OFFICE OF THE CONTROLLER

Compliance Team

Time and Effort Reporting

Refresher for Business Managers

January 2025

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Agenda

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Reminders

University of South Carolina

Business Manager Responsibilities

- Use the HCM Distribution Tool located on the Finance Intranet to validate the accuracy of time and effort reports.

- Release reports to the employee for review/certification after verification occurs by submitting the report.

- Serve as the central point of contact for time and effort certifications for employees in your department for awards which you are responsible for.

- Assist employees, PIs, and supervisors with the certification process.

- Direct employees, PIs, and supervisors to available training aids and tools.

- Submit any needed retro funding journal entry requests, along with required supporting documentation, to the Retro JE mailbox (**RetroJE@mailbox.sc.edu**).

- Ensure all applicable effort reports are fully approved and executed within the system in a timely manner, which should include regular monitoring of completion status and follow up with approvers as needed.

The Controller's Office Compliance Team relies on Business Managers to assist in achieving compliance. There are ~3,300 University-wide effort reports each reporting cycle.

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Employee Responsibilities

- Review their effort report for accuracy in a timely manner.
- Electronically certify all lines on their effort report and provide a certification statement attesting to its reasonableness.
- Promptly communicate and coordinate with Business Managers regarding any identified inaccuracies and needed corrections.

PI Responsibilities

- Review the effort report of any employee who provided effort to their project(s) for accuracy in a timely manner.
- Electronically certify the lines on the effort report associated with their project(s) and provide a certification statement attesting to its reasonableness.
- Correspond with Business Managers regarding questions and issues.
- Promptly communicate and coordinate with Business Managers regarding any identified inaccuracies and needed corrections.

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Supervisor Responsibilities

- Review the effort report of any applicable supervisee in a timely manner.
- Electronically certify any remaining lines on the effort report and provide a certification statement attesting to its reasonableness. Correspond with Business Managers regarding questions and issues.
- Promptly communicate and coordinate with Business Managers regarding any identified inaccuracies and needed corrections.

Important Dates

The next cycle of Time and Effort reports, for the July – December 2024 (period 15), will be made available on **Monday, February 3rd, 2025**. Business Managers will receive an email notification and memo on this date, through the BIZMANAGER listserv, alerting them that reports are ready for your review.

Reports will be due on **Wednesday, March 5th, 2025**.

All payroll corrections that affect the reporting period should be submitted by **Friday, January 24th, 2025**.

Effort reports will be generated and made available **one month sooner** than past periods.

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Timeliness Requirement

Certification is required to be completed within 30 **total** days – which encompasses the date of release to the receipt of the final approval (including Employee, PI, and Supervisor approvals).

To address previous misunderstanding, email notifications have been updated to specify **"Certification is required to be completed promptly within 3 days of receipt."**

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Timeline

30 Day Timeliness Requirement

Report Generation: 2/3/2025

BM Report Release Goal Deadline: 2/15/2025

9 days - Allotment for employee (3 days), PI (3 days), and supervisor (3 days) review and approval 2/15 - 2/24/2025

1-week - Allotment for issue resolution 2/24 - 3/5/2025

Report Due Date: 3/5/2025
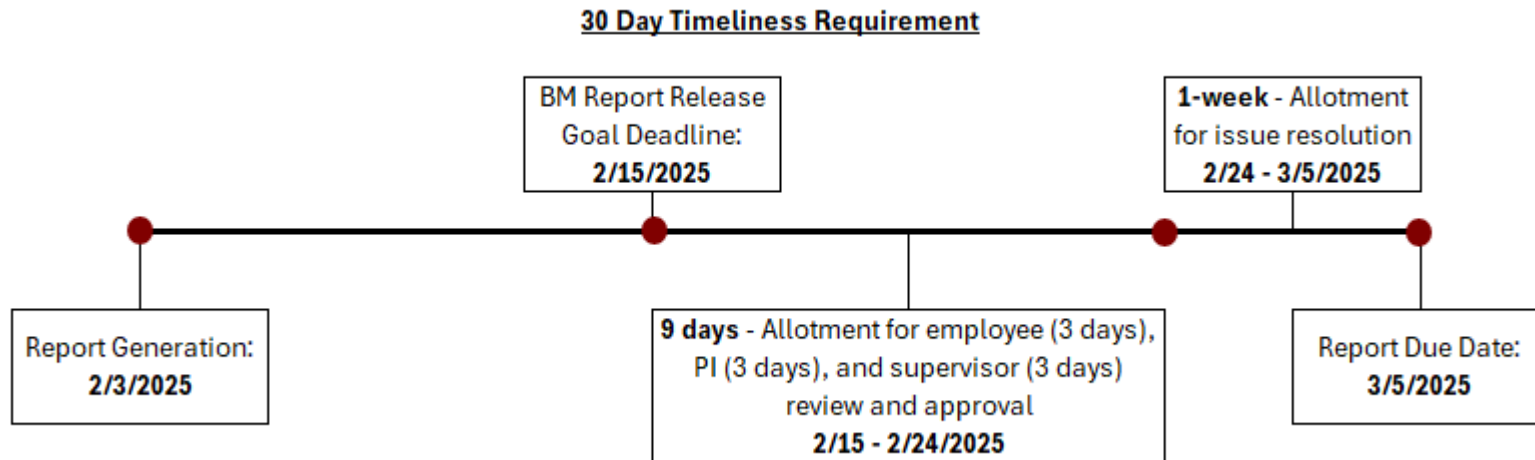
As a general rule of thumb, Business Managers should release all effort reports to approvers no later than two weeks after report generation.

Business Managers must validate and release reports to approvers soon enough to:

- Give approvers the opportunity to comply with the timeliness requirement and
- Allow sufficient time to resolve any identified issues.

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Central Mailbox

- Questions regarding time and effort reports should be directed to **timeandeffort@sc.edu**, which is a central mailbox monitored by the Compliance Team.

- As a reminder, this mailbox replaces **GFMeCert@mailbox.sc.edu**.

- The Compliance Team monitors the time and effort reporting process rather than Grants and Funds Management (GFM); the mailbox was renamed last reporting cycle to eliminate confusion regarding the responsible area.

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Update Supervisors

It is important for Business Managers to ensure supervisors are updated in PeopleSoft HCM accordingly to prevent workflow routing errors and ease the administrative burden for all parties involved.

Business Managers can view supervisor information in HCM Distribution using the Demographic Output option.
If a supervisor is not listed, update the supervisor in People Admin or work with your department HR Contact to do it for you.

From Pay Period	Num of Records
06/30/2023	10000
To Pay Period	**Order By**
06/30/2023	Chartfield,Name
Fiscal Month	☐ Total
ALL	☐ Sub-Total
Fiscal Year	☑ Detail
ALL	☐ Sum.Adjustments
Pay Run ID	**Output**
	Demographic

NAME	USCID	JOB EFFECTIVE	JOB	JOB INFO	STD.	HCM BU-DEPT	SUPERVISOR	GROUP	PAY PERIOD	COMBO	CHARTFIELD
		05/15/2023-06/30/2023	UG74	0:FTE Full Time Reg.	40	SCCOL-610000	Arnett,Donna Kay	C12	06/30/2023	A00000006416	CL044-159000-A0001-101--
		06/12/2023-	AH50	0:RGP Full Time Research	40	SCCOL-159100		C12	06/30/2023	A00000002312	CL044-159000-EN700-202-80000308-

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Changes and Corrections

During report certification, if the need for a change or correction is identified, the associated Payroll Retro Funding Change Form (and accompanying Cost Transfer Justification Form) **must be completed and submitted promptly**.

Business Managers should identify any needed changes/corrections during the initial verification process and employees, PIs, and supervisors should coordinate with their Business Managers to initiate any needed changes or corrections identified during certification.

