



Weill Cornell Medical College

OFFICE OF RESEARCH COMPLIANCE

Committed Effort Reporting and Tracking at WCMC

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Thanks to

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What is Committed Effort (CE)?

Committed effort (CE) in sponsored research is the promise (or commitment) that WCMC makes to a sponsor (such as NIH) regarding how much personnel time will be devoted to the project being funded.



What is Committed Effort (CE)?

For example, an investigator applying to NIH for a grant must include how much of his or her time he or she intends to spend on the project.

This may be expressed in calendar months or as a percent, depending on NIH requirements.

(To convert calendar months to a percent, divide by 12. To convert a percent to calendar months, multiply by 12.)



Why is CE important at WCMC?

CE statements are legally binding promises, which means that any individual person's total CE on all their work duties, including research, administration, teaching, and clinical work, can never exceed 100%.



Why is CE important at WCMC?

A person has only 100% of his/her time to give, no matter how much time he/she works.

For example, 10% CE on a project for someone who works an average of 60 hours total per week means an average of 6 hours per week devoted to that project.



Is there CE if no funds are devoted?

CE is not the same as salary distribution, because not all commitments of effort are paid for directly out of grants—if there is salary support, there is always committed effort, but not necessarily the reverse.



Is there CE if no funds are devoted?

Investigators committing effort on grants without salary must account for those commitments in their total commitments of effort, and may not go over 100% in total committed effort including commitments that do not come with salary support.



Who is responsible for keeping track of an investigator's CE?

The responsibility for maintaining CE information lies with the PI's, and the Departments are responsible for ensuring that PI's accomplish this. Chairs and Department Administrators may delegate these tasks, but not the duty of providing complete and accurate information on a timely basis. ORC will work with and advise designated staff as necessary.



How can Departments ensure that PIs' CE stays within the limits?

The Office of Research Compliance, with significant input from faculty and departmental and grants administrators, has developed a system called “Effort Tracking System” or “ETS” as a centralized repository of information on investigators' CE, and its use is required by WCMC, for all Departments.



How can Departments ensure that PIs' CE stays within the limits?

All personnel with CE on grants, or who might have CE on applications for grants and federal and state contracts, including faculty, postdocs, and nonacademic employees, whether these grants are sponsored by the government, private foundations, or industry, must have all of their CE tracked in ETS, with two exceptions.



How can Departments ensure that PIs' CE stays within the limits?

These exceptions have been made for the purpose of reducing the administrative burden on staff. *Contact ORC for details.*

- 1) Clinical personnel whose sole research activity is on industry-sponsored clinical trials
- 2) Research “Techs” whose names are submitted to ORC on “Tech” lists



How can Departments ensure that PIs' CE stays within the limits?

It is crucial that any commitments of effort made to funding agencies, such as NIH and foundations, be entered into ETS accurately, completely, and promptly. Therefore, ORC urges Departments to institute internal procedures to ensure that CE data pass through the hands of the departmental staff members responsible for entering data into ETS.



How can Departments ensure that PIs' CE stays within the limits?

Documentation committing effort on research can be found at multiple stages of the grants administration process, Departments must adopt suitable procedures in order for the Office of Grants and Contracts to be able to submit these documents to sponsors.

Problems with Committed Effort should be directed to the Office of Research Compliance.



