th>Certified?</th>
<th>Earnings</th>
<th>Percent of Pay</th>
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<th>Department</th>
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<tbody>
<tr>
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<td>Details</td>
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<td>Yes</td>
<td>37881.99</td>
<td>78.70</td>
<td>Details</td>
<td></td>
</tr>
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</table>

**Subtotal**: 7250.01

**Percent Subtotal**: 15.06
Other Tips: Use Details Tab

- Select the “Details” tab on the Effort Report
  - Are other check dates being pulled in (Current vs. Lag)?
  - Are there out of the ordinary Earnings Codes being used?
Other Tips: Excluded Earnings

- **Use HCM Distribution** to compare the checks listed on the “Details” screen on the Effort Report to the ones shown in HCM
  - If there are discrepancies, click on the labor amounts to determine if there are Earnings Codes that need to be excluded.
  - Select the **first** and **last** paycheck listed to determine if Annual Leave Payouts (ALP) or prior earnings are listed.
Other Tips: Excluded Earnings

- 7/15/2021 Paycheck Includes Earnings from prior reporting period and is excluded (Paid on a Lag):

<table>
<thead>
<tr>
<th>NAME</th>
<th>USCID</th>
<th>JOB</th>
<th>HCM DEPT</th>
<th>GROUP</th>
<th>PAY PERIOD</th>
<th>COMBO</th>
<th>CHARTFIELD</th>
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- 7/30/2021 Paycheck includes Annual Leave Payout:

<table>
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<tr>
<th>NAME</th>
<th>USCID</th>
<th>JOB</th>
<th>HCM DEPT</th>
<th>GROUP</th>
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<td></td>
</tr>
</tbody>
</table>

UNIVERSITY OF SOUTH CAROLINA
Other Tips: Excluded Earnings

- $4,409.82 less: ALP of $1,185.50 = $3,224.32
Other Tips: One-time Earnings

- Are there any pay periods that are higher or lower than others?
- If yes, could be an indicator that there may be a One-time earnings code that is excluded from Effort Reporting.
Other Tips: Multiple Jobs

- Does the employee have multiple JOB codes or varying Pay GROUPs?
- If yes, you may need to isolate that funding source and adjust your earnings dates based on if that JOB/GROUP is paid currently or on a lag.
Refresher Training

REGULATIONS, SALARY CAP, & UNIVERSITY POLICIES
Regulations to Know

- **Code of Federal Regulations** – (2 CFR 200) establishes Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards *(Uniform Guidance)*

- [https://www.ecfr.gov](https://www.ecfr.gov)

- **Agency Specific Guidance** (NIH, HHS, NSF, etc.)

- Non-federal grants commonly place references to Uniform Guidance in their agreements, making them subject to the same rules.
Uniform Guidance

• **200.302 – Internal Controls**
  – Establish & maintain effective internal control over the federal award that provide reasonable assurance that the award is being managed in compliance with regulations
  – Take prompt action when instances of noncompliance are identified

• **200.306 – Cost sharing or matching**
  – Any shared costs or matching funds and all contributions, including cash and third party in-kind contribution, must meet the following:
    • Are verifiable from the entity’s records
    • Are not included as contribution for any other award (no double counting)
    • Are necessary and reasonable for the award
Uniform Guidance Cont’d

• 200.403 – Factors affecting allowability of costs
  – Costs must be necessary & reasonable for the performance of the award,
  – Conform to any limitations or exclusions set forth,
  – Be consistent with policies and procedures that apply uniformly to both federally-financed and other activities of the non-federal entity.
    • For example – bonuses or additional compensation cannot be based on the amount of remaining funding on an award.
  – A cost may not be assigned to a federal award as a DIRECT cost if any other cost incurred for the same purpose in like circumstance has been allocated to the federal award as an INDIRECT cost.
    • We cannot directly charge a grant for something that is already incorporated in our IDC rate.
    • For example, generally, we cannot charge electricity or water directly to grant.
Uniform Guidance Cont’d

• 200.404 – Reasonable Costs
  – A cost is reasonable if, in its nature and amount, it does not exceed that which would be incurred by a prudent person.
    • Is the cost generally recognized as ordinary and necessary for the operation of the entity in performance of the award? Is it actually needed & used to accomplish the scope of work?
    • Are sound business practices used (arm’s length bargaining, etc.)?
    • What are the market prices for comparable goods or services for the geographic area?
    • Is the entity significantly deviating from its established practices and policies regarding the incurrence of costs, which may unjustifiably increase the Federal Award’s cost?
  – Example: The University policy is to replace computers every three years. You received a new federal award and decide to replace a computer that is only one year old.
Uniform Guidance Cont’d

