



SPECTRA Training

What is SPECTRA?

Application built for FAS in FY16

Supplemental

Pay

Effort

Commitment

Tracking and

Request

Application

Benefits of SPECTRA

A single system for all Supplemental Salary Requests



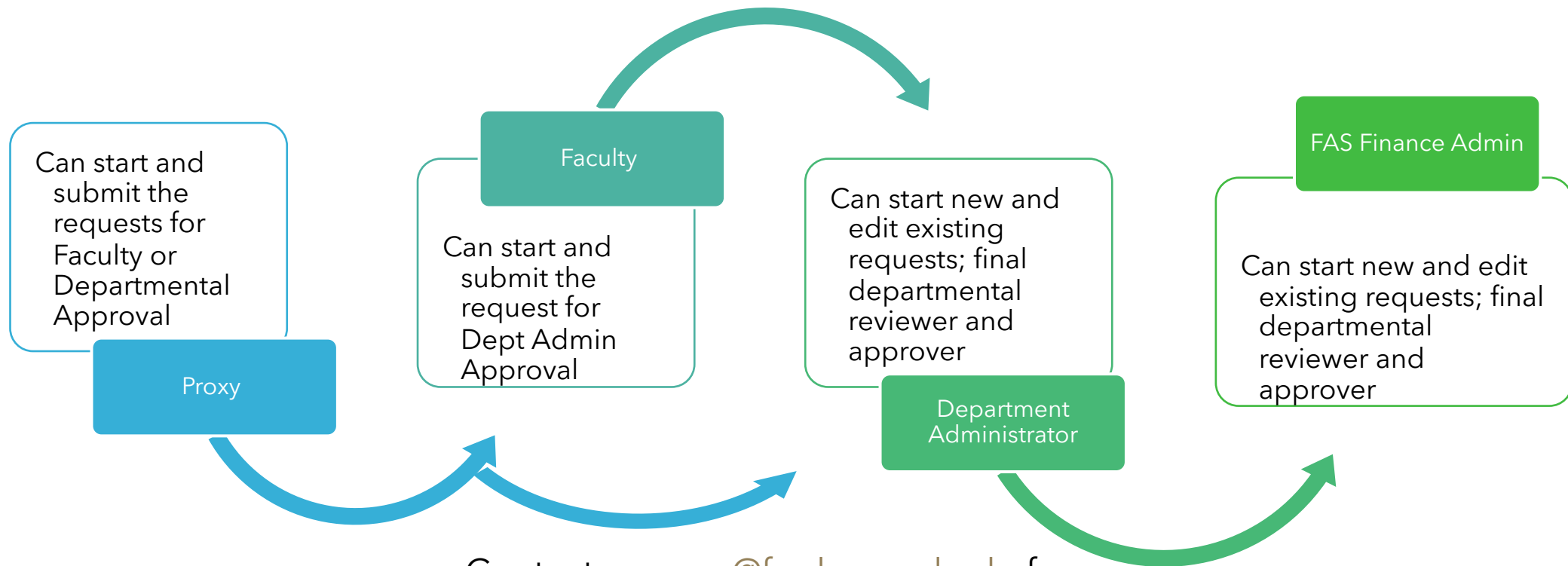
Reduce administrative burden and compliance risks

Produces reports for administrators to manage faculty expended effort

Allows modifications to effort allocations throughout the year due to a triggering event


Reduces coding issues/transposition errors

Roles and Approval Process in SPECTRA







Contact appsec@fas.harvard.edu for access to SPECTRA or to change roles

SPECTRA Overview – Home Page

 **HARVARD**
UNIVERSITY

SPECTRA (FAS Supplemental Pay, Effort Commitment Tracking and Request Application)

 HOME  MANAGE REQUEST  REPORTS  ADMIN

News and Updates

Any changes for FY23 May Supplemental salary can be forwarded to FAS AppAdmin for approval now. Deadline for May Supplemental Salary submissions is May 10th.

Any questions, please contact Nancy Guisinger at nancy_guisinger@harvard.edu.

Thank you

Reference Links

- [FAS Finance SPECTRA information and HUID Pin protected link for FAQ's and Job Aids](#)
- [FAS Research Administration – Supplemental Salary](#)
- [Dean Smith 2.17.15 email with Supplemental Salary policy](#)
- [For technical issues contact help desk; with SPECTRA in subject line](#)

SPECTRA Overview – Main Screen

Manage Requests

Fiscal Year:

FY23

Submit

Clear filters

Action	Faculty HUID	Faculty Name	Department	Request Number	Requestor	Faculty Signoff	Date of Faculty Signoff
Filter	Filter	Filter	Filter	Filter	Filter	Filter	Filter
Create	[Redacted]	Bruno, Giuliana	Art, Film				
View [Old Salary]		Castaing-taylor, Lucien G.	Art, Film				
View		Castaing-taylor, Lucien G.	Art, Film				
View		Frahm, Laura A.	Art, Film				
Create		Guzzetti, Alfred F.	Art, Film				
View		Harper, Sharon C.	Art, Film				

Date of Department Signoff	Current Status	Date of FAS Approval	Comments
Filter	Filter	Filter	Filter
05/23/2022	INACTIVE	05/23/2022	Per agreement, limited to 2 Dean's ninths per fiscal year. SER 5/23/22
05/24/2022	APPROVED	05/24/2022	Faculty received approval to request 3 Dean's ninth per email exchange. SER 5/24/22

Reports Available in SPECTRA



HARVARD
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SPECTRA (FAS Supplemental Pay, Effo



HOME



MANAGE REQUEST



REPORTS ▾



Faculty Request - All Data



SPECTRA Effort Commitment



GMAS Effort Commitment



Faculty Payment Schedule



Cost Share Dollar Report

SPECTRA - Faculty

- + Current Tenure-track Associate, Assistant and Senior Faculty eligible for supplemental salary
- + Senior Lecturers
- + FAS-affiliated University Professors

What is faculty effort in the FAS?

