



# FINANCIAL AFFAIRS

The University of Alabama at Birmingham

## Completing the Over-the-Cap Effort Report

### Step 1

Open the report in Excel, taking note that *each employee has their own tab* in the workbook to [complete](#)

Account Type	Account Number	Account Name	Actual Period Distribution	(A) Posted Summary Salary %	(B) Certified Actual % Effort	Base	Adjusted Salary (A x C)	Adjusted Salary (B x C)
GL	2100100.000.123100000.301999999.0000.8102099	PROJECT SUPPORT	14,039.88	9.27	151,499.51	14,039.88	=(F9*100*G6)	=(F9*100*G6)
GL	2100000.000.123100000.301999999.0000.8102099	RESEARCH CHAIR	83,324.73	54.50	151,499.51	82,567.23	=(F7*100*G7)	=(F7*100*G7)
GL	3107016.000.213107016.301999999.0000.8102099	START UP	30,299.90	20.50	151,499.51	31,057.40	=(F8*100*G8)	=(F8*100*G8)
<b>Subtotal</b>			<b>127,664.51</b>	<b>84.27</b>	<b>=SUM(F6:F8)</b>	<b>127,664.51</b>	<b>=SUM(I6:I8)</b>	<b>=SUM(I6:I8)</b>
PTA	300000.01.01.2000000.10.8102099	TISSUE PROCUREMENT	4,740.00	3.12	94,800.00	2,966.03	=(F10*100*G10)	=(F10*100*G10)
PTA	310000.01.01.2000000.10.8102099	FUNCTIONAL EVALUATION OF ITGAM SNPS	9,480.00	6.26	94,800.00	5,932.06	=(F11*100*G11)	=(F11*100*G11)
PTA	320000.01.01.2000000.10.8102099	EDUCATION COLLABORATION FOR EXCELLENCE IN SCIENCE AND MATH EDUCATION	9,615.00	6.35	96,150.00	6,102.21	=(F12*100*G12)	=(F12*100*G12)
<b>Subtotal</b>			<b>23,835.00</b>	<b>15.73</b>	<b>=SUM(F10:F12)</b>	<b>15,006.30</b>	<b>=SUM(I10:I12)</b>	<b>=SUM(I10:I12)</b>
<b>TOTAL</b>			<b>151,499.51</b>	<b>100.00</b>	<b>=SUM(F9:F13)</b>	<b>142,664.81</b>	<b>=SUM(I9:I13)</b>	<b>=SUM(I9:I13)</b>
<b>Total Semiannual Salary Distribution</b>						<b>151,499.51</b>	<b>=SUM(I14,I15)</b>	<b>=SUM(I14,I15)</b>

### Step 2

- Click the **column F** heading to highlight the whole column
- Right-click > **Format Cells**
- Choose **Number** > **2 Decimal Places**
- Click **OK**

Account Name	Actual Period Distribution	(A) Posted Summary Salary %	(B) Certified Actual % Effort	Base	Adjusted Salary (A x C)	Adjusted Salary (B x C)	
PROJECT SUPPORT	14,039.88	9.27	151,499.51	14,039.88	=(F9*100*G6)	=(F9*100*G6)	
RESEARCH CHAIR	83,324.73	54.50	151,499.51	82,567.23	=(F7*100*G7)	=(F7*100*G7)	
START UP	30,299.90	20.50	151,499.51	31,057.40	=(F8*100*G8)	=(F8*100*G8)	
<b>Subtotal</b>			<b>127,664.51</b>	<b>84.27</b>	<b>=SUM(F6:F8)</b>	<b>127,664.51</b>	<b>=SUM(I6:I8)</b>
TISSUE PROCUREMENT	4,740.00	3.12	94,800.00	2,966.03	=(F10*100*G10)	=(F10*100*G10)	
FUNCTIONAL EVALUATION OF ITGAM SNPS	9,480.00	6.26	94,800.00	5,932.06	=(F11*100*G11)	=(F11*100*G11)	
EDUCATION COLLABORATION FOR EXCELLENCE IN SCIENCE AND MATH EDUCATION	9,615.00	6.35	96,150.00	6,102.21	=(F12*100*G12)	=(F12*100*G12)	
<b>Subtotal</b>			<b>23,835.00</b>	<b>15.73</b>	<b>=SUM(F10:F12)</b>	<b>15,006.30</b>	<b>=SUM(I10:I12)</b>
<b>TOTAL</b>			<b>151,499.51</b>	<b>100.00</b>	<b>=SUM(F9:F13)</b>	<b>142,664.81</b>	<b>=SUM(I9:I13)</b>
<b>Total Semiannual Salary Distribution</b>						<b>151,499.51</b>	<b>=SUM(I14,I15)</b>

### Step 3

- Click the **column I** heading to highlight the whole column
- Right-click > **Format Cells**
- Choose **Currency**
- Click **OK**