• 200.405 – Allocable Costs
  – A cost is allocable if the expense is chargeable or assignable in accordance with relative benefits received. The standard is met if:
    • It is incurred specifically for the awards? Is it actually needed & used to accomplish the scope of work?
    • Benefits both the award and other entity – can be distributed in proportion that can be approximated using reasonable methods,
    • Is necessary to the overall operation of the entity & is assignable.
  – Any cost allocable to a particular award may not be charged to other federal awards to overcome fund deficiencies, to avoid restrictions, regulations, or terms and conditions of award.
  – However, if a cost benefits two or more projects – it must be allocated to the projects based on the proportional benefit.

Example: You have a federal award that ends 6/30/22 and has a remaining balance of $2K. You decide to use it to purchase a new freezer that will be delivered 5/22/22.
- Will the award receive the relative benefits of the purchase?
- Will this really be used to accomplish the scope of work for the award?
Agency Specific Guidance Example - HHS

- HHS Grants Policy Statement – Cost Transfers and Overruns:
  - “Cost transfers by recipients between grants, whether as a means to compensate for cost overruns or for other reasons, generally are unallowable; however, cost transfers by recipient may sometimes be necessary to correct bookkeeping or clerical errors…”
  - “Permissible cost transfers should be made promptly after the error occurs but **NO later than 90 days following occurrence** unless a longer period is approved in advance....” “The transfer must be supported by documentation that fully explains how the error occurred and a certification of the correctness of the new charges. An explanation merely stating that the transfer was made “to correct error” or “to transfer to correct project” is not sufficient.”

90 Days after Occurrence = Date of Original Charge
Applicable Credits

• If you discover erroneous charges have been placed on a grant or award, the 90 day time frame does not apply.

• 2 CFR 200.406 specifically states that the charge needs to be removed and credit applied as needed.

• However, remember – cost overruns are specifically disallowed as an expense on a different grant.
Uniform Guidance - Compensation

• 2 CFR 200.430 (Compensation-Personnel Services), sets the criteria for acceptable methods of charging salaries and wages and requires that institutions follow acceptable methods for documenting the distribution of effort for all project personnel.
  – Must be reasonable for the services rendered and consistent with that paid for similar work.
  – Compensation conforms to the established policy of the non-federal entity and is consistently applied to both federal and non-federal activities.
    • Cannot have “special” rules for federal awards that are inconsistent with University Policy.
Why does this matter?

• Salary is the largest expense on all our sponsored awards.
• As a result, it is our biggest exposure for risk.
• Uniform Guidance requires internal controls to be in place to support effort expended on federal awards and it to be properly documented.
• Effort documentation must provide reasonable assurance that amounts charged are accurate, allowable and properly allocated.
What is considered Time and Effort?

- Effort – “the portion of time spent on a given activity expressed as a percent of total activity for which an individual is employed by the institution”
- Total activity may include but is not limited to teaching, clinical practice, research, preparing proposals, administrative responsibilities, etc.
- Must equal 100%
- Is **NOT** based on workweek of 40 hours
Is Payroll the Same as Effort?

**NO!**

**Payroll:**
- Payroll distributions describe the allocation of an individual’s salary
- Payroll can be expressed as an estimate of actual time worked
- Is the basis for generating the effort report

**Effort:**
- Effort describes how time was actually spent and allocated to the award(s) regardless of whether or not reimbursed by the federal sponsor
Time and Effort Example

You have two faculty members that are both Co-PIs on a large NIH award. Each were proposed to spend 2.25 Academic months (9 month appointment) or 25% on the award.

Upon being awarded the grant, you set up payroll to charge the grant 25% of each faculty member’s salary as outlined in the NOA and grant budget.

Effort certification is the retrospective confirmation or after-the-fact certification that the allocation of an individual’s actual time and effort spent for specific activities is correct. Effort is not just a rubber stamp of the salary or payroll distribution.
Time and Effort Example Cont’d

• Faculty Member 1 averages 40 hours a week as follows:
  – 20 hrs teaching & administrative duties,
  – 10 hrs on the NIH Award
  – 10 hrs on another grant Award A
• Faculty Member 2 average 60 hours a week as follows:
  – 20 hrs teaching & administrative duties
  – 10 hrs on NIH Award
  – 10 hrs on another grant Award A
  – 8 hrs on another grant Award B
  – 12 hrs on another grant Award C
### Time and Effort Example Cont’d