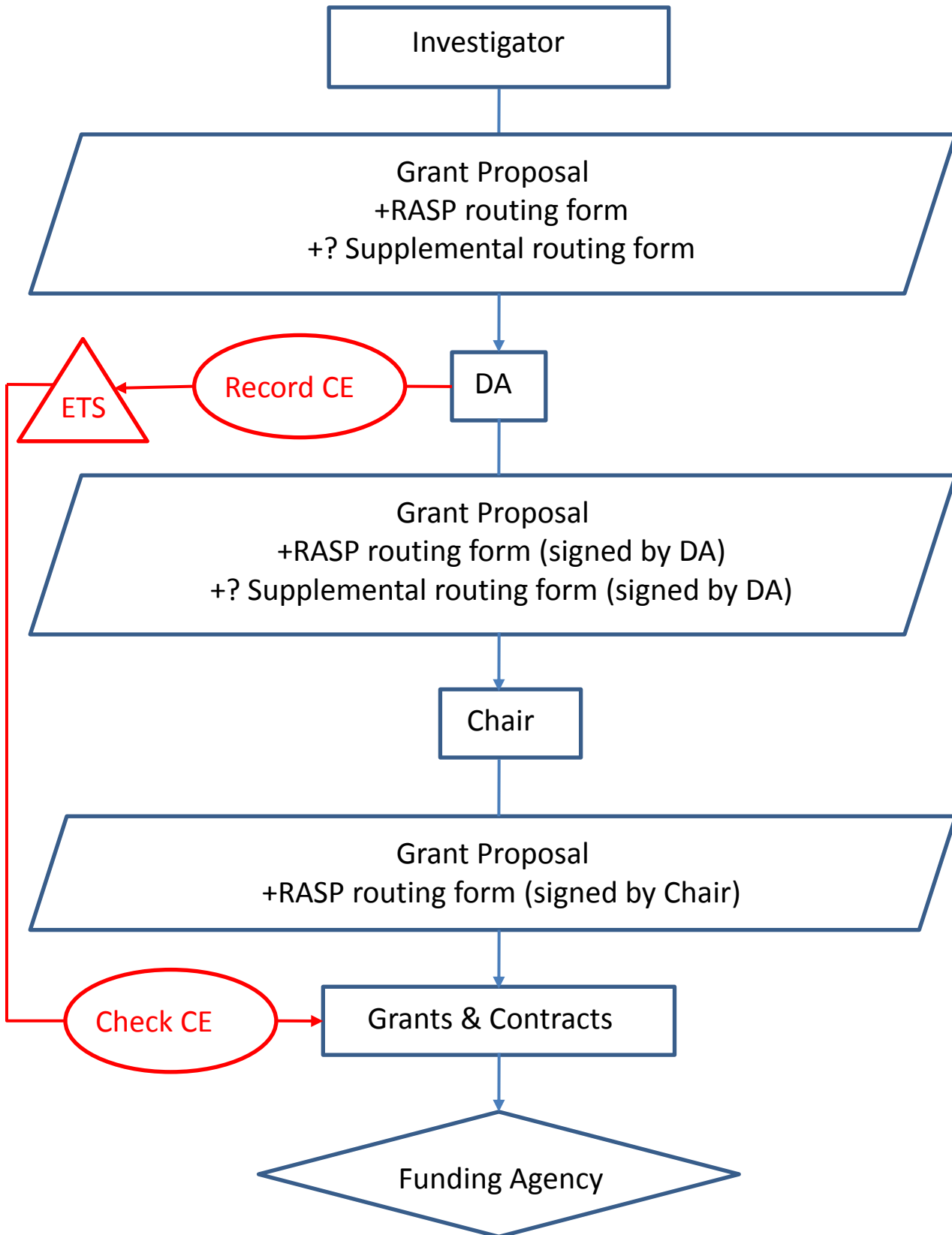
Stages of grants and contracts management involving CE data:

- **Grant proposal submission.**
- **Just-in-Time response.**
- **Notice of Grant Award (NOA).**
- **Grant extension and renewal.**
- **CE changes after NOA.**

