PURPOSE:
This policy was created in order to:
- Comply with provisions of the federal Office of Management and Budget’s Circular A-21 (Cost Principles for Educational Institutions) regarding effort certification and other relevant sponsor requirements.
- Provide clear direction to faculty and staff for determining effort when preparing proposals and subsequently verifying effort.
- Promote the best possible alignment between faculty and staff activity and funding sources and, in so doing, enhance work at UW-Platteville.
- Establish expectations for tracking and confirming the certification of effort by University personnel.

BACKGROUND:
The University of Wisconsin-Platteville recognizes the importance of providing good stewardship in managing extramural funds. The University’s stewardship responsibilities include complying with federal requirements to certify faculty and staff effort on sponsored projects.

Support for the faculty’s research goals is critical to the success of the University. The purpose of this document is to foster excellence in research by promoting the successful management of effort and commitments throughout the sponsored project life cycle. Activities during which effort issues are important include:
- Establishing faculty and staff appointments and professional duties
- Proposing effort in an application for a sponsored project
- Establishing effort commitments at the time an award is made
- Charging salary, documenting cost sharing, and expending effort during the life of a project
- Monitoring progress toward the fulfillment of effort commitments to specific projects
- Managing an individual’s total commitments across all projects
- Certifying that salary charges are reasonable in relation to the work performed, and that commitments to sponsors have been met.
POLICY:
It is the policy of the University of Wisconsin-Platteville that all researchers who engage in sponsored projects will comply with the University policies and sponsoring agency regulations regarding the proposing, charging, and reporting of effort on those projects.

Generally, faculty cannot commit 100% of their effort on sponsored projects, as time must be reserved for other UW duties. For academic staff, there is no limit on the amount of effort that can be devoted to sponsored projects. However, allocations of effort to sponsored projects must be reasonable given the individual’s non-sponsored University activities.

Effort must be certified for all individuals who receive salary support from a sponsored project or who expend committed effort on a sponsored project without receiving salary support from the sponsor. Effort is certified quarterly by the Principal Investigator. If the Principal Investigator is receiving payment their effort is certified by their supervisor. Effort must be certified no more than fifteen (15) days after receipt of report for review and approval.

The effort devoted to a sponsored project should be consistent with the plan that was proposed to the sponsoring agency and agreed to at the time of the award. All principal investigators, faculty, and academic staff who are involved in proposing, executing, directing, or managing sponsored projects are responsible for:

- understanding the fundamentals of effort and commitment management and effort certification
- proposing, expending, and managing effort in accordance with all applicable sponsor policies and university procedures.

PROCEDURE:
Time and Effort Reporting is required by the federal Office of Management and Budget's Circular A-21 (Cost Principles for Educational Institutions) and the Uniform Guidance 2CFR200 regarding effort certification and other relevant sponsor requirements.

On a quarterly basis the grants accountant will run the PeopleSoft Financials Query – UW_EFFORT_CERTIFICATION_PERCEN and export into excel.

The grants accountant will print and/or email the Time and Effort Report and have the principal investigator review, sign and return the signed copy to the grants accountant.

Here is a completed sample report.
Note: LTE’s and student employees are excluded from the effort report as their timesheets serve as the certification of effort. Here is a list of Fund 133 & 144 that do not need time and effort certifications: 1633xx, 183301, 324400, 564400.