

Effort Reporting Policies and Procedures

July 2013

Roles and Responsibilities

Washington University is committed to the objective, ethical, and responsible conduct of research. A Roles and Responsibilities document is maintained to provide comprehensive descriptions of the duties of key individuals and organizational units that design, conduct, report, and/or support research activities at Washington University. This detailed set of information is available at <http://research.wustl.edu/Resources/Roles/Pages/default.aspx>. For the purposes of this document, the roles and responsibilities for the primary positions associated with effort reporting is also provided below.

Principal Investigator

- Reviews, adjusts, and legally certifies the accuracy of personal activity reports (ePARs) Completes ePARs for unavailable personnel within deadlines and in accordance with Federal regulations and University and sponsoring agency policies and procedures.
- Certifies the ePAR in a timely manner, in accordance with University policy.
- Assures that all key personnel involved in effort reporting have met training requirements in accordance with Federal regulations and University and sponsoring agency policies and procedures.
- Supports and endorses cooperation with the University's compliance and monitoring efforts related to effort reporting and reports instances of noncompliance to the appropriate compliance offices.
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Department Effort Coordinator

- Assists Principal Investigator to review, adjust, and certify personnel activity reports (ePARs) for all applicable personnel.
- Cooperates with the University's compliance and monitoring efforts related to effort reporting and reports instances of noncompliance to the appropriate compliance offices.
- Primary contact for answering questions from department certifiers and coordinating with SPA

Department Administrator

- Assists Principal Investigator to review, adjust, and certify personnel activity reports (ePARs) for all applicable personnel.
- Certifies the ePAR in a timely manner, in accordance with University policy.
- Assists Principal Investigator to assure that all key personnel involved in effort reporting have met training requirements in accordance with Federal regulations and University and sponsoring agency policies and procedures.
- Cooperates with the University's compliance and monitoring efforts related to effort reporting and reports instances of noncompliance to the appropriate compliance offices.

Department Chair

- Provides direction, resources, and oversight to help ensure that accurate reporting of effort.
- Requires that faculty and staff involved in the reporting of effort to complete and comply with required education and meet annual training requirements in accordance with Federal regulations and University and sponsoring agency policies and procedures.

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- Supports and endorses cooperation with the University's compliance and monitoring efforts related to effort reporting and reports instances of noncompliance to the appropriate compliance offices.

Dean

- Provides direction, resources, and oversight to help ensure the accurate reporting of effort in accordance with Federal regulations and University and sponsoring agency policies and procedures.
- Requires that all faculty and key personnel involved in the reporting of effort complete and comply with the required education and meet annual training requirements in accordance with Federal regulations and University and sponsoring agency policies and procedures.
- Supports and endorses cooperation with the University's compliance and monitoring efforts related to effort reporting and reports instances of noncompliance to the appropriate compliance offices.

This information, as well as other policies and procedures related to sponsored projects, will be posted on the Finance website.

If you have any questions regarding the information presented in this document, please contact me at 314-935-7089 or jgindhart@wustl.edu.