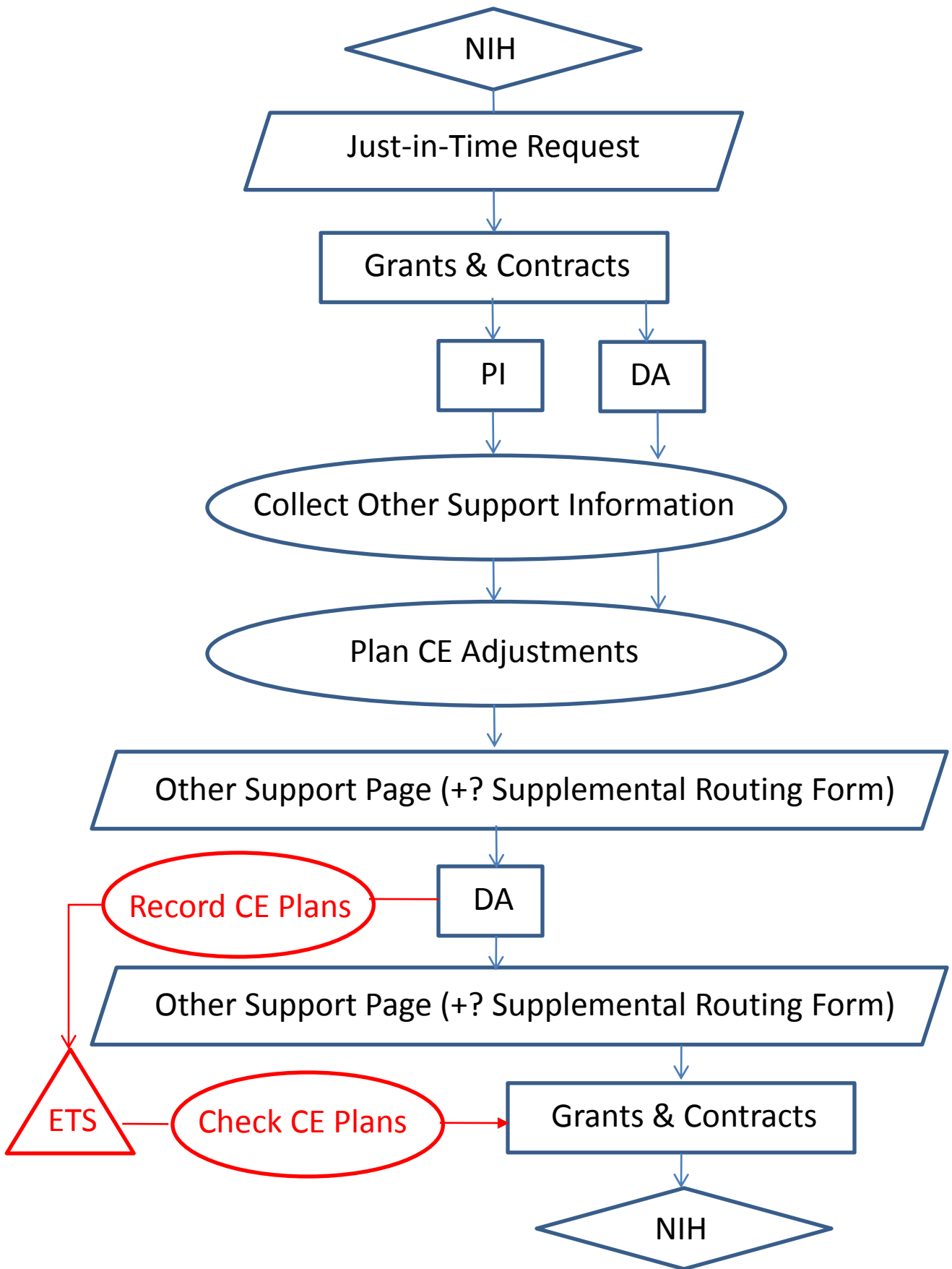
GRANT PROPOSAL PAPER FLOW

ALL NON-FEDERAL

