

Dive into Effort on Sponsored Projects

October 13, 2022



OFFICE OF SPONSORED PROGRAMS
COLORADO STATE UNIVERSITY

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Presenters



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Effort & Effort Reporting



What are they?

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Effort = Effort is the portion of time spent on a given professional activity and expressed as a percentage of the total professional activity for which an individual is employed by CSU.

Important points:

- The government recognizes that it is a **"reasonable estimate"**
- Must be performed with **"suitable means of verification"**
- Total effort must equal 100%
- Effort is not based on a standard (e.g., 40-hour) work week, instead it is based on whatever time is worked
- "100% Effort" considers all professional activities related to the individual's CSU appointment (teaching, research, service)
- Effort does not include outside activities (e.g., external consulting)

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NCURA – "Three Mantras of Effort"



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Effort Reporting =

The process by which the salary charged to a sponsored project is reviewed after-the-fact to assure that the salary charged was reasonable in relation to the effort expended on that project



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**CSU Policy ID# 7-2001-016:
Effort Reporting**

'Actual effort expended on each project must be certified at the end of specified reporting periods by a responsible person with suitable means of verification that the work was performed and the salary charges are appropriate...'

**CSU Policy ID# 7-2001-017:
Institutional Base Salary**

'The federal government requires recipients of federal funding to establish an institutional policy that documents the budgeting and expensing of salaries on sponsored projects, whether charged directly or provided as cost sharing, and treats them consistently across all funding sources.'

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PI – Principal Investigator

- The Principal Investigator is the steward of the sponsored project and accompanying funds.
- The University is legally responsible to the sponsor, but the PI is held accountable for the proper fiscal management and conduct of the project. PI responsibilities include:
 - Scientific performance of the work related to the project.
 - Management of the project within funding limitations and in compliance with Federal regulations, sponsor requirements, and institutional policy. **This includes effort certification for all personnel on the project.**
 - Sponsor notification when significant conditions related to the project change.
- Responsibility for the day-to-day management of project finances may be delegated to administrative or other staff. However, **accountability** for compliance with Federal regulations, sponsor requirements, and institutional policy, **ultimately rests with the PI.**

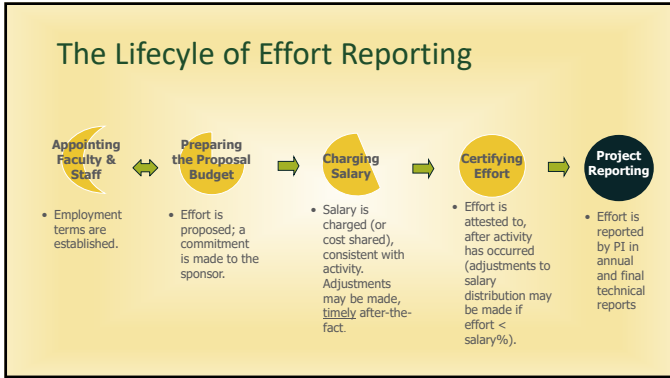
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What is not included in Institutional Base Salary?



- Bonuses
- Honoraria
- Supplemental pay
- External Consulting
- Volunteer work

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In a Nutshell

- In a grant proposal, we PROPOSE effort
- At award time, we make a COMMITMENT of effort by staffing on a project
- Throughout the project, we CHARGE SALARY to the sponsor which represents the effort COMMITMENT
- If we do NOT charge salary, we must show the effort in another way to represent the COMMITMENT

Periodically, sponsors want to know:


- Have we devoted enough effort to justify the salary charges?
- Even in cases where we are not charging salary to the sponsor, have we fulfilled our commitments?

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1% Minimum Cost Share

- 1% Minimum Effort Cost-Share Account Request
- Cost-Share Account (CSA) Request


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**CSU Policy ID# 7-2001-016:
Effort Reporting**

'All Key Personnel must devote at least a one percent commitment to that project...'

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Key Personnel: includes anyone listed as a PI, Co-I, or other key person. CSU's effort policy defines this as the program director/principal investigator and other individuals who are responsible for the scientific design, conduct, and execution of a project in a substantive and measurable way, whether or not they request salaries for compensation.

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Why?

