



# FACET

Faculty Assignments Commitments & Effort Certification Tracking

## Understanding Effort Commitments and Certification for Sponsored Projects



# Today's Topics

- Effort Reporting Overview
- Effort Commitments
- Effort Certification
- Special Issues related to Sponsored Activity
- Messages, Warnings, Errors
- Parature Use



# EFFORT REPORTING OVERVIEW AND COMMITMENTS

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# What?



# Effort Reporting Overview

## What is effort?

- Effort is the amount of time spent on a particular activity, whether directly charged to a project or cost-shared.
- Effort is expressed as a percentage of the total amount (100%) of time spent on compensated work-related activities (instruction, research, service, administration, etc.).



# Effort Reporting Overview

## What is effort reporting?

- Effort reporting (through FACET) is the official method of documenting to sponsors that the effort committed, charged, or cost shared was contributed.



# Effort Reporting Overview

What is the difference between the Assignment of Responsibility and Effort Report?

- The AOR is prediction of how a faculty member will spend his/her time.
- The Effort Report is how a faculty member actually spent his/her time.



# Effort Reporting Overview

What is the difference between payroll distribution and the effort report?

- Payroll distribution shows how an individual's salary was charged.
- Effort report allocates an individual's actual effort to specific activities, regardless of where the salary was charged.





Why?



# Effort Reporting Overview

## Why it matters...

- Satisfy Federal requirements (OMB Circular A-21, J. 10)
  - Support salaries charged and effort expended on sponsored projects
  - Demonstrate compliance with effort commitments made to agencies



# Effort Reporting Overview

## Why it matters...

- Demonstrate compliance with Florida's 12-hour law through reporting to Board of Governors (s. 1012.945 Required number of classroom teaching hours for university faculty members, Florida Statutes)



# Effort Reporting Overview

## Why it matters...

### – Consequences

- Institutional Sanctions: fines and penalties; debarment from participating in federally-funded research.
- Individual Sanctions: civil and/or criminal sanctions (fines and imprisonment); debarment from participating in federally-funded research.



# EFFORT COMMITMENTS



# Effort Commitments in Proposals

FSU defines a commitment as:

“Quantified effort for named personnel whether direct charged or cost shared, as specified in the proposal or award.”



# Key Personnel

- Definition:
  - FSU will follow the sponsoring agency's definition of Key Personnel if one exists.
  - If no agency definition exists, FSU will define Key Personnel as the PI and all Co-PIs identified as such in the proposal and/or award.
- PI's are encouraged to limit the number of key personnel identified in the proposal.
- PI's are cautioned not to voluntarily include effort commitments that are not paid for by sponsor.



# Commitments in Proposals

Effort commitments may be found in:

- Budget Forms
- Budget Justification
- Current and Pending Support
- Available Resources Section





# Commitments After Award

- Progress Reports:
  - Reporting past activity should be consistent with certified effort report
  - Anticipated changes in effort commitments in future periods
- Change of key personnel (termination, retirement, etc.)
- Effect of no-cost time extensions on existing commitments



# COMMITMENT ENTRY AND ADJUSTMENTS



# Commitment Entry

- Proposal and award are reviewed to determine:
  - Whether a commitment exists for Key Personnel and whether it is to be direct charged or cost shared
  - Whether a commitment proposed as cost sharing exists for non-Key Personnel
  - Percent of commitment (converting from dollars, or other values as needed)
  - What period(s) the commitment covers



# Commitment Entry

- Commitments are entered under one of two categories:
  - *Direct Charged Salaries*
  - *Committed Cost Sharing*
- Depending on how the commitment was stated in the proposal, it may be entered for any of the following:
  - Life of Project
  - Academic Year (Fall, Spring)
  - Summers Only



# Commitment Adjustments

- Overall commitment may be adjusted due to:
  - Increase/reduction in funding
  - Increase/reduction in period of performance
  - Changes to scope of work.
  - Reduction at PI's discretion as allowed by terms of the award. [FACET would not be adjusted for a voluntary increase in overall commitment.]
- As long as the Overall commitment is met, commitments allocated to individual periods may be moved to future periods depending on when the employee plans to do the actual work and availability of time.



