**EFFORT REPORTING ROLES & RESPONSIBILITIES**

Placing users in different roles ensures proper separation of duties. Roles help determine a user’s limits and capabilities within ECC. Contact effort@uth.tmc.edu to gain access to the Effort Reporting System.

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| **Role** | **Role Description** | **Responsibility** | **Tasks to Complete:**  |
| Primary Individual  | Individuals with a principal investigator, co-investigator, project director, or co-project director role or those with comparable responsibilities on a sponsored project who may or may not have a faculty appointment at the university.**NOTE**: This also includes individuals with a faculty appointment at the university who do not have these comparable responsibilities (per [HOOP 93](https://www.uth.edu/hoop/policy.htm?id=1448034)). | 1. Understand their own effort commitment(s) and associated salary charged on all applicable sponsored projects
2. Understand the effort and salary charged by all support staff for applicable sponsored projects
3. Monitor and review salary charges on awards on a routine basis (i.e. at least monthly) with grant administrators and department managers identifying any-effort related changes for administrators to post if needed
4. Certify their own effort statement and the effort of support staff on their sponsored projects before the deadline of each effort certification period

**NOTE:** Primary Individuals should notify Effort Coordinators any time there is a significant change in workload such as new or expiring grants, additional non-sponsored responsibilities (committee assignments, departmental leadership roles, additional teaching load, etc.). | 1. Review their own effort statement
2. Inform Effort Coordinator if their effort statement does not accurately reflect effort distribution over the period of performance
3. Certify their own effort statement
4. Certify Supporting Individual’s payroll percentage as it equates to the effort for each of these individuals on the sponsored projects for which the Primary Individual is responsible and
5. Complete Effort Reporting Training ([Learn2Succeed Link](https://go.uth.edu/learn))
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| **Role** | **Role Description** | **Responsibility** | **Tasks to Complete** |
| Primary Effort Coordinators | Individuals in the department who are responsible for all effort reporting within their designated departments. **NOTE:** There can be ONLY one Primary Effort Coordinator (PEC) for a department. However, the Primary Effort Coordinator can identify a backup Primary Effort Coordinator when necessary. To assign a back-up, the PEC will complete an [ECC access application](https://www.uth.edu/sponsored-projects-administration/tools-resources/tools-resources-documents/ECC%20Access%20Form.pdf) for the individual and submit the application to (**effort@uth.tmc.edu**). | **Routinely (at least weekly)*** Understand and apply HOOP Policy 93
* Remain updated on all individuals with the role of Primary Individual and Supporting Individual in their department(s).
* Monitor and track effort commitment, salary distribution and cost sharing on all sponsored projects for their department.
* Identify and track all individual’s whose Institutional Base Salary is greater than the Sponsor’s allowed salary cap (i.e. [NIH](https://grants.nih.gov/grants/guide/notice-files/NOT-OD-22-076.html), CPRIT, etc.).
* Monitor and **approve** salary distribution charges on all sponsored projects. This should include approval of any changes to salary based on effort commitment.
* Review salary charges with PI/faculty member and post any salary distribution updates and/or corrections in a timely manner

**Pre-Review Period*** Review the Effort Statement for EACH Primary Individual in their department to ensure Effort Commitment, Cost Share and Salary Distribution are correct
* Review the Project Statement for EACH Supporting Individual in their department to ensure salary Distribution is correct
* For more details, please view our [Pre-Review Guide](https://www.uth.edu/sponsored-projects-administration/tools-resources/tools-resources-documents/Effort%20Coordinators%20Worklist%20during%20Pre-Review3.pdf)

**During Effort Period*** Ensure salary aligns with effort certification as the effort statements are certified
* Ensure effort certification is complete on time
* Review and process effort certification Statements in a timely manner ([Effort Coordinator Pre-Review Guide](https://www.uth.edu/sponsored-projects-administration/tools-resources/tools-resources-documents/Effort%20Coordinators%20Worklist%20during%20Pre-Review3.pdf))

**After Certification Period*** Ensure salary aligns with effort
* Ensure sponsor salary cap requirements are met ([NIH](https://grants.nih.gov/grants/guide/notice-files/NOT-OD-22-076.html), CPRIT, etc.)

**As Needed*** Communicate to SPA’s Preaward team any changes that require sponsor notification and/or approval
 | 1. Complete Mandatory training for access and use of ECC ([Learn2Succeed Link](https://go.uth.edu/learn))
2. Complete PeopleSoft HCM Administrative Systems Training ([Link](https://inside.uth.edu/it-training/public-queries-and-standard-reports))
3. Monitor and maintain effort commitment levels.
4. Add Cost Sharing as appropriate for all Primary Individuals ([HOOP 75](https://www.uth.edu/hoop/policy.htm?id=1447998))
5. Coordinate retroactive salary adjustments to ensure all adjustments are complete within 45 days after effort certification period ends.
6. Confirm all sponsor salary cap requirements are met based on certified effort ([NIH](https://grants.nih.gov/grants/guide/notice-files/NOT-OD-22-076.html), CPRIT, etc.)
7. PEC's modify and verify all non-sponsored projects tied to their department
8. Departments can identify more than one primary effort coordinator to serve as backup for the PEC in ECC when the PEC is absent.

**NOTE:** PEC identify ECs in their department coordinators. |

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| **Roles** | **Role Description** | **Responsibility** | **Tasks to Complete** |
| Effort Coordinator(s): | Individuals in the department that assist Primary Effort coordinators on all effort reporting responsibilities within their designated departments. | * Understand and apply HOOP Policy 93
* Assist Primary Individuals with questions related to effort on their projects.
* Facilitate salary distribution updates and/or corrections in a timely manner
* Assist Primary Effort Coordinator on any follow up actions throughout the effort period including salary cost transfers, commitment or cost share changes.
* Assist Primary Effort Coordinators to ensure all effort cards are certified on time and appropriately through the effort certification period
 | 1. Complete Mandatory training for access and use of ECC ([Learn2Succeed](https://go.uth.edu/learn))
2. Complete PeopleSoft HCM Administrative Systems Training ([Link](https://inside.uth.edu/it-training/public-queries-and-standard-reports))
3. Monitor effort commitment levels and cost sharing as appropriate for Primary Individuals.
4. Facilitate retroactive salary adjustments to ensure all adjustments are complete within 45 days after effort certification period ends.
5. Review and assist that all sponsor salary cap requirements are met based on certified effort ([NIH](https://grants.nih.gov/grants/guide/notice-files/NOT-OD-22-076.html), CPRIT, etc.)

6) Assist PECs with certification on non-sponsored projects tied to their department |

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| **Roles** | **Role Description** | **Responsibility** | **Tasks to Complete** |
| Sponsored Projects Administration  | Provide overall support of the system business/functional aspects of UT Health’s electronic effort reporting system, effort reporting training, guidance on requirements, and oversight of HOOP 93 compliance. | * Establish and maintain the Effort Reporting Policy ([Hoop 93](https://www.uth.edu/hoop/policy.htm?id=1448034))
* Provide effort reporting training and guidance
* Implement system modifications as required by new or changing policies, accounting or reporting practices, federal requirements, or any other compliance-related matter
* Manage the technical aspects of UT Health’s electronic effort reporting system
* Manage security roles, rights and user access
* Manage data uploads from source systems
* Respond to business, functional and technical questions and issues
 | * Effort Reporting training established ([Link to Training Material](https://www.uth.edu/sponsored-projects-administration/training-guidance/internal-training/effort))
* Perform data validation process after each data load
* Review and correct error logs from data loads
* Review user access each quarter to ensure appropriate system access
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