Failure to request corrections in a timely manner increases the risk of untimely certification.

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Changes and Corrections

Every effort must be made to ensure effort reports are accurate before certification occurs. **It is not appropriate for corrections to be requested after an effort report has been executed.**

When a correction is posted for an already-executed effort report, recertification of a new effort report is required by all parties.

When the impacted effort report has already been executed, in addition to standard cost transfer documentation, departments are responsible for providing a **signed letter from the Dean (or Director)** to support the correction request that attests to (1) acknowledgement of the issue and untimely transfer request; and (2) a corrective action plan to mitigate future occurrences. These corrections will also require **approval from the University Controller**.

This is an added administrative burden (for both the department and Controller's Office) that can be avoided by completing timely payroll reviews.

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Email Notifications

- Employees, PIs, and Supervisors will receive automated email notifications from PeopleSoft when an effort report is available for review and approval.

- These notifications will come from: **Peoplesoft@peoplesoft.com**

- These emails are **<u>NOT</u>** spam or phishing.

- If an approver is uncomfortable clicking the link within the email notification, they may also log directly into PeopleSoft HCM to approve any pending reports.

- The email notifications include links to respective job aids.

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Email Notification Example

Approval Needed: ~~Readory Christopher Ralph~~ Effort Report, Form #775707

P PeopleSoft@peoplesoft.com
To ~~Ee, Lindsay; Taylor, Clare~~

😊 ↩ Reply ↩ Reply All → Forward 📇 ⋯

Wed 10/30/2024 11:01 AM

A Time and Effort Report has been created for ~~Reardon, Christopher Ralph~~ for the January - June 2024 reporting period that requires review and approval. Please login into PeopleSoft HCM to approve this form or follow the link below.

https://hcm-prd.ps.sc.edu/psp/HPRD/EMPLOYEE/HRMS/c/G3FRAME.G3SEARCH_FL.GBL?Page=G3SEARCH_FL&Action=U&G3FORM_ID=775707&G3FORM_TASK=EVL

Certification is required to be completed promptly within 3 days of receipt. Failure to certify **may result in the movement of salary charges from sponsored award accounts to departmental accounts**, in accordance with University policy and procedure FINA 3.12. Do not reply to this email. If you have questions or need assistance, please contact your Business Manager.

*If you are an **Employee** attempting to certify your own report, you can find the training aid [here](.).*

*If you are a **Principal Investigator (PI)** attempting to certify another's report, you can find the training aid [here](.).*

*If you are a **Supervisor** attempting to certify an employee's report, you can find the training aid [here](.).*

Thank you for your prompt attention to this request.

Compliance Team

USC Controller's Office

timeandeffort@sc.edu

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eForm Statues

Status	Description	Responsible Party
Saved	Report still requires validation and release; no action has been taken, approvers have not received the report	Business Manager
Pending	Report is awaiting approval	Employee, PI, or Supervisor
Recycled	Issue/error identified during the certification process that requires correction; report will need to be revalidated/re-released and reapproved after resolution	Business Manager
Executed	Report is fully certified and complete	N/A – no further action required

eForm "Hold" Option

- The option to **HOLD** an effort report **should not be used** – please remind your users!

- Placing a report on hold will cause it to be "stuck" in the workflow.

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

- Once effort reports are released (or "submitted") by Business Managers, approvers should:
  - o **Recycle** the form if there are discrepancies or corrections needed, or
  - o **Approve** the form

Key Takeaways

- Time and effort reporting is "after-the-fact" accounting of actual time spent on a specific sponsored project.

- Errors **must** be identified and corrected **timely**!

- Reports **must** be certified by the employee.

- Reports **must** be certified by a PI and supervisor with first-hand knowledge of the employee's effort.

- Spending out grants is **unallowable**.

- Effort reports are incorporated into the official records of the University and are subject to audit and the False Claims Act.

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Resources

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Accessing Queries

- Access Effort Reporting by selecting the **My Workplace** or **My Homepage** tab in **PeopleSoft HCM**.

- The name you see is based on the assigned roles you have in HCM.
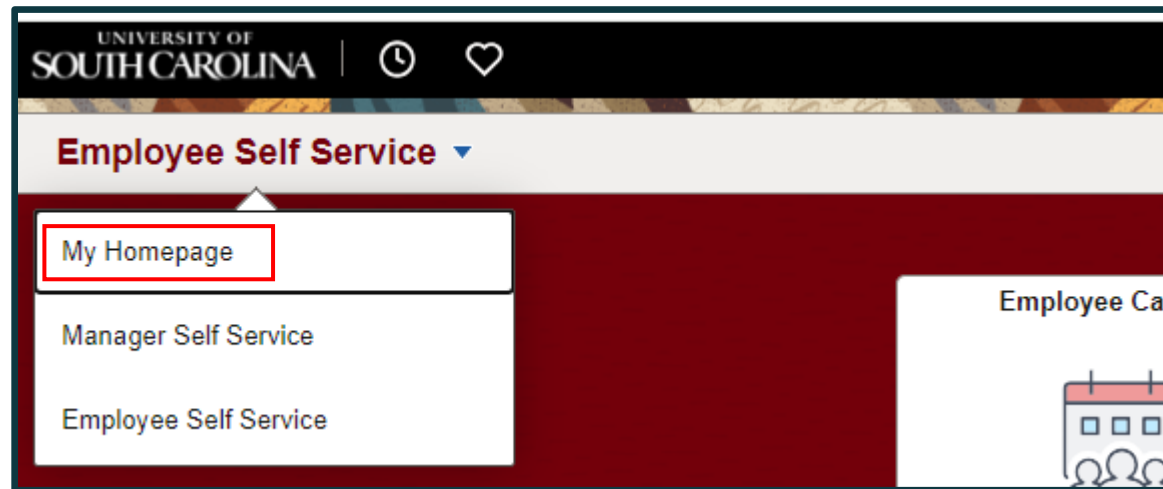
My Grant Reports Tile

Use the **My Grant Reports** tile in PeopleSoft HCM to manage the effort report approval process and access several on-demand queries:

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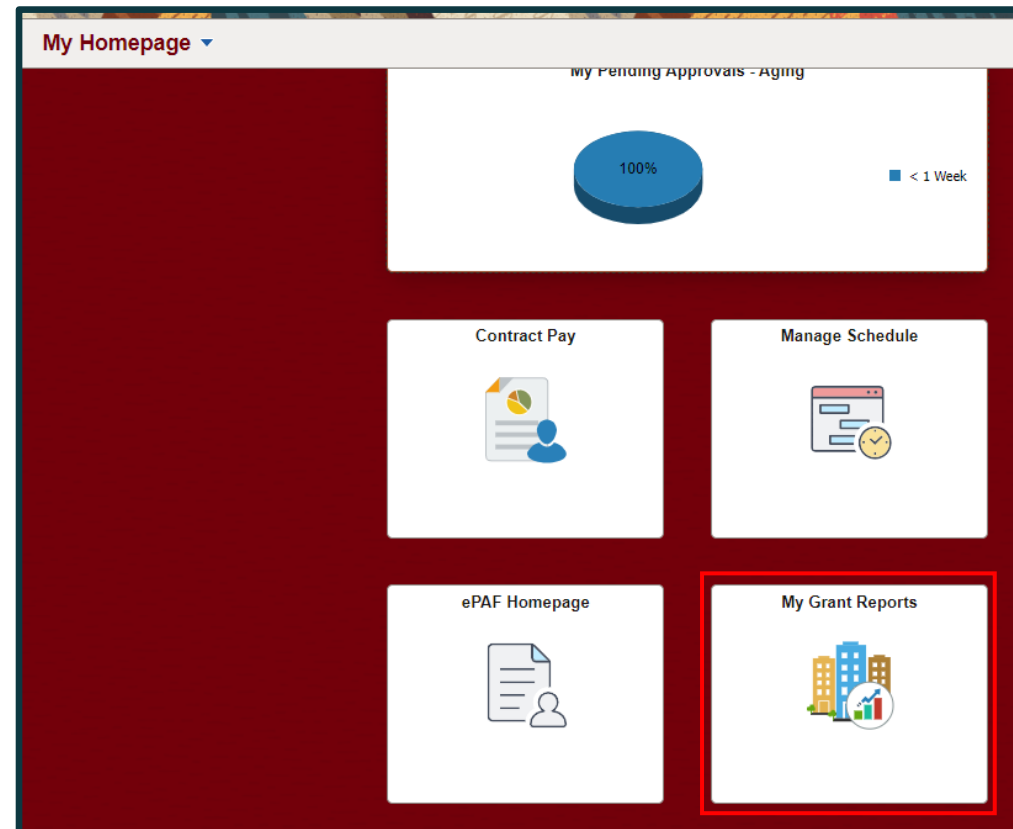
My Grant Reports Queries

Select the query you would like to run:

- **My Saved Effort Reports**: View all effort reports that are in "Saved" status; these require verification and release to the approvers.