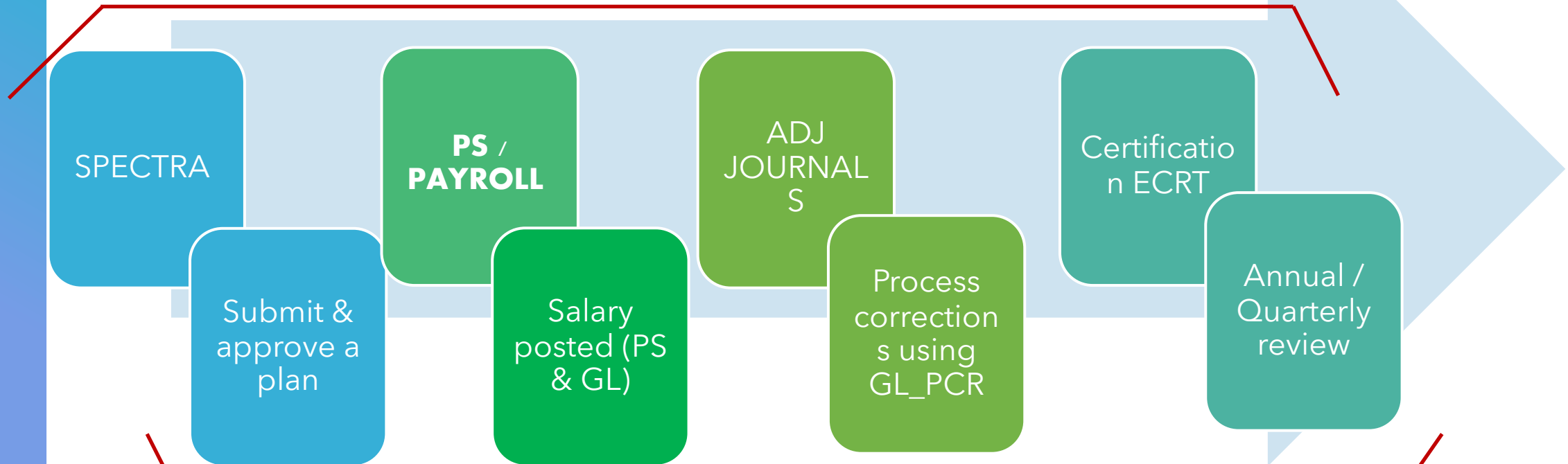
What is faculty committed **effort** at FAS?

1. Committed Effort is the specified percentage of time a researcher has proposed to the sponsor that they will work on a specific sponsored project over a specified period.

2. Effort fulfilled with compensation charged to the project Activity-sub-activity (also referred to as supplemental salary).

Capturing Faculty **effort commitments** through compensation at the FAS:

Systems used to plan, capture and document effort



Processes used to plan, capture and document effort

Faculty time/compensation can be broken into two categories:

1. Academic Year Salary:

Faculty members in the FAS are customarily paid a salary **covering nine months of academic duties, paid out over twelve months**, with the understanding that they will ordinarily teach and conduct research freely.

2. Supplemental Salary:

With the approval of external sponsors and the University, faculty members are permitted **to augment academic salaries with sponsored funds for up to 3/9ths of the academic salary**, as compensation for the time spent on the associated sponsored research projects. If appropriate, Dean's ninths may also be used as supplemental salary.

Types of Salary Requests in SPECTRA

Supplemental Salary:

Dean's Ninths - Supplemental Salary paid by the Dean (6040)

Supplemental Salary - Supplemental Salary charged to Sponsored awards (6040)

Top-up - Supplemental Salary with Dean's Ninths (6040)

Academic Year Salary:

FASIP - academic year salary charged to sponsored awards directly (6010, 6020)

Cost Share - Academic Salary to sponsored awards (6010, 6020)

What is FASIP?

FY₂₄ SPECTRA PROCESS:

- Review with Faculty
- Submit pre-approval for FASIP request form to RAS
 - Only projects with IDC
- Once approved by RAS, enter project costing and percent in SPECTRA
- Email approved form to FAS Finance when submitting the request

Faculty **A**cademic **S**alary **I**ncentive **P**rogram for Sponsored Awards

This incentive program applies to all tenure-track or tenured FAS/SEAS faculty members who choose to participate.

Allows faculty to:

- Charge their academic year salary and associated benefits in **one, two, or three month increments** to FAS/SEAS/ Wyss- managed sponsored awards.
- Receive either; 75% of their salary and associated benefits paid by the sponsor if their awards bear the full federal on- campus overhead rate (currently 69%); or
- 33% for awards carrying less than the full overhead rate.
- The incentive from FASIP will be credited semi-annually to the faculty account on fund 016105.

The FY24 Open Request Period – May 22 –June 26

Here are some helpful tips when entering requests:



DISCUSS WITH
FACULTY ON EFFORT
COMMITMENTS FOR
UPCOMING FISCAL
YEAR



REVISE THE EFFORT
COMMITMENT
SECTION OF EACH OF
YOUR FACULTY
REQUESTS



IGNORE ANTICIPATED
SALARY INCREASES
FOR THE UPCOMING
FISCAL YEAR **



VERIFY REQUESTS
WITH YOUR FACULTY
AND DEPARTMENT
ADMINISTRATOR.



ENTER THE TOTAL
MONTHS OF
SUPPLEMENTAL SALARY
ACCURATELY.

Handling salary increases for FY2024:

Regular 7/1 increases

- SPECTRA will automatically pull in FY24 salary starting late June.