<table>
<thead>
<tr>
<th>ACTUAL EFFORT</th>
<th>Faculty Member 1 (averages 40 hours)</th>
<th>Faculty Member 2 (averages 60 hours)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Teaching &amp; Admin</td>
<td>50% (20/40)</td>
<td>33.3% (20/60)</td>
</tr>
<tr>
<td>NIH AWARD</td>
<td>25% (10/40)</td>
<td>16.7% (10/60)</td>
</tr>
<tr>
<td>Grant A</td>
<td>25% (10/40)</td>
<td>16.7% (10/60)</td>
</tr>
<tr>
<td>Grant B</td>
<td></td>
<td>13.3% (8/60)</td>
</tr>
<tr>
<td>Grant C</td>
<td></td>
<td>20% (12/60)</td>
</tr>
<tr>
<td>Total Effort</td>
<td>100% (40/40)</td>
<td>100% (60/60)</td>
</tr>
</tbody>
</table>

- Faculty Member 2 is overcharging the NIH award by almost 10%!
- Uniform guidance allows for reasonable estimates and does not expect exact amounts or perfection...
- HOWEVER, estimates used should be reviewed and “trued up” based on actual effort expended.
- Variances greater than 5% should be adjusted.
Uniform Guidance

• The Federal government recognizes that, in an academic setting, teaching, research, service, and administration are often inextricably intermingled.

• As a result, effort is based on the time necessary to fulfill 100% of activities for which an individual can be compensated, regardless of the number of hours works. It is not based on a 40-hour work week or on a percent of appointment.

• Uniform Guidance is purposely worded and based on “100% effort” to avoid issues that arise with the various pay or appointment types and the possible over-commitment of faculty time.
What Is a Salary Cap?

• A Salary Cap is an imposed limit for the total salary rate allowed to be charged for an individual by a sponsor.

• Any amount above the salary cap must be recorded as cost share and will be considered mandatory uncommitted cost share to properly capture total expended effort and cannot be used as effort on another sponsored project.

• This is to prevent double counting of effort and ensure faculty do not become overcommitted.
Salary Cap Example

• Dr. Greyhound's annual institutional base salary is $300,000 and they have committed (and expended) 10% effort on an NIH grant that has a salary cap of $203,700.

• Due to the NIH limit, the max we can directly charge his NIH grant is $20,370 ($203,700 x 10%).

• In order to properly record the effort committed (and expended) on the NIH grant, the remainder would have to be booked as cost share on the grant:

  10% Effort at IBS:   $30,000  ($300K x 10%)
  Allowed per Cap:    $20,370  ($203,700 x 10%)
  Amount to Cost Share: $ 9,630  ($30,000 – $20,370)

• Payroll form would directly charge 6.79% and cost share 3.21% to the grant to account for the full 10% effort expended.
In order to help with salary distribution allocations related to Salary Caps, we’ve developed the following Excel spreadsheet template to assist.

To use this template, you will need:

- Employee’s total salary per pay period (remember bonuses or cash awards are excluded)
- Sponsor Salary Cap
- Total effort percentage committed

Template now includes a calculation tab for 9-month and 12-month appointments.
Salary Cap Calculation Template

• In order to help with salary distribution allocations related to Salary Caps, we’ve developed the following Excel spreadsheet template to assist.

• To use this template, you will need to know:
  – Employee’s total salary per pay period (remember bonuses or cash awards are excluded)
  – Sponsor Salary Cap
  – Total effort percentage committed

• You can find this template here:
  – Salary Cap Calculation Workbook Template
  – There is a tab for 12month and 9month Appointments
Helpful Forms, Tools, and Templates:

- Salary Cap Calculation [xlsx]
- Cost Transfer Justification Form [pdf]
- Payroll Retro Funding Change Form [pdf]
Who Should Expect a T&E Report?

• A T&E Report will automatically be generated for any individual who has salary paid from a sponsored project or COST SHARED to a sponsored project.
  – Direct payroll charges
  – Payroll Transfers
  – Late or Retroactive Payroll adjustments
  – Includes **HOURLY** employees (students, etc.)

• It is imperative that you process payroll adjustments **timely.**
Who needs to review and certify effort?

• Reports will be reviewed by Business Managers **FIRST** and then released for certification and approval to the following:
  1. Employees, then
  2. PIs, and
  3. Supervisors last.

• Business Managers will be responsible for ensuring reports are fully executed through the certification process.

• Time and Effort report are based on **primary home departments** of the employee and will automatically workflow to each approver.

• This system ensures PIs and Supervisors are a part of the certification process.
When is the process complete?

