CSUDH | OFFICE OF SPONSORED
RESEARCH & PROGRAMS

Policy on Effort Reporting for Sponsored Research and Programs

Revised: October 2021

INTRODUCTION

In accordance with the requirements set forth by the Integrated California State University Policy Library and also by the requirements set forth in Title 2 U.S. Code of Federal Regulations Part 200, *Uniform Administration Requirement, Cost Principles, and Audit Requirements for Federal Awards* (Uniform Guidance) as arecipient of federally funded sponsored projects, this document outlines the effort reporting policy for the following recipients: California State University, Dominguez Hills (University), the California StateUniversity, Dominguez Hills Foundation (Foundation), and other authorized auxiliaries. For the purpose of this policy, the administration of the sponsored project will be referred to as the responsibility of the"recipient" of the sponsored program award. An effort report is an employee certification report required of all universities that administer federally sponsored projects. The purpose of the effort report is to document comprehensive time and effort information on faculty and staff who work on federally sponsored programs as well as non-federally sponsored programs. Federal regulations require the recipient to have available for audit an appropriately certified report for all faculty and staff paid and/or cost sharing on a sponsored program.

I.   Policy Statement

The University has set this policy to ensure compliance with the general rules andregulations governing effort reporting, especially those required by the CSU Policy Library and the federal government as established in Title 2 U.S. Code of Federal Regulations Part 200, *Uniform Administration Requirement, Cost Principles, and Audit Requirements for Federal Awards* (Uniform Guidance).

II.   Definitions

A. **Effort** is the proportion of time spent on total professional activities such asresearch, teaching, administration, and service for which an individual is employed by the recipient.

B. **Effort Reporting** is a method of documenting the proportion of the individual's work time devoted to professional activities as a percentage of total professional activity. (It is important to note that effort is not calculated on a 40-hour workweek. If an individual works 80 hours in a week, 40 hours represents 50% effort.)

Effort reporting and payroll distributions are not the same thing. Effort reporting describes the allocation of an individual's activity, while payroll distributions describe the allocation of an individual's salary.

C. **100% Effort** is the total amount of effort expended to accomplish all professional activities of faculty and staff regardless of the actual number of hours expended on those activities. This includes all effort expended on recipient compensated sponsored research, administration, teaching and other activity. Cost sharing activity is also included in the 100% effort. The effort must always equal 100%. The numberof hours implicit in an individual's 100% effort must be

reasonable and supportable to the department, school/college, university/auxiliaries and external reviewers, if requested.

D. **Proposed Effort** is the amount of effort (in %) proposed in any sponsored project application, regardless of whether salary support is requested.

E. **Committed Effort** is the amount of effort (in %) promised by the institution in the proposal or the effort (in %) included in the award documentation.

- If the receipt of an award increases a recipient employee's committed effort beyond what is allowable under CSU or federal policy, the employee must reduce effort on other activities, or decline the award.

- Any revisions to the level of effort of senior and key project personnel must be communicated with the funding agency.

F. **Sponsored Effort** is effort for work conducted on recipient sponsored projects, regardless of whether or not the sponsored project is paying for the work. Sponsored effort may include cost share.

G. **University Effort** is effort for work conducted on behalf of the institution that doesnot involve an external sponsor.

III. Certification

All recipient faculty or staff who have been paid and/or cost shared their time on a sponsored program are responsible for certifying their own effort. Faculty and staff are also responsible for monitoring their effort commitments. Faculty and staff are required to certify that the distribution of effort indicated is a reasonable estimate of all work performed during the period covered by the report. The certification requires the written confirmation of the employee or of a Principal Investigator or Project Director having direct knowledge of the work. The certification must take place at least once per semester following the fall, spring, and summer sessions. Completed effort reporting forms are to be submitted to the Office of Sponsored Research and Programs. In addition, all recipient faculty and staff are required to provide a copy of their certified effort reports to the appropriate administrator (i.e., Dean, VP) of their affiliated College/Division.