Non-NIH Awards

Enter requests in # of Ninths - payments to faculty will pick up the new amount

NIH funded awards-

- 1. Request ninths in dollars - use Amount column**
- 2. Resubmit the request - if PI's new salary is over-the-cap** (Executive Level II Salary Cap as of 1/23/23- \$212,100) or if need to adjust top up amounts

Important! - FAS Finance will review the request to make sure that:

- ❖ Total Number of Ninths Requested does not exceed 3 months/9ths for full time faculty or 1.5 months/9ths for half time faculty.
- ❖ Monthly column totals in SPECTRA do not exceed 25.000%.
- ❖ NIH Awards entered as dollar Amounts and do not exceed 3 months/ninths.
- ❖ Total ninths on NIH awards do not exceed 3 capped ninths - **\$17,675.00 X 3**

Pre-approval required

- FASIP
- Requests exceeding 25% in one month
- Exception Requests

How to Create a Request

Start with: Step 1 -

May

- Download the **GMAS Effort Commitment Report in SPECTRA** to see and confirm current effort commitments
- Meet with your faculty members to discuss their effort commitments and any potential modifications to their supplemental salary requests before entering anything in the SPECTRA system.
- Define the PI's plan for the year

Supplemental Salary -
charged to project fund

Direct Charge -
academic salary charged to
project fund

Cost Share -
portion of academic salary
charged to project activity

Inside the Request Sections

Fiscal Year: **FY22**

Request Number: **FY22-4360**

Expand All

Collapse All

Dean's Ninth Supplemental Salary (percentages based on 12 months. Example 1/12 = 8.33%)

<

Dean's Ninth Top Up Supplemental Salary (percentages based on 12 months. Example 1/12 = 8.33%)

<

Non-Sponsored Supplemental Salary (percentages based on 12 months. Example 1/12 = 8.33%)

<

Sponsored Supplemental Salary (percentages based on 12 months. Example 1/12 = 8.33%)

<

Effort Commitment (Source GMAS)(based on percentages from GMAS Research Team Module)

<

Rquest for Direct Charge of Academic Year Salary on Sponsored Funds (subject to approval: se

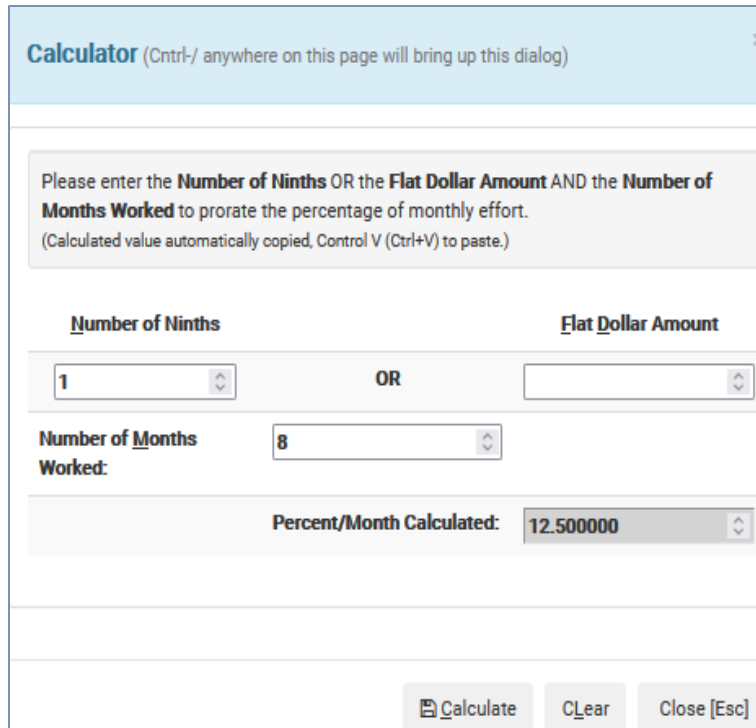
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Cost-Shared Effort Calculated (cost share converted to 9 month appointment)

<

Other Helpful SPECTRA Features

- Calculator - helps prorate monthly effort



Calculator (Ctrl-/ anywhere on this page will bring up this dialog)

Please enter the **Number of Ninths** OR the **Flat Dollar Amount** AND the **Number of Months Worked** to prorate the percentage of monthly effort.
(Calculated value automatically copied, Control V (Ctrl+V) to paste.)

<u>N</u> umber of <u>N</u> inths		<u>F</u> lat <u>D</u> ollar <u>A</u> mount
<input type="text" value="1"/>	OR	<input type="text"/>
Number of Months Worked:		<input type="text" value="8"/>
Percent/Month Calculated:		<input type="text" value="12.500000"/>

- Generate PDF - A pdf report of all sections of the request with a signature of the faculty on the last page. This can be saved for your records.

Department: Chemistry and Chemical Biology
Created: 06/10/2021

How to create a request

Scenario 1 - A faculty has no committed effort on sponsored projects

- + Request Dean's Ninth
- + Request Non-Sponsored Ninth

Step 3: Entering a Dean's Ninth record

Expand All Collapse All Calculator Cancel Request Submit For Faculty Approval

Dean's Ninth Supplemental Salary (percentages based on 12 months. Example 1/12 = 8.33%)

Add Delete Save changes Discard changes

	Amount	No. of NINTHS	Jul(%)	Aug(%)	Sep(%)	Oct(%)	Nov(%)	Dec(%)	Jan(%)	Feb(%)	Mar(%)	Apr(%)	May(%)	Jun(%)	Comments
<input checked="" type="checkbox"/> DEANS NINTH		2.000000	16.666667	16.666667	16.666667	16.666667	16.666667	16.666667	16.666667	16.666667	16.666667	16.666667	16.666667	16.666667	
	Subtotal:	2.000000	16.666667	16.666667	16.666667	16.666667	16.666667	16.666667	16.666667	16.666667	16.666667	16.666667	16.666667	16.666667	

- Go to the "Dean's Ninth Supplemental Salary" section.
- Press the "Add" button to add a record for any records listed as "Dean's Ninth" on your request sheet.
- Enter the No of NINTHS as a whole or partial as listed on your request sheet and press "Tab" .
- The app will allocate the same percent across all 12 months
- You can delete or adjust percent as needed. Deleting a monthly percent will result in the recalculation of the total No of NINTHS
- **NOTE: The system will check if there are nINTHS available and will not allow to proceed if the request exceeds available balance**
- Press the "Save Changes" button.

