

Effort and Key Personnel Notifications

ASP Meeting
September 22, 2021

Presented by: Jaime Estave

Effort Certification – Workday Notification

- Overdue Notifications began on 7/1/2021
- Notifications are sent for Pending Effort Certifications:
 - 1-30 days – 1st notice
 - 31-60 days – 2nd notice
 - 61-90 days – 3rd notice needs ASAP attention
- Notification is sent to the awaiting person

Effort Policy

- [FASOP: AS-30](#)
- <https://www.lsu.edu/administration/ofa/oas/spa/procedures/FASOPAS30.pdf>
- LSU requires all individuals who receive sponsored funding to comply with University policies and procedures, and sponsoring agency regulations regarding the proposing, charging and reporting of effort to awards.

Key Personnel Notification:

Finding:

- LSU has had multiple years (FY18-FY20) of a Key Personnel Audit Finding
- SPA is an after-the-fact reviewer of activity
- The Key Personnel audit finding focus is on requiring **prior approval** from our sponsors when there is a change (i.e. key personnel, scope)

Corrective Action:

- Find proactive solutions in helping the departments manage their awards
- SPA released the Workday Key Personnel Commitment Notification
- The notification is a proactive approach to notifying the departments (PI and Departmental Accounting Staff) if they have an expiring budget period with little to no effort documented
- The notification gives 120 days notice which allows departments time to research and take appropriate action before the expiring budget period

Key Personnel Notification

AWD-002583: LSUAM | Responses of Ecological Function of the Sh 09/25/2019 (version 1) 

Sponsor Award Reference Number	330177-01	Sponsor Direct Cost / Sponsor Facilities And Administration	185,717.00 / 32,500.00	Award Contract Dates	09/25/2019 - 09/30/2022
Prime Sponsor	US Department of Interior			CFDA Number	15.424 - Marine Minerals Activities - Hurricane Sandy
Sponsor	University of Louisiana at Lafayette (ULL)			Proposal ID	48683

[Award Lines](#)
[Overview](#)
[Amendments](#)
[Additional Reports](#)
[Billing & Receivables](#)
[Award Tasks](#)
[Budget](#)
[Set Up & History](#)
[Additional Data](#)

View As Of 09/21/2021

Key Personnel Commitments

Turn on the new tables view

3 items     

Sequence ID	Key Personnel	Role	Budget Period	Start Date	End Date	Grant ID	Cost Share	Type	Commitment	Documented	Commitment Met	Last Updated	Notes
1	Kehui Xu (00001457)	Principal Investigator (PI)	1	09/25/2019	09/30/2020	GR-00006181		Month	1	0.76	Yes	07/31/2021	MET
2	Kehui Xu (00001457)	Principal Investigator (PI)	2	10/01/2020	09/30/2021	GR-00006181		Month	1	0.97	Yes	08/31/2021	emailed dept. 8/10/21
3	Kehui Xu (00001457)	Principal Investigator (PI)	3	10/01/2021	09/30/2022	GR-00006181		Month	1	0			

Key Personnel Notification

Example of the Outlook Notifications:

Outlook Notification

From: LSU Workday Support <lsu@myworkday.com>
Reply-To: Workday Support <workdaysupport@lsu.edu>
Date: Friday, July 2, 2021 at 4:23 PM
To: Leah D Courville <lcourvi@lsu.edu>
Subject: CORRECTION: Outstanding Key Personnel Commitment Notification

NOTICE: The following award(s) have budget period(s) that are expiring within 90 to 120 days and key personnel commitments have not been fully documented. From the award in Workday, navigate to the Additional Data tab to view the Key Personnel Commitments.

AWD-002583

Uniform Guidance § 200.308 (c)(3) requires prior approval for the "disengagement from the project for more than three months, or a 25% reduction in time devoted to the project." As such, to not be considered disengaged, more than 75% of a key personnel commitment must be fully documented prior to the end of each budget period.



Key Personnel Notification

Example of the Workday Notification:

Workday Notification

Notifications

Viewing: All | Sort By: Newest | From Last 30 Days

- CORRECTION: Outstanding Key Personnel Commitment Notification** 11 day(s) ago
- Job Requisition: R00056650 Retired Professor - Contingent**
Job Requisition Completed/Approved 11 day(s) ago
- Outstanding Key Personnel Commitments** 11 day(s) ago
- Document Available**
My Report 2021-07-02 13_07 CDT.xlsx is now available in My Reports 12 day(s) ago
- Purchase Order: PO-0000165443, Supplier: B & H Foto & Electronics Corp - B & H Photo-Video-Pro-Audio, Date: 07/02/2021, Amount: \$54.88**
Purchase Order Event Successfully Completed 12 day(s) ago
- Issued Purchase Orders** 12 day(s) ago
- Award: AWD-003713: LSUAM | Ecological Function**

Alert Notification Details

11 day(s) ago

Alert Notification [Notify Leah Doucet Courville of CORRECTION: Outstanding Key Personnel Commitment Notification](#)

Creation Time 07/02/2021 04:23:19.215 PM

Recipient [Leah Doucet Courville](#)

Subject CORRECTION: Outstanding Key Personnel Commitment Notification

Body NOTICE: The following award(s) have budget period(s) that are expiring within 90 to 120 days and key personnel commitments have not been fully documented. From the award in Workday, navigate to the Additional Data tab to view the Key Personnel Commitments.
AWD-002583
Uniform Guidance § 200.308 (c)(3) requires prior approval for the "disengagement from the project for more than three months, or a 25% reduction in time devoted to the project." As such, to not be considered disengaged, more than 75% of a key personnel commitment must be fully documented prior to the end of each budget period.

Notification Topic [AWD-002583: LSUAM | Responses of Ecological Function of the Sh 09/25/2019 \(version 1\)](#)

Questions?