

**Effort Certification Procedures**  
**University of Northern Iowa**  
**Office of Research & Sponsored Programs**

Effective Date: March 14, 2019

**Effort Certification Report Cycle**

1. RSP sends Effort Certification Report to department head/unit director.
2. Department head/unit director distributes the report form to all project staff and the PI/PD
3. All project staff and PI/PD certify the accuracy of their report effort twice a year by reviewing, correcting if necessary, and signing the Effort Certification Report documents issued by RSP.
4. The Project Staff Supervisor co-certifies all direct-report Project Staff-certified Effort Certification Reports.
5. The fully certified Effort Certification Report is collected by the Department Head/Unit Director and returned to RSP.
6. RSP will collect and file the completed Effort Certification Reports.

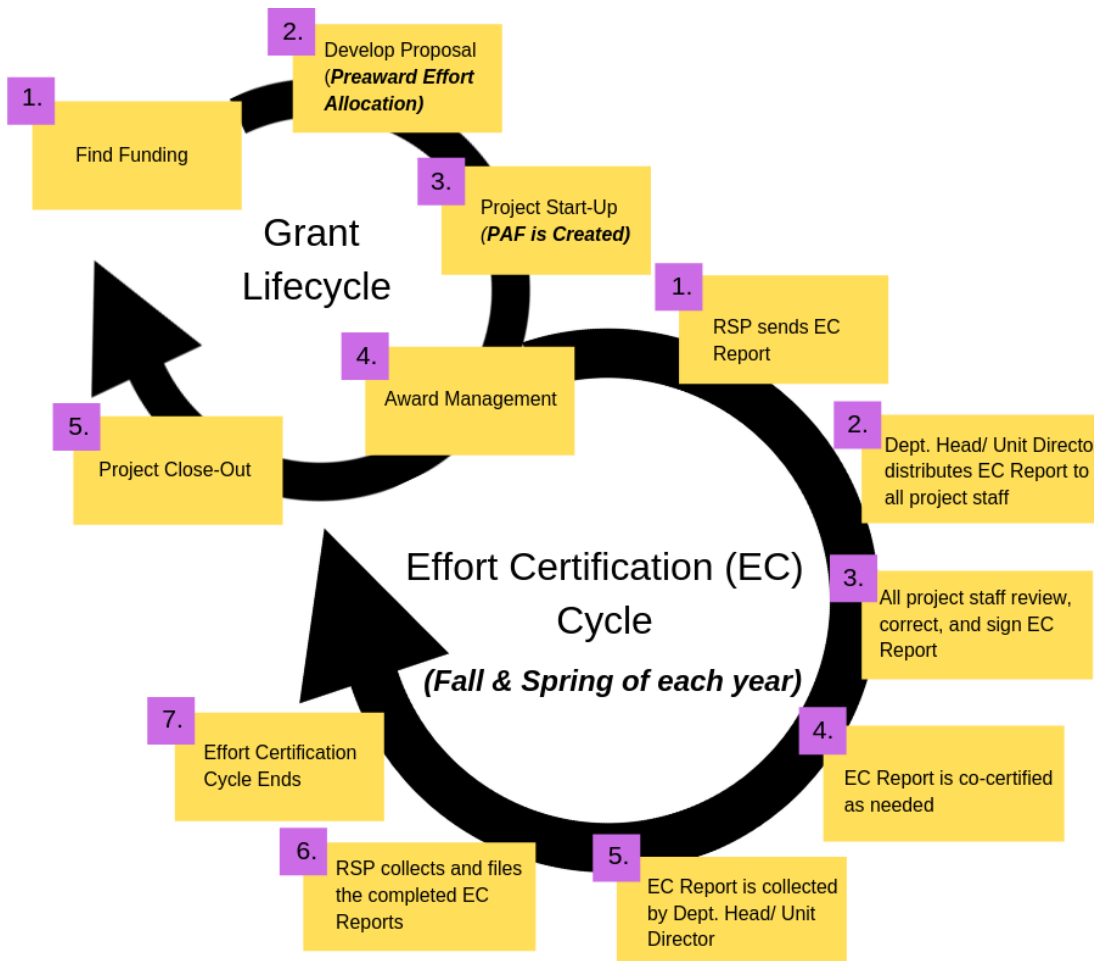


Figure 1. Effort Certification Cycle

## Timeline for Effort Certification Report

Effort is certified in the fall and in the spring.

*Spring:* The spring-issued Effort Certification Report, issued in February or March, covers the fall semester for faculty, Academic Administrators and Graduate Assistants and July to December for P&S and Merit employees.

*Fall:* The fall-issued Effort Certification Report, issued in October or November, is for certifying the spring semester and summer appointments for faculty, Academic Administrators and Graduate Assistants and January-June for P&S and Merit employees.

## Instructions for Completing the Effort Certification Report

### *Step 1.*

Check that the heading items (Employee Name, Primary Organization, University ID, etc.) are correct.

