## Effort Reporting
### Effort Roles and Responsibilities

**August 2009**

<table>
<thead>
<tr>
<th>Role</th>
<th>Description</th>
<th>Responsibility</th>
<th>ECRT Tasks</th>
<th>Frequency</th>
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<tbody>
<tr>
<td><strong>Faculty</strong></td>
<td>Officers of Instruction and Officers of Research (other than Postdoctoral Officers of Research), including those who are Principal Investigators</td>
<td>Monitor and certify one's own effort</td>
<td>1) Notify Effort Coordinator any time there is a significant and long term change in workload due to new or expiring grants, additional non-sponsored responsibilities (committee assignments, departmental leadership roles, additional teaching load, etc.)&lt;br&gt;2) Review one's own effort card&lt;br&gt;3) Promptly report and regularly communicate with Effort Coordinator to ensure that effort is reported correctly&lt;br&gt;4) Promptly inform Effort Coordinator if card does not accurately reflect activities&lt;br&gt;5) Work with Effort Coordinator to verify cost sharing information when new Web SAF is to be submitted&lt;br&gt;6) Certify effort card within designated time period&lt;br&gt;7) Contact your Effort Coordinator if you are making effort adjustments&lt;br&gt;8) Complete and sign an effort card prior to leaving the University</td>
<td>Ongoing&lt;br&gt;At Least Quarterly&lt;br&gt;Ongoing&lt;br&gt;At Least Quarterly&lt;br&gt;Ongoing&lt;br&gt;Anually&lt;br&gt;Ongoing&lt;br&gt;Ongoing</td>
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<td><strong>Principal Investigators</strong></td>
<td>Principal Investigators who are certifying for project staff (i.e., post doctoral fellows, students and employees whose salary is funded wholly or partially by Principal Investigators' sponsored projects.)</td>
<td>Monitor and certify the effort of their project staff.</td>
<td>1) Notify Effort Coordinator any time there is a significant and long term change in the workload of any member of the project staff due to new or expiring grants or additional non-sponsored responsibilities&lt;br&gt;2) Review effort cards of project staff&lt;br&gt;3) Promptly report and regularly communicate with Effort Coordinator to ensure that effort is reported correctly&lt;br&gt;4) Promptly inform Effort Coordinator if cards do not accurately reflect the effort of project staff&lt;br&gt;5) Work with Effort Coordinator to verify cost sharing information when new Web SAF is to be submitted&lt;br&gt;6) Certify effort cards of project staff within designated time period&lt;br&gt;7) Contact your Effort Coordinator if you are making effort adjustments&lt;br&gt;8) Complete and sign an effort card if a member of the project staff leaves</td>
<td>Ongoing&lt;br&gt;At Least Quarterly&lt;br&gt;Ongoing&lt;br&gt;At Least Quarterly&lt;br&gt;Ongoing&lt;br&gt;Annually&lt;br&gt;Ongoing&lt;br&gt;Ongoing</td>
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<td><strong>Sponsored Projects Administration</strong></td>
<td>Project Officers and/or Financial Analysts in Research Administration</td>
<td>Review grant applications and notices of award for cost sharing commitments.</td>
<td>1) Enter cost sharing data into ECRT&lt;br&gt;2) Advise and assist Faculty, Principal Investigators and Effort Coordinators as necessary where actual effort will deviate significantly from proposed effort</td>
<td>Ongoing&lt;br&gt;Ongoing</td>
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<td><strong>Controller's Office</strong></td>
<td>Sponsored Projects Finance of Controller's Office</td>
<td>Ultimate responsibility for effort reporting and ECRT</td>
<td>1) Coordinate and oversee all operational functions of the ECRT system&lt;br&gt;2) Send list of Primary Effort Coordinators and Effort Coordinators to departments for verification</td>
<td>Ongoing&lt;br&gt;Semiannually</td>
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| **Effort Coordinators** | Department Administrators who are primarily responsible for all effort reporting within their designated departments or sub-departments. A department or sub-department may have only one Effort Coordinator, in which case he/she will also assume the responsibilities of a Primary Effort Coordinator. | - Monitor effort cards of faculty and research staff for whom they are responsible.  
- Transfer costs as appropriate using Payroll Account Transfer form for FY07  
- Support the faculty in ongoing monitoring and annually certifying effort | 1) Determine who in your department needs to certify or be certified  
2) Monitor self-certification activities within the department  
- View effort certification forms and provide feedback to faculty (as appropriate)  
3) Monitor and coordinate certifications for non-self-certifiers  
- Coordinate with other Effort Coordinators if any project staff is also funded by another Principal Investigator's sponsored projects  
- Review effort allocations of project staff with Principal Investigator  
4) Ensure cost sharing is properly documented and funded (usually by the department)  
5) Process salary adjustments if applicable using the Payroll Account Transfer form  
6) Communicate cost sharing commitments to Research Administration  
7) Ensure that there is sufficient funding to cover all non-sponsored activity  
- Pay particular attention to individuals who have a relatively small proportion of their salary funded from non-sponsored sources, considering the non-sponsored duties of those individuals, in order to ensure an appropriate level of salary is allocated to those non-sponsored duties  
8) Monitor salary allocation on an ongoing basis using ECRT reports and process any necessary salary adjustments  
9) Process re-certifications as necessary  
10) For faculty who are leaving the University, obtain signature on hard-copy of year-to-date effort card  
11) Casual and work study students, like other non-self certifiers, are certified by the PI in ECRT | Certification Period  
Certification Period  
Certification Period  
Certification Period  
Certification Period  
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Certification Period  
Certification Period  
Certification Period |
| **Primary Effort Coordinators** | Department Administrators who have final review of all effort reporting and who monitor the Effort Coordinators. The Effort Coordinator can also be a Primary Effort Coordinator. While there may be multiple Effort Coordinators, there can only be one Primary Effort Coordinator. | - Review and process your department's certifications.  
- Monitor activity of Effort Coordinators. | 1) Assign Effort Coordinators and inform Controller's Office of any changes  
2) Review and process effort certifications  
- Undertake final review of effort certifications  
- If necessary, verify that departmental funding has been allocated properly  
- File effort certifications in ECRT  
3) Monitor certification activities within the department | Ongoing  
Annually  
Certification Period  
Certification Period  
Ongoing  
Ongoing  
Ongoing  
Ongoing  
Ongoing |