VIII. Effort Reporting

Responsibilities	PI	Unit Admin	Dept. Chair	HSGAO	Dean's Office	VP Research	VP Finance	OSP	OGA	GCA	ORCA	IACUC	IRB	IBC	Research Park	Tech Transfer	Attorney	Auditing	Purchasing	President	Academic Affairs	Health Sciences	Grad School Dean	Gov Relations	Human Resources	RRT	ROC/Grants Admin	Facilities Mgt	Payroll
General/Pre-Proposal																													
1. Establish terms of faculty employment (e.g., contract period, base salary, overall effort expectations) and communicate/document to faculty.			P		S	P	P														P								
2. Enter faculty and staff employment info and update as necessary.																									P				
3. Be familiar with effort commitments to sponsored and non sponsored activities at any given time.	P																												
4. Disclose existence of appointments at other institutions to Chair.	P		O																										
5. Monitor faculty activity to ensure commitments to sponsors can reasonably be met; direct changes in commitments as necessary (e.g., reduction in clinical schedule).		P	P	P	P				P	P																			
Proposal Preparation and Submission																													
1. Estimate sponsored project effort %; ensure can be met, given other commitments/duties and within reasonable work schedule.	P			P				P																			P		
2. Disclose current and pending support [Other Support], as it exists at time of proposal.	P			S				S																					
3. Review and endorse proposal, which includes, but is not limited to, endorsement of: a) reasonableness of committed effort and b) any proposed voluntary committed cost sharing.			P	P	P	P		P																					

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4. Review proposal for compliance with federal requirements and ensure appropriate for submission (e.g., appropriate format and adherence to guidelines). Endorse on behalf of the institution.				P		O		P																					
5. If work begins before award received, identify need for establishment of pre-spending account.	P			S																							P		
6. Establish pre-spending account, if necessary.	P			I					P	P																	P		
7. Establish pre-spending account in BANNER and alert department it is available for use.										P																			
8. Process payroll transactions to prospectively charge salary to pre-spending account, if necessary.	P																										P		
9. Enter proposed effort commitment %s and start/end dates in spreadsheet/database. [interim]																													

Award

1. If award budget is less than proposed budget, determine whether proposed effort commitment to be reduced.	P			O					O																				
2. If award budget is less than proposed budget, determine other budget categories to be reduced if effort commitment not to be reduced, and/or confirm cost share.	P		I	S	S				S																				
3. Review effort commitments on existing projects; revise if necessary to meet new award commitment (See Project Performance, #5).	P	S		O					O																				

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4. Establish sponsored project account (or convert pre-spending account) in BANNER and alert department it is available for use. Establish cost sharing account, if necessary.										P																			
5. Process payroll transactions to prospectively charge salary to sponsored account and/or cost sharing account, commensurate with committed/expected actual effort.		P																											
6. Enter new award effort commitment %s and start/end dates in spreadsheet/database. [interim]																													
Project Performance																													
1. Monitor alignment of salary distribution with actual/expected future effort to determine if retroactive/prospective changes to salary distribution are needed.	P																										P		
2. If retroactive changes are needed, process payroll transactions to modify distribution within 90 days of original salary charge.	P	P																									P		
3. Retroactive changes greater than 90 days: provide justification to OGA	P	P		S																							P		
4. If prospective changes are needed, process payroll transactions to modify salary distribution from (x) date forward.		P																											
5. Monitor actual effort to ensure award effort commitment will be met (over budget period); change actual effort (and re-align salary) and/or communicate reduction to sponsor as necessary.		P																											

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6. Work with OGA to request sponsor approval for permanent reduction in effort greater than 25% of award effort commitment or in accordance with sponsor guidelines.	P	S		S					S																				
7. Prepare and transmit, with OGA endorsement, sponsor progress reports, reflecting actual effort and, if applicable, changes in effort commitments.	P			S																									
8. Update effort commitment %s and start/end dates in spreadsheet/database as necessary. [interim]																													
9. Monitor conformance to policies, procedures, guidelines and work to modify practices as necessary.	S		S	P	S	O			P	P																			

Effort Certification

1. Generate each semester payroll summary and effort certification reports.										P																			
2. Distribute quarterly payroll summary and effort certification reports to units.										P																			
3. Review payroll summaries; note modifications already made but not reflected and/or identify and process retroactive changes as necessary.	P																									S			
4. Review payroll summaries and complete effort certification reports, based on actual effort, commitments and salary charges for period.	P																									S			
5. Notify unit administrator of any changes needed in retroactive salary distribution due to actual effort differing from planned	P																												
6. Certify (sign) effort certification reports for self and research staff (e.g., post docs, graduate students).	P																												

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7. Submit effort certification reports to PI by designated due date (keep copy for departmental records).																											P		
8. Maintain records as necessary to support effort percentages	P																										P		
9. Review certified effort certification reports; notify units if changes or clarifications are needed.										P																			
10. Correct/clarify effort certification reports as requested and re-submit on timely basis.	P																										P		
11. Monitor effort certification report submission rate; notify PI, then chair, then Dean if reports not submitted.										P																			
12. Prepare summaries of effort certification results, as needed.										P																			
Policies, Guidelines, and Procedures																													
1. Identify effort reporting issues for which guidance is necessary.										P	P																		
2. With input from faculty and administrators, develop/maintain policies, guidelines and procedures that clearly articulate the whys/whats/hows and conform to federal requirements.										P																			
3. Monitor effort reporting regulation developments; assess and incorporate into policies, guidelines, procedures as needed.										P																			
Effort Reporting																													
1. Prepare training materials and conduct periodic training for faculty and administrators.				S						P																			

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2. Attend training sessions and/or complete self-administered training programs.				S						P																			
3. Ensure faculty and administrators are receiving training.				S						P																			
4. Assess training effectiveness and modify training as necessary.				S						P																			
5. Develop/update and distribute reference material.				S						P																			
6. Serve as the dedicated resource for daily/ad hoc questions; provide individual training sessions and assistance.				S						P																			