Thomas Jefferson University **Research Administration Center of Excellence** **Standard Operating Procedure**	
Title of SOP: Effort Reporting	Effective Date:
	Version Number: 2
Approved By:	Last Updated: September 2019

I.   **PI Road Map**

II.   **Description and Purpose**

The purpose of the procedure is to provide guidelines by which effort reports are certified, in order to ensure that all TJU personnel are following internal guidelines and complying with sponsor regulations.

Excerpt from Office of Research Administration Effort Manual:
Effort is the amount of time spent on an activity or project, expressed as a percentage. For example, an investigator who spends one day each week working on a sponsored project is expending 20% of his/ her effort on that project. Effort reporting provides the means to verify that salaries and wages charged to sponsored awards accurately reflect the effort devoted. Federal regulations require the certification of effort expended on all sponsored awards.

Each TJU employee working on a sponsored award must have his/ her effort certified, whether or not their salary is being charged to the grant. TJU policy requires that the employee, Principal Investigator (PI), or a responsible individual with direct knowledge of the actual effort on each project certify the effort for all employees.

III.   **Definitions – See Full Research Administration Glossary**

IV.   **Roles and Responsibilities**

Personnel	Responsibility
Certifier	a. Certifies effort reports in compliance with federal and TJU regulations
RACE Grants Administrator	a. Reviews effort reports, confirms cost sharing and confirms non-sponsored effort b. Notifies the certifier when the effort reports are ready for certification
ORA	a. Follows-up with certifiers to ensure all effort reports are certified by the due date

V.   **Procedure**
A. Effort reports are generated every six months for exempt (professional/ professorial) employees and monthly for non-exempt employees. The complete certification window is 21 days for non-exempt and 42 days for

exempt. The RACE effort reviewer will have 14 days to review non-exempt effort reports and 28 days for exempt effort reports. The certifier will have the remaining period for certification of their effort reports.

B. Once the effort report has been generated, the reviewer in RACE will be notified.
1. ORA will review effort reports for faculty members whose salary cap creates a variance greater than 4%.
   a. When the reviewer submits a report for an over-the-cap faculty member, it will be routed to ORA (instead of the certifier). After reviewing the report, ORA will return it to the reviewer, along with comments regarding whether or not the cost shared portion appears to have been completed correctly. The reviewer will then re-submit the report to the certifier.

C. The RACE GA will review the effort report for the following:
1. Automatic salary percentages pulled into the effort report match the expected effort on the project.
2. If effort is also being cost shared on the grant, the GA is responsible for updating the effort report with this information.

D. Once the RACE GA reviews and approves all effort reports, the certifiers are notified that the reports are ready for certification.
1. The Senior Administrators will have view only access so they can view which faculty members have certified in real time.

E. The approver and certifier will have 21 days (non-exempt) and 42 days (exempt) collectively between the date the reports are generated and the date that the reports are due.
1. The RACE GA will have 14 days (non-exempt) and 28 days (exempt) to review the report.
2. The certifier will have the remaining time to certify effort.

F. The certifier will certify the effort report.

VI. **Enabling Tools/ Technology**
A. Effort Tables

VII. **Performance Metrics**
A. Percentage of Effort Repots Certified On-Time
B. Percentage of Effort Reports Re-certified

VIII. **References**
A. Effort Timetable: (page 38)
https://www.jefferson.edu/content/dam/tju/research_administration/ORA/PostAwardBinder_Aug2019.pdf
B. Effort Manual: (pages 13 – 45)
https://www.jefferson.edu/content/dam/tju/research_administration/ORA/PostAwardBinder_Aug2019.pdf