

W UNIVERSITY of WASHINGTON



Faculty Effort Certification Quick Reference Guide

The purpose of this document is to provide faculty with a quick reference tool for managing and certifying salaries charged to sponsored projects awarded to the University of Washington (UW).

Why is Effort Reporting Important?

Federal regulations require payroll costs to be documented to actual effort ensuring external sponsors reimburse the grantee only for the time and effort expended on their behalf.

What is Effort Certification?

An individual certifies that the salaries charged and cost shared to sponsored projects are reasonable in relation to the actual work (effort) performed.

The University supports the effort documentation requirements via the online Faculty Effort Certification (FEC) report. Certification is completed through the electronic Faculty Effort and Cost Share (eFECS) system.

Who Can Certify an FEC?

Each faculty member must certify their own FEC. If that individual is not available, e.g., left the UW, a person (Proxy) having suitable means of verification can certify the FEC. The Proxy (must be chair, dean or unit director) must identify why the certifier is not available and the means of verification in the Comment section of the FEC.

What is Effort?

Total Effort = Total Activity that UW compensates the faculty member to perform.

- Regardless of the actual number of hours worked, day of the week or hour of the day the work is performed (see [GIM 35 “Faculty Work Week”](#))
- Varies from individual to individual
- NOT based on a 40 hour work week

Institutional Base Salary

Compensation paid to faculty for all UW activities

Includes:

- