

Implementing an Effort Reporting System: An Institutional Perspective

March 27, 2014



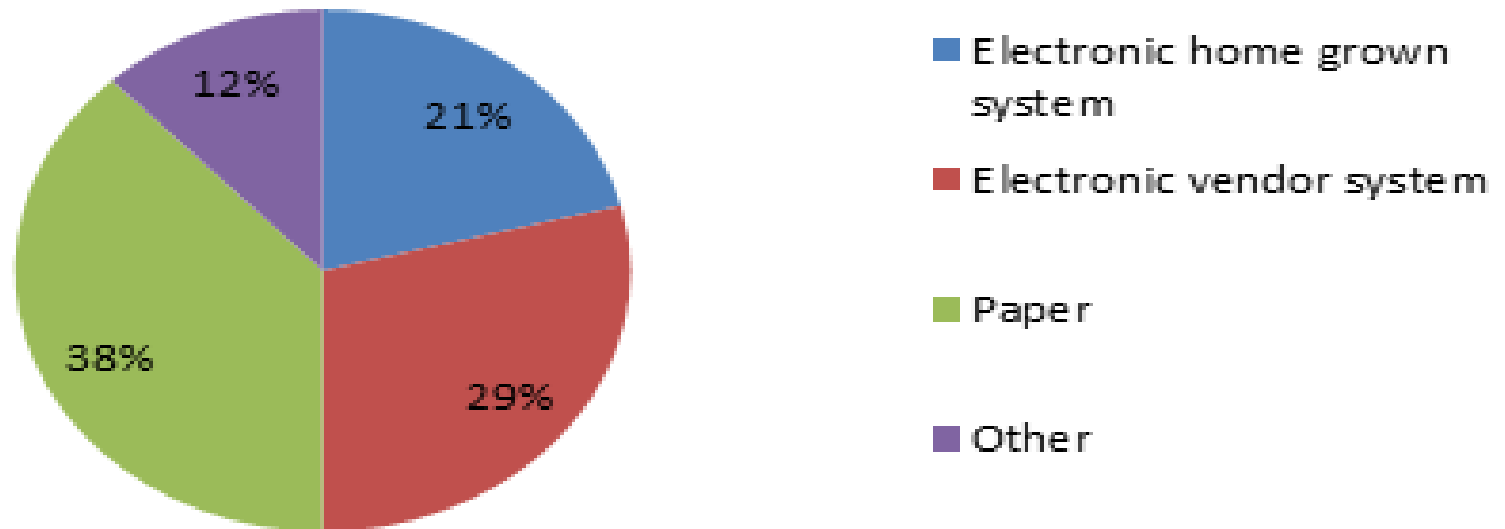
- Sarah T. Axelrod, Director of Cost Analysis and Compliance, Office of Sponsored Programs, Harvard University
- Marty Bergerson, Manager, Huron Consulting Group

- Harvard Background
- Decision to Implement an Electronic Effort Reporting System
- Gap Analysis
- Iterative Design Approach
- Communication/Training/Outreach
- Lessons Learned
- Demonstration

- \$639 million in federal R&D expenditures
- Certification – paper based
 - Faculty Annually (1,300 paper statements, Calendar, Academic and Supplemental Appointments)
 - Staff Monthly (1,500 per project paper statements, 18,000 annually)
- Staff certifications have been project based, rather than 100% of an individual for 15+ years
- 8 effort reporting policies across all schools
 - Each research intense school manages their own effort reporting process
- Internal Risk Management identified effort reporting as the highest area of sponsored research risk across the university