  (USC_GRANT_TE_REPORT_BUS_MGR_PV)

- **Effort Reports Pending Approval by Others**: View all effort reports that are currently in "Pending" status; it displays the name and email address of the pending approver.

  (SC_MY_GRANT_FORMS_PENDING)

- **Executed/Approved Effort Reports**: View all effort reports that have been fully approved or executed; these require no further action.

  (USC_GRANT_TE_EXECUTED_FORMS)

- **Effort Reports by HCM Dept**: View a listing of all effort reports and related funding for individuals in a specific department.

  (SC_PY_GRANT_TOTALS_BY_DEPT)

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Reporting Period IDs

Reporting Period ID	Period Period Name
1	April - December 2019
6	January - June 2020
7	July - December 2020
8	January - June 2021
9	July - December 2021
10	January - June 2022
11	July - December 2022
12	January - June 2023
13	July - December 2023
14	January - June 2024
15	July - December 2024

Future IDs will be added as they are created within the system. The Reporting Period IDs will increase by one as they are added.

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Troubleshooting, Tips, and Tricks

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Access Issues

- If you or one of your approvers has trouble logging into PeopleSoft HCM or accessing a report, below are the most common solutions:
  - Try a different browser (e.g., Edge, Chrome, Safari, etc.)
  - Clear the cache of the current browser and try again. You must completely close out of a browser (all tabs) and re-open after clearing your cache
  - Submit a self-service HCM Help Desk ticket

- If you don't know how to clear your cache or how to submit an HCM Help Desk ticket, email **timeandeffort@sc.edu** for instructions.

- **Tip**: Create an email template or "signature" with these troubleshooting steps to quickly respond to staff.

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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" status; this will show you a listing of all the reports that still need to be verified and released to approvers by you.

- Effort report certification is a multi-approver process; if one approver in the process recycles a report for corrections, you must review and take action:
  - o Once the issue is resolved, the entire report will have to go through the approval process again.
  - o You will have to **re-release** the report the approvers.

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Managing Multiple Notifications

- PeopleSoft automatically sends an email notification to the person in each approval role.

- As a result, if the same person is listed in multiple roles on the report (e.g., PI and Supervisor), they will receive multiple email alerting them to approve, but they only need to approve **once**.

- We recognize this is not ideal and will work with our IT Team to fix this for future reporting periods; however, in the meantime, we recommend the following:
  - o Create a folder within your Outlook mailbox and use the Manage Rules & Alerts feature to route these notifications to a created designated folder.
  - o Log directly into PeopleSoft HCM to view your queue frequently.

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Pending Approver Errors

If a Pending Approver is one of the following, you will need to contact the Compliance Team (**timeandeffort@sc.edu**) to have the correct departmental approver inserted (usually a Supervisor):

- o Sydney Williams
- o DeAnna Sloop
- o Lindsay Crawford
- o Tiffany Boyd
- o Lindsey Cox
- o Rachel Goode
- o Shannon Nickens

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Excluded Earnings Codes

- Certain types of pay are excluded from effort reporting – the most common are highlighted.

- When a specific ERN code is excluded, you will see that pay reflected in HCM, but not the effort report.

Earn Code	Description	Earn Code	Description	Earn Code	Description
$AC	All Earnings Codes - System Cd	BON	Bonus	OVP	Overpayment Deduction
$NA	N/A - Retro Place Holder	BOT	Board of Trustees	PNE	Paid Not Earned
ACF	Athletic Fringe Car	CAR	Car Allowance Cash	RBU	Referral Bonus Upstate Law Enf
ADP	Adoption Assistance	CAT	Car Allowance Teach Treaty	RET	Non Monetary Awd Teach Treaty
AFT	Athletic Fringe Teach Treaty	CNB	Critical Need Bonus	RSV	Intl FaC Overload Retro Std
AL3	Annual Leave Payout Class III	ENP	Paid Not Earned	SBI	State Approved Bonus_Intl
ALL	Annual Leave Lost	FOR	Faculty Overload Retro	SBS	State Approved Bonus_Intl Stu
ALP	Annual Leave Payout	FOV	Faculty Overload	SLL	Sick Leave Lost Student
ALS	AL Payout Student Treaty	HAT	Housing Allowance Teach Treaty	SLT	Sick Leave Lost Teacher
ALT	AL Payout Teaching Treaty	HOU	Housing Allowance Cash	STB	State Approved Bonus
ATC	Athletic Contract Pay	IOV	International Faculty Overload	TFB	Taxable Fringe Benefits
ATH	Athletics Fringe Benefits	ISV	Intl Fac Overload Std Trty	TFS	Taxable Frg Ben Std Trty
AWD	Monetary Cash Awards	MEP	Media Engagement Pay	TFT	Taxable Fringe Ben Teach Trty
AWS	Monetary Cash Student Treaty	MET	Moving Expenses Teache	THB	Taxable Housing Benefit
AWT	Monetary Cash Awd Teach Treaty	MOS	Moving Expenses Student	XRG	Earnings Balances
BNS	Bonus Student Treaty	MOT	Moving Expenses Teaching		
BNT	Bonus Teaching Treaty	MOV	Moving Expenses		

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Percent of Pay / Computed Effort Column

This column is calculated as:

Salary charged to a chartstring (only eligible ERN codes)

divided by

Total Salary captured within the report

3,383 / 6,580 = 51.41%

Certification and Acknowledgement Fields – New Format

In previous reporting cycles, the certification and acknowledgement were completed by toggling each field from No to Yes:

However, a recent upgrade to the system changed the format – the fields no longer display text:

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Verifying Effort Reports using HCM Distribution

