

**Northwestern University
Effort Reporting
Roles and Responsibilities**

Responsibilities	Roles											Relevant Policy/Other Notes
	Academic Units				Central Administration							
	Investigator*	Admin	Dept Chair**	Dean's Office	OSR	ASRSP/ Effort Coord.s	Controller's Office	Provost	Vice President for Research	HRIS/HR 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	P				O	O		
2	Enter faculty and staff employment info in HRIS and update as necessary.		P								A	
3	Be familiar with effort commitments to sponsored and non sponsored activities (including clinical activities, if hold NMFF appointment) at any given time.	P	A									At any given time, commitments to nonsponsored + awarded sponsored activities cannot exceed 100%. Planned development and implementation of a central repository for effort commitments should greatly facilitate the ability to plan for and monitor effort commitments.
4	Disclose existence of appointments at other institutions to Chair.	P		O								
5	Track existence of VA and other appointments (for disclosure to sponsors in proposals).	A	P	O								
6	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	O							
Proposal Preparation and Submission												
7	Estimate sponsored project effort %; ensure can be met, given other commitments/duties and within reasonable work schedule.	P		O	O (non-FSM)							In accordance with OMB A-21 clarification, faculty must propose some level of effort when named in proposals, with a few exceptions (e.g., equipment grants). Basis for effort (100%) estimate excludes time associated with outside professional activities permitted under COI/C policy. If academic year effort expected, faculty should request proportionate amount of academic year salary from sponsor, to extent sponsor policy/practice permits.
8	For FSM faculty with NMFF appointments, include one of the standard statements in the budget justification describing the basis for the % effort estimate and salary request.	P	A			A						For FSM faculty with NMFF appointments, basis for effort %/salary request is NU+NMFF time/salary. Standard statements can be downloaded from http://www.northwestern.edu/orsp/Effort_text.html
9	For faculty with appointment(s) outside of NU/NMFF, disclose that appointment to sponsor in proposal.	P		O								For FSM faculty with VA or other appointments, the basis for effort %/salary request excludes VA/other appointment, but the existence of the appointment should be disclosed.
10	Prepare/update VA MOU, if applicable. Maintain copy in department and submit one copy to OSR.	P	A			A	A					

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11	Disclose current and pending support [Other Support], as it exists at time of proposal.	P	A			A						
12	Complete OSR-1, including indication of proposed effort commitments consistent with what is reflected in proposal budget/budget justification.	P	A			A					Per A-21 clarification, level of effort for PIs and senior researchers should not be zero. OSR-CT form should also include estimate of effort, although budget may not explicitly outline reimbursement of faculty salary.	
13	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, except FSM						"Reasonableness" of effort should be assessed given knowledge of other commitments/activities; voluntary committed cost sharing = effort proposed on project without commensurate request for salary recovery, when such cost sharing not mandated by sponsor.	
14	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						
15	If work begins before award received, identify need for establishment of prespending account.	P	A									
16	Request prespending account from OSR, if necessary.		P									
17	Establish prespending account in CUFS and alert department it is available for use.					P						
18	Process payroll transactions to prospectively charge salary to prespending account, if necessary.		P							A		
19	Alert Administrator of sponsored project commitments on proposals not submitted through home department.	P									OSR may be able to provide assistance to departments (based on the volume of requests) in identifying these commitments in the interim, i.e., until a central effort commitment database is implemented.	
20	Enter proposed effort commitment %s and start/end dates in spreadsheet/database. [interim]		P								Until design/implementation of central repository is complete, departments should maintain own spreadsheets/databases for faculty current and pending effort commitments.	

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Award												
21 If award budget < proposed budget:												
a Determine whether proposed effort commitment to be reduced.	P	A			O							If budget reduction > 10%, effort commitment should be reduced proportionately, unless faculty determines other budget categories can be reduced without affecting project scope or resulting in voluntary cost sharing - see 21b.
b Determine other budget categories to be reduced if effort commitment not to be reduced, and/or confirm cost share.	P	A			A							
22 Review effort commitments on existing projects; revise if necessary to meet new award commitment. (See #29)	P	A	O		A							At any given time, commitments on non-sponsored activities + awarded commitments cannot exceed 100%. Sponsor guidelines regarding <u>summer</u> commitments require additional consideration due to the specific time period to which commitments apply.
23 Establish sponsored project account (or convert prespending account) in CUFS and alert department it is available for use. Establish cost sharing account, if necessary.					P							
24 Process payroll transactions to prospectively charge salary to sponsored account and/or cost sharing account, commensurate with committed/expected actual effort.	O	P									A	Prospective establishment of salary charge to project especially critical for FSM faculty with both NU and NMFF appointments.
25 Enter new award effort commitment %s and start/end dates in spreadsheet/database. [interim]		P										Until design/implementation of central repository is complete, departments should maintain own spreadsheets/databases for faculty current and pending effort commitments.
Project Performance												
26 Monitor alignment of salary distribution with actual/expected future effort to determine if retroactive/prospective changes to salary distribution are needed.	P	A					O					Accepted standard threshold beyond which salary modification should be made is +/- 5% variance between actual effort and salary distribution.
27a If retroactive changes are needed, process payroll transactions to modify distribution within 90 days of original salary charge.	I	P		O (non-FSM)		O			O (Centers)	A		Retroactive changes to place salary onto project > 1 year from date of original charge will not be processed. Retroactive changes < 1 year but > 90 days require letter with detailed justification. Retroactive changes are highly discouraged for periods that have already been certified.
27b Retroactive changes > 90 days: provide justification to ASRSP	P	A				O						

