To: Deans in University Central

From: Nicholas A. Zeppos, Provost and Vice Chancellor for Academic Affairs

Subject: Effort declaration and certification

Effectively immediately, and retroactive to June 1, 2007, our procedures for declaring and certifying effort must be made consistent with what is described below for any faculty member or other employee receiving any amount of federal salary support.

- The effort report must include all of the activities in which a faculty member engages as part of his or her work for the university. This is required in particular for. but is not limited to, significant and continuing administrative duties, such as those associated with the positions of department chair, program director, and center or institute director; such duties must be reflected in an individual’s effort report for the summer and for the nine-month academic year.

- Faculty members, or other individuals, with significant administrative responsibilities are not permitted to charge 100% of their salaries to federal grants or contracts in any month in which those responsibilities occupy a non-trivial percentage of their total effort. (We recommend a 2.5% threshold for the sum of such activities in any given month; see attached.) The percentage of salary charged to a grant or contract must be an accurate reflection of the effort allocated to the work funded by that grant or contract, taking into account all other institutional responsibilities.

- Refer to the two attached documents titled Effort Essentials for the Provost’s Domain and Implementation Guidelines: Individuals with salary supported at least partially from federal sources for additional information.

To carry out the above, please do the following:

First, have your offices work with academic departments, research centers and other units and offices to identify the full set of institutional responsibilities of any faculty member or other individual receiving any amount of salary support from federal sources. Susan Hart in John McDaniel’s office will be able to provide assistance, if needed.

Second, have your offices check the effort-certification form for every such individual to be certain that all expenditures of effort are included explicitly in the effort certification. Make any changes necessary, discussing them with the individuals in question, as needed.

Third, please keep in mind that compensation follows effort. Please establish first that the various contributions to an individual’s total effort are correct and add up to 100%. Then, make any necessary adjustments in the payments from the associated sources to reconcile salary charges with the certified effort.

Please advise me of your progress and inform me when you have completed this assignment. Thank you for your cooperation.