The current cycle will be 7/1/24 – 12/31/24

HCM Distribution

The current cycle will reflect pay periods of 7/15/24 – 12/31/24

HCM Distribution

NAME	USCID	FISCAL PERIOD : JOURNAL	JOB	HCM DEPT	GROUP	PAY PERIOD	CHECK	CHK DATE	COMBO	CHARTFIELD	LBR $
		2122-1 : PAY0123964	VSUM	157000	SRC	07/15/2021		07/15/2021	A00000006642	CL070-157000-F1000-301-10007140-	2,416.67
		2122-1 : PAY0124738	VSUM	157000	SIC	07/31/2021		07/22/2021	A00000006642	CL070-157000-F1000-301-10007140-	411.09
		2122-1 : PAY0125017	VSUM	157000	SRC	07/31/2021		07/30/2021	A00000006642	CL070-157000-F1000-301-10007140-	2,416.67
		2122-2 : PAY0125851	VSUM	157000	SRC	08/15/2021		08/13/2021	A00000006642	CL070-157000-F1000-301-10007140-	2,416.67
											7,661.10
CL070-157000-F1000-301-10007140-											7,661.10
		2122-1 : PAY0123964	VSUM	157000	SRC	07/15/2021		07/15/2021	A00000052613	CL070-157117-A0001-101--	(411.09)
		2122-1 : PAY0124738	VSUM	157000	SIC	07/31/2021		07/22/2021	A00000052613	CL070-157117-A0001-101--	(411.09)
		2122-2 : PAY0126765	UG74	157000	C09	08/31/2021		08/31/2021	A00000052558	CL070-157117-A0001-101--	4,209.11
		2122-3 : PAY0127576	UG74	157000	C09	09/15/2021		09/15/2021	A00000052558	CL070-157117-A0001-101--	4,209.11
		2122-3 : PAY0128464	UG74	157000	C09	09/30/2021		09/30/2021	A00000052558	CL070-157117-A0001-101--	4,209.11
		2122-4 : PAY0129481	UG74	157000	C09	10/15/2021		10/15/2021	A00000052558	CL070-157117-A0001-101--	4,209.11
		2122-4 : PAY0130234	UG74	157000	C09	10/31/2021		10/29/2021	A00000052558	CL070-157117-A0001-101--	4,209.11
		2122-5 : PAY0131321	UG74	157000	C09	11/15/2021		11/15/2021	A00000052558	CL070-157117-A0001-101--	4,209.11
		2122-5 : PAY0131839	UG74	157000	C09	11/30/2021		11/30/2021	A00000052558	CL070-157117-A0001-101--	4,209.11
		2122-6 : PAY0132730	UG74	157000	C09	12/15/2021		12/15/2021	A00000052558	CL070-157117-A0001-101--	4,209.11
		2122-6 : PAY0133257	UG74	157000	C09	12/31/2021		12/23/2021	A00000052558	CL070-157117-A0001-101-	4,209.11
											37,059.81
CL070-157117-A0001-101--											37,059.81
TOTAL											44,720.91

HCM and the effort report do not match!

Sponsored Accounts:

Earnings	Project/Grant
7250.01	10007140 Teaching with Primary Sources

University Accounts:

Earnings	Op Unit/Dept/Fund/Acct/Class
3000.00	CL070 157000 E8036 51300 301
37881.99	CL070 157117 A0001 51300 101

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Pay Groups

Pay Group	Pay Group Description	Type	9 or 12 or H
C09	9 month current	Current	9
C12	12 month current - Exempt and N/E	Current	12
HRL	Hourly	Lag	H
I09	International 9 month Lag	Lag	9
I12	International 12 month Lag	Lag	12
IC1	International 12 month Current	Current	12
IC9	International 9 month Current	Current	9
IHR	International Hourly	Lag	H
I01	International Treaty Other 12 month Lag	Lag	12
I02	International Treaty Other 12 month Current	Current	12
I03	International Treaty Other 9 month Lag	Lag	9
I04	International Treaty Other 9 month Current	Current	9
IS1	International Treaty Student 12 month Lag	Lag	12
IS2	International Treaty Student 12 month Current	Current	12
IS3	International Treaty Student 9 month Lag	Lag	9
IS4	International Treaty Student 9 month Current	Current	9
ISH	International Student Hourly	Lag	H
IT1	International Treaty Teach 12 month Lag	Lag	12
IT2	International Treaty Teach 12 month Current	Current	12
IT3	International Treaty Teach 9 month Lag	Lag	9
IT4	International Treaty Teach 9 month Current	Current	9
ITH	International Treaty Teach Hourly	Lag	H
P09	9 month lag	Lag	9
P12	12 month lag - Exempt and N/E	Lag	12
P28	Police 28 day	Current	12
SUM	Summer	Current	12
T12	Student/Temporary Salary 12 month Lag	Lag	12
TC1	Student/Temporary Salary 12 month Current	Current	12
SRC	Summer Research Current	Current	3
SRL	Summer Research Lag	Lag	3
SIC	Summer Instruction Current	Current	3
SIL	Summer Instruction Lag	Lag	3

- An employee's Pay Group dictates whether they are paid on currently or on a lag.
- The way the pay data is pulled in HCM Distribution can be impacted based on the pay type (current vs. lag).

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HCM Distribution

The current cycle will reflect earning dates of 7/1/24 – 12/31/24

HCM Distribution

HCM and the effort report now match!

Other Tips: Use Details Tab

Select the "Details" tab on the effort report to gain insight:
- o Are other checks being pulled in? (Current vs. Lag)
- o Are there out of the ordinary Earnings Codes being used?

Time and Effort Reporting : Time and Effort Report

Employee Information

Employee Name
Primary Department
Reporting Period   July - December 2021
Report Period Begin Date   07/01/2021

Hide Chartfields

Sponsored Accounts

	Certified?	Earnings	Percent of Pay	Details	Project/Grant		
1	Yes	3224.32	100.00	Details	0010305 Student Support Services	984101	UP000 984101 F1000 51200 501

Subtotal 3224.32
Percent Subtotal 100.00

Line Detail

Department   PROVOST & VC FOR AA ADMINISTRA

Project   10010305 Student Support Servi

Chartstring   UP000 984101 F1000 51200 501

3 rows

	Earnings End Date	Check Date	Empl Rcd	Earn Code	Earnings
1	07/08/2021	07/30/2021	0	HOL	138.46
2	07/08/2021	07/30/2021	0	REG	679.72
3	07/08/2021	08/05/2021	0	RTM	2406.14

RTM = Retro Pay Manual

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Other Tips: Excluded Earnings

Use HCM Distribution to compare the checks listed on the "Details" screen from 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 Payments (ALP) or prior earnings are listed.

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Other Tips: Excluded Earnings

- 7/15/21 paycheck includes earnings prior to the reporting period and is excluded (paid on a lag):

NAME	USCID	JOB	HCM DEPT	GROUP	PAY PERIOD	COMBO	CHARTFIELD	
		ACCOUNT	EARN END	DIST. TYPE: CODE		CHECK : CHK DATE	FISCAL PERIOD : JOURNAL	
		CB70	988990	P12	07/15/2021	A00000063388	UP000-984101-F1000-501-10010305-	
1		51200	08/30/2021	ERN:REG-Regular Pay		07/15/2021	2122-1:PAY0123964	1500
		LABOR: 1,500.00 (100.00%)		FRINGE: (0.00%)				1,500.00

> 6/30/21 earnings paid out on 7/15/21

- 7/30/21 paycheck includes Annual Leave Payout (ALP), which is also excluded:

NAME	USCID	JOB	HCM DEPT	GROUP	PAY PERIOD	COMBO	CHARTFIELD	
			ACCOUNT	EARN END	DIST. TYPE: CODE		CHECK : CHK DATE	FISCAL PERIOD : JOURNAL	
		CB70	988990	P12	07/31/2021	A00000063388	UP000-984101-F1000-501-10010305-	
1		51200	07/08/2021	ERN:AL3-Annual Leave Payout Class III		: 07/30/2021	2122-1:PAY0125017	1185.5
2		51200	07/08/2021	ERN:HOL-Holiday Pay		: 07/30/2021	2122-1:PAY0125017	138.46
3		51200	07/08/2021	ERN:REG-Regular Pay		: 07/30/2021	2122-1:PAY0125017	679.72
		LABOR: 2,003.68 (100.00%)		FRINGE: (0.00%)				2,003.68
LABOR:	2,003.68			FRINGE:	(0.00%)		TOTAL:	2,003.68

> AL3 (Annual Leave Payout Class III) of $1,185.50

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Other Tips: Excluded Earnings

