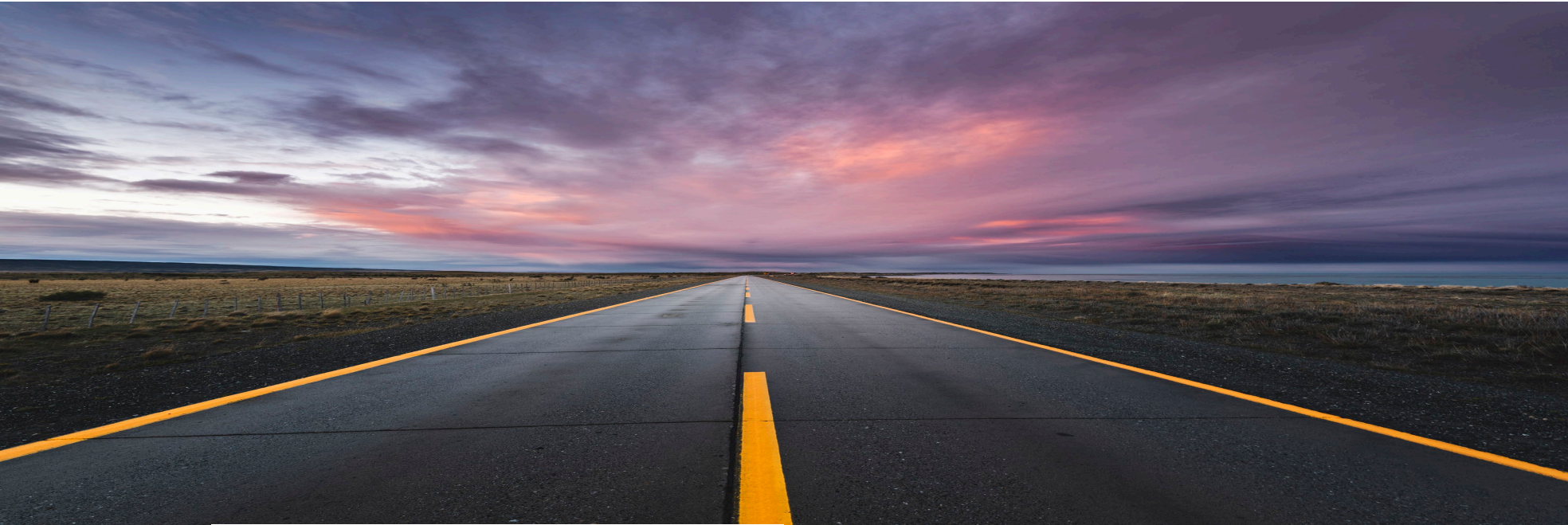


# Effort Reporting Changes on the Horizon



**Michael Ritz, CIA, CPA**  
**Research Compliance Officer**

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**CLASP**  
**Meeting**

# Why and When?

- Institution-wide HCM project includes replacement of HRMS/PeopleSoft with WorkDay Payroll
- Expected Cutover date is January 1, 2024.

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# What will be different?

- Transition to After the Fact method, from Plan Confirmation System method
- Plan Confirmation System Review will be eliminated
- Turn Around Forms will no longer be the means of certifying effort; rather, effort reports will be generated from WorkDay at least twice each year

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# What will be the same?

- The concept of Total University Effort and Institutional Base Salary
- The importance of communication and Internal Control Appendix to University of Rochester Effort Reporting Policy
- The real-time distribution of effort/payroll to reasonably reflect how the person is spending their time

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# What will be the same?

- A person with first-hand knowledge (the employee) must periodically certify that their effort distribution is reasonably reflective of how they spent their time.
- Bright lines for when an update to someone's effort distribution is necessary.

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# Total University Effort

Total University Effort – all professional activity— sponsored activities, teaching, administrative duties, clinical practice regardless of when (daytime, evening, weekends) or where (on site, at home, traveling) the activities occur--for which a faculty member, staff member, or other individual is compensated by the University through Institutional Base Salary

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# First-Hand Knowledge

Each individual (except graduate students and post- docs) should certify their own effort unless extenuating circumstances exist that prevent this from being achieved; in this case a “responsible person” with suitable means of verification that the work was performed may certify.

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# Bright Lines

At a minimum, if an effort change is at least 10% of the individual's total effort or results in a reduction of documented effort on a single project (over a six month period) of 25% or more of the original commitment for the current project period, an update to the respective person's effort/payroll allocation must be done.

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# Internal Control – Appendix to Policy

A spreadsheet to compare committed effort (i.e. the effort promised in the proposal) to the reported effort (i.e. the effort/payroll allocation in HRMS) and to the actual effort (i.e. the actual work performed according to the faculty member/investigator

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# Updates will be provided over the coming year...



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