Poll Question 1

How does your institution certify effort

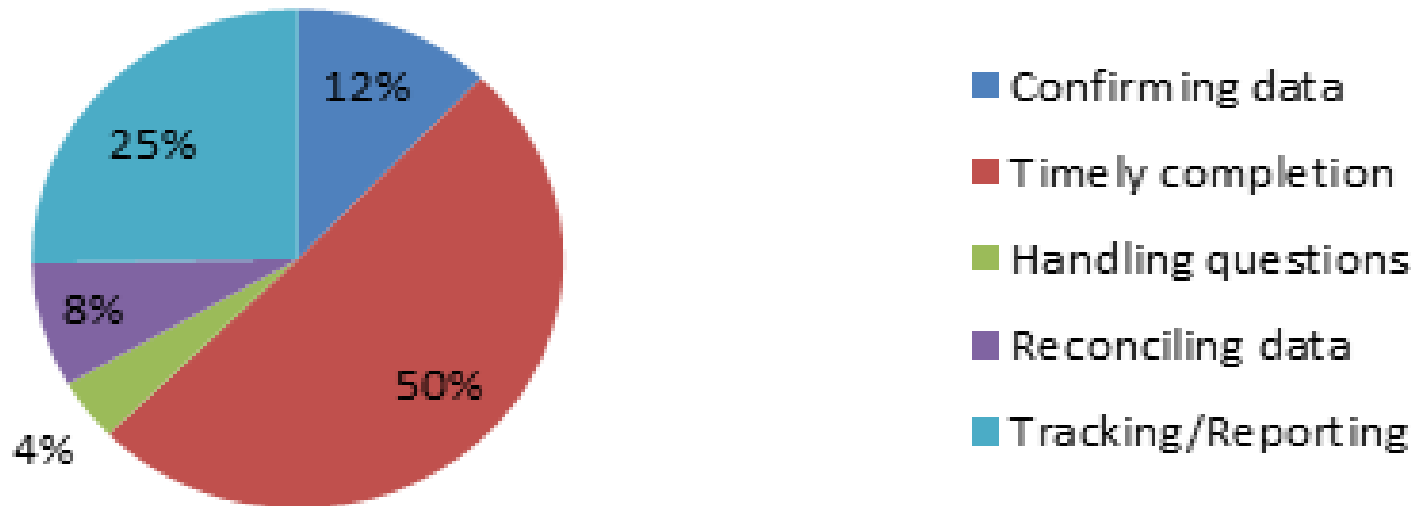


Decision to Implement an Electronic Effort Reporting System

- HERSCI steering committee established in fall 2010
 - Group meeting bi-weekly
 - Includes representation from across the University
- May 2011 – Request for Information issued
- Summer 2011 – Round one of vendor demos
- January 2012 – Issued RFI addendum
- Spring 2012 – Round two of vendor demos
- May 2012 – Huron's ecrt system is selected
- September 2012 – Implementation begins
- October 2013 – ecrt goes live
- November 2013 – Harvard certifies first electronic effort statements

- Current process vs future process
 - One unified certification process moving forward
 - Cost Transfers
- Customization Requirements and Design
 - Project based certification
- Source Data Assessment
 - Data extract process
- Change Management Impact

What is the biggest challenge in your current effort reporting process?



Iterative Customization Design Approach

- Core implementation team members
 - Provided requirements for Project Based Certification design
 - Met weekly to review design specifications
 - Finalized design decisions
- End User sub committee
 - Consisted of departmental users that would be most impacted by implementation of an electronic system
 - Provided feedback on design decisions, workflow, system text
- HERSCI
 - Responsible for sign-off on final design

There are three primary goals of addressing change management:

1

To effectively manage change throughout Harvard and to ensure that all impacted individuals are: aware of the changes, trained on the changes, have a support process to respond to the changes, and react positively to the changes.

2

To change the way Harvard faculty and staff perceive new technology and teach them to embrace new tools.

