

Effort Commitments and Payroll Certification

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Definitions



- **Effort** is the time spent on an activity, expressed as a percentage of all the time an individual spends on their UW-Madison job duties.
- An **effort commitment** is the amount of effort (time/labor) you propose in a grant proposal or other project application, and that the sponsor accepts – regardless of whether you request salary support for the effort. Commitments are specific and quantified and can be expressed in months or as a percentage of your work over a given project period. A commitment is an obligation of effort (time/labor) that the University must fulfill.

Definitions

- ***Project-based payroll certification*** is UW-Madison's means of assuring compensation compliance on federally sponsored projects. Payroll certification is an after-the-fact review and attestation that the payroll charged to a federally sponsored project is reasonable in relation to the work performed. Payroll must be certified by the project's PI or their approved designee.
- UW-Madison uses the web-based ***Employee Compensation Compliance (ECC) system*** to certify federally sponsored project compensation.

Effort Commitments

Who do we track effort commitments for?

- Commitments are recognized, and effort must be tracked for the principal investigator /project director and key personnel listed in the Notice of Award.
- Tracked centrally
- Commitment Tool

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SAL PREPARATION AGREEMENT NEGOTIATION AWARD SETUP AWARD MANAGEMENT AWARD CLOSEOUT RED

LOOKUP TOOL

PAGES

Commitment Lookup Tool
Page Updated: January 29, 2024

Lookup by Person Lookup by Project Lookup by Department

Lookup by Person

Lookup based on Name or Employee ID. If you don't know an employee's Employee ID, enter a partial name.

Employee Name
Lastname, FirstName
Partial names can be used.

Employee ID
8-digit UW-Madison Employee ID.

Start (Date Range):
mm / dd / yyyy
Beginning date range.

End (Date Range):
mm / dd / yyyy
Ending date range.

Search

Lookup by Project

roll Certification

Questions (FAQ)

How to enter effort commitments

- Complete the Effort page in the RAMP Award SmartForm.
- Changes made after award set up, are not made in RAMP, but rather through the [Effort Commitment Update Form](#) on the RSP website

- [Effort Commitment entry in RAMP](#)

How to complete the Effort Page in a new Award SmartForm in RAMP (12.19.23)

Commitments are recognized, and effort must be tracked for the principal investigator/project director and key personnel listed in the Notice of Award.

The Effort SmartForm page automatically populates with effort from the funding proposal budget(s) and includes effort for all individuals and allocation periods. If personnel were not entered in the funding proposal budget and this section is blank, at a minimum enter effort for the principal investigator(s)/project director(s) and key personnel who are listed in the Notice of Award. Update all allocation periods as appropriate. If the key personnel have changed at the time of award, update this page to reflect the current key personnel. Changes made after award set up, are not made in RAMP, but rather through the Effort Commitment Update Form on the RSP website (contact the RSP Effort Coordinator for assistance).

The Effort page shows effort details for the first budget period by default, and the other periods are collapsed. Select the plus icon (+) at the far left to expand a period and the minus icon (-) to collapse a period.

Enter effort in Calendar, Academic, or Summer Months for each budget allocation period at a minimum for anyone who is listed and identified in the Notice of Award as having these roles: PI, Co-PI, Key Personnel. Effort should be entered to match

What about the 1% rule?

- The principal investigator's minimum required effort commitment to federal and federal flow-through projects is 1% of their effort.
- This minimum requirement does not apply to nonfederal sponsored projects or federal equipment, doctoral dissertation, and student augmentation grants. Certain nonfederal sponsors, however, may have specific minimum requirements.
- While the 1% is not required by UW-Madison policy for nonfederal awards, it is recommended that PIs propose and devote a minimum of 1% effort to all sponsored projects in order to carry out the essential scientific, administrative and fiscal responsibilities needed for the research. Individual schools and colleges may also choose to require their own PI minimum effort level on nonfederal projects. Enforcement of such a minimum is at the discretion of each school/college at the time of division proposal review.

Overcommitments



The effort on their current/existing projects + the additional committed effort on the new award = more than 100%

- Commitments can never total more than 100%.
- If a key person is over 100% when adding the new commitment to their existing workload, adjustments will need to be made, and the effort commitment on one or more projects will need to be reduced.
- You should work with your Effort Coordinator and key person to determine what projects need to be adjusted, and if the reduction needs sponsor approval first.
- [Link to Effort Commitment Update Form](#)

What about Cost Share?

Cost shared effort is any work on a sponsored project for which the University, rather than the sponsor, provides salary support.

