Vision Statement
Implement a compliant, streamlined, electronic effort reporting process by June 2012 that reduces administrative burden on campuses.

Effort Reporting Essentials
Effort reporting is a federal regulation used to confirm that salaries charged to a sponsored award are reasonable in relation to the work performed. Certification of an effort report must reasonably reflect the activity for which an employee is compensated. The cost sharing commitment must also be confirmed either through the effort report or another reporting mechanism.

OMB Circular A-21 Section (J)(10)(c)(2)(b) outlines effort reporting regulations. Effort reports will:
- Reflect an after the fact reporting of the percentage distribution of activity of employees.
- Reasonably reflect the activities for which employees are compensated by the institution.
- Reflect activity applicable to each sponsored award and to each category needed to identify F&A costs and the functions to which they are allocable.
- Be prepared each academic term, but no less frequently than every six months (for professorial and professional staff).

Providing Outstanding Sponsored Programs Administration Services and Stewardship

About the Project
The Operational Excellence in Effort Reporting project is a collaboration between campus and central office research administrators to develop an electronic effort reporting process that:
- Reduces administrative burden to the principal investigator and research support function
- Improves compliance through accuracy and education

This project directly supports Goal 1 of the Research Foundation’s (RF) strategic plan by improving and streamlining the effort reporting process. It:
- Replaces an inefficient manual, paper-driven process with an electronic system that ensures consistency
- Addresses the practical difficulties of maintaining an effective and compliant effort reporting system

Collaborative Project Approach
The RF launched the project implementation phase in July 2011 when it announced its collaboration with Huron Education Consulting Group to deploy the company’s electronic effort reporting solution. Huron representatives met with the central office project team to discuss project governance, roles and responsibilities.

The project’s core campus team and other stakeholders will be vital collaborators and contributors to the process of implementing an electronic effort reporting system.

Project Scope:
- Revise the RF and SUNY effort-related compensation policies (e.g., institutional base salary, sponsor salary caps, and summer salary)
- Assess source data and current practices on committed effort, PI e-mail addresses, and processing of SUNY salary elements in the RF system to maximize process improvements
Did you know?
Each year the RF’s campus locations process almost 16,000 effort reports

Core Campus Team
CNSE: Chris Waller
University at Albany: Paula Kaloyeros
Binghamton University: Paul Parker
University at Buffalo: Scott Shurtleff
Stony Brook University: Aaron Rosenblatt
SUNY Downstate Medical Center: Gary Leipzig
Upstate Medical University: Gina McMahon
SUNY ESF: Don Artz
SUNY New Paltz: Julie Majak
Buffalo State College: Linda Dubrawsky

Operational Excellence in Effort Reporting Project
July 2011 Newsletter
www.rfsuny.org

Determining the Direction

Defined Current Environment
- Core campus team members and staff were interviewed
- Certification process was manual, time consuming and varied across the system
- Paper-based process is cumbersome and inefficient for faculty and staff

Identified Future Environment
- Conducted benchmarking interviews with staff from five universities
- Held a Design Workshop with campus participants to agree on features and functions
- Identified 40 requirements in the categories of:
  - Usability
  - Functionality
  - Data
  - Reporting and Monitoring

Selected Huron Education Consulting Group’s Electronic Solution
- Offers opportunity to refine the RF’s effort reporting processes by using a packaged solution based on best/common higher education practices
- Provides flexibility needed to accommodate the RF’s unique effort reporting requirements
- Designed to manage institutional compliance

Critical Project Success Factors
- Input from all stakeholders, especially principal investigators
- Communication
- Education and training
- Deployment of the electronic system

Projected Milestones
- September 2011: Core campus team implementation meeting, Albany, NY
- November 2011: System set up needed for implementation
- January 2012: Configure, review and clean up data
- June 2012: Launch of electronic effort reporting solution

More Information
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