# Viewing Commitments

Navigation: OMNI > Human Resources > FACET > Project Data > Sponsored Commitments

Search by:

- Project ID
- PI Emplid
- Project Department

**Committed Effort - Project**  
Enter any information you have and click Search. Leave fields blank for a list of all values.

[Find an Existing Value](#) [Add a New Value](#)

Institution: begins with

Report ID: begins with

Project ID: begins with

Project Title: begins with

Project Status: =

Project PI ID: begins with

Project Department: begins with

Sponsor ID: begins with

Sponsor Type: begins with

Approval Sequence: =

My Queue Only

Case Sensitive

[Basic Search](#)  [Save Search Criteria](#)

[Find an Existing Value](#) | [Add a New Value](#)



# Commitment Overview

- Scroll to the right and click  .
- Click  to expand for details.

Overview **Employee by Period**

Inst ID FSU01    Report EXEMPT    Project 027154    NGI Minority Internship

Sponsor 869    Mississippi State University    Project Life 11/01/2006 To 09/30/2011    \*Action

Sequence      Status Posted

Begin 08/07/2008    End 09/30/2011    Units

**Team Members** View All  First  Last

Employee	Employee Name	Empl Rcd #	Commitment Period	Overall Commit %	FALL2008	SPRG2009	SUMM2009	FALL2009	SPRG2010	SUMM2010	FALL2010	SPRG2011	SUMM2011	FALL2011	Avg %
000066944	<i>Eric Chassignet</i>	0 - Professor 9 Mo SAL	<a href="#">Life of Project</a>	10.00					<a href="#">10.00</a>	.	<a href="#">10.00</a>	<a href="#">10.00</a>	.	<a href="#">4.06</a>	10.00 <input type="button" value=""/>
	<i>Direct Charged Salaries</i>								10.00		10.00	10.00		4.06	
	<i>Committed Cost Sharing</i>														



# Commitments Employee by Period

[Overview](#) **Employee by Period**

Inst ID FSU01   Report EXEMPT   Project 005571   High Energy Physics

[View All](#)   First 1 of 8   [Last](#)

Employee 00000859   Horst Wahl   Rcd # 0 - Professor   9 Mo SAL   Begin Dt 08/07/2008

[View All](#)   First 1 of 5   [Last](#)

Year 2009   Period 2 - FALL2008(8/7/2008 - 12/22/2008)    Summer

Pay Rate / FTE				Commitments for Period					
Salary	53.58	FTE	1.0000	Units	Percent	Entered	0.02	Remaining	99.98

[Back](#)

This Commitment				
	Commitment Period	Posted Amt	New Amt	Change
<b>005571 - High Energy Physics</b>	08/07/2008 - 05/07/2009	0.01	0.01	
Direct Charged Salaries		0.00	0.00	
Committed Cost Sharing		0.01	0.01	
Over the Salary Cap		0.00	0.00	

Other Sponsored Commitments				
	Commitment Period	Posted Amt	New Amt	Change
<b>020154 - QuarkNet</b>	08/07/2008 - 08/31/2008	0.01	0.01	
Direct Charged Salaries				
Committed Cost Sharing		0.01	0.01	
Over the Salary Cap				





# Changing a Commitment

- Request change to a commitment by:
  - Submitting a Parature ticket:
    - Issue Area: FACET – Exempt
    - FACET-Exempt Sub Area: Sponsored Projects Commitments Issue
  - Submitting an email:
    - Kaytee Fletcher ([kfletcher@fsu.edu](mailto:kfletcher@fsu.edu))
    - Diana Key ([dkey@fsu.edu](mailto:dkey@fsu.edu))