NAME	USCID	FISCAL PERIOD : JOURNAL	JOB	HCM DEPT	GROUP	PAY PERIOD	CHECK	CHK DATE	COMBO	CHARTFIELD	LBR $
		2122-1 : PAY0125017	CB70	988990	P12	07/31/2021		07/30/2021	A00000063388	UP000-984101-F1000-501-10010305-	2,003.68
		2122-2 : PAY0125851	CB70	988990	P12	08/15/2021		08/05/2021	A00000063388	UP000-984101-F1000-501-10010305-	2,406.14
											4,409.82
UP000-984101-F1000-501-10010305-											4,409.82

When the Annual Leave Payout is excluded, HCM appropriately matches the effort report:

$4,409.82 less Annual Leave Payout of $1,185.50 = $3,224.32

Time and Effort Reporting : Time and Effort Report   Form ID

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

[Hide Chartfields]

Sponsored Accounts

1 row

	Certified?	Earnings	Percent of Pay	Details	Project/Grant	Department	Cost Share	Op Unit/Dept/Fund/Acct/Class
1	Yes	3224.32	100.00	Details	10010305 Student Support Services	984101		UP000 984101 F1000 51200 501

Subtotal 3224.32
Percent Subtotal 100.00

NAME	USCID	JOB	HCM DEPT	GROUP	PAY PERIOD	COMBO	CHARTFIELD	
			ACCOUNT	EARN END	DIST. TYPE: CODE	CHECK : CHK DATE	FISCAL PERIOD : JOURNAL	AMOUNT
		CB70	988990	P12	07/31/2021	A00000063388	UP000-984101-F1000-501-10010305-	
1			51200	07/08/2021	ERN:AL3-Annual Leave Payout Class III	: 07/30/2021	2122-1:PAY0125017	1185.5
2			51200	07/08/2021	ERN:HOL-Holiday Pay	: 07/30/2021	2122-1:PAY0125017	138.46
3			51200	07/08/2021	ERN:REG-Regular Pay	: 07/30/2021	2122-1:PAY0125017	679.72
			LABOR: 2,003.68 (100.00%)		FRINGE: (0.00%)			2,003.68
LABOR:	2,003.68			FRINGE:	(0.00%)		TOTAL:	2,003.68

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Other Tips: One-Time Earnings

- Are there any pay periods that higher or lower than the others?
- If yes, this could be an indicator that there may be a one-time earnings code that is excluded from effort reporting.

NAME	USCID	FISCAL PERIOD : JOURNAL	JOB	HCM DEPT	GROUP	PAY PERIOD	CHECK	CHK DATE	COMBO	CHARTFIELD	LBR $	LBR %	TA
		2122-1 : PAY0125017	AM18	100100	I12	07/31/2021		07/30/2021	A00000060986	CL061-100100-F1000-201-10010076-	2,708.33	100.00%	
		2122-2 : PAY0125851	AM18	100100	I12	08/15/2021		08/13/2021	A00000060986	CL061-100100-F1000-201-10010076-	2,708.33	100.00%	
		2122-2 : PAY0126765	AM18	100100	I12	08/31/2021		08/31/2021	A00000060986	CL061-100100-F1000-201-10010076-	3,708.33	100.00%	
		2122-3 : PAY0127576	AM18	100100	I12	09/15/2021		09/15/2021	A00000060986	CL061-100100-F1000-201-10010076-	2,708.33	100.00%	
		2122-3 : PAY0128464	AM18	100100	I12	09/30/2021		09/30/2021	A00000060986	CL061-100100-F1000-201-10010076-	2,708.33	100.00%	

NAME	USCID	JOB	HCM DEPT	GROUP	PAY PERIOD	COMBO	CHARTFIELD	
		ACCOUNT	EARN END	DIST. TYPE: CODE		CHECK : CHK DATE	FISCAL PERIOD : JOURNAL	AMOUNT
		AM18	100100	I12	08/31/2021	A00000060986	CL061-100100-F1000-201-10010076-	
1		51200	08/14/2021	ERN:BON-Bonus		: 08/31/2021	2122-2:PAY0126765	1000
2		51200	08/14/2021	ERN:REG-Regular Pay		: 08/31/2021	2122-2:PAY0126765	2473.95
3		51200	08/07/2021	ERN:SCK-Sick Leave Taken		: 08/31/2021	2122-2:PAY0126765	234.38
		LABOR: 3,708.33 (100.00%)		FRINGE: (0.00%)				3,708.33
LABOR:		3,708.33		FRINGE:	(0.00%)		TOTAL:	3,708.33

							33,499.96
CL061-100100-F1000-201-10010076-							33,499.96

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Other Tips: Multiple Jobs

- Does the employee have multiple **JOB** codes or varying pay **GROUP**s?

- If yes, you may need to isolate the funding source and adjust your earnings dates based on if that JOB/GROUP is paid currently or on a lag. In other words, you may have to generate two separate HCM reports to tie back to the effort report.

NAME	USCID	FISCAL PERIOD : JOURNAL	JOB	HCM DEPT	GROUP	PAY PERIOD	CHECK	CHK DATE	COMBO	CHARTFIELD	LBR $	LBR %
		2122-3 : PAY0127576	SGRA	115100	T12	09/15/2021	8000758628	09/15/2021	A00000017484	CL034-115100-EN700-202-80000503-	1,120.00	50.00%
		2122-3 : PAY0128464	SGRA	115100	T12	09/30/2021	8000772753	09/30/2021	A00000017484	CL034-115100-EN700-202-80000503-	1,120.00	100.00%
Meyer,Madeleine											2,240.00	
CL034-115100-EN700-202-80000503-											2,240.00	
		2122-1 : PAY0125017	SGNA	115100	HRL	07/31/2021	8000722322	07/30/2021	C00000005795	CL034-115100-EN700-202-80000503-10010947	840.00	50.00%
		2122-2 : PAY0125851	SGNA	115100	HRL	08/15/2021	8000732069	08/13/2021	C00000005795	CL034-115100-EN700-202-80000503-10010947	560.00	50.00%
		2122-3 : PAY0127576	SGNA	115100	HRL	09/15/2021	8000747778	09/03/2021	C00000005795	CL034-115100-EN700-202-80000503-10010947	560.00	25.00%
Meyer,Madeleine											1,960.00	
CL034-115100-EN700-202-80000503-10010947											1,960.00	

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Compliance Matters

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Regulations to Know

- **<u>Code of Federal Regulations</u>** (2 CFR 200), known as Uniform Guidance, establishes Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal awards

- Agency-specific guidance (NIH, HHS, NSF, etc.)

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

- University policies and procedures

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Uniform Guidance

200.302 – Internal Controls

- Establish and maintain effective internal controls 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 and Matching

- Any shared costs or matching funds and all contributions, including cash and third-party in-kind contributions, must be:
  - Verifiable from the entity's records
  - Not included as contribution for any other award (no double counting)
  - Necessary and reasonable for the award

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Uniform Guidance

200.403 – Factors Affecting Allowability of Costs

- Costs must:
  - Be necessary and reasonable for the performance of the award.
  - Conform to any limitations or exclusions set forth.
  - Be consistent with the 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 for an award.
  - Not be assigned to a federal award as a direct cost if any other cost incurred for the same purpose in like circumstances 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 the grant.

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Uniform Guidance

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 it generally recognized as ordinary and necessary for the operation of the entity in performance of the award?
  - Is it actually needed and used to accomplish the scope of work?
  - Are sound business practices used (e.g., arm's length bargaining, etc.)?
  - What are the market prices for comparable goods and 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 costs?
    - 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.

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Uniform Guidance

200.405 – Allocable Costs
- A cost is allocable if the expense is chargeable or assignable in accordance with the relative benefits received.
  - ○ Is it incurred specifically for the award?
  - ○ Is it actually needed and used to accomplish the scope of work?
  - ○ Is it necessary to the overall operation of the entity?
  - ○ Is it assignable? If benefiting both the award and the entity, costs must be distributed in proportion, using reasonable methods to approximate.
- Any cost allocable to a particular award may not be charged to other federal awards to overcome fund deficiencies or avoid restrictions, regulations, or term and conditions of the award.
  - ○ However, if a cost benefits two or more projects, it must be allocated to the projects based on proportional benefit.