Step 4: Entering Non-Sponsored Supplemental Salary record(s)

Non-Sponsored Supplemental Salary (percentages based on 12 months. Example 1/12 = 8.33%)

Add Delete Save changes Discard changes

Project Title	Tub	Org	Fund	Activity	Sub Act.	Root	Amount	No. of Nincths	Jul(%)	Aug(%)	Sep(%)	Oct(%)	Nov(%)	Dec(%)
<input checked="" type="checkbox"/> Fund XXXXXX	370	00000	000000	000000	0000			1.000000	8.333333	8.333333	8.333333	8.333333	8.333333	8.333333
Subtotal:								1.000000	8.333333	8.333333	8.333333	8.333333	8.333333	8.333333

- Go to the "Non-Sponsored Supplemental Salary" section.
- Press the "Add" button to add a record for any records listed as "Non-Sponsored" or "Other" on your request sheet.
- Enter the Project Title as "Fund XXXXXX" as listed on your request sheet and press "Tab."
- Enter all account string segments and press "Tab."
- Enter the Amount or No of Nincths as listed on your request sheet and press "Tab" to enter the next month. Repeat for all months.
- Repeat for all Non-Sponsored Supplemental Salary records listed on your request sheet.
- Press the "Save Changes" button.

Scenario 2 - A faculty has projects with committed effort

- + Review committed effort monthly allocations for this fiscal year
- + Add projects to the Supplemental Salary section/ Top-up/Direct Charge
- + Request NIH awards with amount
- + Do not exceed 25.000% in any month

Step 2 Review and correct Effort for multi-year projects

Use current FY Effort Commitment

☐ Effort Commitment (Source GMAS)(based on percentages from GMAS Research Team Module)

Project Title	Tub	Org	Fund	Activity	Sub Act.	Root	Project Period Start	Project Period End	Funding Source (see FAQ)	CAP Amount	Percent	Effort Adj.	Jul(%)	Aug(%)
Academic Collaboration A													0	0
Collaborative research:											4.1667	4.1667	4.166700	4.166700
Collaborative Research:											0		0	0
Collaborative Research:											8.33	8.33	8.330000	8.330000
NSF/GEO ₂ NERC collaborati											8.33	8.33	8.330000	8.330000
NSF/GEO ₂ NERC collaborati											5.33	5.33	5.330000	5.330000

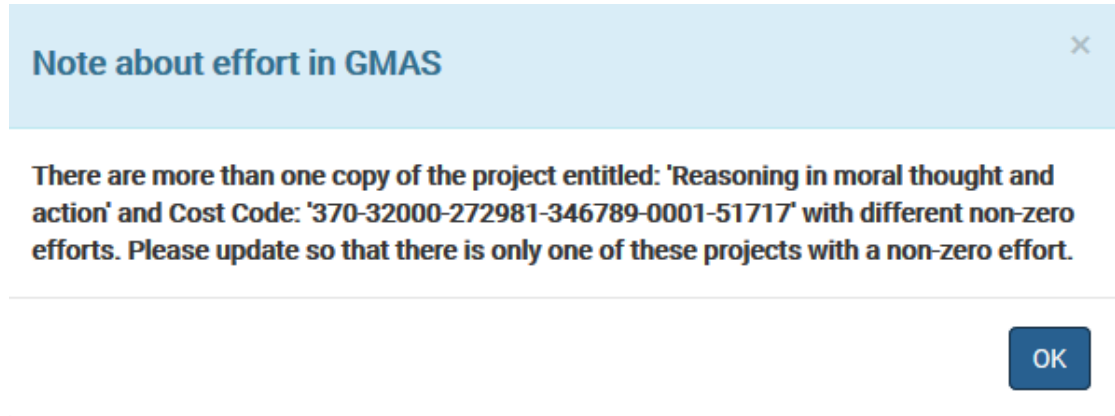
- Open the "Effort Commitment" section.
- Adjust monthly effort percent based on the total effort
- Delete monthly percent if needed
- Run GMAS Effort Report to check Fiscal Year Effort

GMAS Effort Report

PROJECT TITLE	ACTIVITY	SUB ACTI	ROOT	PROJECT PERIOD START	PROJECT PERIOD	FUNDING SOURCE	PERCENT	PROJECT START YEAR
NSF/GEO ₂ NERC collaborative r341						F	5.33	2019
NSF/GEO ₂ NERC collaborative r341						F	8.33	2021
NSF/GEO ₂ NERC collaborative r341						F	5.33	2020

Review and correct Effort for multi-year projects

Pop-Up Message for errors



- SPECTRA will identify effort rows with the same costing but different percent in the Effort Adj column when a user submits for Approval
- User should correct the duplicate effort and leave just one active

Step 4: Entering Sponsored Supplemental Salary record(s)

- Go to the "Effort Commitment" section and scroll to a fund that matches a record in your request sheet.
- Press the "REQ" button and choose "To Sponsored."

☐ Effort Commitment (Source GMAS)(based on per

Edit	Action	Project Title	Tub	Org
<input type="checkbox"/>	REQ			
<input type="checkbox"/>				
<input type="checkbox"/>				

The screenshot shows a mobile application interface for managing effort commitments. At the top, there is a header bar with a toggle icon and the text "Effort Commitment (Source GMAS)(based on per". Below this is a table with columns: "Edit", "Action", "Project Title", "Tub", and "Org". The first row of the table has a checkbox in the "Edit" column, a red button labeled "REQ" in the "Action" column, and empty cells in the other columns. A blue arrow points to the "REQ" button. A dropdown menu is open below the "REQ" button, showing three options: "TO SPONSORED", "TO DIRECT CHARGE", and "TO DEAN'S NINTH TOP UP". The second and third rows of the table also have checkboxes in the "Edit" column but are otherwise empty. At the bottom of the screen, there is a navigation bar with a back arrow icon.

How to Request Salary

Funding Source (see FAQ) ↑↓	Amount ↑↓	No. of Ninths ↑↓
NIH	\$12,456.00	0.573715
Bill and Melinda Gates Foundation		0.250000
NIH	\$16,608.00	0.764954
Servier - Alliance Agreements		1.000000

- Enter No of Ninths or Amount
 - Amount will be converted to Ninths and will **not** change when salary increases
 - No of Ninths will NOT be limited to the corresponding dollar amount. Payments to faculty will increase when salary increases
- For NIH Awards - request Amount only

Step 4: Entering Sponsored Supplemental Salary record(s) (cont.)