Account Name	Actual Period Distribution	(A) Posted Summary Salary %	(B) Certified Actual % Effort	Base	Adjusted Salary (A x C)	Adjusted Salary (B x C)	
PROJECT SUPPORT	14,039.88	9.27	151,499.51	14,039.88	=(F9*100*G6)	=(F9*100*G6)	
RESEARCH CHAIR	83,324.73	54.50	151,499.51	82,567.23	=(F7*100*G7)	=(F7*100*G7)	
START UP	30,299.90	20.50	151,499.51	31,057.40	=(F8*100*G8)	=(F8*100*G8)	
<b>Subtotal</b>			<b>127,664.51</b>	<b>84.27</b>	<b>=SUM(F6:F8)</b>	<b>127,664.51</b>	<b>=SUM(I6:I8)</b>
TISSUE PROCUREMENT	4,740.00	3.12	94,800.00	2,966.03	=(F10*100*G10)	=(F10*100*G10)	
FUNCTIONAL EVALUATION OF ITGAM SNPS	9,480.00	6.26	94,800.00	5,932.06	=(F11*100*G11)	=(F11*100*G11)	
EDUCATION COLLABORATION FOR EXCELLENCE IN SCIENCE AND MATH EDUCATION	9,615.00	6.35	96,150.00	6,102.21	=(F12*100*G12)	=(F12*100*G12)	
<b>Subtotal</b>			<b>23,835.00</b>	<b>15.73</b>	<b>=SUM(F10:F12)</b>	<b>15,006.30</b>	<b>=SUM(I10:I12)</b>
<b>TOTAL</b>			<b>151,499.51</b>	<b>100.00</b>	<b>=SUM(F9:F13)</b>	<b>142,664.81</b>	<b>=SUM(I9:I13)</b>
<b>Total Semiannual Salary Distribution</b>						<b>151,499.51</b>	<b>=SUM(I14,I15)</b>

**Step 4**

Activate formulas in columns F & I by clicking behind the last ) in the Formula bar for each cell and pressing **Enter**

LastName	FirstName	Initial	Assignment #	CFB	Org #
BLAZER	UAB	B	1000000	B	301999999
This form is provided to calculate the distribution of salary for individuals earning the equivalent or greater than the salary caps for NIH or Substance Abuse and Mental Health Services Administration regulations to certify UAB effort provided directly or indirectly to sponsored programs. Column A "Posted Summary Salary %" reflects the effort calculated based on the data currently in column B, with the actual effort to be certified even if it is the same as the percentage in column A (add additional account numbers if needed). Then provide the appropriate certification, and return the form to your administrator to be forwarded to FA-Costing@uab.edu.					
Account Type	Account Number	Account Name	Actual Period Distribution	(A) Posted Summary Salary %	(B) Certified Actual % Effort
GL	2100100.000.123100000.301999999.0000.8102099	PROJECT SUPPORT	14,039.88	9.27	
GL	2100000.000.123100000.301999999.0000.8102099	RESEARCH CHAIR	83,324.73	54.50	
GL	3107016.000.213107016.301999999.0000.8102099	START UP	30,299.90	20.50	
<b>Subtotal</b>			<b>127,664.51</b>	<b>84.27</b>	<b>=SUM(F6:F8)</b>
PTA	300000.01.01.2000000.10.8102099	TISSUE PROCUREMENT	4,740.00	3.12	
PTA	310000.01.01.2000000.10.8102099	FUNCTIONAL EVALUATION OF ITGAM	9,480.00	6.26	
PTA	320000.01.01.2000000.10.8102099	SNPSFUNCTIONAL EVALUATION OF ITGAM SNPS EDUCATION COLLABORATION FOR EXCELLENCE IN SCIENCE AND MATH EDUCATION	9,615.00	6.35	
<b>Subtotal</b>			<b>23,835.00</b>	<b>15.73</b>	<b>=SUM(F10:F12)</b>
<b>TOTAL</b>			<b>151,499.51</b>	<b>100.00</b>	<b>=SUM(F9:F13)</b>
<b>Amount to be charged to voluntary cost sharing account #</b>					

**Step 5**

- Complete the report, filling in all required data
  - Add new rows, if necessary, for accounts
  - Copy formulas to maintain uniformity
  - Verify all Totals