### *Step 2.*

Check that the staff member contributed time and effort to the activities as identified by the account number(s) listed in the **Direct Effort** section. If you do not recognize a sponsored activity, contact [Michele Mullings-Shand](mailto:mullings@uni.edu) at 3-6418 or [mullings@uni.edu](mailto:mullings@uni.edu).

- A. Section I. A. **DIRECT EFFORT**, should show the staff member's time and effort that was devoted to the grant or contract project listed by account number and paid by the sponsoring agency.
- B. Section II, **OTHER INSTITUTIONAL ACTIVITIES** should show the remaining percent of the staff member's time and effort devoted to "other" university activities (e.g. instruction, non-sponsored research, student service activities, general administrative activities).

**Note:** The accounts listed under OTHER INSTITUTIONAL ACTIVITIES are usually accounts from which the employee is normally paid when not performing effort under sponsored activities.

### *Step 3.*

Check that the percentages listed under the "P/R %" (payroll %) columns are reasonable representations of the actual time and effort the staff member contributed to each "SPONSORED ACTIVITY" or "OTHER INSTITUTIONAL ACTIVITIES." It is acceptable to consider the "average" effort for all months in the reporting period in lieu of the "actual" effort for each month listed. If corrections are necessary, call Michele Mullings-Shand, as there may be a need for a revised PAF to be initiated.

**Note:** Payments made to staff members as "special compensation" or "miscellaneous payments" which were intended to be paid in addition to the staff member's regular salary should not be considered when verifying P/R %.

***Step 4.***

The staff member **and** an appropriate Supervisory Official (one who is able to verify the actual distribution of effort devoted by the staff member to all sponsored **and** other institutional activities) should sign the certification statement in the lower right hand corner of the form. If a staff member is no longer employed by the University, the Supervisory Official should state this in the "Notes:" section.

***Step 5.***

Supervisory Officials should return the certified Effort Certification Report forms to the Department Head who will forward them to the Associate Grants and Contracts Administrator, campus zip 0394.

***Cost Sharing***

The PI/PD must document the fulfillment of the committed cost sharing and maintain compliance with the sponsor's requirements. All committed cost sharing must be included in the annual effort certification report in order to document that the commitment to the sponsor has been satisfied and that the funding of such activity has been properly reflected (i.e., not charged to another sponsored project).

**Sample Effort Certification Forms: *See Following Pages***

*Spring Certification: Certification of Effort of Previous Fall Semester*

UNILD006

Employee Name: [REDACTED]  
 Primary Organization: [REDACTED]  
 University ID: [REDACTED]  
 Supervisor Name: [REDACTED]

Report Date: Feb 28, 2017 01:51 PM  
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People Group Name: Faculty  
 Assignment Category: NT AY Pd 10  
 Annual Salary Base \$87,286.00  
 Monthly Salary Base \$8,728.60

University of Northern Iowa  
 Effort Certification Report  
 01-AUG-2016 to 31-DEC-2016

	AUG 2016		SEP 2016		OCT 2016		NOV 2016		DEC 2016	
	PIR \$	PIR %	PIR \$	PIR %	PIR \$	PIR %	PIR \$	PIR %	PIR \$	PIR %
<b>Direct Effort</b>										
6071.00.24031.50210.0000.11.0122 SPED Math Prof Dev -617-Center for Teaching & Learning Mathematics-Instruction	1,745.68	20%	1,745.68	20%	1,745.76	20%	1,745.68	20%	1,745.68	20%
6144.00.24031.50210.0000.11.0000 Making Sense On line-ND-2015-816-Center for Teaching & Learning Mathematics-Instruction	174.57	2%	0.00	0%	0.00	0%	0.00	0%	0.00	0%
6286.00.24031.50210.0000.11.0000 Making Sense On line-ND-817-Center for Teaching & Learning Mathematics-Instruction	0.00	0%	174.67	2%	174.52	2%	174.67	2%	174.67	2%
6288.00.24031.50210.0000.11.0000 Making Sense of Math-Mascoutah-721-Center for Teaching & Learning Mathematics-Instruction	0.00	0%	2,007.48	23%	2,007.63	23%	2,007.48	23%	2,007.48	23%
<b>Other Institutional Activities</b>										
0011.00.24601.50210.0000.11.0000 Gnl Educ Fund-Mathematics-Instruction	6,806.35	78%	4,800.77	55%	4,800.69	55%	4,800.77	55%	4,800.77	55%
<b>Total Effort:</b>	<b>8,728.60</b>	<b>100%</b>	<b>8,728.60</b>	<b>100%</b>	<b>8,728.60</b>	<b>100%</b>	<b>8,728.60</b>	<b>100%</b>	<b>8,728.60</b>	<b>100%</b>

NOTES: (Continue on reverse side if needed)

CERTIFICATION:  
 I certify that, to the best of my knowledge, this percentage distribution of salary and wages is a reasonable representation of effort or time expended by me (this employee) during the activity period covered by this report.

