

Delinquent Effort Certification Escalation Process

Individual and Project effort reports must be certified timely in accordance with HOOP 93. Failure to complete certification will result in removal of payroll and fringe benefit expenses for the 6-month effort period for all reports that remain uncertified 3 weeks after the effort certification period closes. The only exception is for those with pending corrections as noted by the effort coordinator or certifier in the notes section of the specific individual or project effort report.

Once the effort certification period ends, the following notices of non-compliance, accompanied by a list of outstanding certifications, will be distributed:

Outstanding effort certification	Recipients
3 days past due	Faculty Member/Certifier, Department Chair, DMO/Admin Director, Primary Effort Coordinator 11 days to complete before next warning
14 days past due	+ School Dean, Associate Dean for Management 7 days to complete before next warning
21 days past due	+ Chief Financial Officer, SVP Research and Faculty Affairs 7 days to complete before SPA removes payroll
28-31 days past due	SPA completes transfer of all payroll/fringe benefit charges for associated employees for the effort reporting period from the sponsored project to the department's indirect cost revenue account. Once the transfer occurs, the expenses cannot be moved onto any sponsored project. Associated payroll becomes institutional cost share expense and SPA administratively certifies the effort reports.

The following effort certification schedule is for planning purposes. It may be adjusted due to unexpected delay or if the scheduled start day falls on a weekend. The schedule is distributed to all effort coordinators at the beginning and throughout each effort period:

Effort period	# of days to act	September 1 – February 28/29	March 1 – August 31
SPA Effort Period Prep	15	March 1 st – March 15 th	September 1 st – September 15 th
Pre-Review Period	15	March 16 th – March 31 st	September 16 st – September 30 th
Certification Period	30	April 1 st – April 30 th	October 1 st – October 31 st
SPA Effort Reconciliation	60	May 1 st – June 30 th	November 1 st – December 31 st
3 days past due	3	May 3 rd	November 3 rd
14 days past due	14	May 14 th	November 14 th
21 days past due	7	May 21 st	November 21 st
29-31 days past due	7-10	May 31 st	November 30 th

SPA Effort Reconciliation period allows SPA to review and re-open any certified effort report that does not comply with federal rules. (Salary exceeds effort, certified effort less than committed, etc.) Departments will have 14 days to correct and recertify or to submit allowable cost transfers and note the correction needed. The escalation process above will begin on the 15th day from when SPA reopened the effort report.