SECTION III. EFFORT CERTIFICATION POLICY

The Federal Government, through the Office of Management and Budget (OMB) Circular A-21, Section J.10, requires effort certification on federally-sponsored activity. In order to receive and maintain eligibility for funding, sponsoring agencies require accurate and reasonable documentation. Labor charged to sponsored accounting units must be consistent with the effort expended. This certification is reviewed for two purposes:

1. Verify the percentage of effort of a federal award is equivalent to the percentage of salary charged to the accounting unit, and

2. Capture voluntary cost sharing by indicating an excess percentage of effort as compared to the percentage of salary allocated on federal award budget.

This Effort Certification Policy is intended to meet Federal requirements.

A. After-the-Fact Reporting

The University of West Alabama uses an After-the-Fact Activity method to comply with the Federal Effort Certification Requirement. Under an After-the-Fact method, distribution of salaries and wages for employees working on externally-funded projects are supported by activity reports. Charges are made initially on the basis of estimates provided before the services are performed. Activity reports reflect an After-the-Fact documentation of the actual percentage distribution of activity of employees. If significant (>10%) differences between the charges and actual distribution, the charges will be promptly adjusted to reflect actual activity.

B. Employee Effort Certification Reports

Employee Effort Certification Reports will reasonably reflect the percentage distribution of efforts expended by UWA faculty and professional staff involved in federally-funded grants, contracts, and cooperative agreements. The report will account for 100% of an employee’s actual effort for the given time period.

- 100% effort is defined as the effort expended to accomplish the full set of activities encompassed by UWA appointments.
- 100% effort is not defined as a single, standard number of hours or days per week because it is different for each faculty/staff member and may vary during the year.
- The number of hours implicit in an individual faculty member’s 100% must be reasonable and supportable to department, school, college and external reviewers if requested.

The employee should indicate the percent effort (number of hours worked on an individual activity divided by the total number of hours worked for UWA) for all federally-sponsored research and curricular (i.e., instruction, administration, public service) activities.
C. Cost Share
The employee should provide an account of all effort expended on a sponsored activity, even if the sponsor did not compensate the employee for that activity, which constitutes *cost sharing*. This can occur on a mandatory or voluntary basis. Mandatory cost sharing occurs when it is required by the sponsor according to the grant guidelines. Voluntary cost sharing represents additional effort expended on a project that is not required by the sponsor. The Principal Investigator (PI) must record all effort expended on their projects regardless of the source of compensation. All university cost sharing should be tracked and reported separately.

D. Other Items of Note

1. When a PI is absent in excess of 90 days from his/her project, approval must be obtained from the sponsoring agency.
2. Changes in effort require approval from the appropriate Dean and the Sponsoring Agency and reported to the Office of Sponsored Programs.
3. Time spent in the preparation of proposals cannot be charged to the grant and/or the sponsoring agency. It is not allowable for an employee to be paid from sponsored accounting units to prepare and submit proposals.

E. Reporting Procedures

Employee Effort Certification Reports are required for three reporting periods, once each semester. Effort Certification Report requests will be distributed to all applicable employees approximately 15 days prior to the close of a reporting period. Completed reports must be submitted to the Office of Sponsored Programs no later than the 15 days after the reporting period closes. The reporting periods and approximate submittal deadlines are provided as follows:

   a. Fall (August 1 – December 31); submittal deadline – January 15th
   b. Spring (January 1 – April 30); submittal deadline – May 15th
   c. Summer (May 1 – July 31); submittal deadline – August 15th

F. Special Notes

1. Employee Effort Certification reports do not need to be completed by clerical staff or students who complete weekly time sheets.
2. Principal Investigators will be required to verify that the information provided by any employees working on their grants is accurate.

For further information, contact Rodney Granec in the Office of Sponsored Programs at (205) 652-5392.
SPONSORED PROGRAMS EFFORT CERTIFICATION REPORTING ACTIVITY

EMPLOYEE NAME

REPORTING PERIOD
Fall 2009

AWARD TITLE

Account Number:

Description of award activities performed during the reporting period:

Percent of effort/time spent performing the above award activities during this period:

AWARD TITLE

Account Number:

Description of award activities performed during the reporting period:

Percent of effort/time spent performing the above award activities during this period:

Institutional Position

Account Number:

Primary College/Department Responsibilities (Teaching, supervision, etc.)

Percent of effort/time spent performing the above non-award activities during this period:

TOTAL EFFORT 100%

Note: Total Time Must Equal 100%

I certify that I have performed the above activities.

Employee Signature: ___________________________ Date: ___________________________

Principal Investigator (typed)

Principal Investigator (signature) ___________________________ Date: ___________________________