LastName	FirstName	Initial	Assignment #	CFB	Org #	Org Name	Prepared	Reporting Period
BLAZER	UAB	B	1000000	B	301999999	UAB ORGANIZATION	08-Oct-2020	01-APR-2020 to 30-SEP-2020
This form is provided to calculate the distribution of salary for individuals earning the equivalent or greater than the salary caps for NIH or Substance Abuse and Mental Health Services Administration awards. UAB is required by federal Uniform Guidance regulations to certify UAB effort provided directly or indirectly to sponsored programs. Column A "Posted Summary Salary %" reflects the effort calculated based on the data currently in UAB's official records. Complete column B, "Certified Actual % Effort", with the actual effort to be certified even if it is the same as the percentage in column A (add additional account numbers if needed). Then provide the appropriate certification, and return the form to your administrator to be forwarded to FA-Costing@uab.edu.								
Account Type	Account Number	Account Name	Actual Period Distribution	(A) Posted Summary Salary %	(B) Certified Actual % Effort	(C) Semiannual Salary Base	Adjusted Salary (A x C)	Adjusted Salary (B x C)
GL	2100100.000.123100000.301999999.0000.8102099	PROJECT SUPPORT	14,039.88	9.27	0.00	151,499.51	14,039.88	0.00
GL	2100000.000.123100000.301999999.0000.8102099	RESEARCH CHAIR	83,324.73	54.50	54.50	151,499.51	82,567.23	82,567.23
GL	2100000.000.123100000.301999999.0000.8102099	NEW ACCT	32,510.00	38.24	12.25	151,499.51	54,903.42	18,558.69
GL	3107016.000.213107016.301999999.0000.8102099	START UP	30,299.90	20.50	20.50	151,499.51	31,057.40	31,057.40
<b>Subtotal</b>			<b>127,664.51</b>	<b>84.27</b>	<b>87.26</b>		<b>127,664.51</b>	<b>132,183.32</b>
PTA	300000.01.01.2000000.10.8102099	TISSUE PROCUREMENT	4,740.00	3.12	5.00	94,800.00	2,989.03	4,740.00
PTA	310000.01.01.2000000.10.8102099	FUNCTIONAL EVALUATION OF ITGAM	9,480.00	6.26	6.34	94,800.00	5,932.06	6,010.32
PTA	320000.01.01.2000000.10.8102099	SNPSFUNCTIONAL EVALUATION OF ITGAM SNPS EDUCATION COLLABORATION FOR EXCELLENCE IN SCIENCE AND MATH EDUCATION	9,615.00	6.35	1.41	96,150.00	6,102.21	1,355.72
<b>Subtotal</b>			<b>23,835.00</b>	<b>15.73</b>	<b>12.75</b>		<b>15,000.30</b>	<b>12,106.04</b>
<b>TOTAL</b>			<b>151,499.51</b>	<b>100.00</b>	<b>100.00</b>		<b>142,664.81</b>	<b>144,289.36</b>
<b>Amount to be charged to voluntary cost sharing account #2100100</b>							<b>8,834.70</b>	<b>7,210.15</b>
<b>Total Semiannual Salary Distribution</b>							<b>151,499.51</b>	<b>151,499.51</b>

**Step 6**

- Print each completed report (employee tab) to PDF
- Send for signature using [AdobeSign](#)

**Print**

Copies: 1

Printer: Microsoft Print to PDF

Settings:

- Print Active Sheets
- Pages: 1 to 1
- Collated
- Landscape Orientation
- Tabloid
- Custom Margins
- Custom Scaling

OTC Report Blank - Excel

LastName	FirstName	Initial	Assignment #
BLAZER	UAB	B	1000000
This form is provided to calculate the distribution of salary for individuals earning the equivalent or greater than the salary caps for NIH or Substance Abuse and Mental Health Services Administration regulations to certify UAB effort provided directly or indirectly to sponsored programs. Column A "Posted Summary Salary %" reflects the effort calculated based on the actual effort to be certified even if it is the same as the percentage in column A (add additional account numbers if needed). Then provide the appropriate certification, and return the form to your administrator to be forwarded to FA-Costing@uab.edu.			
Account Type	Account Number	Account Name	Actual Period Distribution
GL	2100100.000.123100000.301999999.0000.8102099	PROJECT SUPPORT	14,039.88
GL	2100000.000.123100000.301999999.0000.8102099	RESEARCH CHAIR	83,324.73
GL	2100000.000.123100000.301999999.0000.8102099	NEW ACCT	32,510.00
GL	3107016.000.213107016.301999999.0000.8102099	START UP	30,299.90
<b>Subtotal</b>			<b>127,664.51</b>
PTA	300000.01.01.2000000.10.8102099	TISSUE PROCUREMENT	4,740.00
PTA	310000.01.01.2000000.10.8102099	FUNCTIONAL EVALUATION OF ITGAM	9,480.00
PTA	320000.01.01.2000000.10.8102099	SNPSFUNCTIONAL EVALUATION OF ITGAM SNPS EDUCATION COLLABORATION FOR EXCELLENCE IN SCIENCE AND MATH EDUCATION	9,615.00
<b>Subtotal</b>			<b>23,835.00</b>
<b>TOTAL</b>			<b>151,499.51</b>
<b>Amount to be charged to voluntary cost sharing account #2100100</b>			
<b>Total Semiannual Salary Distribution</b>			

I certify that Column B above reflects the UAB effort that this individual expended during the period shown and I have sufficient knowledge to so certify. (NOTE: "Column B" must be completed before certification).

IF FACULTY APPOINTMENT, SIGNATURE OF FACULTY MEMBER  
IF NON-FACULTY APPOINTMENT, SIGNATURE OF EMPLOYEE OR SUPERVISING PI