Example: You have a federal award that ends on 12/31/23 and has a remaining balance of $2,000. You decide to purchase a new freezer that will be delivered on 12/22/23.
- *Will the award receive the relative benefits of the purchase?*
- *Will this really be used to accomplish the scope of work for the award?*

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Agency-Specific Guidance

Example – 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, the cost transfers by recipients may sometimes be necessary to correct bookkeeping or clerical errors…"

- "Permissible costs transfers should be made promptly after the error occurs but no later than 90 days following the occurrence unless a longer period if approved in advance…"
    - o Occurrence = date of original change

- "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"

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Applicable Credits

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

- Errors must always be corrected, regardless of timeframe.

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

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

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Uniform Guidance – Compensation

2 CFR 200.430 – Compensation – Personnel Services

- Sets the criteria for acceptable methods for 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.
  - Must be consistent with that paid for similar work.
  - Must conform to the established policy of the federal entity and be consistently applied to both federal and non-federal activities.
    - Cannot have "special" rules for federal awards that are inconsistent with University policy.

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Why does it 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 that the effort be properly documented.

- Effort documentation must provide reasonable assurance that amounts charged are **accurate**, **allowable**, and **properly allocated**.

Legal Ramifications

- Upon completion, effort reports are considered **legal documents** subject to internal and external audits.

- It is extremely common for effort reports to be requested during audits.

- Do not certify an effort report unless it is correct – don't be afraid to ask questions!

- Erroneously certifying effort can be viewed as **fraud**, which could result in consequences as outlined in the **False Claims Act**.

Risks of Non-Compliance

- If effort reports are incomplete or incorrect, sponsors may:
  - Disallow expenses and/or require repayment
  - Reduce or eliminate future funding
  - Initiate suspension and debarment proceedings
  - Take other available legal remedies
  - Require additional oversight of systems and controls
- Given the University's research mission and status, every effort needs to be taken to comply the respective requirements.

Example: In 2018, NIH issued additional regulations and revoked Duke University's expanded authority after the discovery of research misconduct, which included falsified research and embezzlement of research funds dating back to 2010. **$112.5 million** was paid back to the government.

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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.

- Effort **must** equal 100%.

- It is **not** based on a 40-hour workweek.

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Is Payroll the Same as Effort?

NO!

Payroll	Effort
• Describes the allocation of an individual's salary. • Can be expressed as an <u>estimate</u> of actual time worked. • Is the basis for generating the effort report.	Describes how time was <u>actually</u> spent and allocated to the award(s), regardless of whether it was reimbursed by the federal sponsor.

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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 (for their 9-month appointments), 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 Notice of Award 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 on specific activities is correct.

- Effort certification is not just a rubber stamp of the salary/payroll distribution.

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Time and Effort Example

Faculty Member 1 averages 40 hours per week as follows:

- 20 hours teaching and administrative duties
- 10 hours on the NIH award
- 10 hours on another grant (Award A)

Faculty Member 2 averages 60 hours per week as follows:

- 20 hours teaching and administrative duties
- 10 hours on the NIH award
- 10 hours on another grant (Award A)
- 8 hours on another grant (Award B)
- 12 hours on another grant (Award C)

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Time and Effort Example

- Each faculty member were **proposed** to spend 25% on the NIH award.

- Faculty Member 2 is overcharging the NIH award by almost 10%!

- Uniform Guidance allows reasonable estimates and does not expect perfection; however, estimates should be reviewed and "trued-up" based on actual effort expended.

- Variances greater than 5% should be adjusted.

ACTUAL EFFORT	Faculty Member 1 (averages 40 hours/week)		Faculty Member 2 (averages 60 hours/week)	
Teaching and Admin	50%	(20/40)	33.3%	(20/60)
NIH Award	**25%**	**(10/40)**	**16.7%**	**(20/60)**
Grant A	25%	(10/40)	16.7%	(20/60)
Grant B			13.3%	(20/60)
Grant C			20%	(20/60)
Total Effort	100%	(40/40)	100%	(20/60)

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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, <u>regardless</u> of the number of hours worked.

- Uniform Guidance is purposefully 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.

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Salary Cap

- A salary cap is an imposed limit for the total salary rate allowable to be charged for an individual by the 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 the double counting of effort and ensure faculty do not become overcommitted.

See Grants and Funds Management's **Understanding Cost Share** training for more information on cost share.

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Salary Cap Example

- Dr. Greyhound's annual institutional base salary is $300,000 and he has committed (and expended) 10% effort on an NIH grant that has a salary cap of $212,100.

- Due to the NIH limit, the maximum we can directly charge his NIH grant is $21,210 ($212,100 x 10%).

- In order to properly record the effort committed (and expended) on the NIH grant, the remainder must be booked as cost share on the grant.

- Departments and Business Managers must be mindful of the salary cap!

Cost Share Calculation	
Institutional Base Salary	$300,000 x 10% = $30,000
Salary Cap Allowance	$212,100 x 10% = $21,210
Amount to Cost Share	$87,900 x 10% = $8,790

Payroll form would directly charge 7.07% (21,210 / 300,000) and cost share 2.93% (8,790 / 300,000) to the grant to account for the full 10% effort expended

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Salary Cap Calculation Template

To help with salary distribution allocations related to Salary Caps, the Controller's Office has developed the **Salary Cap Calculation Template** to assist.

- There is a tab for 12, 11, and 9-month appointments

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

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Retro Funding Changes and Corrections

- It is imperative that you process payroll adjustments timely.

- **ANY** salary reallocations or redistributions directly effect time and effort reporting.

- Formal recertification 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 an award is ending, the 90-day window is shortened accordingly, and all changes must be posted in a timely manner to comply with close-out requirements.

- Cost transfers are subject to University Policy **FINA 3.35 – Cost Transfers**.

Payroll accuracy should be reviewed and monitored on a frequent, consistent basis. The time and effort reporting cycle should not be the first time Business Managers are validating accuracy.

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Payroll Retro Funding Changes

- Please ensure you are using the current **Payroll Retro Funding Change form**, which is required for all payroll retro funding changes.

- Be sure to enter **CORRECT** funding chartstrings and corresponding combo codes.

- Entering incorrect information can cause delays or the need to submit additional funding change forms.

Cost Transfers

Cost Transfer Justification Form

- Any cost transfer, including Payroll Retro Funding Changes, must be accompanied by a Cost Transfer Justification Form if those changes impact sponsored awards.

- This form replaces the need for any justifying memos that would otherwise have been included when requesting transfers.

- This form protects all vested parties by:
  o Ensuring PI review and approval prior to the expenses being moved.
  o Ensuring proper documentation is maintained to avoid audit finding.

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University Policy

The University's Time and Effort Reporting policy/procedure requires reports to be certified in a timely manner.

FINA 3.12 Policy

FINA 3.12 Procedure

Specifically, "Time and Effort Reports should be fully certified within 30 days of issuance. Any effort not certified by day 60 is subject to be moved to department funds".

The Controller's Office will monitor report completion and enforce this policy to ensure compliance.

Certification is required to be completed within 30 total days – which encompasses the date of release to the receipt of the final approval (including Employee, PI, and Supervisor approvals).

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Review of Certification Process

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Who Should Expect a T&E Report?

A time and effort report will **<u>automatically</u>** generate for any individual who has salary paid from a sponsored project <u>or</u> cost shared to a project.

- Direct payroll charges
- Payroll transfers
- Late or retroactive payroll adjustments
- Includes hourly employees (e.g., students, etc.)

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Who Needs to Review and Certify Effort?