☰ Sponsored Supplemental Salary (percentages based on 12 months. Example 1/12 = 8.33%)

Add Delete **Save changes** Discard changes

Project Title	Tub	Org	Fund	Activity	Sub Act.	Root	Project Period Start	Project Period End	Funding Source (see FAQ)	Amount	No. of Ninths	Jul(%)	Aug(%)
<input checked="" type="checkbox"/> SLOAN Fellowship							09/15/2020	09/14/2022	Alfred P. Sloan Foundation		1.000000	8.333333	8.333333
Subtotal:											1.000000	8.333333	8.333333

- Scroll up to the "Sponsored Supplemental Salary" section.
- Enter the Monthly Percentages as listed on your request sheet and press "Tab" to enter the next month. Repeat for all months.
- When entering an NIH request, please include the dollar request in the Amount column - not a percentage in # of Ninths.
- Press the "Save Changes" button

Step 5: Cost Share Review

Calculated automatically on the request

Cost-Shared Effort Calculated (cost share converted to 9 month appointment)												
Project Title	Tub	Org	Fund	Activity	Sub Act.	Root	Funding Source (see FAQ)	Jul(%)	Aug(%)	Sep(%)	Oct(%)	Nov(%)
CSBR: Natural History: P								0.004444	0.004444	0.004444	0.004444	0.004444

- + SPECTRA calculates cost sharing monthly

$$\text{Cost Share} = \frac{\text{Project Effort Commitment} - \text{Project Supplemental Salary}}{.75} - \text{FASIP Salary}$$

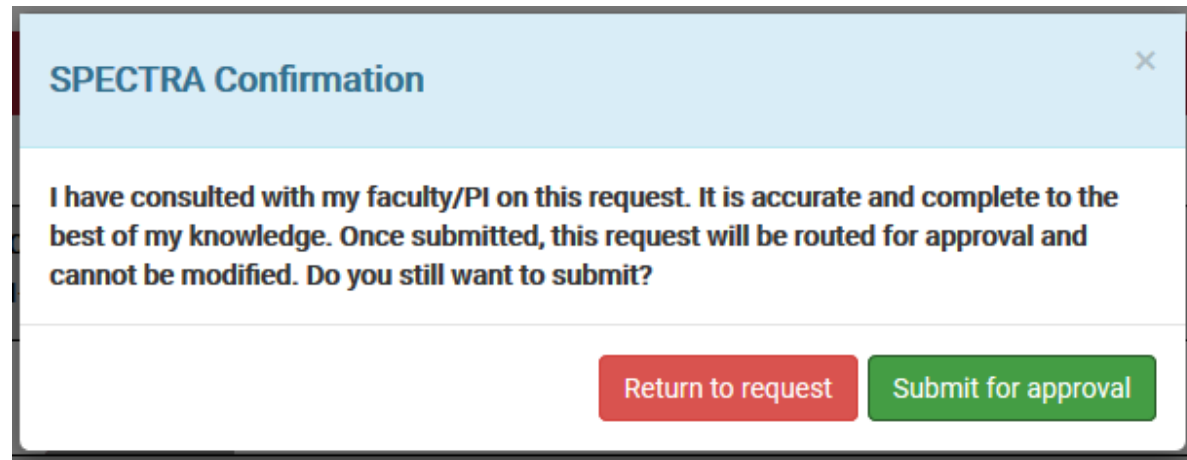
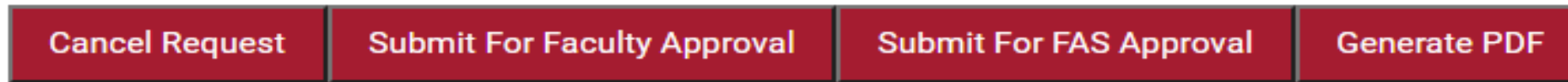
- + **Example: 3 ninths committed effort (25%) fulfilled by 1 Supplemental ninth (8.33%) and 1 FASIP ninth (11.11%) – the third is cost shared (11.11%)**

$$11.11\% = \frac{25\% - 8.33\%}{.75} - 11.11\%$$

- o Cost Share percent under 2% will not be applied
- o Review unusually high monthly percentages

Step 6: Submit for Approval

- Press the “Submit for FAS Approval” button or “Submit for Faculty Approval,” depending upon your department’s workflow



Step 7: **New System Enhancements** (as of 5/18/23 for FY24)

New system checks built-in to review requests realtime. Checks include:

- Total Number of Ninths Requested does not exceed 3 for FT faculty or 1.5 for HT faculty
- Monthly column totals do not exceed 25.0%
- Total Cost Share per Faculty does not exceed 100% in any month
- No Cost Share amount entered on sub-activity 8800
- NIH Awards entered as dollar amounts and do not exceed 3 ninths
- RAS Preapproval obtained for FASIP Direct Charge requests
- For modified requests during the year - increase to the number of ninths
 - *Extenuating exceptions will require SPECTRA request entered within 45 days of the date of relevant Action Memo. No exception form required.*

A pop-up message or acknowledgment will now appear for these checks:

If users enter incorrect data a warning will display. Users will need to correct the entry. Some warnings may be overridden by an acknowledgement to advance the screen.

Entry correction pop-up messages will appear like this below:

Sponsored Supplemental Salary (percentages based on 12 months. Example 1/12 = 8.33%)

You must acknowledge to continue!
The number of Ninths requested is greater than the allowed number of 3 ninths.

You must acknowledge to continue!
A month percentage for the months specified (July - June) is greater than 25%

Add Delete Save changes Discard changes

Project Title	Tub	Org	Fund	Activity	Sub Act	Root	Project Period Start	Project Period End	Funding Source (see FAQ)	Amount	No. of Ninths
<input checked="" type="checkbox"/> SPONSORED	370	31460	131563	337131	0001	44569	12/01/2019	11/30/2023	Test		5.000000
Subtotal: 5.000000											

Sponsored Supplemental Salary (percentages based on 12 months. Example 1/12 = 8.33%)

Please correct the request for NIH awards, ninths should be requested using Amount column.

