

Seattle University Procedure

Effective July 1, 2010

Title: Effort Certification Reporting

Approved By:

Date Approved:

In accordance with Seattle University's Policy, Effort Certification Reporting, effective July 1, 2010, and retroactive to Jan 1, 2010, the procedure for time and effort reporting shall be as follows.

1. Upon receipt of a sponsored agreement, the appropriate grant account will be established at the request of the Office of Research Services and Sponsored Projects (ORSSP) by the Controller's Office. At this time, if there is committed cost share assigned to the award, a companion account will also be established at the request of ORSSP by the Controller's Office. In the request for the companion account, ORSSP will delineate from which departments/colleges/etc the committed funds are to be moved from. Budgets will be loaded when the accounts are created.
2. Once the accounts are established, a Payroll Action Form (PAF) should be submitted to adjust the payroll distribution for any employees assigned to have salary, wages, and/or fringe charged either to the grant or cost share account. The PAF will be completed at the department level, signed by the department administrator(s), chair, dean, ORSSP, and Faculty Services before being submitted to Payroll. If, due to unforeseen circumstance or delay, the PAF is retroactive, a Cost Transfer Form will also be required to move charges to the grant or cost share account.
3. At the end of each academic term, all employees who have performed services on, or contributed effort towards, a sponsored agreement will be required to certify their effort for the term. Effort Certification Reports will be provided to all professional and professorial staff for their review and confirmation. Timesheets submitted to the departments will be used to verify effort for all hourly employees.
 - a. Effort Certification Report will provide a side-by-side comparison of payroll charges, cost share charges, and committed/computed effort to the employee's certified effort.
 - b. Payroll and cost share charges (as reflected in DataTel/SUDDS), and committed/computed effort (as defined by the award letter) will be keyed into the employee's certification report by ORSSP staff.
 - c. Any adjustments and/or transfers/journal entries will also be reflected.
4. Principal Investigator's/Project Directors will have 30 days from the last day of the academic term to inform ORSSP of any changes and/or corrections that need to be made to their own payroll distribution, or that of their staff members. As stated before, any change to payroll distribution will require a signed PAF, along with an Institutional Prior Approval Form, if applicable, and a Cost Transfer Form if any charges are to be reallocated.

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5. Within 30 calendar days of the last day of the academic term, ORSSP staff will populate the Effort Certification Reports, and will distribute to the departments for signature.
6. Effort Certification Reports require the employee to write in their effort levels associated with each project or department that he/she is associated with. Effort reports will include projects where the employee is listed as PI, CO-PI, or Senior Personnel, regardless of whether or not salary is drawn. Employees will complete the "Certified Effort" column of the report, documenting their effort and initialing for each account. Total efforts must equal 100%, and the employee must sign and date the form before returning it ORSSP.
7. Employees will have 60 calendar days from the last day of the academic term to return the completed and signed Effort Certification Report to the ORSSP. By this day, timesheets will also need to have been submitted for any employee whose effort is tracked through SU timesheets. Timesheets should reflect the account/project on which the employee worked/is working, and must be signed by the PI/Co-PI/Project Director/Responsible Official after the work was completed. If the employee works on multiple sponsored agreements, time spent on each activity must be distinguished. This may be done through notes on the timesheet or through the submission of multiple timesheets, one for each activity.
8. Any discrepancy between what was charged to a sponsored agreement and the effort certified by the employee will require review by the ORSSP. If a change to effort levels was made resulting in a sponsored agreement being overcharged, a transfer must be done immediately to move these costs to the appropriate department or agreement. This transfer must be done within the 60 day period stated above, or the employee/department will be considered out of compliance with the SU Effort Certification Reporting Policy.
9. Once an effort report is signed and submitted, no further changes will be allowed. The PI/Project Director is expected to ensure that all effort is accurate prior to the reports being returned to the ORSSP.