

Northwestern University
FY 07 Quarterly Effort Reporting Communication and Monitoring Procedures

The following are the procedures set forth for the monitoring and communication of effort reporting status beginning with the completion of 1st quarter 2007. It is the responsibility of all faculty and staff who are required to certify effort to do so in accordance with the timeline set forth below. It is the responsibility of the Department Administrators (or appropriate designee) to prepare the effort reports for certification in a reasonable time to allow for faculty and staff to certify the reports within the deadline. Furthermore, any adjustments that are required after certification must also be addressed by the Department Administrators (or designee) in order for the report to be considered complete.

The central Effort Coordinators will be monitoring the status of completion for all departments. Effort completion status will be communicated to Department Chairs and Dean's Offices after the deadline for each reporting period and will identify delinquent reports. Any issues that prevent the preparation or certification of reports within the deadline should be communicated to the Effort Coordinators who are available to assist in resolving issues. It is expected that any issues preventing certification will be brought to the attention of the effort coordinators *prior* to the deadline to ensure timely resolution.

The timeline for review and communication of effort status is as follows:

- 1) Effort certification will be due approximately 30 days (4 weeks) after reports are generated by central administration and notification given that they are ready to be certified. The exact deadline will be communicated upon notice each quarter after the reports have been generated. Typically, reports will be run 2-4 weeks after the end of the reporting period.
- 2) A reminder of the deadline will be sent out to Department Administrators one (1) week prior to the reports being due.
- 3) Effort completion reports will be run approximately one (1) week after the deadline. Department Administrators will be notified of their completion results and are expected to access to the system to identify and follow up on delinquent reports.
- 4) Effort completion reports will be sent to Department Chairs two (2) weeks after notification to Department Administrators (3 weeks past due).
- 5) Three (3) weeks after notification to Department Chairs, effort completion reports and individual delinquency reports will be sent to the Dean's Offices (6 weeks past due).

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- 6) Four (4) weeks after notification to the Dean's Offices, delinquency reports will be communicated to the VP of Research and the Provost's Office to determine the appropriate course of action (10 weeks past due).

Estimated Timeline	Action
Day 0	Effort Reports generated by central administration (~2-4 weeks after end of quarter) – notification sent to Dept Administrators with the deadline communicated
Week 3	Deadline reminder sent to Dept Administrators
Week 4	Effort reports due (~30 days after generation)
Week 5	1 st warning – completion results communicated to Department Administrators
Week 7	2 nd warning – completion results sent to Department Chairs
Week 10	3 rd warning – completion results and individual delinquency reports sent to Dean's offices
Week 14	Delinquency reports sent to VP of Research and Provost Office to determine appropriate action