Cost share is captured in the RAMP Award record SmartForm when the "Months Effort" are higher than "Months Requested" for a Person in a Budget Period. When the effort person months does not equal the requested months, the "Cost Share Months" column will auto-populate. Enter a zero (0) in the Months requested column to indicate that effort in a budget period is being cost-shared.

Start Date	End Date	Distribute Effort	Cal. Months Effort	Cal. Months Req	Acad. Months Effort	Acad. Months Req	Sum. Months Effort	Sum. Months Req	Cost Share Months
9/1/2022	8/31/2023	☒			0.95	0	0	0	0.95
9/1/2022	8/31/2023	☐	2	1					1

Payroll Certification

Definitions

- ***Project-based payroll certification*** is UW-Madison's means of assuring compensation compliance on federally sponsored projects. Payroll certification is an after-the-fact review and attestation that the payroll charged to a federally sponsored project is reasonable in relation to the work performed. Payroll must be certified by the project's PI or their approved designee.
- UW-Madison uses the web-based ***Employee Compensation Compliance (ECC) system*** to certify federally sponsored project compensation.

Policies

- UW-Madison
 - [UW-4015: Compensation Compliance on Sponsored Projects](#)
 - [UW-4017: Consequences for Failing to Complete Payroll Certification](#)
- Federal
 - [2 C.F.R. § 200](#)
 - 2 CFR 200.430 (i) Standards for Documentation of Personnel Expense**

Why?

Q: Why do the government and individual sponsors care about “effort?”

A: Based on the principle of the cost-benefit relationship, if a sponsor is going to cover costs, it must receive a commensurate benefit in return. You cannot charge the government (or any sponsors) for any excess beyond the benefit they have received.

Q: What do auditors look for?

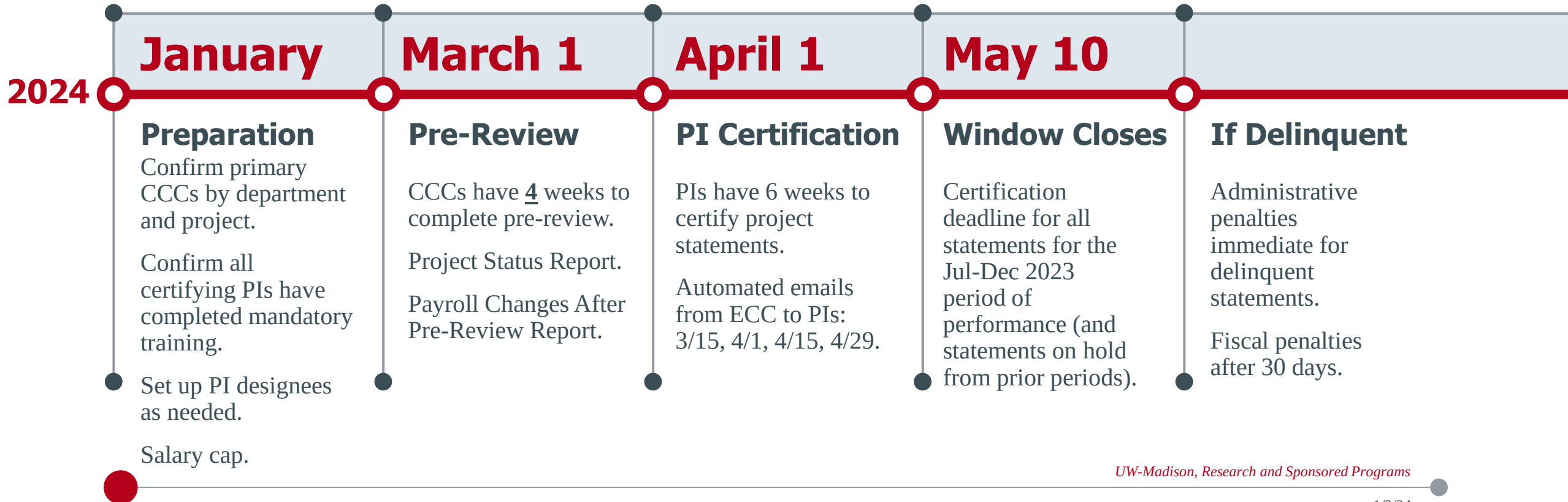
A: They want to see that the amount of effort charged to an award is commensurate with the effort worked. They want to see that the individuals who are certifying effort are in a position where they can reasonably do so. And they want to see that for individuals charged to sponsored awards, that their effort has been certified. Certified effort forms represent attestations to sponsors that the work performed is in line with the salary covered.



