A Policy to Ensure Consistency in Effort Determination, Reporting & Tracking during the Academic Year (9-month Appointment)

Effective Date: 08/01/2016

I. REASON FOR THIS POLICY:

This policy has been developed to ensure that research "Effort" proposed and committed to a grant is consistently calculated as a percentage of the individual's <u>Total Institutional Activities</u>. Ensuring consistency in effort determination, reporting and tracking is one of the requirements of the Office of Management and Budget Circular Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards ("Uniform Guidance"). Acceptance of federal funding by any part of the University requires the institution to adhere to the requirements prescribed by the Uniform Guidance.

II. CUNY POLICY:

At CUNY, faculty members with an Academic Year (9-Month) appointment receive full-time pay during the Academic Year. When a faculty member submits a sponsored research proposal, it often includes Effort contributed during the Academic Year. In order to ensure that the research "<u>Effort</u>" proposed and committed to the grant is consistently calculated as a percentage of the individual's <u>Total Institutional Activities,</u> the following steps must be taken for the Principal Investigator (PI) and for each person on the grant application:

1. The PI, in consultation with the Grants Office, will input their current 9-month Institutional Base Salary into the grant proposal budget;

2. The PI will estimate the percent Effort or Person Months required to fulfill the scope of work described in the proposal;

3. The PI, in consultation with the Grants Office, will use the Research Effort Calculation Table shown in Appendix 1 to identify the equivalent salary, and subsequently calculate the effective fringe amount to include in the budget for the proposed research project;

4. The PI will seek approval from College President, Provost or their designee for the proposed commitment of effort[1];

---

[1] Committed Effort offered to a sponsor in the proposal documents, that is specified and quantified, becomes a binding commitment upon the execution of the award document.

5. The Grants Office, at the time of an award, will prepare a staff effort notice and online effort certification as instructed by the Research Foundation Policy 549.

6. The College must establish an internal control procedure available to CUNY Central Office and external stakeholders for audit at any time. One way to accomplish this is through the maintenance of a research effort log for which a sample is included in Appendix 2 of this document.

III. WHO MUST COMPLY:

All individuals involved with the administration and conduct of sponsored projects.

IV. RESPONSIBLITIES OF:

Principal Investigator (PI):

➢ Provides a reasonable estimate of effort to be expended in relation to the aim of the Project as well as other University obligations;

➢ Obtains approval from College President, Provost or their designee;

➢ Verifies effort commitment of all personnel named on the project and contacts Grants officer if there is any overlap, discrepancy or required adjustment;

➢ Complies with sponsor requirements regarding reduction in effort and change in status, and seeks prior approval for any re-budgeting of committed effort over the threshold determined to be significant re-budgeting according to Sponsor's terms and conditions;

➢ Certifies effort for self and also for all non-faculty personnel on the project, if required;

➢ Provides certification of effort in a timely manner upon receipt of e-mail notification of report availability from the Research Foundation.

College Grants Office:

➢ Ensures that the submitted proposal is in accordance with CUNY and the Sponsor's policies;

➢ At the time of the award, reconfirms the budget, effort and cost sharing commitments;

➢ At the time of the award, reviews and approves requests for any reductions of effort as required by Sponsor terms and conditions, and alerts the Research Foundation in

writing of any effort commitment changes, both funded or cost shared from the proposal budget;

➢ Contacts the Sponsor and the Research Foundation if any changes to the PI status is required;

➢ Notifies the College President, Provost or their designee, and the Research Foundation in the event of non-compliance.

College President, Provost or their designee:

➢ Reviews and approves any Effort of the PI and other non-faculty members supported on the proposal, and ensures other activities of the PI will not conflict with the proposed effort commitment;

➢ Initiates and enforces sanctions against the PI in the event of noncompliance, as appropriate.

V.   REGULATORY GUIDANCE TO WHICH THIS POLICY RESPONDS:

Uniform Guidance Subpart E Section 200.430 - Compensation

Uniform Guidance Subpart E Section 200.306 - Cost Sharing

Uniform Guidance Subpart E Section Revision 200.308 – Revision of budget and program plans

Consolidated and Further Continuing Appropriations Act, 2015 (Public Law 113-235)

VI.   CROSS REFERENCES TO RELATED POLICIES & GUIDELINES:

Research Foundation, CUNY Uniform Guidance Reference for Principal Investigators
Research Foundation, Summer Salary Guidelines
Research Foundation, Salary Limitations
Research Foundation, Policy No. 549, Effort Certification
Research Foundation, Policy No. 545, Cost Sharing

APPENDICES

Appendix 1: Procedure to Calculate Percent % / Person Months

Appendix 2:   Sample Research Effort Log Template

APPENDIX 1:

Percent % Effort	Person Months	Percent % Effort	Person Months	Percent % Effort	Person Months	Percent % Effort	Person Months	Percent % Effort	Person Months
1%	0.10	21%	1.90	41%	3.70	61%	5.50	81%	7.30
2%	0.20	22%	2.00	42%	3.80	62%	5.60	82%	7.40
3%	0.30	23%	2.10	43%	3.90	63%	5.70	83%	7.50
4%	0.40	24%	2.20	44%	4.00	64%	5.80	84%	7.60
5%	0.50	25%	2.30	45%	4.10	65%	5.90	85%	7.70
6%	0.50	26%	2.30	46%	4.10	66%	5.90	86%	7.70
7%	0.60	27%	2.40	47%	4.20	67%	6.00	87%	7.80
8%	0.70	28%	2.50	48%	4.30	68%	6.10	88%	7.90
9%	0.80	29%	2.60	49%	4.40	69%	6.20	89%	8.00
10%	0.90	30%	2.70	50%	4.50	70%	6.30	90%	8.10
11%	1.00	31%	2.80	51%	4.60	71%	6.40	91%	8.20
12%	1.10	32%	2.90	52%	4.70	72%	6.50	92%	8.30
13%	1.20	33%	3.00	53%	4.80	73%	6.60	93%	8.40
14%	1.30	34%	3.10	54%	4.90	74%	6.70	94%	8.50
15%	1.40	35%	3.20	55%	5.00	75%	6.80	95%	8.60
16%	1.40	36%	3.20	56%	5.00	76%	6.80	96%	8.60
17%	1.50	37%	3.30	57%	5.10	77%	6.90	97%	8.70
18%	1.60	38%	3.40	58%	5.20	78%	7.00	98%	8.80
19%	1.70	39%	3.50	59%	5.30	79%	7.10	99%	8.90
20%	1.80	40%	3.60	60%	5.40	80%	7.20	100%	9.00

For example:

1. Determine that 1.80 Person Months or 20% Effort to be included in the budget of the grant proposal and calculate the equivalent $ Dollar amount.

2. Input the Institutional base salary, for example, $75,000.

3. Multiply $75,000 by .20 (or 20%) = $15,000

4. $15,000 is the amount for salary

5. Multiply $15,000 by the fringe rate in effect to derive the fringe amount

6. Add the salary and fringe to derive total salary + fringe

APPENDIX 2:

Sample Research Effort Log

Faculty Name:	College:
Academic Year	Department:

Sponsored Research

Name of Sponsor	Fund #	% Effort

Non Research

	Description	% Effort

Total Effort _____

Faculty Signature: _____

President, Provost or their designee Signature: _____

This is an example of a research effort log that should be maintained by each faculty member who has sponsored research support. The log should be updated each time there is a change in funding.