Add Delete Save changes Discard changes

Project Title	Tub	Org	Fund	Activity	Sub Act	Root	Project Period Start	Project Period End	Funding Source (see FAQ)	Amount	No. of Ninths	Jul(%)	Aug(%)
<input checked="" type="checkbox"/> Billing Agreement: Randy Buckner: Massachusetts Alzheimer's Disease Research Center (Imaging Core)	370	32000	218766	346865	0101	51703	04/01/2022	03/31/2023	NIH		0	0	0
Subtotal: 0.000000											0.000000	0.000000	

Acknowledgement Pop-up messages will appear like this below:

Acknowledged

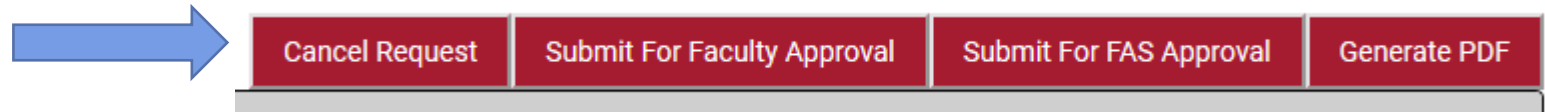
The number of Ninths requested is greater than the allowed number of 3 ninths.

Acknowledged

A month percentage for the months specified (July - June) is greater than 25%

Cancel a blank request

When a new request was initiated but faculty has no Dean's ninths or no effort and will not be requesting supplemental salary or does not need cost share



- + Option to cancel the request
- + Status will be **NOT STARTED**
- + Can later reactivate and submit



Requests can be modified during the year

Faculty may request changes during the year to the allocation of payments to existing and new grants



Faculty can request an increase in the number of supplemental salary months due to new funding

No exception requests are needed within 45 days of an Action Memo

All other cases require an exception request



Exception Request with justification should be submitted to
RAS - Jacqueline Uchendu juchendu@fas.harvard.edu

When to Modify:



New Award



New Activity and Subactivity on existing awards



Increase in salary during year



Changes to pay distribution



Changes to NIH Cap



Failure of another dept to take action (exception)



Change in Effort (exception)



Unplanned shift in funding dictated by sponsor (exception)

How to *Modify* a Request

Step 1 Open Existing Approved Request

Action	Department	Request Number	Requestor	Faculty Signoff	Date of Faculty Signoff	Department Signoff	Date of Department Signoff	Current Status	Date of FAS Approval
<input type="text" value="Filter"/>	<input type="text" value="Filter"/>	<input type="text" value="Filter"/>	<input type="text" value="Filter"/>	<input type="text" value="Filter"/>	<input type="text" value="Filter"/>	<input type="text" value="Filter"/>	<input type="text" value="Filter"/>	<input type="text" value="Filter"/>	<input type="text" value="Filter"/>
View	Human Evolutionary Biology	FY22-3949	Astvatsaturov, Diana	Routed by DA	06/02/2021	McKenna, Natalie C.	06/02/2021	INACTIVE	06/08/2021
View	Human Evolutionary Biology	FY22-4258	Astvatsaturov, Diana	Routed by DA	07/16/2021	Astvatsaturov, Diana	07/16/2021	INACTIVE	07/19/2021
View	Human Evolutionary Biology	FY22-4434	Legault, Jenna	Capellini, Terence D.	04/12/2022	McKenna, Natalie C.	04/12/2022	APPROVED	04/13/2022

HUD: 70955415 Principal Investigator: Andrews, Isaiah S. Title: Professor - FTE:1.00 Department: Economics
Fiscal Year: FY22 Request Number: FY22-3973 Status: APPROVED Created: 05/27/2021

[Expand All](#) [Collapse All](#) [Calculator](#) [Copy request to modify](#) [Generate PDF](#)

- Open APPROVED Request - Actions/View
- Press the Button "Copy request to modify"; Confirm your selection by choosing "Yes"
- This will make the prior request inactive and create a new Request # , keep the existing request info and allow edits

Step 2 Update Effort Section for new Awards



- + The system will not change the existing request and will not bring in new awards
- + User needs to refresh Effort Section to update Project list
- + Adjust or modify the effort

Step 3 Adjust Supplemental Salary ninths

- + Request Supplemental salary on the new award
- + Modify Supplemental salary on existing awards

☰ Sponsored Supplemental Salary (percentages based on 12 months. Example 1/12 = 8.33%)

Add Delete Save changes Discard changes

	Project Title	Tub	Org	Fund	Activity	Sub Act.	Root	Project Period Start	Project Period End	Funding Source (see FAQ)	Amount	No. of Ninths	Jul(%)	Aug(%)
<input checked="" type="checkbox"/>	SLOAN Fellowship	370	31890	272555	345737	0001	50981	09/15/2020	09/14/2022	Alfred P. Sloan Foundation		1.000000	8.333333	8.333333
Subtotal:												1.000000	8.333333	8.333333

Step 2 (cont.) - Refresh Cost Share

- Scroll down to the “Cost-Shared Effort Calculated” section.
- Click the “Refresh Cost Share” button.

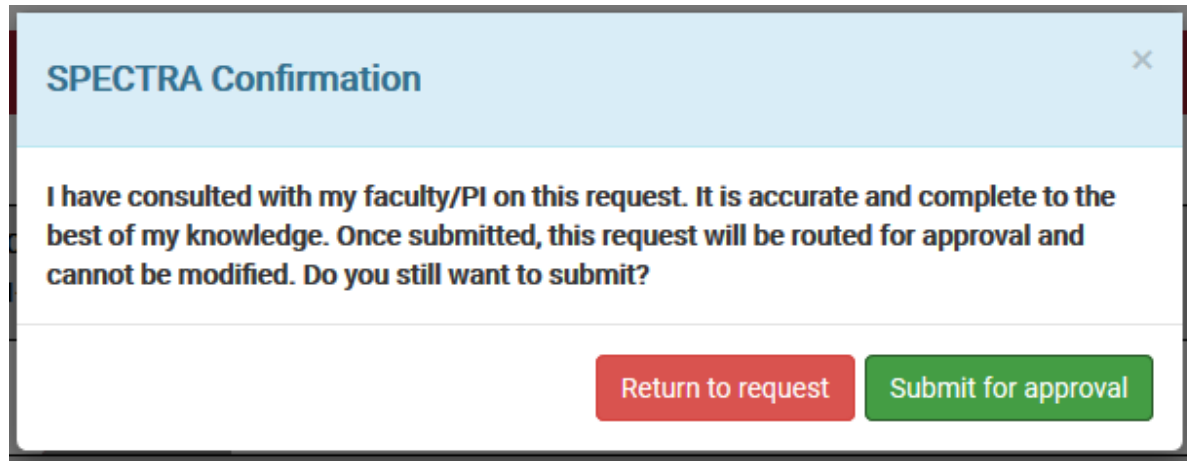
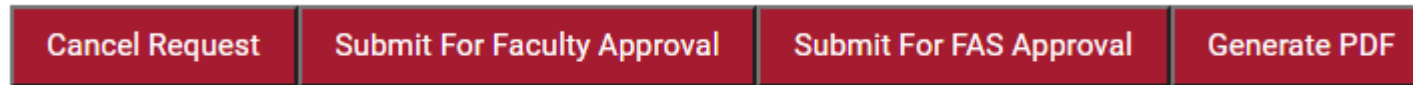
☰ Cost-Shared Effort Calculated (cost share converted to 9 month appointment)