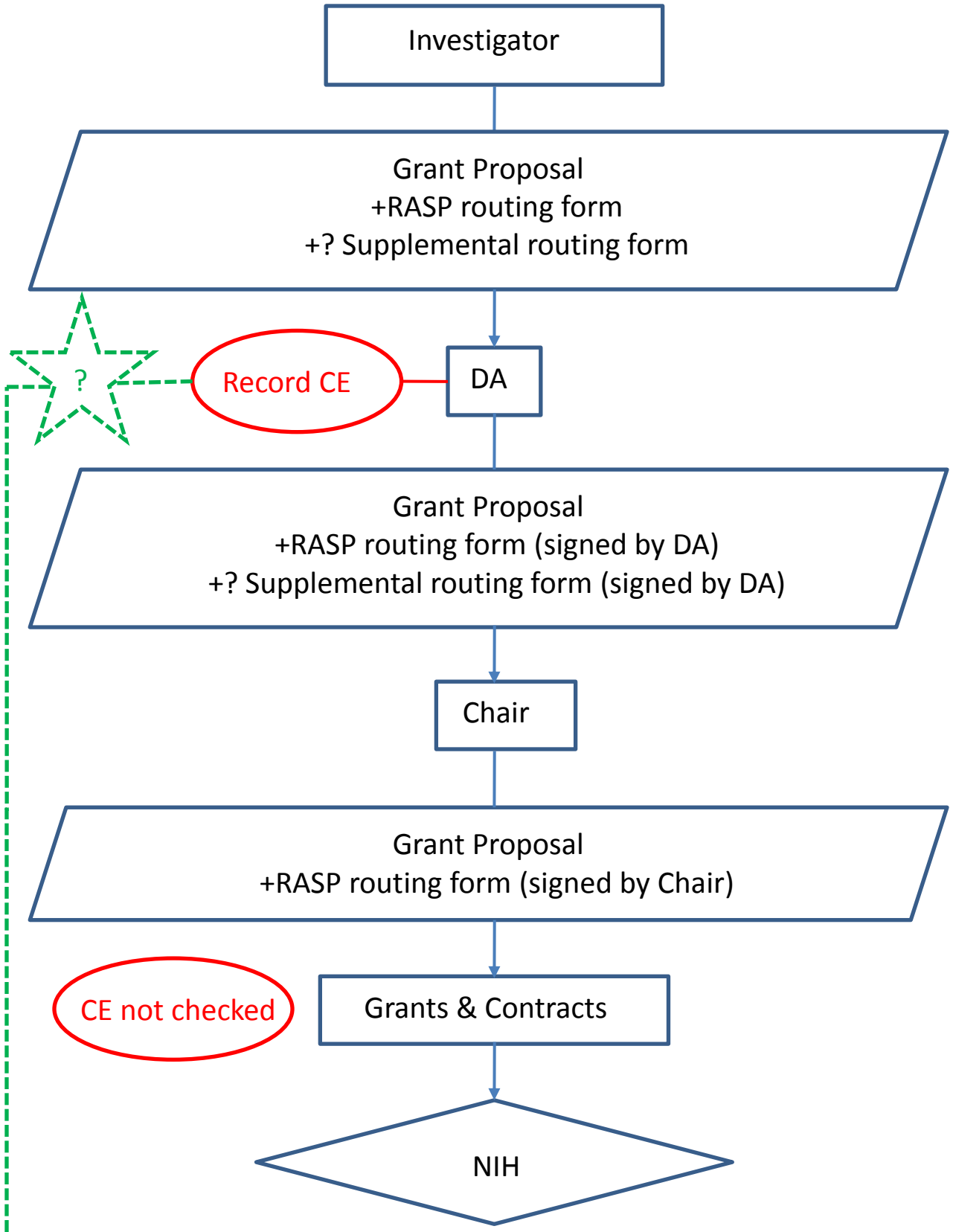
(MAY CHOOSE ALTERNATE FOR FEDERAL)