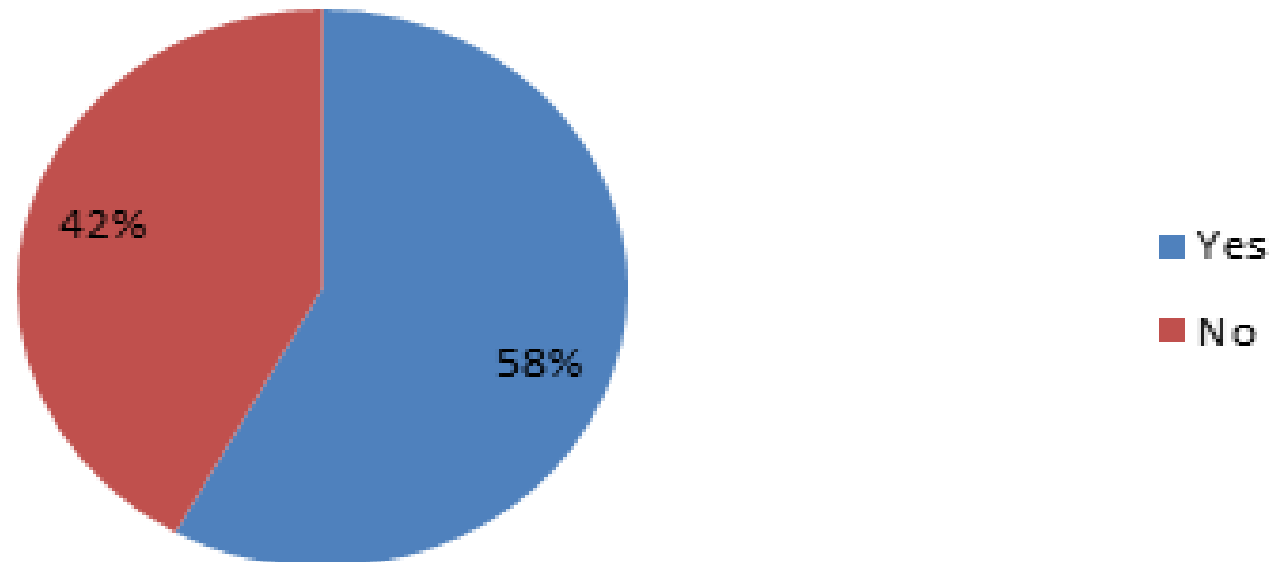
3

To communicate, advocate, and promote responsibility in research and compliance, while reducing administrative burden and streamlining Harvard policies and processes.

- Met individually with 180 Harvard Departments
 - Introduced the project
 - Discussed future timeline
 - Determined departmental roles and security
- Attended school level research administration meetings
- Held training sessions in multiple locations
 - Hands on training for all departmental and central staff
 - Laminated cards with quick step instructions for faculty
 - Online tutorial available for faculty and staff
- Held ongoing outreach meetings to discuss questions, issues, and concerns

- **Data Data Data!!!**
 - Know your data and test your data repeatedly
- **Outreach**
 - Communicate early and often
 - The more informed system users are, the greater chances of success
- **Project Governance and Planning**
 - All constituencies involved on the planning committee (HERSCI)
 - Use of sub committees
 - Ensure that important and difficult decisions can be made
 - Proper project planning leads to successful outcomes
- **Be Prepared, but Be Flexible**

Do you have interest in Project Based Certification



ecrt

Screen Shots

Project Based Certification Work List for a PI

Work List for Mark Grace



Welcome to the ecrt effort reporting system. The tabs below list all of the effort certification tasks that require your attention - whether it is certifying statements, processing statements, or following up on outstanding statements. To view and resolve the specific task, select the link in the task description.

Statements Awaiting Certification (10)

Effort Statements

Quarterly Personnel Certifications Collaborators Quarterly Personnel

Statement Owner	Department	Period	Due Date	Type	Status	PI
Grace, Mark - HCG026	111 - Active Athletes Department	07/01/2012-12/31/2012	2/28/2013	Base	Not Certified, Not Processed	
		01/01/2013-06/30/2013	8/31/2013	Base	Not Certified, Not Processed	
		07/01/2013-12/31/2013	2/28/2014	Base	Not Certified, Not Processed	
		01/01/2014-06/30/2014	8/31/2014	Base	In Progress For Certification	

