



Effort Certification Administrative Procedure

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Janet Williams, Vice President for Finance
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Responsible Official: Assistant Vice President for Finance & Controller
Related Documents: Effort Certification Policy

Procedures

The purpose of this document to provide information on the Wake Forest University (WFU) procedure for effort reporting. Effort reports need to be completed/ certified for staff and graduate students twice per year, approximately in July and January. Faculty will need to complete effort certification three times per year approximately in July, January, and September. The third certification only applies for faculty members that are paid from federal or state funding sources during the summer.

Financial Services generate effort reports for individuals paid from federal or state funds in according to the schedule above. The forms must be reviewed and certified by no more than 45 days from the date of receipt. It is important that effort certifications are completed within the required time frame for sponsor reporting and compliance purposes.

If the generated payroll percent(s) do not accurately reflect an employee's payroll percent, a cost transfer may need to be completed. Cost transfers are not needed unless the variance is greater than 5% or the payroll effort.

Principal Investigators (PI's) should be familiar with how much effort they proposed in the proposal(s). In general, sponsor approval is needed if this effort changes significantly (by more than 25%). The Office of Research and Sponsored Programs (ORSP) can provide assistance in reviewing proposed effort and contacting a sponsor for effort changes.

Including effort for voluntary uncommitted cost share is discouraged. If such effort is included, it will be subject to review and approval by the Associate Provost for Research and Scholarly Inquiry.

Responsibilities

Financial Services

- Development and implementation of effort reporting policies and procedures
- Development of effort certification process training
- Maintain information on mandatory cost share in awards
- Report cost share to sponsors as required
- Distribute and collect effort reports
- Review completed effort reports
- Work with individuals to ensure effort is certified in a timely manner

Office of Research and Sponsored Programs (ORSP)

- Assist with the development and implementation of effort reporting policies and procedures
- Assist with the development of effort certification process training
- Maintain information on mandatory cost share in awards
- Assist in obtaining sponsor approval for significant changes in PI effort
- Review effort certification reports, as necessary

Principal Investigator or Delegate

- Be knowledgeable of and manage mandatory cost share required for their grants
- Notify ORSP about significant changes in proposed effort (changes of 25% or more)
- Approve salary transfers/redistributions related to their sponsored project(s)
- Ensure proper and timely input of all salary/cost transfer requests
- Ensure appropriateness and accuracy of effort expended on sponsored project(s)
- Ensure compliance with effort reporting policies and procedures
- Expend effort on project(s) as agreed upon with sponsor
- Certify direct-charged and committed cost-shared effort up to the effort level committed

Research Employees (staff and students)

- Certify effort on a timely basis
- Communicate issues or errors to PI/supervisor and/or Financial Services

Associate Provost for Research and Scholarly Inquiry:

- Review and approve cost-shared effort reported on effort reports as needed.
- Review and approve effort reports for faculty that report 90% or greater of their salary as being paid from federal or state grants or contracts.