The Effort Reporting Cycle
Effort Reporting encompasses more than just the certification statement …

LEADERSHIP, POLICIES, TRAINING, SYSTEMS

PRE-AWARD

Appointing Faculty & Staff
• Employment terms are established, including # months (contract period), % full time, salary base

Preparing the Proposal Budget
• Effort is proposed, a commitment is made to the sponsor

POST-AWARD

Charging Salary
• Effort is charged, in a real time manner consistent with activity

Certifying Effort
• Effort is attested to, after activity has occurred
The Effort Reporting Cycle
And there are many critical issues that need to be managed within the cycle ...

LEADERSHIP, POLICIES, TRAINING, SYSTEMS

PRE-AWARD
- Appointing Faculty & Staff
  - Importance of appointment documentation
  - Clarity of salary with respect to Institutional Base Salary (IBS)
  - Annual VA Memorandum of Understanding
  - Additional Comp. / Variable / Incentive

POST-AWARD
- Preparing the Proposal Budget
  - Effort commitments
    - Proposed
    - Mandatory cost sharing commitments
    - Voluntary committed cost sharing
    - $ charged relative to IBS
    - Updating VA MOUs
    - Monthly updating of plans if appropriate
  - Effort expended reflected in charges
  - Effort Commitments
    - Changes based on award
    - On-going changes to effort commitments
  - Appropriate charging of cost-share commitments
  - Salary cap charges
  - 9 over 12 payments
  - 10 over 12 payments
  - Summer salary and vacation time
  - Voluntary uncommitted
  - Sabbatical time

- Charging Salary
  - Effort certified consistent with period performed and charges
  - Checking issues pertaining to summer salary, spread salary payments
  - Accounting for cost share commitments and salary cap in certifications
  - Annual certifications for plan confirmation approach
  - Semi-annual (or more frequent certifications) for after-the-fact approach

- Certifying Effort
  - Clear roles and responsibilities among central and local levels with respect to effort reporting
  - Accountability from the top down for ensuring the process is managed and compliant
  - Robust technology tools in place to help enable the process
  - Clear policies that have been communicated and procedures that individuals have been trained on.
  - Availability of training
  - Mandatory attendance at training by researchers and those involved in the business of research