# References

- OMB Circular A-21
  - [http://www.whitehouse.gov/omb/circulars\\_a021\\_2004/](http://www.whitehouse.gov/omb/circulars_a021_2004/)
- FSU Effort Commitment Policy
  - <http://www.research.fsu.edu/contractsgrants/documents/effcomm.pdf>
- Effort Commitments During No-Cost Extension Periods
  - [http://www.research.fsu.edu/contractsgrants/documents/effort\\_nocost.pdf](http://www.research.fsu.edu/contractsgrants/documents/effort_nocost.pdf)
- Effort Commitment Data Entry in FACET
  - <http://www.research.fsu.edu/contractsgrants/documents/effentry.pdf>
- FSU Cost Sharing Policy
  - <http://www.research.fsu.edu/contractsgrants/costsharing.html>
- FSU Campus Cost Sharing Procedures
  - <http://www.research.fsu.edu/contractsgrants/documents/csprocedures.pdf>



# LUNCH & LEARN EFFORT CERTIFICATION

Roberta McManus

Associate Director

Sponsored Research Accounting Services



# Effort Certification Considerations

- Planned activities for academic term = AOR
- Activities performed for academic term = Effort Certification
- Department process
  - FACET rep entry
  - Employee/Knowledgeable Person entry
- Departmental Research Effort include
  - SRAD/PI Support (Fund 550)
    - Projects will not display on Enter Effort page
  - FSU Foundation (Fund 547)
    - Projects will not display on Enter Effort page



# Research Compliance Considerations

- NSF 2 months rule
  - NSF will ONLY fund/pay 2 months of key faculty salary for an calendar year
  - FSU year for this rule = Summer, Fall, Spring
  - Monitoring started with Summer 2010 term
    - Currently using query to identify employees with funding charged in excess of 2 months
    - SRAS Coordinators work with departments to resolve
    - Future = Warning/Error message



# Research Compliance Considerations

- Over the Salary Cap rule
  - Certain agencies limit the amount they will reimburse for salaries (e.g. NIH, DJJ)
    - Sponsor level: applies to all awards of the Sponsor
    - Project level: only applies to salaries on that project
- OTC Process (prevents error in FACET)
  - Setup Dept 556 Sponsored Project chartfield combo
  - Charge proportional amount of salary over the cap
- FACET error fires salary over the cap is charged to sponsored project



# Research Compliance Considerations

- Courses can be funded by a grant if:
  - Award purpose is INS
  - Award purpose is RES or OSA and
    - Course Section Type
      - Graduate Dissertation, Graduate Thesis or DIS and the work is directly related to the project **OR**
      - The Instruction attribute has been added to the project
        - Instruction Allowed
        - Cost Share Instruction Allowed
- Requires cost share budget setup and appointment so that
  - Cost share funding source for courses can be selected
  - Effort on grant funded course and effort on project combined for total effort on project



# Projects and Instruction

**Project General** | **Project Details**

Inst ID: FSU01    Project ID: 019100

Find | View All    First 1 of 27 Last

**Effective Date:** 11/24/2009    **Title:** Preparation of O & M Instructo

**Project Start Date:** 08/01/2006    **Project End Date:** 07/31/2010

**Project PI ID:** 000008497    **PI Name:** Lewis,Sandra

**Sponsor ID:** 397    **Sponsor Name:** U. S. Department of Education

**Flow Thru Sponsor ID:**

**Flow Thru Sponsor Name:**

**Department:** 124000    COE OFFICE OF RESEARCH

**Proj Type:** FEDGR    Federal Grant

**Purpose and Award Attributes**

**Purpose:** RES    **Description:** Research

Instruction Allowed

Cost Shr Instruction Allowed

Research Allowed

Exempt From NSF 2 Month Rule

Purpose (RES, OSA,  
or INS)