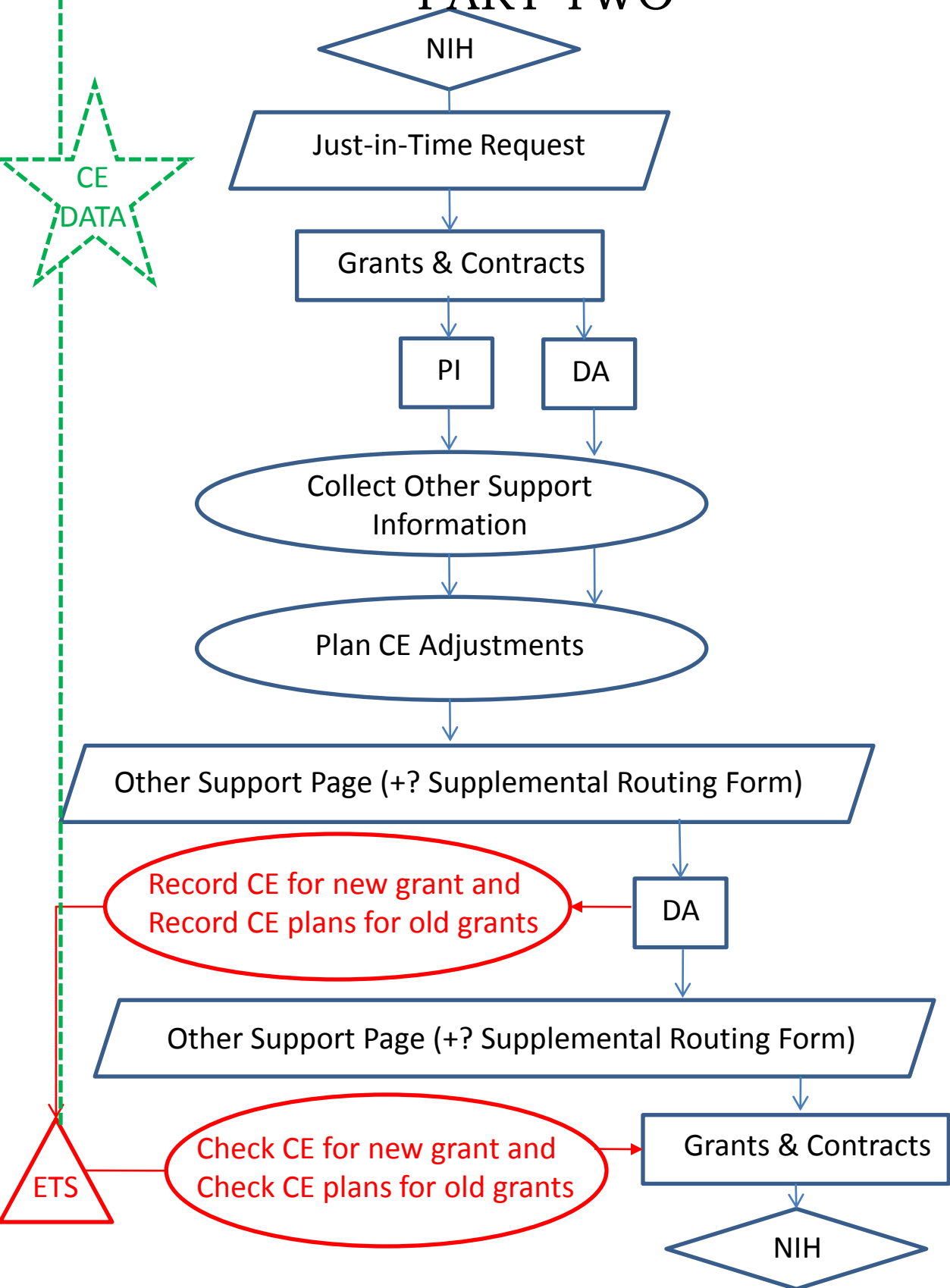
JUST-IN-TIME PAPER FLOW



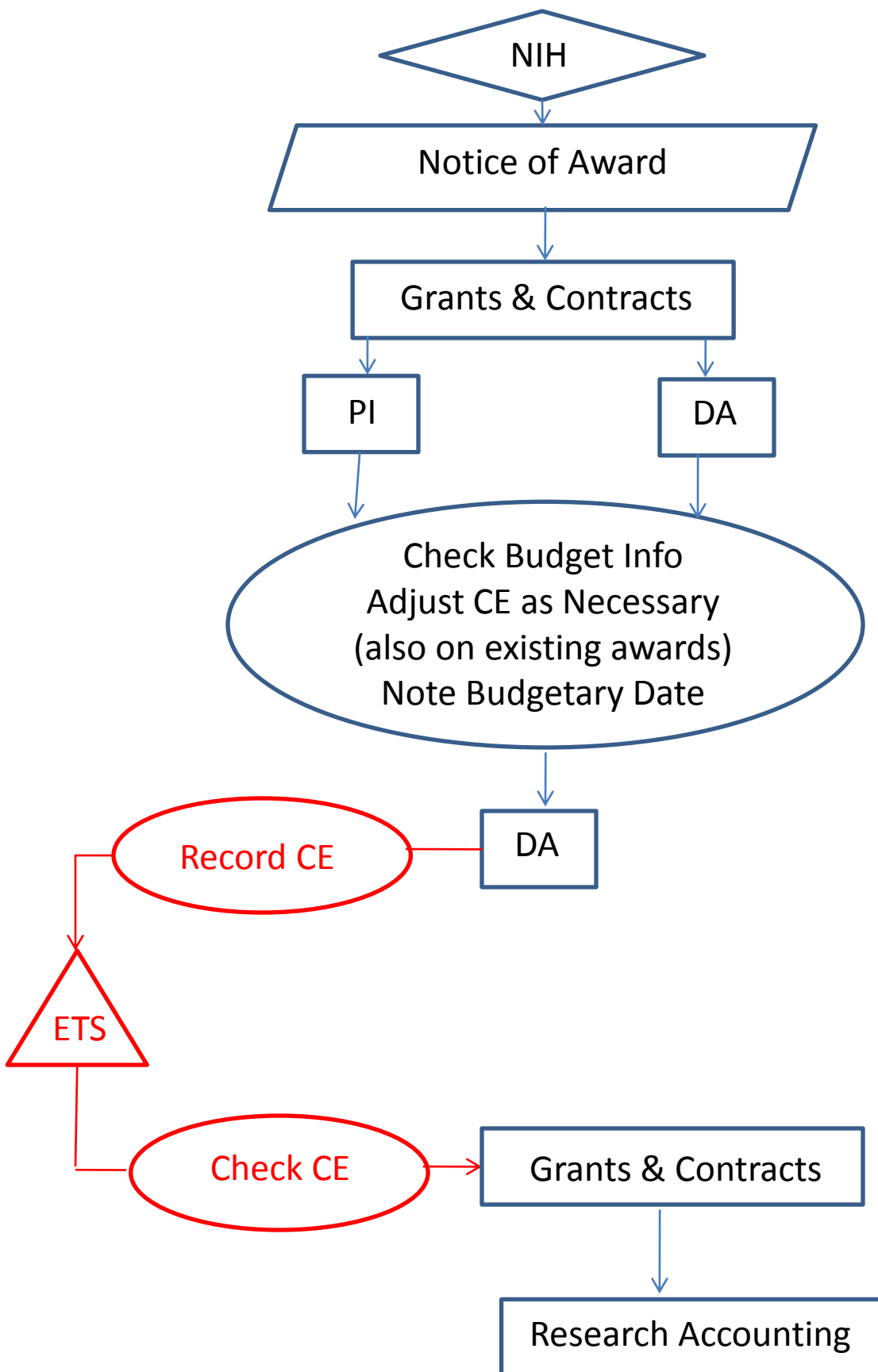
GRANT PROPOSAL PAPER FLOW