Payroll Certification in ECC

Payroll certification is an after-the-fact review and attestation that the payroll charged to a federally sponsored project is reasonable in relation to the work performed.

REVISED Timeline for certification of 6/18/23 – 12/30/23 period of performance



Compensation Compliance Coordinators

What will my responsibilities in ECC be?

You will be responsible for completing the **pre-review** for each federal project housed in your assigned department(s).

You are also responsible for monitoring the certification period to assist with timely PI certifications.

What should I be looking for during Pre-Review?

Pre-review should be a "good faith" review based on your knowledge of the project at the time.

Some questions to ask yourself during review:

- Do all employees paid from the project (direct or cost shared) for the period of performance appear on the statement?
- Is there a variance between the expected amount and actual amount charged?
- Is anyone being charged to the project that you did not anticipate?
- Is anyone missing from the statement whose payroll should have been charged?

Pre-Review Hint

Click the \$ icon in the “More Info” column to view the Payroll Report for the individual.
Click the document icon to view the 100% payroll view for the individual.

Project Statement for 144. P51... Effort from 12/19/2021 to 6/18/2022, due date 10/31/2022; Status: Ready for Certification

INFO - Check all certify checkboxes to show the certify button.

Employee	Department	Payroll Dollars	Payroll Percentage	Cost Share / Over the Cap Dollars	Payroll + Cost Share Dollars	Payroll + Cost Share	Certify	More Info
	A534800 SCH OF MEDICINE + PUB...	\$1,069.76	5.00%	\$0.00	\$1,069.76	5.00%	☐	\$
	A874100 SCHOOL OF VETERINAR...	\$3,188.99	13.58%	\$0.00	\$3,188.99	13.58%	☐	\$
	A348800 VC FOR RSRCH + GRAD ...	\$764.06	10.19%	\$0.00	\$764.06	10.19%	☐	\$
	A348800 VC FOR RSRCH + GRAD ...	\$2,676.09	50.00%	\$0.00	\$2,676.09	50.00%	☐	\$

Get Help Home

• Pay Period View
• Account View

4 items found, displaying all items

Employee ID	First Name	Middle Last Init.	Department	Department Number	Grant	Pay Period	Payroll	Pay %	Pay Type	Employee Type	Statement Type
99887708	Karl		Huron Testing Department	144.304099001	07/01/2017 to 07/31/2017	\$200.00	0.65		370-31330-6050-000001-600100-0000-00000 (Training)	Payroll Confirmation	Base
					08/01/2017 to 08/31/2017	\$200.00	0.65		370-31330-6050-000001-600100-0000-00000 (Training)	Payroll Confirmation	Base
					09/01/2017 to 09/18/2017	\$120.00	0.39		370-31330-6050-000001-600100-0000-00000 (Training)	Payroll Confirmation	Base
					09/19/2017 to 09/30/2017	\$80.00	0.26		370-31330-6050-000001-600100-0000-00000 (Training)	Payroll Confirmation	Base
Subtotal						\$600.00	1.96				
Certifier Total for Period						\$600.00	1.96				

Project Payroll Summary - Jan - Jun 2022

Project Name	Payroll + Cost Share Dollars	Payroll + Cost Share
	\$2,676.09	50.00%
	\$2,676.11	50.00%
Total	\$5,352.20	100.00%

CCCs can view statements in ECC at any time

- Manage
- Dept Dashboard
- Choose Period from the dropdown
- Click icon in Statements column
 - Black sun icon = “Building” status (before pre-review)

WISCONSIN UNIVERSITY OF WISCONSIN MADISON

Enter Search Criteria [Q] Hello, MARK CASTILLO

Look-up Department Dashboard Place Statements On Hold

Home Certify Manage Reports Administration Links

Department Dashboard for A485400 COLLEGE OF LETTERS AND SCIENCE/MATHEMATICS/MATHEMA - A485400

This page contains all the information relevant to the department, including all statements, information about projects, and information about administrators for this department.