Attributes on  
Project





# FACET Workflow

- Level 3 – Department FACET Rep (Send/Deny Report)
- Level 4 – Employee/Knowledgeable Person (Certify/Deny Report)
  - Other than employee *“suitable means of verification”*
- Level 5 – Department FACET Rep (Approve/Deny Report)
- Level 6 – IR/SR (Finalize)
  - Reports with no errors now being finalized
  - Changes (e.g. funding) creates new sequence



# Certification Report – Enter Effort Page

**Menu**

Search:

- My Favorites
- Self Service
- FACET
  - Assignment of Responsibilities
  - Effort Certification
  - Effort Certification Forms
  - Project Data
  - Employee / Course Data
- Manager Self Service
- eORR Online Role Request
- Recruiting
- Workforce Administration
- Time and Labor
- Workforce Development
- Set Up HRMS
- Set Up SACR
- Worklist
- Reporting Tools
- PeopleTools
- [OMNI Portal Home](#)
- [Careers](#)
- [My Personalizations](#)
- [My System Profile](#)

[New Window](#) | [Help](#) | [Custom](#)

### Enter Effort

**Report ID** EXEMPT    **ER Period** 4 - SUMM2010(05/08/2010 - 08/06/2010)    **Rept Seq** 1    **Status** Open    **Appr Seq** 4

**Employee** 000099999 Ginger Gilligan     On Hold     Multiple Jobs     Overload     Over-the-Cap

**Employee-Level Totals (for ALL Jobs)**

Job FTE	Instructional Contact Hrs
0.9848	1.0000

**Certify / Deny Report**

### Effort by Job

First 1 of 1 Last

**Empl Rcd #** 0    **Professor** 9 Mo SAL    **Department** 081000 - Mathematics    **Job FTE** 0.9848   

**A-21 View**    **Add Sponsored Project**

[Show Less Detail](#)    [Show More Detail](#)

Actual Effort	
Units	Percent
Entered	100.00
Remaining	0.00

### Enter Effort by Activity

First 1-4 of 4 Last

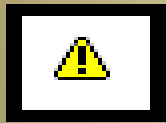
Activity Details	Committed (%)	Actual Effort (%)	Contact Hours
<input type="checkbox"/> <i>Instruction</i>		2.00	1.0000
<input type="checkbox"/> <i>Research / Creative Activity</i>	93.33	98.00	
<input type="checkbox"/> <i>Service</i>			
<input type="checkbox"/> <i>Leave of Absence / Sabbatical</i>			



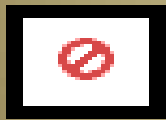
# Errors/Warnings/Information Messages



Information Message





Warning Message – allows move to next level



Error Message – needs resolution prior to allowing move to next level



# Research/Creative Activities Section

- Enter effort for each project on Enter Effort page
  - Add Project
    - Can be done at Level 3 or 4
- Project will display on Enter Effort Page if:
  - Commitment entered for academic term
  - Salary funded from project
- If PI/Co-PI on project and none of the above
  - Warning  message at Level 3
  - Error  message at Level 4
    - Must override before Certify/Deny button will be active



# A-21 Page Overview

- Effort entered on previous page “transfers” to A-21 page
- Displays/compares commitments, funding, entered effort
- System automatically allocates to:
  - Direct Charge Salary
  - Committed Cost Sharing
  - Over the Salary Cap
  - Uncommitted Cost Sharing



# A-21 Page

## Federal A21 Effort View

Employee / Rcd # 000099999 Ginger Gilligan Status Open Appr Seq 4 ER Period 4 - SUMM2010(05/08/2010 - 08/06/2010)

Department 081000 - Mathematics Hourly Rate \$52.87 Gross Payroll \$ \$21,281.18 Hours 402.51 Job FTE 0.9848

Cost Share

Available -22.51  Show Detail

Effort Entered

Units	Percent	Total
		100.00

[Show Less Detail](#) [Show More Detail](#)

