

EFFORT CERTIFICATION RESPONSIBILITIES (DRAFT)

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.

Departmental PAF Preparers are responsible for:

- Working with the PI/PD and/or Project Staff
- Creating and routing the predicted or changed PAF for approval.
 - Departmental PAF Preparers **are required** to manually add the subject of the PAF to the PAF routing list every time the effort is created and/or changed on a PAF.

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 change to the PAF needs to be made.
- 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.

PI/PD 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 accurately anticipate effort for the sponsored program(s).
 - The PI/PD will notify the departmental PAF preparer(s) if the anticipated effort on the PAF needs to be changed.
- Keeping track of their sponsored program effort, using any reasonable means of time tracking, and 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 Supervisor is responsible for:

- Reviewing proposed effort to ensure it is reasonable in the context of the Project Staff's existing workload
- Ensuring that the proposed effort will fit within the Project Staff's 100% UNI effort load.
- 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 all Project Staff within their department/Unit
- Collecting the signed certifications
- Returning certifications to the RSP office by the date indicated by RSP.