Search for Department: [] [Choose]

Project Certifications Award and Project Department Information

Project Certification Summary Chart: Employee Type Semi-Annual Period 6/18/2023 to 12/30/2023

The default search is for project statements for all projects in this Department, for the current period of performance

Status Semi-Annual

Building 61 100.00%

Project Statements [] (If you would like to search for an apostrophe, please enter two apostrophes to return results)

Project Nickname	Project Number	Compensation Compliance Coordinator	PI	PI Department	Statements	Action
133-AAG8476-Sloan Fellowship - Ifrim	133-AAG8476	CASTILLO, MARK - 00185907	IFRIM, MIHAELA - 00884568	A485400 COLLEGE OF LETTERS AND SCIENCE/MATHEMATICS/MATHEMA	☀	[] []
133-AAJ5337-VILAS Faculty Young/Mid-Career Investigator 2021-2024	133-AAJ5337	CASTILLO, MARK - 00185907	TRAN, HUNG - 00832304	A485400 COLLEGE OF LETTERS AND SCIENCE/MATHEMATICS/MATHEMA	☀	[] []
133-AAK6879-Sloan Fellowship - Tatyana Shcherbina	133-AAK6879	CASTILLO, MARK - 00185907	SHCHERBYNA, TETIANA - 00967586	A485400 COLLEGE OF LETTERS AND SCIENCE/MATHEMATICS/MATHEMA	☀	[] []
133-AAL3116-VILAS Faculty Young/Mid-Career Investigator 2022-2025	133-AAL3116	NYTES, JEFFREY - 00482750	BELSHAW, KELLY - 00214135	A340270 VC FOR RESEARCH/ADMINISTRATION/ADMINISTRATION*R	☀	[] []

Pre-Review Tools

Effort Payroll Query

<https://rsp.wisc.edu/effort/lookup/EffortPayroll.cfm>

The screenshot shows the 'Effort Payroll Query' tool interface. At the top, there is a navigation bar with 'AND SPONSORED PROGRAMS' and 'or Research'. Below this is a search bar with the text 'Search Website' and a 'Search' button. The main content area has a header 'Effort Payroll Query' and a sub-header 'Page Updated: March 11, 2021'. The text describes the tool's purpose: 'The Effort Payroll Query produces a summary of an employee's payroll distribution for the specified earned period(s) in the filter. After running the report, the grand total for all earned periods included in the date range can be found at the bottom of the page. The points below detail the functionality. Effort Coordinator's might find the query helpful in attempts to reconcile effort report'. A list of bullet points follows: 'Salary transfers increase the number of transactions to consider when reviewing the payroll distribution -- this report only displays the remaining amount on each unique funding string.', 'Non-effort related salary codes are excluded in the results, as ECRT does not accept them. For a complete list of included and excluded salary codes, see Appendix A in the Effort Coordinator's Guide found at <https://rsp.wisc.edu/effort/ecrtraining/ECGuide.pdf>', 'ECRT uses earned begin and end dates for applying salary transactions to an effort reporting period. The earned period for "off cycle payroll" often differs from the pay dates.', and 'The query is not limited to searching by fiscal year.'. Below the text are input fields for 'EMPLID:' and 'Earned Period:' (with two date pickers). At the bottom are 'Submit' and 'Reset' buttons.

Accounting Data Warehouse

<https://adw.med.wisc.edu/resources.php>

The screenshot shows the 'Accounting Data Warehouse' interface. At the top, there is a navigation bar with 'UNIVERSITY of WISCONSIN-MADISON'. Below this is a header with the 'School of Medicine and Public Health' logo and the text 'Accounting Data Warehouse'. The main content area has a navigation bar with 'Home', 'Payroll', 'Monthly Fiscal Reports', 'School Funds Status', 'UW Funds', 'UW Foundation', and 'Query Repla'. Below the navigation bar is a section titled 'Accounting Resources Available' with a sub-section 'Payroll Information'. The 'Payroll Information' section lists two resources: 'Paydata for Budgeting' and 'Payroll Star query'. Below the list is the text 'Salary funding for an individual'.

Who certifies payroll statements in ECC?

The project's Principal Investigator (PI) is responsible for the certifying the entire statement.

UW-Madison is utilizing **project-based statements** to support the payroll certification process. There is one statement for each federal, or federal flow-through, project. All individuals paid on that project during the period of performance will appear.

How does a PI certify?

If your statement is accurate and reasonable, you have three short steps to complete certification.

1. Click the star icon to select all Certify boxes.
2. Click the "Certify" button.
3. Click on the "I Agree" button on the attestation page.

Payroll + Cost Share	Certify	More Info
5.00%	☒	\$
13.58%	☒	\$
10.19%	☒	\$
50.00%	☒	\$

Payroll + Cost Share	Certify	More Info
5.00%	☒	\$
13.58%	☒	\$
10.19%	☒	\$
50.00%	☒	\$

I certify that the salary charges, including any salary transfers, reasonably reflect the work performed and are in accord with University policies. I further certify that I am in a position that provides me with a suitable means of verification that the work was performed.