	OTC %	Committed (%)	Gross Payroll \$	Pay Dist (%)	Hours	Hours Dist %	Actual Effort (%)	
<b>Non-Sponsored Activities</b>								
<i>General - NonSponsored</i>								
<b>Sponsored Activities (A21)</b>								
013774 - CRCNS: A Joint Computational/E	0.0	93.33	\$ 21,281.18		402.51			
019294 - Oscillation and Synchronizati		10.00					10.00	
024712 - Cell Survival in a Neural Circ	0.0	17.00	\$ 6,131.77	28.81	115.98	28.81	20.00	⚠
025714 - A Mathematical Study of the Bi		33.33	\$ 4,998.50	23.49	94.53	23.49	36.00	i ⚠
026341 - Regulation of Prolactin Secret	0.0	33.00	\$ 10,150.91	47.70	192.00	47.70	34.00	i ⚠



# Errors & Resolutions

Error Number	Error Name	Resolution Notes	Error Support Staff
1020	Effort not sufficient to meet Commitment	A warning for the E/KP since they are expected to enter their actual effort. The FACET rep is responsible for initiating adjustments to commitments.	SRS FACET Support
1030	Effort not sufficient to meet Pay Distribution	A warning for the E/KP since they are expected to enter their actual effort. The FACET rep is responsible for any payroll correction(s) required as a result of effort entered.	SRAS FACET Support and SRAS Dept Coordinator
1040	Effort entered not sufficient to cover required over the salary cap cost share	A payroll correction needs to be processed to allocate OTC amount – requires cost share budget.	SRAS Dept Coordinator

# Errors & Resolutions

Error Number	Error Name	Resolution Notes	Error Support Staff
1130	Effort entered created Uncommitted Cost Sharing	Review future commitments and salary budget for award to determine if funding should be adjusted	SRAS FACET Support





# Payroll Cost Transfers

- Guidelines on RDFs
- Guidelines on RDFs
  - Moving salary off of sponsored project onto non sponsored funding source – APPROVE
  - Moving salary between or onto projects reallocating original ePAF distribution – APPROVE (in most cases)
  - All other situations – CASE BY CASE



# FACET Support

- Upcoming training:
  - November 10 – FACET Rep/Grants Compliance Support Staff
  - November 15/17 – Faculty
- Web resources
  - IR FACET page ([http://www.ir.fsu.edu/pars.cfm?ID=er\\_intro](http://www.ir.fsu.edu/pars.cfm?ID=er_intro))
  - OMNI FACET training site (<http://omni.training.fsu.edu/OMNI-FACET>)
  - SR Training site  
(<http://www.research.fsu.edu/contractsgrants/workshops.html>)
- Parature
  - A-21 errors
    - FACET-Exempt-Spons.Proj.Data (non commitment issues)
    - FACET-Exempt-Spons.Proj.Com (commitment issues)



# Additional Information

- Non-Exempt FACET implementation
  - Focus group being formed
  - Testing underway
  - Target date – begin month of December
  - Jaime Blue/Roberta contacts



QUESTIONS???



# CONTACTS & HELP LINKS

Sponsored Research Services		Phone	Email
Diana Key		644-8648	dkey@admin.fsu.edu
Kaytee Fletcher		645-1947	kfletcher@admin.fsu.edu
Sponsored Research Accounting		Phone	Email
Roberta McManus		644-2485	rmcmanus@admin.fsu.edu
Helen McCann		644-8947	hmccann@admin.fsu.edu
Jaime Blue		644-8666	jblue@admin.fsu.edu
Parature Ticket		FSU Help Desk	
<a href="http://helpdesk.fsu.edu/">http://helpdesk.fsu.edu/</a>		Click link "submit a ticket" in upper right corner	
FACET Training Website			
<a href="http://omni.training.fsu.edu/OMNI-FACET">http://omni.training.fsu.edu/OMNI-FACET</a>			