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 at 3-6418 or 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**
### Direct Effort:

<table>
<thead>
<tr>
<th>Project Code</th>
<th>Description</th>
<th>PR $</th>
<th>PR %</th>
<th>PR $</th>
<th>PR %</th>
<th>PR $</th>
<th>PR %</th>
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<th>PR %</th>
<th>PR $</th>
<th>PR %</th>
</tr>
</thead>
<tbody>
<tr>
<td>0011.00.2401.0210.0000.11.0000</td>
<td>Online Educ Fund-Mathematics-Instruction</td>
<td>8,309.60</td>
<td>100%</td>
<td>8,309.60</td>
<td>100%</td>
<td>8,309.60</td>
<td>100%</td>
<td>8,309.60</td>
<td>100%</td>
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<td></td>
</tr>
<tr>
<td>0241.00.2401.0210.0000.11.0000</td>
<td>Making Sense of Math-Moscowah-1721-Center for Teaching &amp; Learning Mathematics-Instruction</td>
<td>2,097.48</td>
<td>23%</td>
<td>2,097.48</td>
<td>23%</td>
<td>2,097.48</td>
<td>23%</td>
<td>2,097.48</td>
<td>23%</td>
<td></td>
<td></td>
</tr>
<tr>
<td>0296.00.2401.0210.0000.11.0000</td>
<td>Making Sense Online-ND-877-Center for Teaching &amp; Learning Mathematics-Instruction</td>
<td>174.67</td>
<td>2%</td>
<td>174.67</td>
<td>2%</td>
<td>174.67</td>
<td>2%</td>
<td>174.67</td>
<td>2%</td>
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<td></td>
</tr>
<tr>
<td>0144.00.2401.0210.0000.11.0000</td>
<td>Making Sense Online-ND-2015-877-Center for Teaching &amp; Learning Mathematics-Instruction</td>
<td>174.67</td>
<td>2%</td>
<td>174.67</td>
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<td>2%</td>
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<td></td>
</tr>
<tr>
<td>0271.00.2401.0210.0000.11.0122</td>
<td>SPEED Math Prof Dev-877-Center for Teaching &amp; Learning Mathematics-Instruction</td>
<td>1,745.68</td>
<td>20%</td>
<td>1,745.68</td>
<td>20%</td>
<td>1,745.68</td>
<td>20%</td>
<td>1,745.68</td>
<td>20%</td>
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</tbody>
</table>

### Other Institutional Activities:

<table>
<thead>
<tr>
<th>Project Code</th>
<th>Description</th>
<th>PR $</th>
<th>PR %</th>
<th>PR $</th>
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<th>PR $</th>
<th>PR %</th>
<th>PR $</th>
<th>PR %</th>
</tr>
</thead>
</table>

**TOTAL Effort:**

- **PR $**: 8,249.60
- **PR %**: 100%

**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**
**University of Northern Iowa**

**Effort Certification Report**

01-JAN-2016 to 30-JUN-2016

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**Employee Name:** [Redacted]

**Primary Organization:** [Redacted]

**University ID:** [Redacted]

**Supervisor Name:** [Redacted]

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**Direct Effort**

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</thead>
<tbody>
<tr>
<td>5882-00-21463.51010.0000.31.0122</td>
<td>IA Air Emission Assistance-6/16 Iowa Waste Reduction Ctr-Public Service</td>
<td>2,129.21</td>
<td>35%</td>
<td>2,129.21</td>
<td>35%</td>
<td>2,030.93</td>
<td>35%</td>
<td>2,129.21</td>
<td>35%</td>
<td>2,129.13</td>
<td>35%</td>
<td>2,129.13</td>
<td>35%</td>
</tr>
<tr>
<td>6203-00-21463.51010.0008.31.0000</td>
<td>Rural IA Food Waste Reduction-9/16 Iowa Waste Reduction Ctr-Public Service</td>
<td>0.00</td>
<td>0%</td>
<td>304.09</td>
<td>5%</td>
<td>290.04</td>
<td>5%</td>
<td>0.00</td>
<td>0%</td>
<td>0.00</td>
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<td>0%</td>
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**Other Institutional Activities**

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</tr>
</thead>
<tbody>
<tr>
<td>8380-00-21463.51010.0000.31.0000</td>
<td>Iowa Waste Reduction Center-Iowa Waste Reduction Ctr-Public Service</td>
<td>3,954.21</td>
<td>65%</td>
<td>3,650.04</td>
<td>60%</td>
<td>3,481.57</td>
<td>60%</td>
<td>3,954.13</td>
<td>65%</td>
<td>3,954.21</td>
<td>65%</td>
<td>3,954.21</td>
<td>65%</td>
</tr>
</tbody>
</table>

**Total Effort:**

| JAN-01-16 | 6,083.34 | 100% | FEB-02-16 | 6,083.34 | 100% | MAR-03-16 | 5,802.54 | 100% | APR-04-16 | 6,083.34 | 100% | MAY-05-16 | 6,083.34 | 100% | JUN-06-16 | 6,083.34 | 100% |

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**NOTES:** (Continue on reverse side if needed)

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**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.

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<table>
<thead>
<tr>
<th>Employee</th>
<th>Date</th>
<th>Supervisory Official</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tbody>
</table>
University of Northern Iowa
Effort Certification Report
01-MAY-2016 to 30-SEP-2016

Direct Effort

<table>
<thead>
<tr>
<th>Employee ID</th>
<th>Description</th>
<th>P/E $</th>
<th>P/E %</th>
</tr>
</thead>
<tbody>
<tr>
<td>6871.09.24901.502210.0000.11.0121</td>
<td>Crosscutting Concepts in IA Sci Classrooms-6/14-Science Education-Instruction</td>
<td>0.00</td>
<td>0%</td>
</tr>
<tr>
<td>6871.09.24901.502210.0000.11.0121</td>
<td>Crosscutting Concepts in IA Sci Classrooms-6/14-Science Education-Instruction</td>
<td>1,089.20</td>
<td>21%</td>
</tr>
</tbody>
</table>

Other Institutional Activities

<table>
<thead>
<tr>
<th>Employee ID</th>
<th>Description</th>
<th>P/E $</th>
<th>P/E %</th>
</tr>
</thead>
<tbody>
<tr>
<td>6871.09.24901.502210.0000.61.0000</td>
<td>6871.09.24901.502210.0000.61.0000</td>
<td>3,920.50</td>
<td>100%</td>
</tr>
<tr>
<td>6871.09.24901.502210.0000.61.0000</td>
<td>6871.09.24901.502210.0000.61.0000</td>
<td>3,920.50</td>
<td>79%</td>
</tr>
</tbody>
</table>

Total Effort: 3,920.50 100% 4,989.70 100%

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: [Name]
Date: [Date]
Supervisory Official: [Name]
Date: [Date]