ALTERNATE PROCESS (NIH ONLY) PART ONE



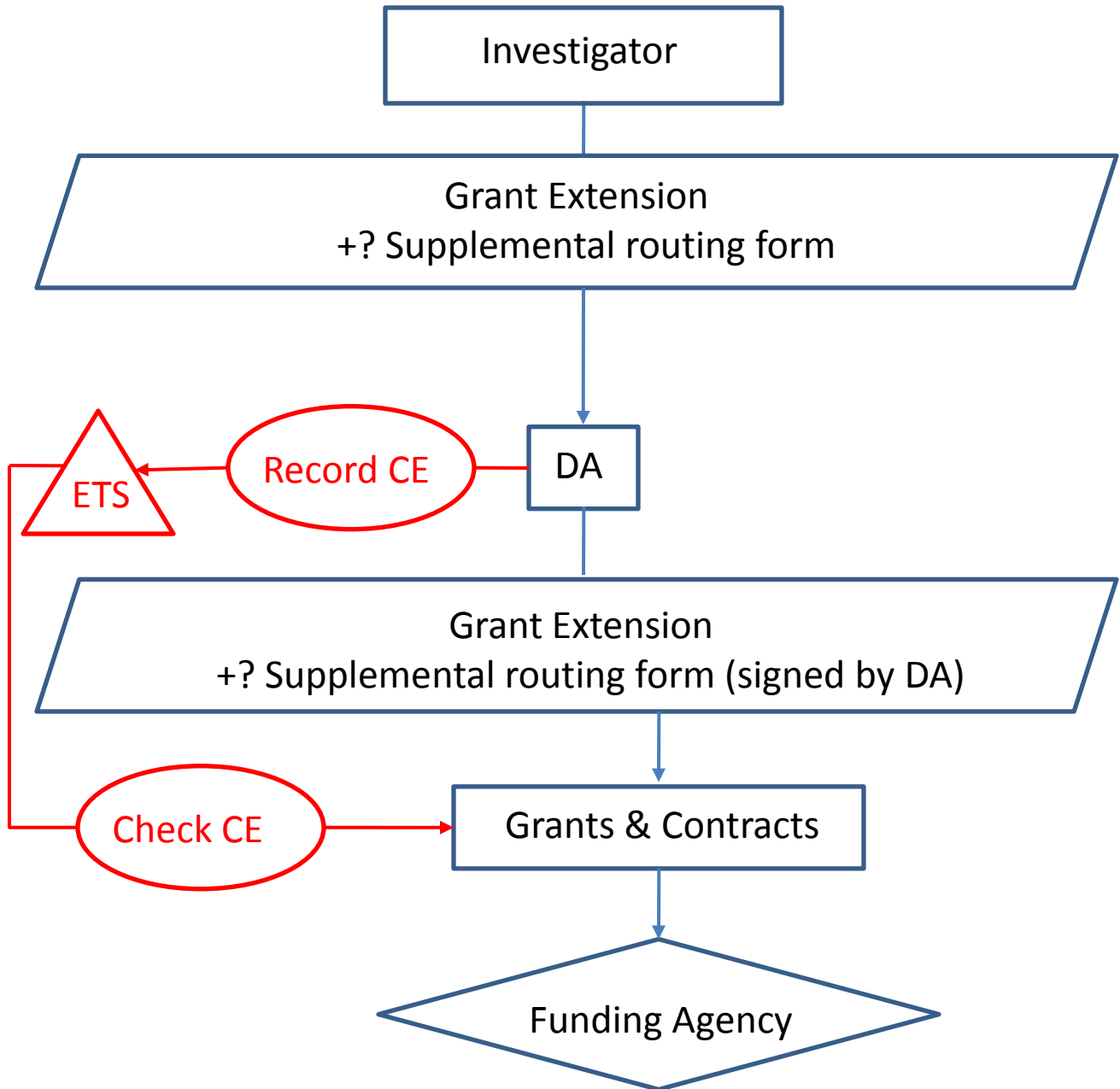
GRANT PROPOSAL PAPER FLOW ALTERNATE PROCESS (NIH ONLY) PART TWO



NOTICE OF AWARD PAPER FLOW



GRANT EXTENSION PAPER FLOW (EWOFF, NO-COST EXTENSION)



CE reductions 25% or more