Employee

Supervisory Official

Date

*Fall Certification: Certification of Effort of Previous Spring Semester*

UNILD006

**University of Northern Iowa**

**Effort Certification Report**

01-JAN-2016 to 30-JUN-2016

Report Date: Oct 21, 2016 02:09 PM

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Employee Name: [REDACTED]  
 Primary Organization: [REDACTED]  
 University ID: [REDACTED]  
 Supervisor Name: [REDACTED]

People Group Name: P&S  
 Assignment Category: NT Calendar  
 Annual Salary Base: \$73,000.08  
 Monthly Salary Base: \$6,083.34

	JAN 2016		FEB 2016		MAR 2016		APR 2016		MAY 2016		JUN 2016	
	P/R \$	P/R %	P/R \$	P/R %	P/R \$	P/R %	P/R \$	P/R %	P/R \$	P/R %	P/R \$	P/R %
<b>Direct Effort</b>												
5982.00.21661.51010.0000.31.0122 IA Air Emission Assistance-6/16-Iowa Waste Reduction Ctr-Public Service	2,129.14	35%	2,129.21	35%	2,030.93	35%	2,129.21	35%	2,129.13	35%	2,129.13	35%
6203.00.21661.51010.0000.31.0000 Rural IA Food Waste Reduction-9/16-Iowa Waste Reduction Ctr-Public Service	0.00	0%	304.09	5%	290.04	5%	0.00	0%	0.00	0%	0.00	0%
<b>Other Institutional Activities</b>												
0380.00.21661.51010.0000.31.0000 Iowa Waste Reduction Center-Iowa Waste Reduction Ctr-Public Service	3,954.20	65%	3,650.04	60%	3,481.57	60%	3,954.13	65%	3,954.21	65%	3,954.21	65%
<b>Total Effort:</b>	<b>6,083.34</b>	<b>100%</b>	<b>6,083.34</b>	<b>100%</b>	<b>5,802.54</b>	<b>100%</b>	<b>6,083.34</b>	<b>100%</b>	<b>6,083.34</b>	<b>100%</b>	<b>6,083.34</b>	<b>100%</b>

NOTES: (Continue on reverse side if needed)

**CERTIFICATION:**

I certify that, to the best of my knowledge, this percentage distribution of salary and wages is a reasonable representation of effort or time expended by me (this employee) during the activity period covered by this report.

Employee \_\_\_\_\_ Date \_\_\_\_\_ Supervisory Official \_\_\_\_\_ Date \_\_\_\_\_

Fall Certification: Certification of Effort of Previous Summer

UNILD006

**University of Northern Iowa**  
**Effort Certification Report**  
 01-MAY-2016 to 30-SEP-2016

Report Date: Oct 21, 2016 02:10 PM  
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Employee Name: [REDACTED]  
 Primary Organization: [REDACTED]  
 University ID: [REDACTED]  
 Supervisor Name: [REDACTED]

People Group Name: Faculty  
 Assignment Category: NT AY Pd 12  
 Annual Salary Base: \$72,370.08  
 Monthly Salary Base: \$6,030.84

	MAY 2016		JUN 2016		JUL 2016		AUG 2016		SEP 2016	
	P/R \$	P/R %	P/R \$	P/R %	P/R \$	P/R %	P/R \$	P/R %	P/R \$	P/R %
<b>Direct Effort</b>										
6071.00.24031.50210.0000.11.0122 SPED Math Prof Dev-6/17-Center for Teaching & Learning Mathematics-Instruction	0.00	0%	0.00	0%	0.00	0%	1,022.80	100%	0.00	0.00
6072.00.24901.50210.0000.11.0121 Crosscutting Concepts in IA Sci Classrooms-6/16-Science Education-Instruction	0.00	0%	1,069.29	21%	0.00	0%	0.00	0%	0.00	0.00
<b>Other Institutional Activities</b>										
0011.00.20011.50210.0000.61.0000 Gnl Educ Fund-Academic Affairs-Institutional Support	3,920.50	100%	3,920.50	79%	0.00	0%	0.00	0%	0.00	0.00
<b>Total Effort:</b>	<b>3,920.50</b>	<b>100%</b>	<b>4,989.79</b>	<b>100%</b>	<b>0.00</b>	<b>0%</b>	<b>1,022.80</b>	<b>100%</b>	<b>0.00</b>	<b>0.00</b>

NOTES: (Continue on reverse side if needed)

CERTIFICATION:

I certify that, to the best of my knowledge, this percentage distribution of salary and wages is a reasonable representation of effort or time expended by me (this employee) during the activity period covered by this report.

Employee \_\_\_\_\_ Date \_\_\_\_\_ Supervisory Official \_\_\_\_\_ Date \_\_\_\_\_