• Once an effort report is certified by the Employee, applicable PIs and their Supervisor, the report is considered complete.

• Upon completion, these reports are considered **legal documents** subject to internal and external audits and the **False Claims Act**.
Falsification of Effort Reporting

• Erroneously certifying effort can be viewed as fraud.

• Don’t certify unless the document is correct – Don’t be afraid to ask questions!

• Could result in consequences as outlined in the False Claims Act.
Risks of Non-Compliance

If effort reports are not complete, or completed incorrectly, research sponsors may:

- Disallow expenses and/or require repayment,
- Reduce or eliminate future funding,
- Initiate suspension or disbarment proceeding,
- Take other remedies that may be legally available,
- Require additional oversight of systems and controls.
Examples of Non-Compliance

Duke University (2018)

• NIH issued additional regulations and revoked their expanded authority after discovery of research misconduct. Misconduct included falsified research and embezzlement of research funds dating back to 2010.

• $112.5 million paid back to the government.
Retro Funding Changes & Corrections to Effort Reports

- **ANY** salary reallocations or redistributions directly effect Time & Effort Reporting
- Formal re-certification must be completed and should be taken seriously.
- Transfers should be made within 90 days of the original transaction or post date.
- Please note, if the award is ending, the 90-day window is shortened accordingly (all changes must be posted).
- Cost Transfers are subject to **FINA 3.35 - Cost Transfer Policy**.
Cost Transfers - Payroll Retro Funding Changes

Any cost transfer (including Retro Funding Changes) must have a Cost Transfer Justification Form attached, if they impact sponsored awards. This form replaces the need for any memos that would otherwise have been included when requesting transfers.

This form is to protect all vested parties

- Ensures PI review and approval prior to expenses being moved
- Ensures proper documentation to avoid audit findings
Cost Transfer Justification Form

Access the form using this link:

[Cost Transfer Justification Form]
Payroll Retro Funding Changes

- Please make sure you are using the current Payroll Retro Funding Change form.

- Be sure to enter CORRECT Funding chart strings and corresponding combo codes.

Form can be found on the homepage of the Controller’s Office website or under Helpful Forms, Tools, and Templates in the Grants and Funds Management Section.
EFFORT REPORTING PROCESS

Refresher Training
Accessing Effort Reports

1. Login to PeopleSoft HCM
   – https://hcm.ps.sc.edu/
2. Navigate to “My Workplace” or “My Homepage”
3. Select the “Grant Time and Effort” Tile
4. Select “Update a Grant Report” to verify and release reports to workflow.

• Use the “VIEW a Grant Report” tab to view reports already released to workflow.
Business Manager Verification
Update a Grant Report

Select the appropriate form or report to update.
Sorting eForms

- Sort forms by Reporting Period ID to bring the most current to the top of search results.
Sorting eForms

• You can also filter forms on Form Status by using the drop down menu and selecting “SAVED” or “PENDING”.

• This will exclude previously released or executed forms from your search results.
### Verifying Time and Effort in HCM

#### Time and Effort Reporting: Time and Effort Report

#### Employee Information

- **Employee Name**: [Redacted]
- **Primary Department**: [Redacted]
- **Reporting Period**: July - December 2021
- **Report Period Begin Date**: 07/01/2021
- **Report Period End Date**: 12/31/2021

#### Sponsored Accounts

<table>
<thead>
<tr>
<th>Certified?</th>
<th>Earnings</th>
<th>Percent of Pay</th>
<th>Details</th>
<th>Project/Grant</th>
<th>Department</th>
<th>Cost Share</th>
<th>Op Unit/Dept/Fund/Acct/Class</th>
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</thead>
<tbody>
<tr>
<td>No</td>
<td>10576.58</td>
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<td>Details</td>
<td>10010490 DHEC-MCH Proposal Evaluation</td>
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<tr>
<td>No</td>
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<td>5.87</td>
<td>Details</td>
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<td>115200</td>
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<tr>
<td>No</td>
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<tr>
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#### University Accounts

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<tr>
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<td>115202</td>
<td></td>
<td>CL034 115202 A0001 S1300 101</td>
</tr>
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</table>
Who Can I Contact for Help?

- Use Finance Intranet to look up the Project Team:

![Finance Intranet screenshot showing project information and project team details](image-url)
Who Can I Contact for Help?

• Use the Project Team query in PeopleSoft FINANCE to look up the Business Manager assigned.

• **SC_PROJECTTEAM_LIST** – SC Project Team List Query
Who Can I Contact for Help?

