EFFORT REPORTING
CERTIFICATION FORM INSTRUCTIONS
FOR
KEY PERSONNEL

HEADER

The header of the certification form displays information on the reporting period, home org, employee's name, employee's ID#, and employee's current position title.

- Review the header information for accuracy.
- Inform the Finance Office of any inaccuracies.

I PROJECT ACTIVITIES

This portion of the form shows the award distribution (both Sponsored Project Activities and Rockefeller Project Activities) that the individual's effort was committed against during the certification period.

Step 1. Sponsored Project Activities – Each award is listed by award name and award description. To the right of each award are the "Committed Effort %" column, "Payroll Distribution (LD)%" column, and the "Actual Effort %" column.

- Review the committed effort allocation for each award.
- If the committed effort for each award reflects your actual effort, please enter the exact information as shown in the "Committed Effort %" column into the "Actual Effort %" column.
- If the payroll distribution % is greater than the actual effort expended, you need to fill-in your actual effort in the "Actual Effort %' column. The Finance Office will initiate payroll expense transfers to adjust your salary distribution to be consistent with your actual effort.
    - *It is important that you notify the Finance Office when you plan to change your effort on a project for an extended time period so the payroll will be adjusted to reflect your effort. Please note that a significant reduction of effort (more than 25% of the budgeted effort) by key personnel should be reported to the sponsor.*

After all actual effort percentages are entered; the certifier should verify and ensure the summation of the percentages in the "Actual Effort %" column is not greater than 95% for HOLs or 100% for non-HOLs.

Step 2. Rockefeller Project Activities – If the actual effort under the Sponsored Project Activities is less than 95%, then the difference between 100% and the Total Sponsored Project Activities' actual effort would be the individual's residual uncommitted effort. The individual's affiliated laboratory account records any residual uncommitted effort.

- Distribute the Rockefeller Project Activities residual uncommitted effort into the applicable subcategories (i.e., Instruction & Department Research, Laboratory Administration (Lab Heads Only), and Other Activities.

Sub-categorical Definitions –

Instruction & Departmental Research includes all teaching and training activities of the institution, whether they are offered for credits toward a degree or certificate or on a noncredit basis. This category also includes all effort devoted to departmental research activities. Departmental Research is defined as research development and scholarly activities that are not organized research and, consequently, are not separately budgeted and accounted for.

The Laboratory Administration category is to be used by Laboratory Heads only. This category should be used to report effort associated with the administration of the laboratory. Examples of activities would include; time spent on University wide committees; time spent on writing grant and contract proposals for sponsored activities; preparing and administering laboratory budgets, and general management.

II CERTIFICATION

- Review the entire form to ensure that the sum of the Sponsored Project Activities and the Rockefeller Project Activities totals 100%.
- Sign and date the form to certify that the distributions are a fair and reasonable reflection of how effort was expended during the reporting period.

If you have any problems with or questions about this process, please refer to the Effort Reporting Frequently Asked Questions (FAQ) or contact Dion Brown at ext 7976 (e-mail brownd@rockefeller.edu).