



Stony Brook Research

FAR BEYOND

Understanding Effort at the Proposal Stage

Important Organizational Facts:

- The State University of New York (SUNY) is a public, educational State Agency.
- The Research Foundation for The State University of New York (RF-SUNY) is a private, non-profit organization operating under an Agreement with SUNY.
- Two different payroll systems; State University and Research Foundation.
- RF-SUNY has been given the authority to act as fiscal administrator for SUNY's research, training and other sponsored funds that are awarded by federal governments and other authorized sources for the conduct of sponsored research projects, while keeping with the educational purposes and objectives of SUNY.

What is Effort?

- Effort is expressed in percentage (%) or persons month (PM), and reflects the amount of time expended toward a particular sponsored project as compared to the person's total institutional effort during a year.
- Effort cannot exceed 100% both compensated and cost shared; anything over 100% could be considered Extra Service providing this effort has been pre-approved by the external sponsoring agency and Human Resources.

Categories of Effort

- Income Fund Reimbursable –Salary Offset (IFR)
- Cost Share
- Summer
- Regular Research
- Graduate Student
- Undergraduate Student
- Extra Service

Income Fund Reimbursable Salary Offset (IFR)

- Many of our SUNY – Stony Brook University Faculty are State employees.
- When State employees are working on an externally funded sponsored research project, the compensation for their committed effort will be transferred to their department's IFR account upon processing of the Income Fund Reimbursable Salary Offset form. The State employee will continue to receive their full time salary from the State.

Income Fund Reimbursable Salary Offset (IFR) cont'd

- There are two different State appointment types, Academic Year (AY) and Calendar Year (CY).
- Calendar Year (CY) appointments coincide with the calendar year.
- Academic Year (AY) appointments follow the academic calendar and are based on 9-months of the calendar year.
- 10% CY effort is not equivalent to 10% AY effort.

To assist with converting CY and AY effort from Person Months (PM) to and from
Percent of Effort (%):

Convert Percent Effort to Calendar Months (12-month appointment)		Convert Calendar Months to Percent Effort (12-month appointment)		Convert Percent Effort to Academic Months (9-month appointment)		Convert Academic Months to Percent Effort (9-month appointment)	
% Effort	Calendar Months	Calendar Months	% Effort	% Effort	Academic Months	Academic Months	% Effort
100%	12.00	12	100.00%	100%	9.00	9	100.00%
95%	11.40	11	91.67%	95%	8.55	8	88.89%
90%	10.80	10	83.33%	90%	8.10	7	77.78%
85%	10.20	9	75.00%	85%	7.65	6	66.67%
80%	9.60	8	66.67%	80%	7.20	5	55.56%
75%	9.00	7	58.33%	75%	6.75	4	44.44%
70%	8.40	6	50.00%	70%	6.30	3	33.33%
65%	7.80	5	41.67%	65%	5.85	2	22.22%
60%	7.20	4	33.33%	60%	5.40	1	11.11%
55%	6.60	3	25.00%	55%	4.95	0.5	5.56%
50%	6.00	2	16.67%	50%	4.50		
45%	5.40	1	8.33%	45%	4.05		
40%	4.80	0.5	4.17%	40%	3.60		
35%	4.20			35%	3.15		
30%	3.60			30%	2.70		
25%	3.00			25%	2.25		
20%	2.40			20%	1.80		
15%	1.80			15%	1.35		
10%	1.20			10%	0.90		
8%	0.96			8%	0.72		
5%	0.60			5%	0.45		
3%	0.36			3%	0.27		
2%	0.24			2%	0.18		

Summer

- Only State AY employees can receive summer salary directly from an externally sponsored research award. Campus policy, subject to sponsor constraints/approval, limits summer salary to 3 months and it comes with a summer only fringe benefit rate.
- State CY employees are not eligible for summer salary as they are paid during the full 12-month calendar period.
- When converting summer months to percent of effort for a 9-month State AY employee, 1 person month is equivalent to 33.33%; 2 person months is equivalent to 66.67% and 3 person months is considered 100% for the 3-month summer period.