- Select the “HTML” option
- Enter Project number (100XXXXX) in Project field:
Verifying Time and Effort in HCM

### Employee Information

- Employee Name: [Redacted]
- Primary Department: [Redacted]

- Reporting Period: July - December 2021
- Report Period Begin Date: 07/01/2021
- Report Period End Date: 12/31/2021

### Sponsored Accounts

<table>
<thead>
<tr>
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- Subtotal: 3,744.97
- Percent Subtotal: 64.98

### University Accounts

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<td>115202</td>
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- Department: 115202
- Subtotal: 2,017.25
- Percent Subtotal: 35.01

### Footer

- University of South Carolina
# Verifying Time and Effort in HCM

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<th>Pay Group</th>
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<th>To Pay Period</th>
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<td></td>
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<td>12/31/2021</td>
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- Full/Part: All
- Dist.Status: ALL
- Dist.Type: ALL
- Dist.Class: ALL
- Dist.Code: ALL
- Check Date (m/d/y): [Dates]
- HCM BU [Campus]: ALL
- Fiscal Month: ALL
- Fiscal Year: ALL
- Output: Fringe-Summary[Hor]

## Additional Information
- [Submit, Clear, CSV] buttons

[Logo: University of South Carolina]
### Verifying Time and Effort in HCM

**Employee Information**
- **Employee Name**: [Redacted]
- **Primary Department**: [Redacted]
- **Reporting Period**: July - December 2021
- **Report Period Begin Date**: 07/01/2021
- **Report Period End Date**: 12/31/2021

**Sponsored Accounts**

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**Subtotal**: 37449.75
- **University Accounts**
- **Percent Subtotal**: 64.98

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<tbody>
<tr>
<td>No</td>
<td>20176.25</td>
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<td>Details</td>
<td></td>
<td>115202</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Notes**: ADD EFFORT REPORT SCREEN SHOTS
Releasing Effort Reports

- An email notification will be generated automatically from PeopleSoft.
- The email will alert the employee that the report has been routed for their approval.
- The email will contain a link to access the form directly OR they can navigate to it using PeopleSoft HCM.
Effort Report Workflow

- **Employee Stage**: Pending
- **Parallel Stage**:
  - G3FORM_ID=388862, PROJECT_ID=10010490, Initiated
  - G3FORM_ID=388862, PROJECT_ID=10010657, Initiated
  - G3FORM_ID=388862, PROJECT_ID=10010763, Initiated
  - G3FORM_ID=388862, PROJECT_ID=10010786, Initiated
  - G3FORM_ID=388862, PROJECT_ID=10011171, Initiated
- **Supervisor Stage**: Awaiting Further Approvals
Demonstration

EMPLOYEE
Email Notification

From: HTST@peoplesoft.com <HTST@peoplesoft.com>
Sent: Thursday, July 14, 2022 10:46 AM
To: [Redacted]
Subject: Approval Needed: [Redacted], Effort Report, Form #410053

Hello,

A Time and Effort Report has been created for [Redacted], for the July - December 2021 reporting period that requires review and approval. Please login into PeopleSoft HCM to approve this form or follow the link below.


Certification is required to be completed within 30 days. Failure to certify may result in the removal of salary charges from sponsored awards. Do not reply to this email. If you have questions or need assistance, please contact your Business Manager.

If you need assistance accessing and approving the form, please use the training aids found on the Controller’s Office website or by selecting the links below.

If you are an Employee, you can find the training aid here.
If you are a Principal Investigator (PI), you can find the training aid here.
If you are a Supervisor, you can find the training aid here.

Thank you for your prompt attention to this request.

Controller’s Office
Employee Approval

My Pending Approvals (eForms)

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<tr>
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My Pending Approvals - Aging

No data to display

Talent Profile

Benefit Details

Affiliate Actions Homepage

Benefits Enrollment Homepage

ePAF Homepage

Grant Time & Effort

UNIVERSITY OF SOUTH CAROLINA
Employee Approval

[Image of a webpage with search options for Employee Approval, including fields for Form ID, Employee Name, Reporting Period, Primary Department, Form Status, Form Type, Empl ID, Search, and Clear buttons.]
Employee Approval

### Time and Effort Reporting: Time and Effort Report

**Employee Information**

- **Employee Name:** [Redacted]
- **Primary Department:** [Redacted]
- **Reporting Period:** July - December 2021
- **Report Period Begin Date:** 07/01/2021
- **Report Period End Date:** 12/31/2021
- **EmpID:** [Redacted]

### Sponsored Accounts

<table>
<thead>
<tr>
<th>Certified?</th>
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**Subtotal:** 37,449.76

**University Accounts**

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</table>

**Percent Subtotal:** 64.98
To the best of my knowledge and belief, I certify that the payroll percentages reasonably reflect my effort and are consistent with the work I performed during this reporting period. I am aware that filing inaccurate and/or late effort reports may result in punitive actions as noted in federal and University policies.
You have successfully approved your eForm. The eForm has been routed to the next approval step.