- Reports will be reviewed and verified by Business Managers first and then released for certification and approval to the following:
  - Employees, then
  - PIs, and
  - Supervisor last
- Business Managers will be responsible for ensuring reports are fully executed through the certification process
- Time and effort reports are assigned to departments and Business Managers based on the **primary home department** of the employee and will automatically workflow to each respective approver
- The system ensures PIs and Supervisors are part of the certification process
- Once an effort report is certified by the Employee, applicable PIs, and their Supervisor, the report is considered complete (fully executed)

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Accessing Effort Reports

1. Log into **PeopleSoft HCM**.

2. Navigate to the "My Workplace" or "My Homepage".

3. Select the "Grant Time and Effort" tile.

4. Select the "**Update** a Grant Report" tab to verify and release/submit and click "Search".

Use the "**View** a Grant Report" tab to view reports already released to approvers.
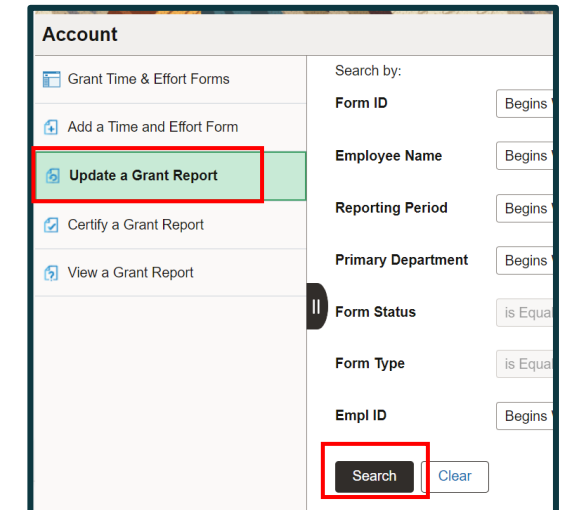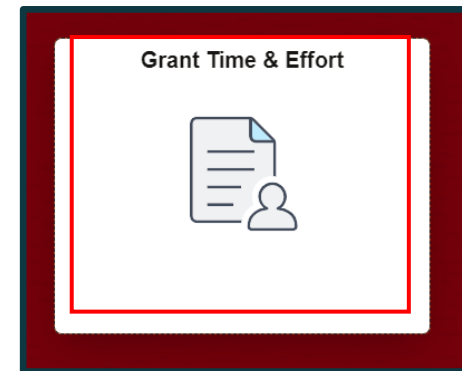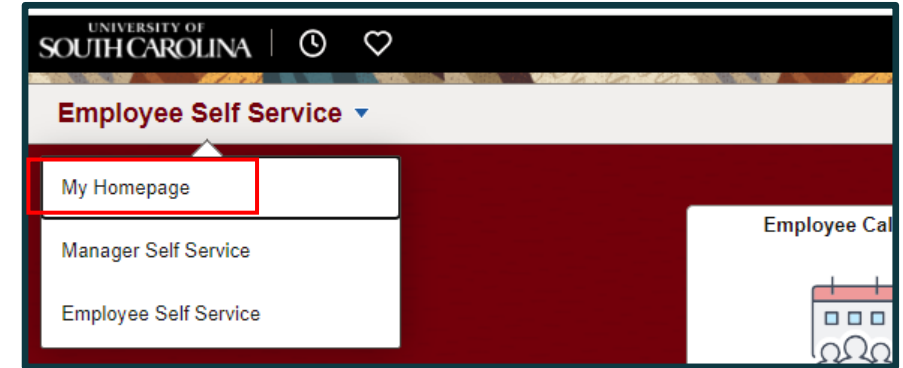
Sorting eForms

Sort forms by Reporting Period ID to bring the most current reports to the top of the search results:

Sorting eForms

- You can also filter reports 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 T&E in HCM Distribution

The current cycle will reflect 7/1/24 – 12/31/24

Finance Intranet

The Finance Intranet was recently updated to reflect fluid navigation (e.g., tiles) and provide a more user-friendly experience.

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Who Can I Contact for Help?

Use the **Grant Dashboard** in the Finance Intranet to look up the Project Team and contact the respective Business Manager for assistance:

Who Can I Contact for Help?

- Use the Project Team query in **PeopleSoft Finance** to look up the assigned Business Manager:

- Search for SC Project Team List Query: **SC_PROJECT_TEAM_LIST**

Who Can I Contact for Help?

- Select the "HTML" option.

- Enter the project number (100XXXXX) in the Project field:

Verifying T&E in HCM Distribution

Releasing Effort Reports

Once verified, toggle the Acknowledgement field, add any applicable comments (e.g., Matches HCM), and click "Submit".

Releasing Effort Reports

- A confirmation will display specifying the report has routed to the next approval step.

- Once submitted, an automatic email notification from PeopleSoft will be sent to the next approver.

- If an approver is no longer with the University, the workflow will automatically skip them and route to next approver if the employee's record is up-to-date in the system.

- The approval route can be viewed by selecting "View Approval Route".

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Report Approval Route

If you notice an approval in "ERROR", please contact the Compliance Team at timeandeffort@sc.edu for assistance; an approver will need to be manually inserted into the workflow.

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Walkthrough – Employee

Click the link from the email notification **OR**:

1. Log into **PeopleSoft HCM**.

2. Navigate to the "My Workplace" or "My Homepage".

3. Select the "Grant Time and Effort" tile.

4. Select the "**Certify** a Grant Report" tab to view the effort reports awaiting certification and click "Search".

Walkthrough – Employee

Once verified, toggle all Account and the Acknowledgement fields, add any applicable comments (e.g., Effort accurate), and click "Approve".

If a report is inaccurate, the employee should promptly coordinate with you to initiate the required correction

Walkthrough – Employee

Walkthrough – Employee

Walkthrough – Principal Investigator (PI)

Click the link from the email notification **OR**:

1. Log into **PeopleSoft HCM**.

2. Navigate to the "My Workplace" or "My Homepage".

3. Select the "Grant Time and Effort" tile.

4. Select the "**Certify** a Grant Report" tab to view the effort reports awaiting certification and click "Search".
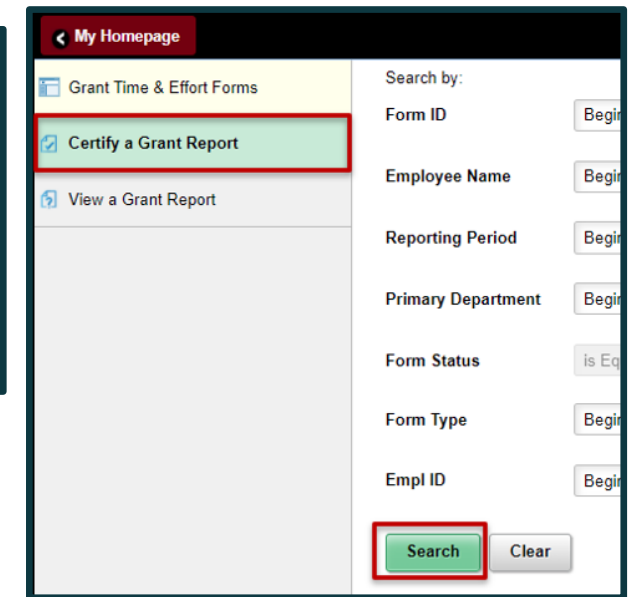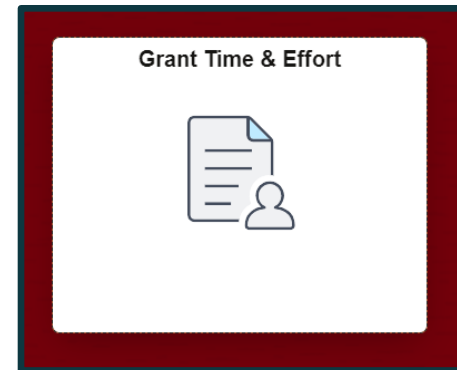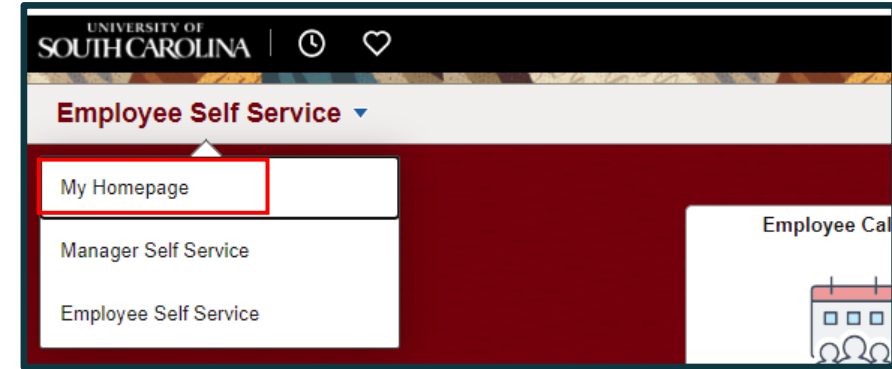
Walkthrough – Principal Investigator (PI)

