COLUMBIA UNIVERSITY
IN THE CITY OF NEW YORK

Effort Reporting
Effort Roles and Responsibilities
September 2016

Role	Description	Responsibility	ECRT Tasks	Frequency
Faculty	Officers of Instruction, Officers of Research (other than Postdoctoral Officers of Research), Officers of Administration and Officers of Library, including those who are Principal Investigators	- Monitor and confirm own effort	1) Notify Effort Coordinator any time there is a significant and long-term change (greater than 1-2 months) in workload due to new or expiring grants, additional non-sponsored responsibilities (committee assignments, departmental leadership roles, additional teaching load, etc.) 2) Review own effort card 3) Promptly report and regularly communicate with Effort Coordinator to ensure that effort is reported correctly 4) Promptly inform Effort Coordinator if card does not accurately reflect activities 5) Work with Effort Coordinator to verify cost sharing information is appropriately entered 6) Confirm effort card within designated time period 7) Contact your Effort Coordinator if you are making effort adjustments 8) Complete and sign an effort card prior to leaving the University	Ongoing At Least Quarterly Ongoing At Least Quarterly Ongoing Annually Ongoing Ongoing

Principal Investigators	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.)	- Monitor and certify the effort of their project staff.	1) Notify Effort Coordinator any time there is a significant and long-term change (greater than 1-2 months) in the workload of any member of the project staff due to new or expiring grants or additional non-sponsored responsibilities
			
			2) Review effort cards of project staff
			
			3) Promptly report and regularly communicate with Effort Coordinator to ensure that effort is reported correctly
			4) Promptly inform Effort Coordinator if cards do not accurately reflect the effort of project staff
			5) Work with Effort Coordinator to verify cost sharing information is appropriately entered
			    - Work with Effort Coordinator to make corrections to historical pay
			    - Work with Effort Coordinator to update the labor distribution for future periods
			6) Confirm effort cards of project staff within designated time period
			7) Contact your Effort Coordinator if you are making effort adjustments
			8) Complete and sign an effort cards prior to leaving the University
				Ongoing
				
				At Least Quarterly
				
				Ongoing
				
				Ongoing
				Ongoing
				
				Annually
				Ongoing
				Ongoing

Sponsored Projects Administration	Project Officers and/or Financial Analysts in Research Administration	- Review grant applications and notices of award for cost sharing commitments.	1) Advise and assist Faculty, Principal Investigators and Effort Coordinators as necessary where actual effort will deviate significantly from proposed effort	Ongoing
Controller 's Office	Sponsored Projects Finance of Controller's Office	- Ultimate responsibility for effort reporting and ECRT	1) Coordinate and oversee all operational functions of the ECRT system 2) Send list of Primary Effort Coordinators and Effort Coordinators to departments for verification	Ongoing Semiannually

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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 described below. For departments or sub-departments that have more than one Effort Coordinator, one must assume the responsibilities of a Primary Coordinator.	- Monitor effort cards of faculty and research staff for whom they are responsible.
		- Transfer costs as appropriate
		
		- Support the faculty in ongoing monitoring and annually confirming effort
			1) Determine who in your department needs to confirm effort or have effort confirmed by PI
			
			2) Monitor effort reporting activities within the department
			
			  - View effort reports and provide feedback to faculty (as appropriate)
			
			3) Monitor and coordinate confirmations 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) Enter cost sharing information in ECRT and ensure it is properly documented and funded (usually by the department)
			5) Process salary adjustments as applicable
			6) Communicate cost sharing commitments to SPA
			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 confirmed by the PI in ECRT
				Certification Period
				Certification Period
				Certification Period
				Certification Period
				Certification Period
				Certification Period
				Ongoing
				
				Ongoing
				Ongoing
				Ongoing
				Ongoing
				
				Ongoing
				
				Certification Period
				Ongoing
				
				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 completed effort reports
			
			  - Undertake final review of completed effort reports
			
			  - If necessary, verify that departmental funding has been allocated properly
			
			  - Process completed effort reports in ECRT
			
			3) Monitor effort reporting activities within the department
				Ongoing
				
				Annually
				
				Ongoing