### Transaction / Signature Log

<table>
<thead>
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<td>Tiffany Boyd</td>
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<tr>
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<td>PERKINTD</td>
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<td>20 minutes</td>
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### Action Item Log

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<td>Yes</td>
<td>To the best of my knowledge and belief, I certify that the payroll percentages reasonably reflect my effort and are consistent with the work I performed during this reporting period. I am aware that filing inaccurate and/or late effort reports may result in punitive actions as noted in federal and University policies.</td>
<td>PERKINTD</td>
<td>01/20/2022 2:17:20.000000000PM</td>
</tr>
</tbody>
</table>
Employee Approval

Basic Path:
- Approved

Parallel Path:
- Principal Investigator Project

General Settings:
- G3FORM_ID=388862
- PROJECT_ID=10010657
- Pending

Awaiting Further Approvals

Done
Demonstration

PRINCIPAL INVESTIGATOR (PI)
Email Notifications

- The PI(s) will receive an email notification from PeopleSoft alerting them that a report is ready for their review and approval.

---

From: HTST@peoplesoft.com <HTST@peoplesoft.com>
Sent: Thursday, July 14, 2022 10:46 AM
To: [Recipient's email]
Subject: Approval Needed: Time and Effort Report, Form #410053

Hello,

A Time and Effort Report has been created for [recipient's name], for the July - December 2021 reporting period that requires review and approval. Please login into PeopleSoft HCM to approve this form or follow the link below.


Certification is required to be completed within 30 days. Failure to certify may result in the removal of salary charges from sponsored awards. Do not reply to this email. If you have questions or need assistance, please contact your Business Manager.

If you need assistance accessing and approving the form, please use the training aids found on the Controller's Office website or by selecting the links below.

If you are an Employee, you can find the training aid [here].
If you are a Principal Investigator (PI), you can find the training aid [here].
If you are a Supervisor, you can find the training aid [here].

Thank you for your prompt attention to this request.

Controller's Office
<table>
<thead>
<tr>
<th>Certified?</th>
<th>Earnings</th>
<th>Percent of Pay</th>
<th>Details</th>
<th>Project/Grant</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>10576.58</td>
<td>10.35</td>
<td>Details</td>
<td>10010490 DHEC-MCH Proposal Evaluation</td>
</tr>
<tr>
<td>Yes</td>
<td>3881.20</td>
<td>5.07</td>
<td>Details</td>
<td>10010557 RISK Physical Activity, Sedentary</td>
</tr>
<tr>
<td>Yes</td>
<td>14045.98</td>
<td>24.37</td>
<td>Details</td>
<td>10010763 EACH Mom and Baby Collaborative</td>
</tr>
<tr>
<td>Yes</td>
<td>9195.00</td>
<td>15.95</td>
<td>Details</td>
<td>10010764 Rural Border Health Chartbook</td>
</tr>
<tr>
<td>Yes</td>
<td>250.00</td>
<td>0.43</td>
<td>Details</td>
<td>10011171 Study of the U.S. Institutes</td>
</tr>
</tbody>
</table>
To the best of my knowledge and belief, I certify the employee's payroll percentages reasonably reflect their effort on award(s) and are consistent with the work performed during this reporting period where I am the Principal Investigator. I am aware that filing inaccurate and/or late effort reports may result in punitive actions as noted in federal and University policies.
Demonstration

SUPERVISOR
Email Notification

- The Supervisor will receive an email notification from PeopleSoft alerting them that a report is ready for their review and approval.
- If they receive a report for an employee that is not theirs – they need to email their business manager or recycle the form with a comment.

From: HTST@peoplesoft.com, HTST@peoplesoft.com
Sent: Thursday, July 14, 2022 10:46 AM
To: [Email Address]
Subject: Approval Needed: Time and Effort Report, Form #410053

Hello,

A Time and Effort Report has been created for , for the July - December 2021 reporting period that requires review and approval. Please login into PeopleSoft HCM to approve this form or follow the link below.


Certification is required to be completed within 30 days. Failure to certify may result in the removal of salary charges from sponsored awards. Do not reply to this email. If you have questions or need assistance, please contact your Business Manager.