Project Title	Tub	Org	Fund	Activity	Sub Act.	Root	Funding Source (see FAQ)
SLOAN Fellowship							Alfred P. Sloan Foundation
							Subtotal:

Refresh Cost Share

Step 3: Submit for Approval

- Press the “Submit for FAS Approval” button or “Submit for Faculty Approval,” depending upon your department’s workflow



How to enter in a FASIP Request in SPECTRA

- Get pre-approval from RAS - fill out FASIP Request form
- Once the request is approved by RAS, go to the "Effort Commitment" section and scroll to a fund that matches a record in your request sheet.
- Press the "REQ" button and choose "To Direct Charge."
- Scroll to the "Request for Direct Charge of Academic Year Salary on Sponsored Funds" section.
- Enter the Monthly Percentages or annual amount as listed on your request sheet and press "Tab" to enter the next month. Repeat for all months.
- When entering an NIH request, please include the dollar request in the Amount column - not a percentage in # of Ninths.
- Press the "Save Changes" button

How to calculate FASIP Incentive

Example 1

An FAS professor has a grant from NSF that bears the full overhead rate. She decides to participate in the voluntary program by putting 1 month of her academic year.

Direct charge to FAS NSF award:

1 month of salary and fringe = \$25,500

FASIP savings earned by PI and administered by FAS = $\$25,500 \times 75\% = \$19,125$

Example 2

One month of salary for an FAS professor is \$20,000. The professor has an NIH grant that bears the full overhead rate. She has 1 month of effort on this award and decides to participate in the FASIP. The NIH has a salary cap of \$16,441.67.

Direct charge of capped salary to FAS NIH award:

1 month salary = \$20,000

NIH salary cap = \$16,441.67

Fringe @ 23.2% = $\$16,441.67 \times 23.2\% = \$3,814.47$

FASIP savings earned by PI and administered by FAS = $(\$16,441.67 + \$3,814.47) \times 75\% = \$15,192.10$

How to request salary on NIH awards for faculty over the CAP

The Initial Request

1. Always enter requests for NIH awards as dollar values (Amount)
2. SPECTRA will calculate the effective number of ninths based on faculty salary
3. SPECTRA will automatically add a cost share percent to add up to a full percent of effort committed
4. Discuss with the PI if there should be a top-up to a full month's salary (Dean's Ninth or other Faculty Funds)

Funding Source (see FAQ)	Amount	No. of Ninths
NIH	\$22,527.56	1.318258
NIH	\$10,551.27	0.617435
NIH	\$6,615.54	0.387125

Funding Source (see FAQ)	Jul(%)	Aug(%)
NIH	0.508564	0.508564
NIH	-7.299127	-7.299127

How to request salary on NIH awards for faculty over the CAP

January CAP Increase:

1. Proceed as if you are modifying a request
2. Identify the award row in the "Effort Commitment" section and use the red REQ flag to select "To Sponsored". This will create two separate lines for the same costing string.
3. For the first row, enter the % for the months of July through December to reflect the old cap. This scenario means that you would be zeroing out half of the fiscal year in each row. Leave a comment explaining the change to reflect the old NIH Cap.
4. For the second row, enter the % for January through June reflecting the new cap. This scenario means that you would be zeroing out half of the fiscal year in each row. Leave a comment explaining the change to reflect the old NIH Cap.

Fund	Sponsor	Amount	No Of Nints	Oct	Nov	Dec	Jan	Feb	March	April	Comments
138078	NIH	\$8,220.83	0.359337	5.98894	5.98894	5.98894	0	0	0	0	0.5 at old cap
138078	NIH	\$8,302.83	0.362925				6.048686	6.048686	6.048686	6.04868	0.5 at new cap

* Further documentation can be found on the resources site

Salary Changes / Increases – 7/1 salary increase

- + New Academic Salary increase takes place on 7/1 (available in late June)
- + Department completes the request and gets approval
- + Finance Admin runs a process to update salary for all faculty before July payroll
- + Faculty Payment Report is updated for new salary

Mid Year increase

- + The request will turn blue, but the new salary will not be pulled in. The Faculty Payment report will continue to calculate based on the old salary.

View/Edit [New Salary]	80424442	Akyeampong, Emmanuel K.	History
View/Edit [New Salary]	80613415	Alcock, Charles	Astronomy
View [New Salary]	30581644	Brown, Vincent	History
View [New Salary]	21455652	Drabon, Nadja	Earth and Planetary Science

- + Salary changes during the Academic Year will warrant a department to modify and resubmit their request to update faculty salary.

Things to avoid

- + Please **do not submit a modified request without including a comment** to explain any changes or note a new Action Memo date. Modified requests without comments will be returned!
- + When entering NIH, **do not enter the number of ninths in the request. Dollar values must be included** to ensure faculty do not receive more than the NIH Cap.
- + Do not initiate a modification or new request until you are able to submit for approval. Requests in DRAFT status will generate a daily reminder email. It is important to submit before the SPECTRA payroll deadline.

