Effort Allocation & Certification Responsibilities
University of Northern Iowa
Office of Research & Sponsored Programs

Effective Date: March 14, 2019

An individual may hold one or more of these roles within a project. For example, an individual may be a PI and Project Staff Supervisor. The responsibilities of both roles would apply.

The Office of Research and Sponsored Programs (RSP) is responsible for:
- Ensuring that UNI is in compliance with federal regulations related to charging effort to a sponsored program
- Distributing Effort Certification Reports to the department head/unit director
- Collecting and filing completed effort certification reports for all sponsored programs.

Human Resources (HR) and Office of Business Operations (OBO) are responsible for:
- Processing Personnel Action Forms (PAFs)
- Retaining effort distribution records.

PI/PD (Principle Investigator/Project Director) is responsible for:
- Creating accurate budgets during the sponsored program application phase.
- Devoting the appropriate amount of effort to the sponsored program(s) during implementation.
- Working with departmental PAF preparer(s) to create a PAF for themselves and, if applicable, other project staff working on the sponsored program.
  - The PI/PD will anticipate and allocate effort for the sponsored program(s).
  - The PI/PD will notify the departmental PAF preparer(s) if the anticipated effort allocation on the PAF needs to be changed.
- Keeping track of their own sponsored program effort, using any reasonable means of time tracking.
- Certifying the accuracy of their reported effort twice a year by reviewing, correcting if necessary, and signing the Effort Certification Report documents issued by RSP.
- Co-certifying any direct report co-PI/PDs or project staff.

Project Staff are responsible for:
- Working with the departmental PAF preparer and the PI/PD to create a PAF for themselves
- Notifying the departmental PAF preparer if a Labor Distribution (LD) Change PAF needs to be made to correct original PAF effort allocation.
- Keeping track of their sponsored program effort, using a reasonable means of time tracking.
- Certifying the accuracy of their reported effort twice a year by reviewing, correcting if necessary, and signing the Effort Certification Report documents issued by RSP.
- Co-certifying the effort of any direct report Project Staff who certifies effort on a sponsored program, if applicable.

Departmental PAF Preparers are responsible for:
- Working with the PI/PD and/or Project Staff to prepare PAF's for effort allocation.
- Working with the PI/PD and/or Project Staff to prepare LD Change PAF's in situations where the original effort allocation must be changed.
- Making sure that the employee that the PAF is created for is in the workflow of the PAF by verifying the auto-populated work flow or manually adding the individual to the PAF workflow.

PI/PD and Project Staff Supervisor(s) is responsible for:
- Reviewing proposed effort allocation on the PAF to ensure it is reasonable in the context of the Project Staff's existing workload and can fit into their 100% effort assignment by relieving other areas of the employee's workload (such as approving a course buyout).
- Reviewing LD Change PAF's for accuracy.
- Co-certifying the RSP issued effort reports after the Project Staff has certified the effort.

Department Head/Unit Director is responsible for:
- Receiving all Effort Certification Reports from the RSP office
- Distributing the reports to PI/PDs and Project Staff within their department/Unit
- Collecting the signed certifications
- Returning certifications to the RSP office by the date indicated by RSP.