To assist with converting AY appointment's effort from Person Months (PM) to and from
Percent of Effort (%) for Summer ONLY:

Convert Percent Effort to Summer Months (3-month appointment)		Convert Summer Months to Percent Effort (3-month appointment)	
% Effort	Summer Months	Summer Months	% Effort
100%	3.00	3	100.00%
95%	2.85	2	66.67%
90%	2.70	1	33.33%
85%	2.55	0.5	16.67%
80%	2.40		
75%	2.25		
70%	2.10		
65%	1.95		
60%	1.80		
55%	1.65		
50%	1.50		
45%	1.35		
40%	1.20		
35%	1.05		
30%	0.90		
25%	0.75		
20%	0.60		
15%	0.45		
10%	0.30		
8%	0.24		
5%	0.15		
3%	0.09		
2%	0.06		

Cost Share

- Cost share is effort that has been committed to support the objectives of a sponsored project by a State employee AND is not being reimbursed by the external sponsor.
- Only State employees can cost share during their CY or AY appointment. Effort that is cost shared by the University must be approved by the Academic Chair and Dean that is responsible for the employee performing the research.
- Effort of State AY employees cannot be cost shared during summer.

Different Research Mechanisms

- Regular Research
- Graduate Student
- Undergraduate Student
- Extra Service

Regular Research

- This appointment type runs on the calendar year cycle, just like the State CY appointments. The difference is Regular Research appointments will receive their salary directly from the externally sponsored research award.
- Research faculty members and staff hold non-state CY appointment types.

Graduate and Undergraduate Students

- Graduate Student - one important aspect to remember is a Graduate Students full time effort is a maximum of 20 hours per week, or 50% FTE. When reflecting their effort in your budget, a Graduate Student supported 20 hours per work on a sponsor research project is equivalent to 100% effort.
- Undergraduate Student – no unique circumstances.

Extra Service

State and Research Employees

- Extra Service is a special and unique salary type that has a campus policy which limits this to a maximum effort of 20% of their base annual salary. This is for extra duties outside, different and independent of a full time employees regular roles and responsibilities.
- Extra Service must have prior written Human Resources approval.
- If any Extra Service effort will be supported by an externally sponsored research project, the sponsor's prior written approval must also be obtained.

Examples of Effort Distribution

NAME AND DEPARTMENT	*% REIMBURSED OFFSET	% NOT REIMBURSED (COST-SHARED)	% DIRECT SALARY FROM GRANTS
<Name> <Department> Represents a State Academic Year (AY) appointment committing to 25% during AY with 33% (1 month) Summer support	PM ____ Or <u>15 %</u> <u>X</u> AY ____ CY IFR Account #9xxxxxx Or ____SOM Offset**	____ PM Or <u>10 %</u> <u>X</u> AY ____ CY	____ PM ____ PM ____ PM Or ____ % <u>33 %</u> ____ % ____ AY <u>X</u> Summer ____ CY
<Name> <Department> Represents a State Calendar Year (CY) appointment committing to 25% during CY.	PM ____ Or <u>20 %</u> ____ AY <u>X</u> CY IFR Account #9xxxxxx Or ____SOM Offset**	____ PM Or <u>5 %</u> ____ AY <u>X</u> CY	____ PM ____ PM ____ PM Or ____ % ____ % ____ % ____ AY ____ Summer ____ CY
<Name> <Department> Represents a Regular Research appointment committing to 75% during CY.	PM ____ Or ____ % ____ AY ____ CY IFR Account #_____ Or ____SOM Offset**	____ PM Or ____ % ____ AY ____ CY	____ PM ____ PM ____ PM Or ____ % ____ % <u>75 %</u> ____ AY ____ Summer <u>X</u> CY

Slide 16

AS1

what about the cost-shared window

Alina Stroia, 1/22/2018

AD1

The explanation was done during the recording. The cost share effort is part of the 25% AY effort. Do you want me to edit this further?

Annette DePietri, 1/23/2018