

Notes from the Effort Reporting Work Group:

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In preparation for our School-wide Retreat, Dean Klag wanted us to examine various issues that have come up regarding effort reporting in the School. We have been asked to examine effort reporting from the following view points:

- Federal regulations
 - Effort reporting is distinct from sources of support. Total employed time is the average total time (hours) that individuals devote to research, teaching and administrative activities for Johns Hopkins University. Effort reporting is not a verification of the payroll system, but rather is a mechanism to identify where faculty and employees are providing effort to Johns Hopkins University. Effort reporting is mandated from the U.S. Government; that is, faculty and staff effort need to be accounted for. Other non-federal sources of funds may not have this mandate. However, the University has decided that faculty and staff will use the effort reporting system regardless of the mechanism of support.
 - Office of Management and Budget's circular A-21 requires an after-the-fact effort report that encompasses all employee activity. This report, which must be performed regularly and must be certified by someone with first-hand knowledge, must be completed. Simultaneously, any differences between the estimate and the payroll distribution with this report must be resolved by adjusting the costs on the award, or by documenting cost-sharing. This reconciliation is done by departmental administrators.

- Effort certification is not based on a standard 40-hour work week, but includes the average total time (hours) that you devote to research, teaching, and administrative activities for Johns Hopkins University. You must report all your activities, including activities not related to Johns Hopkins, on your [annual Conflict of Interest form](#).
- The University is subject to fines if documentation of effort reporting isn't adequate. In addition, if an effort form is falsified, criminal charges can be brought against the individual.
- The University has decided not to submit proposals for PIs not reporting their effort. They have dictated that all faculty must complete the Effort Reporting Training Module.
- The on-line system for grant submissions will use person-months rather than percent of effort. [There is a simple numerical conversion](#).
- Cultures and Demands of our own School
 - There are [specific rules in terms of the roles and responsibilities](#) of various faculty titles. For example, a Research Associate infrequently advises Masters students and is not allowed to advise Doctoral students or serve on preliminary exams; professorial faculty can do all of those things. Based on analysis of the various faculty roles and titles, the Institution has decided not to require recertification of effort by Research Associates due to the likelihood of their expending effort of 89% or more on sponsored activity.

- The structure of general funds support and how general funds are used in departments
 - We should have some school-wide general guidelines for effort reporting, based on non-sponsored effort activity. [A list of examples of non-sponsored effort activities is provided](#). Common examples are 1) Classroom teaching, independent study courses and training students; 2) Preparing for classes; 3) Preparation of proposals other than those related to the noncompetitive renewal of those projects which provided salary support during this period; and 4) CHR and A & P Committee participation.
 - Another example is the Scientist who does not write grants or teach and mentor students; these individual's effort can be 100% on grants. Scientists who advise Master's students and serve on preliminary or final exams should report these as non-sponsored activities.