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Responsibilities												
28 If prospective changes are needed, process payroll transactions to modify salary distribution from (x) date forward.	I	P								A		
29 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	A			A						Ultimate system will facilitate this and enable ASRSP Effort Coord.s to assume role in monitoring. A permanent reduction in effort > 25% of award commitment requires notification to and approval from sponsor - See #30.	
30 Work with OSR to request sponsor approval for permanent reduction in effort greater than 25% of award effort commitment or in accordance with sponsor guidelines.	P	A			A/O							
31 Prepare and transmit, with OSR endorsement, sponsor progress reports, reflecting actual effort and, if applicable, changes in effort commitments.	P	A			A/O							
32 Update effort commitment %s and start/end dates in spreadsheet/database as necessary. [interim]	I	P									Until design/implementation of central repository is complete, departments should maintain own spreadsheets/databases for faculty current and pending effort commitments.	
33 Monitor conformance to policies, procedures, guidelines and work to modify practices as necessary.	A	A	A	A	P	P	O		O			
Effort Certification												
34 Generate quarterly payroll summary and effort certification reports and send to ASRSP.										P		
35 Distribute quarterly payroll summary and effort certification reports to units.						P						
36 Review payroll summaries; note modifications already made but not reflected and/or identify and process retroactive changes as necessary.	A	P										
37 Review payroll summaries and complete effort certification reports, based on actual effort, commitments and salary charges for period.	P	A				A					Reported effort should include all commitments, including those for which salary was not charged (i.e. cost sharing). If reported effort is < salary charged to a given project in the period, a salary transfer must be made to remove salary expense from the project.	
38 Notify unit administrator of any changes needed in retroactive salary distribution due to actual effort differing from planned	P											

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39	Certify (sign) effort certification reports for self and research staff (e.g., post docs, graduate students).	P									Faculty are required to certify their own effort reports, and the effort reports of the staff working on their sponsored projects.	
40	Submit effort certification reports to ASRSP Effort Coordinators by designated due date. (depts. may wish to keep paper copy)	P	P									
41	Maintain records as necessary to support effort percentages	P									If used for determining effort percentages, maintain copies of lab notes, class schedules, departmental responsibilities and sponsor commitments during that time period.	
42	Review certified effort certification reports; notify units if changes or clarifications are needed.					P	A/O					
43	Correct/clarify effort certification reports as requested and re-submit on timely basis.	P	A									
44	Monitor effort certification report submission rate; notify department Effort Coordinator, then chair, then Dean if reports not submitted.					P	O					
45	Prepare summaries of effort certification results, as needed.					P						
Policies, Guidelines, Procedures												
46	Identify effort reporting issues for which guidance is necessary.	P	P	P	P	P	P	P	P	P		
47	With input from faculty and administrators, develop/maintain policies, guidelines and procedures that clearly articulate the whys/whats/hows and conform to federal requirements.	A	A	A	A	P	P	P	P	P		
48	Monitor effort reporting regulation developments; assess and incorporate into policies, guidelines, procedures as needed.					P	P	P	A			
Training and Communication												
49	Prepare training materials and conduct periodic training for faculty and administrators.					P	P	P	A		Multiple training formats will ultimately be available, including classroom sessions and computer-based training.	
50	Attend training sessions and/or complete self-administered training programs.	P	P									
51	Ensure faculty and administrators are receiving training.			P	O							

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52 Assess training effectiveness and modify training as necessary.	A	A			P	P	P		A			
53 Develop/update and distribute reference material (e.g., Effort Reporting Manual).					A	P	P		A			
54 Serve as the dedicated resource for daily/ad hoc questions; provide individual training sessions and assistance.					A	P	A/O		A			
Note: This matrix only reflects tasks specifically related to effort reporting. Other research administration tasks are addressed separately.												
P = Primary responsibility												
O = Oversight responsibility												
A = Responsible for providing assistance												
* PIs have primary responsibility for most activities on their sponsored projects. Specific areas are highlighted in this column												
** Department chairs have general oversight responsibility for PI and administrator activities; this column highlights specific areas.												