If you need assistance accessing and approving the form, please use the training aids found on the Controller's Office website or by selecting the links below.

If you are an Employee, you can find the training aid here.
If you are a Principal Investigator (PI), you can find the training aid here.
If you are a Supervisor, you can find the training aid here.

Thank you for your prompt attention to this request.

Controller's Office
### Supervisor Approval

**Time and Effort Reporting: Time and Effort Report**

**Employee Information**

- **Employee Name:** [Redacted]
- **Primary Department:** [Redacted]
- **Empl ID:** [Redacted]
- **Reporting Period:** July - December 2021
- **Report Period Begin Date:** 07/01/2021
- **Report Period End Date:** 12/31/2021

**Sponsored Accounts**

<table>
<thead>
<tr>
<th>Certified?</th>
<th>Earnings</th>
<th>Percent of Pay</th>
<th>Details</th>
<th>Project/Grant</th>
<th>Department</th>
<th>Cost Share</th>
<th>Op Unit/Dept/Fund/Acct/Class</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>10576.58</td>
<td>18.35</td>
<td>Details</td>
<td>10010490 DHEC-MCH Proposal Evaluation</td>
<td>115011</td>
<td></td>
<td>CL034 115011 G1000 51300 301</td>
</tr>
<tr>
<td>Yes</td>
<td>3881.20</td>
<td>5.87</td>
<td>Details</td>
<td>10010657 RISK Physical Activity, Seden</td>
<td>115260</td>
<td></td>
<td>CL034 115260 F1000 51300 202</td>
</tr>
<tr>
<td>Yes</td>
<td>14045.98</td>
<td>24.37</td>
<td>Details</td>
<td>10010763 EACH Mom and Baby Collaborativ</td>
<td>115260</td>
<td></td>
<td>CL034 115260 K1000 51300 301</td>
</tr>
<tr>
<td>Yes</td>
<td>9196.00</td>
<td>15.96</td>
<td>Details</td>
<td>10010780 Rural Border Health Chartbook</td>
<td>115260</td>
<td></td>
<td>CL034 115260 F1000 51300 202</td>
</tr>
<tr>
<td>Yes</td>
<td>593.50</td>
<td>0.43</td>
<td>Details</td>
<td>10011171 Study of the U.S. Institutes f</td>
<td>251001</td>
<td></td>
<td>CL072 281001 F1000 51300 301</td>
</tr>
</tbody>
</table>

**University Accounts**

<table>
<thead>
<tr>
<th>Certified?</th>
<th>Earnings</th>
<th>Percent of Pay</th>
<th>Details</th>
<th>Project/Grant</th>
<th>Department</th>
<th>Cost Share</th>
<th>Op Unit/Dept/Fund/Acct/Class</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>20176.25</td>
<td>35.01</td>
<td>Details</td>
<td></td>
<td>115202</td>
<td></td>
<td>CL034 115202 A0001 51300 101</td>
</tr>
</tbody>
</table>
Supervisor Approval

File Attachments

<table>
<thead>
<tr>
<th>Status</th>
<th>Action</th>
<th>Description</th>
<th>File Name</th>
<th>Remove</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Upload</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Add

Action Items

Acknowledgement

To the best of my knowledge and belief, I certify that I have firsthand knowledge of the employee, and the payroll percentages reasonably reflect their effort and are consistent with the work performed during this reporting period. I am aware that filing inaccurate and/or late effort reports may result in punitive actions as noted in federal and university policies.

Comments

[Buttons: Search, Recycle, Hold, Print, Approve]
Supervisor Approval

At this point the Effort Report is considered complete and will fully execute in the system!
eForm Workflow

- The Time and Effort eForm begins with Business Manager verification and will then workflow to the Employee, PI and Supervisor for certification.
- An email notification will be sent alerting the employee, applicable PIs, and supervisor when a form is ready for their certification.
- If a retro funding change is processed after it is already part way through the workflow process, it will recycle back to the Business Managers to verify the change and the certification process will begin again.
- An email notification will also be sent when a form is recycled.
- If the Employee and the PI or the Supervisor and the PI are the same individual, the certification at the PI approval step will be automatic.
eForm Status Options

• Business Manager – Receives the reports in “Saved” status and submits or releases them to Employees for certification.

• Employees, PIs & Supervisors receive the reports in “Pending” status (because they are pending approval)

• If a report is recycled at any point, the report will return to the Business Manager in a “Partially Approved” Status

• Once a report is fully certified, the report status is “Executed”.