Reopens/Recertifications

Why are reopen requests needed?

Recertification of payroll is a **change to the payroll distribution on a project payroll statement that occurs after a coordinator pre-reviewed a statement and a PI has certified the statement**. Two kinds of events can precipitate a recertification of payroll:

- a PI can ask to change the payroll distribution on the statement itself.
- **a salary cost transfer after payroll certification** results in a need to change the distribution of payroll on a project statement.

Once the last date of the certification window has passed, **a subsequent recertification can call into question the reliability of the certification process**. Therefore, any subsequent recertification request requires justification that clearly sets forth why the previous project payroll statement was erroneously certified, and why the requested change is more appropriate. Such requests are submitted to RSP. Only in compelling circumstances will such a request be approved.

When is a reopen request needed?

- A reopen request is required if all the following are met:
 - The ECC project statement is already certified by the PI
 - It is a federal project (142, 143, 144)
 - Funds are moving onto the project
 - The additional funds are a significant change to the project. Significant is defined as:
 - \$2500 or more
 - OR
 - A 5% change or more on that ECC statement for that individual

How to submit a reopen request

RSP will let you know when it is
needed.

SCT# 00034 [REDACTED] - ECC Statement Reopen Request Needed



JENNIFER C BELL

To [REDACTED]
Cc [REDACTED]



Mon 1/22/2024 10:14 AM

Good morning, Trish -

The transfer for [REDACTED] (Salary Cost Transfer # S00034-[REDACTED]) requires approval to reopen and recertify the following closed project payroll statements in ECC. I will send the transfer back to [REDACTED] for now.

144-AA [REDACTED]
1/1/23 – 6/17/23

Please compose a written request to reopen the certified project payroll statement. Address the letter to the Associate Vice Chancellor for Research Administration, and include the following information:

1. Project statement number and period of performance to be reopened.
2. Clear and thorough statement from the project certifier (usually the PI) explaining:
 - a) why it was originally certified the way it was
 - b) why it should be allowed to be reopened and recertified (please cite any applicable salary transfer numbers here)
 - c) steps that will be taken to avoid similar requests in the future
3. At minimum – **signatures from the PI and the Division that houses the project.**

Please route the request to your Dean's office for review and signature. If approved by them, they should email the request to reopeneffort@rsp.wisc.edu for RSP leadership review.

Thank you,
Jennie

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Resources & contact info

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<https://rsp.wisc.edu/effort/>

The screenshot shows the RSP website header with the logo and navigation menu. The main content area is titled "Effort Commitments and Payroll Certification" and includes a sidebar with "FREQUENTLY ACCESSED PAGES" and a main section with "Payroll Certification" and "Effort Commitments" sub-sections. The sidebar lists links such as Staff Directory, Accountant Search, Audits, Award Search, Budget Development Tools, Careers @ RSP (0), Check Routing, Compliance, Consolidated Resources, Cost Sharing, Cost Transfer Policy, Database Queries, Effort Commitments and Payroll Certification Forms, and RAMP - Resources Page. The main section features expandable cards for Overview, Policies and Guidelines, Training, ECC Quick Start Guides, Guidance Documents, and Look Up Tools. A search bar is located in the top right corner.

RESEARCH AND SPONSORED PROGRAMS
Office of the Vice Chancellor for Research

SEARCH WEBSITE

SEARCH

ENDING FUNDING PROPOSAL PREPARATION AGREEMENT NEGOTIATION AWARD SETUP AWARD MANAGEMENT AWARD CLOSEOUT RED

ME / EFFORT REPORTING AND CERTIFICATION

FREQUENTLY ACCESSED PAGES

- Staff Directory
- Accountant Search
- Audits
- Award Search
- Budget Development Tools
- Careers @ RSP (0)
- Check Routing
- Compliance
- Consolidated Resources
- Cost Sharing
- Cost Transfer Policy
- Database Queries
- Effort Commitments and Payroll Certification Forms
- RAMP - Resources Page

Effort Commitments and Payroll Certification
Page Updated: January 30, 2024

RELATED LINKS

- ECC Login
- UW Cost Transfer Policy
- UW Cost Sharing Policy

Payroll Certification

 - Overview
 - Policies and Guidelines
 - Training
 - ECC Quick Start Guides
 - Look Up Tools

Effort Commitments

 - Guidance Documents
 - Look Up Tools

We didn't talk in depth about...

- Salary Cap
- Cost Share
- Prior approvals for reduction in effort