Quarterly Personnel Certifications

Top of Page Collaborators Quarterly Personnel

Project Title	Subactivity Title	Sponsor	Period	Due Date	Status	Staff
LB Fumb Rec	If you strip the ball be sure and recover it	N/A	FY14 Q1	3/31/2014	Ready for Certification	
LB Fumbles	Strip the ball!!!!!!	N/A	FY14 Q1	3/31/2014	Ready for Certification	
LB Tack	Most important stat for a LB	N/A	FY14 Q1	3/31/2014	Ready for Certification	
LB Fumb Rec	If you strip the ball be sure and recover it	N/A	FY14 Q2	5/31/2014	In Progress	
LB Fumbles	Strip the ball!!!!!!	N/A	FY14 Q2	5/31/2014	In Progress	
LB Tack	Most important stat for a LB	N/A	FY14 Q2	5/31/2014	In Progress	

Project Based Effort Statement

[+] Quarterly Personnel Certifications Instructions

Work List

▼ Grace, Mark - HCG026

▼ Ready for Certification ★

510	LB Tack	FY14 Q1
513	LB Fumbles	FY14 Q1
518	LB Fumb Rec	FY14 Q1

► In Progress ★

513 - LB Forced Fumbles

Project Information

Tub: FF 513

Org: 111 - Active Athletes Department

Project Title: LB Fumbles

Fund: Be sure to practice the technique

Activity: Go for the tackle first before the fumble

SubActivity: \$10000 bonus for every fumble

SubActivity Funding Dates: 07/01/2005 to 06/30/2020

Sponsor Award Number:

Project Statement for 513: LB Fumbles (FY14 Q1), effort from 7/1/2013 to 9/30/2013, due date 3/31/2014, Status: Ready for Certification

INFO - Check at least one certify checkbox to show the certify button.

Employee	Object Code	FTE	Payroll Dollars	Certified Percentage	Checkboxes	Action
Barnett, Nick - nickbarnett	2468	1.00	\$9,000.00	36%	<input type="checkbox"/>	
Fletcher, London - londonfletcher	2468	1.00	\$22,000.00	33%	<input type="checkbox"/>	
Greenway, Chad - chadgreenway	2468	1.00	\$22,500.00	25%	<input type="checkbox"/>	
Matthews, Clay - claymatthews	2468	1.00	\$13,000.00	33%	<input type="checkbox"/>	
Mauluga, Rey - reymauluga	2468	1.00	\$5,000.00	10%	<input type="checkbox"/>	
Smith, Aldon - aldonsmith	2468	1.00	\$5,000.00	20%	<input type="checkbox"/>	
Washington, Daryl - darylWASHINGTON	2468	1.00	\$29,000.00	47%	<input type="checkbox"/>	

Get Help Certify Save Home

► Notes

► Attachments

Project Based Effort Statement displaying 100% of an individual's salary distribution

[-] Quarterly Personnel Certifications Instructions

Work List

▼ Grace, Mark - HCG026

- ▼ Ready for Certification ★
 - 510 LB Tack FY14 Q1
 - 513 LB Fumbles FY14 Q1
 - 518 LB Fumb Rec FY14 Q1
- ▶ In Progress ★

513 - LB Forced Fumbles

Project Information

Tub:
Org:
Project Title:
Fund:
Activity:
SubActivity:
SubActivity Funding Dates:
Sponsor Award Number:

Project Payroll Summary - FY14 Q1 close

Nick Barnett - nickbarnett

Project Name	Payroll	Percentage
LB Tack	\$7,000.00	28.00%
LB Fumbles	\$9,000.00	36.00%
LB YDSLost	\$9,000.00	36.00%
Total:	\$25,000.00	100.00%

Project Statement for 513: LB Fumbles (FY14 Q1); effort from 7/1/2013 to 9/30/2013, due date 3/31/2014, Status: Ready for Certification

INFO - Check at least one certify checkbox to show the certify button.

