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SUNY RESEARCH



Operational Excellence in Effort Reporting Project

August 2011 Newsletter

Vision Statement

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

Effort Reporting Essentials

Why must effort be certified?

The federal regulations in OMB Circular A-21 require that institutions receiving federal awards maintain systems and procedures that document the distribution of activity, and the associated payroll charges, to each individual federal sponsored award.

Who must report effort?

Any person paid, or with an effort commitment, on a federal sponsored award must certify that the salary paid (or the commitment) is reasonable in relation to the effort (activity) devoted to the award. The individual faculty or staff member may report his or her own effort, or a *“responsible person with/using suitable means of verification that the work was performed”* may report for the individual.

Providing Outstanding Sponsored Programs Administration Services and Stewardship

Critical Project Success Factor: Communication

One of the critical success factors for the Operational Excellence in Effort Reporting project is communication. The project’s communication plan accounts for the needs of many different stakeholders, and the charge to get them the information they need.

At the core of the project communication plan is this project newsletter, which debuted in July 2011. The project team will publish each monthly issue on the Research Foundation’s (RF) public web site in the Sponsored Programs News section. The newsletter will also be distributed more broadly:

- The core campus team will distribute it to stakeholders at their campus.
- RF central office members will use it at the campus outreach hub meetings.
- Project team members will share it at meetings held by groups such as the University Colleges Research Council (UCRC).

Recommendations from Hogan Lovells’ Review of the Research Foundation—SUNY Relationship

The report, issued May 2011, included recommendations to improve effort reporting through:

- Increasing automation to enhance compliance capabilities and better integrate with financial systems.
- Reviewing and updating policies and procedures.
- Adequately assigning and explaining roles and responsibilities.

This project is addressing these recommendation and its stakeholder needs by:

- Defining a “system” solution that includes appropriate policies, procedures, roles and responsibilities.
- Implementing an electronic effort reporting solution to improve compliance through accuracy, education and training.

E-mail Addresses Critical

E-mail addresses for those who will have a role in effort reporting are essential to an electronic process. The RF does not currently have a single source to obtain the needed e-mail addresses so central office project team is:

- Compiling an e-mail list for each campus that includes current principal investigators with active awards.
- Working with each campus to identify other personnel who may play a role in the effort reporting process.

THE RESEARCH FOUNDATION
The State University of New York

Project Activities

Did you know?

There were 2,670 principal investigators with active sponsored program awards during fiscal year 2011

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

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The Huron Education Consulting Group met with the central office project team in Albany, N.Y. on July 28 to discuss the implementation project plan, functional and technical decisions, and roles and responsibilities. They will meet with the extended team, including the core campus project team, on September 14 in Albany to:

- Discuss the project and communication plans.
- Provide a demonstration of the electronic effort reporting solution.
- Start discussions about several key decisions that need to be made.

Collaborator Involvement in the Effort Reporting Project

Staff from the following offices will also attend the September 14 meeting to support the project as follows:

- SUNY System Administration Office of Human Resources: Will provide input into communicating about the project with various SUNY human resource audiences and give feedback on SUNY compensation policies that impact effort reporting.
- RF Office of Human Resources: A training specialist will partner with the project team and Huron to assist in the plan to educate various stakeholders—education and training are critical project success factors.
- RF Office of Internal Audit: Will provide quality assurance.

Technical Update

The RF and Huron technical teams have met and reviewed the technical documentation and system requirements for the effort reporting software installation. The RF is installing the needed software, and Huron will be in Albany on September 13 to review the installation and assist with the technical configuration.

Key Project Milestones

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| • September 2011 | Core campus team implementation meeting |
| • November 2011 | System set up needed for implementation |
| • December 2011 | Finalize training plan |
| • January 2012 | Configure and review data |
| • June 2012 | Launch of electronic effort reporting solution |

More Information

Project Co-Owners:

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Project Manager:

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