Effort Essentials for the Provost’s Domain

1. All work performed for Vanderbilt University, whether compensated or not, must be included within each individual’s certified total institutional effort. In any given month (i.e., pay period), as well as annually, an individual may commit no more than 100% effort to institutional work. Effort must be certified each time there is a change and no less frequently than once per year.

2. Compensation must be proportional to effort. In any given month (i.e., pay period), or in an approved averaging period (see item 5), someone expending X% of his/her institutional effort on a particular activity should receive an amount equal to X% of that month’s institutional base pay from the source of funds designated to support that activity.

3. Faculty members or other salaried individuals who receive any amount of salary support from federal grants or contracts are subject to federal policies, guidelines and regulations regarding the definition and allocation of effort. Important elements of those policies, guidelines and regulations include these:
   
   • A key element of federal policy is that the definition of 100% effort cannot be linked to a specific number of hours per week. Salaried employees are not compensated for a specific number of hours per week, so effort calculations cannot be based on the notion of hours worked. Federal regulations require that effort be reported as a percentage of the total institutional effort, and that the various components of that total effort sum to 100%.

   • Institutional administrative, instructional, advisory and service activities of any kind must be included in the certified effort, both during the nine-month academic-year and during each summer month. Consistent with item 2, above, in any given month, 100% of an individual’s compensation can be charged to a federal grant or contract only in instances when that individual’s entire effort during that month is expended on work supported by that same grant or contract.

   • Federal regulations permit the exclusion of time spent on incidental activities from inclusion within the certified institutional effort, consistent with university policy. At Vanderbilt, incidental activities are nonrecurring and together consume less than 2.5% of the available effort during any month (i.e., pay period). Under no circumstances can the sum of all such incidental activities consume more than 2% of the annual effort in any given year.

   • External-consulting activities carried out within the limits set by Vanderbilt’s faculty-consulting policy are exempt from inclusion in the total institutional effort.

4. All institutional procedures, forms, appointment letters and compensation are required to be consistent with the above.

5. Exceptions to the above-stated effort essentials must be requested in writing from, and require the written approval of, the Provost’s Office.

For Vanderbilt Effort Policy, see http://www.vanderbilt.edu/ocga/vupolicies/effortreporting/effortreporting.htm