SPECTRA Application – Recap and what's next

- **Fall 2022**

- Received funding from the Project Review Board (PRB) to enhance and strengthen compliance rules within the application. Currently working with HUIT weekly on project enhancements.

- **Completed May 2023:**

- System check for business rules detailed on slide # 36 + 37

- **Pending Fall 2023:**

- Capability to add attachments within the system
- New Approval Role for RAS for sponsored requests
- Additional Direct Charge functionality, i.e. to capture for IDC shortfall

SPECTRA Job Aids – finance.fas.harvard.edu/SPECTRA

- 5 Steps to Manage PI Supplemental Salary, Direct Charge Requests, & Reconciliation
- Effort Commitment in SPECTRA
- Entering the New NIH Cap
- Faculty Effort Guidance
- Faculty Supplemental Salary Exception Form
- FASIP Request Form (revision 2021)
- How to Create and Modify a SPECTRA Request
- SPECTRA Department Admin User Guide
- SPECTRA FAQs (revision 2020)
- SPECTRA Funding Sources
- SPECTRA Proxy User Guide
- SPECTRA Report Overview
- SPECTRA Faculty User Guide
- The 4 Rs of SPECTRA
- What You Need to Know About the Open Request Period

All job aids relating to SPECTRA can be accessed via this [HUID pin protected website](#).

Additional Resources:

**Information for Monitoring
Effort and Cost Sharing**

GL and ecrt reconciliations and journals

Errors due to Mid Year Revisions of Requests

Requests submitted after SPECTRA deadlines

Deadlines are on the SPECTRA homepage and reminders are sent out monthly

Cost share percent would not be adjusted for that month- old salary would be processed for that month.

If failed, previous month's Supplemental Salary is posted (any adjustments after the deadline a journal for cs needs to be processed and a request submitted for approval)

Requests not in Approved status - DRAFT or Pending status at time of deadline

***Request information is not pulled into the reports

Make sure to run TL to confirm if supplemental salary

Cost Share costing is removed from faculty salary costing

Supplemental Salary is not posted

Department needs to process CS journal for that month and request suppl salary payment (Offcycle) from Sue Rose

Revisions affecting previous months

Department's responsibility to post journals for prior months cost share

Departments need to request off cycle payments from Sue Rose. She will manually review and process any additional payments

How do I run an ecrt payroll report?

1. To access the ecrt payroll report, go to the reports tab of the home page and then select "Payroll/Cost Share"> "Payroll Report"
2. Enter the employee's name, department and /or desired account.
3. Followed by the date. As is the case with many other reports, the date range can be set in one of two ways.
 - A. First, the report can be run by selecting a Start Date and an End Date. If the user selects this option, the report will return results for all salary transactions that falls within the dates entered.
 - B. The alternate way of setting the range is by selecting 'Employee Type'. Which can only be used for annual certifiers on this report.

For additional information and screen shots, please see the Ecrt Reports Job Aid at:
http://osp.finance.harvard.edu/files/osp/files/ecrt_reports_job_aid_4-20-2017.pdf

How can I use the information from the ecrt payroll report?



Calculate a ninth



Review amount charged to project



Compare amount charged with commitment made to sponsor

Practice Example 1

- + Prof. Richards' anticipated expended effort is 2 months (2/12 or 16.67%) on his award. The faculty plans to expend two months of effort, so he will charge these 2 months as supplemental salary (2/12 or 16.67%).
- Effort commitment is 2 CM proposed to sponsor.
- Total months of work for FY is 11 (9 AY+ 2 supplemental salary)

- + *Assume this request is already in SPECTRA or been requested through a Supplemental Salary request form.

Ecert payroll report and reconciliation

Certifier	Department	Department Number	Pay Period	Grant	Payroll	Pay %	Pay Type	Employee Type	Statement Type
Richards, Michael - 99999999	SEAS^Engineering, Fac Supp-33333	33333	07/22/2016 to 07/22/2016	000000-000000-00000 - Non Sponsored	\$ 11,250.00	0.8182	325-99999-6010-483400-585700-0001-77777	Annual Certifier	Annual
Richards, Michael - 99999999	SEAS^Engineering, Fac Supp-33333	33333	07/22/2016 to 07/22/2016	123123-321321-0004 - Project A	\$ 2,500.00	0.1818	325-99999-6040-123123-321321-0004-77777	Annual Certifier	Annual

Effort commitment:		
2 months	1 ninth	\$ 15,000.00
	9-month appt	\$ 135,000.00
	Supplemental pay	\$ 30,000.00
Total effort for FY:	<u>For FY expect to see in ecrt</u>	
	Total pay	\$ 165,000.00
11 months	2 ninths on 123123	\$ 30,000.00
	% of 2 ninths in ecrt	0.1818

GMAS commitment is 16.67%, requested anticipated expended effort is 16.67%, but ecrt will show 18% effort on that account.

Correcting Journals using GL-PCR tool

It is the responsibility of the department to correct posted cost share

change dollars applied to the project

change project costing (activity/sub)

- + In this tool, as payroll adjustments are made, it will pull all the details from the original transactions in the data warehouse and attach the adjustment to the original transaction(s).

Required Roles to process or use GL-PCR

Junior Faculty salary (6020) journals

General Ledger :

GL^FCOR^MegaOrg^BIE

HART - Detail Comp-Org +No, 52100 Root

Senior Faculty salary (6010) journals
initiated by Department Admin

General Ledger :

GL^FCOR^TFO*

HART - Detail Comp-Org +Yes, 52100 Root

**Requires approval from Finance and Fac Affairs*

Users with multiple GL Roles need to choose a correct responsibility

Questions?

FAS Admin, FASFacultySupport@fas.harvard.edu

for information regarding Dean Ninths, salary journals, and direct charge costing changes.

Tanya Sukharenko tanya_sukharenko@harvard.edu

for information regarding corrections to cost share.

Jacqueline Uchendu, juchendu@fas.harvard.edu

for information regarding sponsored funds, effort, SPECTRA exception request, and FASIP requests.

APPSEC, appsec@fas.harvard.edu **for access to SPECTRA or change roles.**