Any individual listed as a Key Personnel on an award is expected to contribute to the scientific development or execution of the project in a substantive and measurable way. Failure to document at least one percent effort for Key Personnel may indicate to the sponsor that the individual did not provide the necessary contribution(s) or work on the project.

OMB Memoranda 01-00



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What are the Exceptions?


- Dissertation grants
- Conference/Workshop Support grants
- Travel grants
- Participant Support Accounts
- Program Income Accounts
- Individual Fellowship/Scholarship awards
- REU Supplements
- No Cost Extension*

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***Considerations for No Cost Extension**

No Cost Extensions for the basic purpose of closing out the award: minimum 1% effort *may* not be needed

No Cost Extensions where substantive work must still be completed: Yes! At least 1% effort still required from key personnel



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When do you request 1% minimum Cost Share?

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At proposal stage



- **Include in KR PD as a separate budget version NOT as cost-share in the 'include for submission' budget**
- **Do not include the 1% cost-share in your budget justification**

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At proposal stage



- **Attach 1% Minimum Effort Cost-Share Account Request, filled out to best of your knowledge, in KR PD under internal documents**
- **Form(s) do NOT need to be signed at proposal stage**

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At award stage

1% Minimum Effort Cost-Share Account Request needs to be filled out completely, fully signed, and returned to OSP S/RA before a new 5-3 and associated cost-share account will be created.



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1% Minimum Cost Share: These expenses are an institutional commitment that must be tracked internally. They are not considered committed cost-share by the sponsor.



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100% Effort on Sponsored Projects



Faculty vs. Research Staff


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**CSU Policy ID# 7-2001-016:
Effort Reporting**

Generally, faculty cannot commit 100% of their effort on sponsored projects...

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Faculty	Research Staff	Students
<p>Generally, faculty cannot commit 100% of their effort to sponsored projects, as time must be reserved for other CSU duties such as teaching, advising students, attending department or college meetings, serving on committees, writing proposals, summer vacation, etc.</p>	<p>Administrative Professionals and Classified staff may devote up to 100% effort to sponsored projects, however, the allocation of effort must be reasonable given the individual's non-sponsored University activities.</p>	<p>Graduate Research Assistants (GRA) may devote up to 100% of their non-academic effort to sponsored projects, however, the allocation of effort must be reasonable, and GRAs should only have an FTE of 50% during the academic year</p>
		

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Questions?



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Resources

- NCURA – “Three Mantras for Effort”
<https://www.youtube.com/watch?v=dplXqQ38m84>
- CSU Policy Library – Effort Reporting & IBS
<http://policylibrary.colostate.edu/policy.aspx?id=756>
- <http://policylibrary.colostate.edu/policy.aspx?id=757>
- OSP Website Effort Reporting
<https://www.research.colostate.edu/osp/ecrt/>
- OMB Memoranda 01-06
https://obamawhitehouse.archives.gov/omb/memoranda_m01-06/
- OSP Forms
<https://www.research.colostate.edu/osp/forms/>

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Resources

- NCE Request Form
https://www.research.colostate.edu/osp/wp-content/uploads/sites/21/2022/01/No-Cost-Extension-Request_V1.pdf
- 1% Minimum Effort Cost-Share Account Request
https://www.research.colostate.edu/osp/wp-content/uploads/sites/21/2020/11/1-percent-CSARequest_Oct-2020.pdf
- Cost-Share Account (CSA) Request
https://www.research.colostate.edu/osp/wp-content/uploads/sites/21/2020/11/CSA-REQUEST_November2020.pdf
- KR PD Quick Reference Guide – Budgeting Cost Share
<https://www.research.colostate.edu/osp/wp-content/uploads/sites/21/2020/08/14-Budgeting-Cost-share.pdf>
- 5 Key Points for Time and Effort Reporting
<https://www.research.colostate.edu/osp/wp-content/uploads/sites/21/2021/07/Effort-5-Key-Points.pdf>

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Thank you for Attending!

Next Session options: 3:30-4:30 PM MT

- Working with Industry: Information for Preparing Proposals and Talking with Industry Sponsors
- Roadmap to Fellowships
- USDA: Getting into the Weeds and Effective Weed Control

Please remember to do the 1-Minute Feedback survey in your email!



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