Use View Option to review form status, not Update! (to prevent accidently restarting workflow)
Business Manager Responsibilities

• To serve as central point of contact for Time and Effort certification.
• To assist employees, PIs and supervisors with certification process.
• Training aids and tools are available.
  – Video Demos are available demonstrating each approver role (Employee, PI and Supervisor)
  – Training Aids for each role are available
# Video Demos

## Time and Effort Reporting System

The Time and Effort Report eForm workflows through business managers, employees, principal investigators and supervisors. The resources below outline this process and how it will affect your grant paid employees.

### Business Managers Resources

- [Time and Effort Report - Business Manager Presentation](#)
- **[Time and Effort Report - Business Manager Demo Video](#)**
- [Time and Effort Report - Business Manager Job Aid](#)
- [Time and Effort Process Map](#)
- [Earning Codes List](#)

### Employee Resources

- [Time and Effort Report - Employee Presentation](#)
- **[Time and Effort Report - Employee Demo Video](#)**
- [Time and Effort Report - Employee Job Aid](#)

### Principal Investigator Resources

- [Time and Effort Report - Principal Investigator Presentation](#)
- **[Time and Effort Report - Principal Investigator Demo Video](#)**
- [Time and Effort Report - Principal Investigator Job Aid](#)

### Supervisor Resources

- [Time and Effort Report - Supervisor Presentation](#)
- **[Time and Effort Report - Supervisor Demo Video](#)**
- [Time and Effort Report - Supervisor Job Aid](#)
Time and Effort Certification eFORM process (GT)

**GFM and Business Managers**
- Batch Process generates T&E Reports
- GFM Sends out mass notification (as normal)
- Business Managers receive reports
- Is Distro correct?
  - YES: BM Acknowledges and releases to EE for Certification
  - NO: Keep form, saved and process needed
- System refreshes form
- Is Distro Correct?
  - YES: BM Acknowledges and releases to EE Review
  - NO: Repeat steps until distro is correct

**Employee Review**
- EE Review
- Is Distro Correct?
  - YES: Recycle form with Comments back to BM
  - NO: If employee is no longer active, skips and goes to PI
  - Certify and route to PI

**PI/PS Review**
- PI Review (parallel if multiple)
- Is Distro Correct?
  - NO: Recycle form with Comments back to BM
  - YES: Recycle form with Comments back to BM
- If SPR and PI are the same, PI certification may be automatic at the PI step

**Supervisory Review**
- SPR Review
- Is Distro Correct?
  - NO: Recycle form with Comments back to BM
  - YES: Certify, form becomes fully Executed.

**GFM**
- Logs and maintains fully executed forms. Once forms are fully executed, they cannot be refreshed. GFM will review changes that affect executed forms and determine if a new form needs to be created and if re-certification is needed.
Summary

• Spending out Grants is **unallowable**
• Errors/corrections must be identified timely!
• T&E is “After-the-Fact” accounting of actual time spent on a specific project.
• **Must** be certified by the employee
• **Must** be certified by a PI and Supervisor with first-hand knowledge of the employee’s effort.
• **Must** be incorporated into official records of the university & is subject to audit and the False Claims Act
• **Must** be done in a timely manner.
Where to Find Resources

Grants and Funds Management
Grants and Funds Management is responsible for the accounting and management of all restricted grants and contracts within the university system.

Our Services
The Grants and Funds Management team:
- monitors all sponsored programs
- reviews expenses for compliance with grant terms and Uniform Guidance
- prepares and submits all invoices for sponsored programs, applies payments, and performs collections as necessary
- prepares all financial reporting and provides financial status information for sponsors
- manages external sponsor audits and desk reviews
- responsible for set up of all sponsored programs in PeopleSoft
- responsible for close out of all sponsored program awards in PeopleSoft
- prepares and negotiates indirect cost rate agreement

Contact Grants and Funds Management
For questions about any Grants and Funds Management services, please contact us directly:

Marie Baisa
Assistant Director
MBaisa@mailbox.sc.edu

Anita Potts
Senior Manager – Accounts Receivable and Billing
POTTMAAnita@mailbox.sc.edu

- Expand All

- Expand All

Webinars and Training
- Introduction to Grants Management
- Grant Dashboard Reporting Tool
- P2S Award and Grant Closeout
- Uniform Guidance and Effort Reporting
- HCM Payroll Distribution Reporting Tool
- New Time and Effort Reporting System
- New Cost Transfer Policy and Retro Funding Change
Questions?

Contact:
Grants and Funds Management Office
gfme-cert@mailbox.sc.edu