Employee	Object Code	FTE	Payroll Dollars	Certified Percentage
Barnett, Nick - nickbarnett	2468	1.00	\$9,000.00	36%
Fletcher, London - londonfletcher	2468	1.00	\$22,000.00	33%
Greenway, Chad - chadgreenway	2468	1.00	\$22,500.00	25%
Mathews, Clay - claymathews	2468	1.00	\$13,000.00	33%
Mauluga, Rey - reymauluga	2468	1.00	\$5,000.00	10%
Smith, Aldon - aldonsmith	2468	1.00	\$5,000.00	20%
Washington, Daryl - darylWASHINGTON	2468	1.00	\$29,000.00	47%

Get Help
Certify
Save
Home

▶ Notes

▶ Attachments

Project Status Report

Based on your report selection below are the results. Please note that you can sort the results by clicking on the column header.

Project Nickname	Project Number	Grant Department	Grant Manager	PI Certifier	PI Department	Nickname	Current Status
LB Fumb Rec	518	Active Athletes Department	Rose, Derrick - HCG057	Grace, Mark - HCG026	Active Athletes Department	FY14 Q2	In Progress
LB Fumb TD	517	Active Athletes Department	Rose, Derrick - HCG057	Willis, Patrick - patrickwillis	Active Athletes Department	FY14 Q1	Ready for Certification
LB Fumb TD	517	Active Athletes Department	Rose, Derrick - HCG057	Willis, Patrick - patrickwillis	Active Athletes Department	FY14 Q2	In Progress
LB Fumbles	513	Active Athletes Department	Rose, Derrick - HCG057	Grace, Mark - HCG026	Active Athletes Department	FY14 Q1	Ready for Certification
LB Fumbles	513	Active Athletes Department	Rose, Derrick - HCG057	Grace, Mark - HCG026	Active Athletes Department	FY14 Q2	In Progress
LB Games	519	Active Athletes Department	N/A	N/A		FY14 Q1	In Progress
LB Games	519	Active Athletes Department	N/A	N/A		FY14 Q2	In Progress
LB Int	512	Active Athletes Department	Rose, Derrick - HCG057	Willis, Patrick - patrickwillis	Active Athletes Department	FY14 Q1	Ready for Certification
LB Int	512	Active Athletes Department	Rose, Derrick - HCG057	Willis, Patrick - patrickwillis	Active Athletes Department	FY14 Q2	In Progress
LB INT TD	516	Active Athletes Department	Rose, Derrick - HCG057	Willis, Patrick - patrickwillis	Active Athletes Department	FY14 Q1	Ready for Certification
LB INT TD	516	Active Athletes Department	Rose, Derrick - HCG057	Willis, Patrick - patrickwillis	Active Athletes Department	FY14 Q2	In Progress
LB Position	520	Active Athletes Department	N/A	N/A		FY14 Q1	In Progress
LB Position	520	Active Athletes Department	N/A	N/A		FY14 Q2	In Progress
LB Sack	511	Active Athletes Department	Rose, Derrick - HCG057	Wagner, Bobby - bobbywagner	Active Athletes Department	FY14 Q1	Certified
LB Sack	511	Active Athletes Department	Rose, Derrick - HCG057	Wagner, Bobby - bobbywagner	Active Athletes Department	FY14 Q2	In Progress
LB Tack	510	Active Athletes Department	Rose, Derrick - HCG057	Grace, Mark - HCG026	Active Athletes Department	FY14 Q1	Ready for Certification
LB Tack	510	Active Athletes Department	Rose, Derrick - HCG057	Grace, Mark - HCG026	Active Athletes Department	FY14 Q2	In Progress
LB YDSLost	515	Active Athletes Department	N/A	N/A		FY14 Q1	Certified
LB YDSLost	515	Active Athletes Department	N/A	N/A		FY14 Q2	In Progress
RB Block	514	Active Athletes Department	Rose, Derrick - HCG057	Mayo, Jerod - jerodmayo	Active Athletes Department	FY14 Q1	Ready for Certification

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HuronEducation