

Effort Glossary

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IDEAS AND THINGS

Cost Sharing	The portion of the total costs of a sponsored project that is paid by the institution or a third party, rather than the sponsor. While cost sharing can take a variety of forms, in the context of effort reporting cost sharing of effort refers to salary or tuition remission support. May also be referred to in effort reporting as Effort Cost Shared to describe the effort contributed to a sponsored project that was compensated by the university or a third party (research gift). Note that the government will <u>never</u> be the source for Effort Cost Shared to a sponsored project.
➤ Mandatory Cost Sharing	Cost sharing that is required by the sponsor as a condition for proposal submission and award acceptance.
➤ Voluntary Committed Cost Sharing	Cost sharing not required by the sponsor as a condition of proposal submission, but proposed in the sponsored project budget or budget justification. Once offered by the institution and agreed to by the sponsor, this becomes an obligation that the institution must fulfill. Cost sharing that is proposed in the budget or the budget justification becomes a commitment upon execution of the award agreement. When cost sharing proposed in the narrative is specific and quantified, it also becomes a binding commitment upon execution of the award agreement.
➤ Voluntary Uncommitted Cost Sharing	Cost sharing that is neither pledged explicitly in the proposal nor stated in the award documents. This typically occurs when an individual expends more effort on a sponsored project than his or her commitment requires. This type of cost sharing, or "extra effort," is above that agreed to as part of the award and is not required to be documented, tracked, or reported.
Effort Certification System (ECS)	The Web-based application that our university utilizes to report and certify effort.
Effort	The time devoted to a sponsored project, expressed as a percentage of the total time spent on all activities conducted under the terms of employment with the university. May also be referred to in effort reporting as Effort Performed.
➤ Commitment of Effort	Committed effort offered to a sponsor in a proposal that is specific and quantified becomes a binding Commitment upon execution of the award agreement.

➤ Committed Effort	<p>The amount of effort proposed in a grant proposal or other project application and accepted by the sponsor, regardless of whether salary support is requested for the effort. Committed effort may be adjusted with the approval of the sponsoring agency.</p> <p>For example, if an NIH grant application proposes that a faculty member will devote 30% of his or her effort to the grant, with salary support for 10% of effort, then the cost sharing is 20% and the effort commitment is 30%.</p>
➤ Effort Compensated	<p>The time devoted to a sponsored project which is paid for with salary and/or tuition remission.</p>
➤ Total Effort	<p>The portion of total professional effort for which an individual receives Institutional Base Salary (IBS) from the institution. This is the individual's <i>full workload</i> for purposes of effort certification. By definition, an individual's total effort must equal 100% – never more or less – regardless of the number of hours worked or the appointment percent.</p>
Effort Certification	<p>The university's means of providing assurance to sponsors, especially the federal government, that:</p> <ul style="list-style-type: none"> • Faculty and staff have met their commitments, paid or unpaid by the sponsor, to sponsored projects • The salaries charged to sponsored projects are reasonable in relation to the work performed
Effort Report	<p>A document that applies to a defined time period and reflects the Effort Compensated, Effort Cost Shared, Effort Total, and salary associated with that time period for the project's employees. Once certified, it also reflects the actual Effort Performed.</p>
Institutional Base Salary (IBS)	<p>Institutional Base Salary (IBS) is the total guaranteed annual compensation an Individual receives from the university, whether the Individual's time is spent on research, teaching, or other activities. The IBS shall be used to compute salaries charged to sponsored projects unless sponsor policies further limit salary charges. IBS includes compensation for instruction, public service, research, and/or other institutional responsibilities.</p> <p>IBS <i>excludes</i> fringe benefit payments; reimbursed expenses; temporary, supplemental compensation for incidental work; income earned outside of duties to the institution; and any portion of compensation deemed to be at-risk. IBS may or may not include additional payment for administrative duties per the written policy of the university.</p>
Short-Term Fluctuations In Devoted Effort	<p>Periods during which the devoted effort is less than commensurate with the salary charged to a sponsored project, followed by periods during which it is more than commensurate, such that it all "evens out" and the appropriate effort is devoted to the project. A deficit is acceptable for a period of not more than two months, provided the overall distribution is reasonable over the longer term. This is in contrast with a Significant Change In Work Activity, which represents a permanent or longer-term change.</p>

Significant Changes In Work Activity	A withdrawal from a sponsored project, an absence from the university of more than three months, or a 25 percent (or greater) reduction in time devoted to the project. A significant change in work activity on the part of a principal investigator, project director, or primary individual requires prior approval from a federal sponsor.
Timeliness	The valuable concept of effort certifications occurring within the university's defined effort reporting period. Auditors evaluate timeliness and may question or disallow costs represented on significantly late effort reports.
Total Institutional Activities	Activities for which an Individual is paid by the university. Common activities include administrative duties, instruction, non-sponsored or university sponsored research, proposals, mentoring, supervision, and public service.

ACTIONS

Certify	To attest authoritatively as being true; to confirm accuracy.
Precertify	To prepare an effort report by making it as accurate as possible to the best of your knowledge in advance of the Principal Investigator's (PI's) certification. This is a support service generally optional to PIs based upon their department's or center's administrative resources.
Submit A Post-Certification Request	In order to correct an error on a certified effort report, the certifier must ask the Sponsored Projects Award Administration to re-open the effort report in ECS. Permission is granted when the rationale explained in the request is deemed reasonable, allocable, and allowable.

PEOPLE

Individual	Anyone who has Compensated Effort and/or Committed Effort on a sponsored project.
Precertifier	Any employee(s) with a high-assurance UT EID that a Principal Investigator or a department authorizes to fulfill this role. An employee with direct verifiable knowledge of the work being performed on the sponsored project(s) is most appropriate for this support role.
Primary Individual	At The University of Texas at Austin, a Primary Individual is an individual authorized by the Office of Sponsored Projects to serve in the capacity of Principal Investigator for the purpose of submitting proposals or accepting sponsored awards. Responsibilities of Primary Individuals include, but are not limited to, completing compliance training and certifying their effort. May be referred to as Other Primary Individuals (OPIs) in effort reporting when referencing the Primary Individuals on a sponsored project that are not the project's Principal Investigator.

Principal Investigator	<p>At The University of Texas at Austin, the responsibilities of a Principal Investigator (PI) include, but are not limited to:</p> <ul style="list-style-type: none"> • completing compliance training. • seeking external financial support for specific projects undertaken to further the mission of the university in teaching, research, and public service. • origination, development, and preparation of project proposals. • managing the execution and completion of the awarded project including the submission of all required reports. • certifying effort.
Proxy	<p>For effort certification, a Proxy is defined as an Individual with comparable responsibilities on a sponsored project application to a principal investigator, project director, co-investigator, or co-project director who certifies effort by virtue of having direct knowledge of the work and using suitable means of verification that the work was performed.</p>
Supporting Individual	<p>An Individual with compensated and/or committed effort on a sponsored project who is not a Primary Individual (or is being treated by ECS as a Supporting Individual under specific conditions).</p>