Employee Information

Employee Name [redacted]
Primary Department 100100 INST FAMILIES IN SOCTY
Reporting Period January - June 2024
Report Period Begin Date 01/01/2024

[Hide Chartfields]

Sponsored Accounts

	Certified? ⇅	Earnings ⇅	Percent of Pay/Computed Effort ⇅	Details	Project/Grant ⇅
1	Yes	47893.20	67.13	Details	10013027 TECHNICAL ASSISTANCE AND
2	☑	7490.63	10.50	Details	10013408 Project 6: Statewide SNAP
3	Yes	594.50	0.83	Details	10013880 State Maternal Health Inn

If a report is inaccurate, the PI should promptly coordinate with you to initiate the required correction.

- If the employee is active, the report should come to the PI with all lines already toggled, as they have completed their employee certification. The PI will then reconfirm their project is correct by leaving it toggled.

- If an employee is inactive, the PI may have to toggle the applicable project line.

- The PI will only have access (and responsibility for) the lines on the report where they are listed as the Principal Investigator.

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Walkthrough – Principal Investigator (PI)

Once verified, toggle the Acknowledgement field, add any applicable comments (e.g., Effort accurate), and click "Approve".
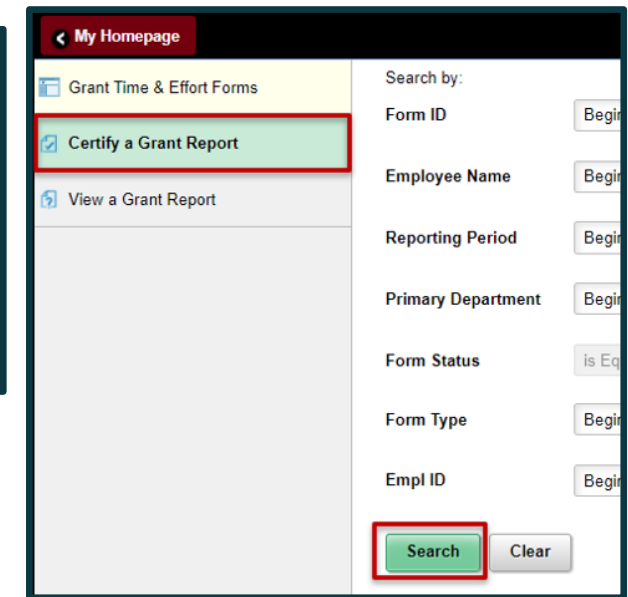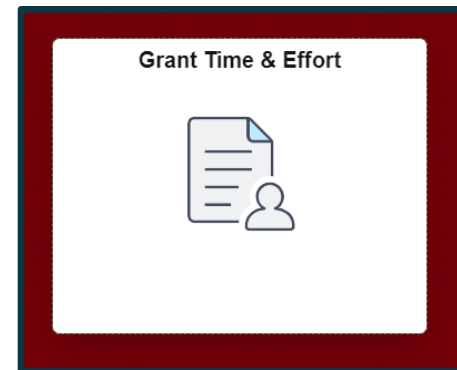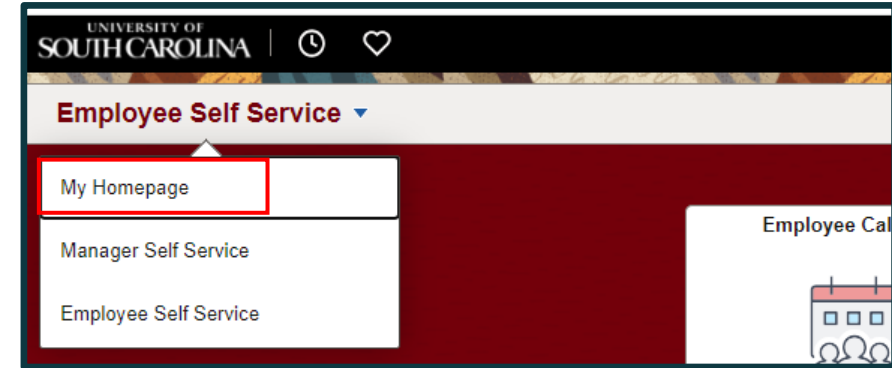
Walkthrough – Supervisor

Click the link from the email notification
OR:

1. Log into **PeopleSoft HCM**.

2. Navigate to the "My Workplace" or "My Homepage".

3. Select the "Grant Time and Effort" tile.

4. Select the "**Certify** a Grant Report" tab to view the effort reports awaiting certification and click "Search".

If a supervisor receives a report for an employee that is not theirs, they should coordinate with you promptly to request the proper supervisor be inserted by the Compliance Team (through timeandeffort@sc.edu).

Walkthrough – Supervisor

If a report is inaccurate, the supervisor should promptly coordinate with you to initiate the required correction.

- If the employee is active, the report should come to the Supervisor with all lines already toggled, as they have completed their employee certification. The PIs have also approved the Sponsored Accounts section, leaving the Supervisor responsible for reconfirming the University Account section only.

- If an employee is inactive, the person designated as the employee's primary supervisor will be responsible for toggling any needed lines on behalf of the inactive employee.

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Walkthrough – Supervisor

Once verified, toggle the Acknowledgement from "No" to "Yes", add any applicable comments (e.g., Effort accurate), and click "Approve".

Walkthrough – Supervisor

At this point, the effort report is considered complete and will fully execute in the system!

Training and Contacts

Office of the Controller Website

Our website was recently redesigned to provide a more user-friendly experience. The Resource and Training Toolbox was created to consolidate training resources in one location.

Compliance and Tax Management

- Compliance Management
- Supplier Management
- Tax Management
- Compliance and Tax Management Staff Directory

Resource and Training Toolbox

- Business Manager
- Grant Administration
- Principal Investigator
- Policies & Procedures

Navigate to the **Compliance Management** page or Time and Effort Reporting sections within the toolbox for applicable resources.

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Job Aids

Various job aids are available based on role:

- **Time and Effort Report – Employee Job Aid**
- **Time and Effort Report – Principal Investigator Job Aid**
- **Time and Effort Report – Supervisor Job Aid**

These job aids can be found in the Time and Effort Reporting sections on the **Business Manager** and **Principal Investigator** pages within the Resource and Training Toolbox.

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Questions / Issues

If you have questions or experience any issues, please contact the Compliance Team at **timeandeffort@sc.edu**.

Lindsey Cox – Director of Compliance and Tax

Rachel Goode – Senior Compliance Manager

Shannon Nickens – Senior Compliance and Tax Accountant

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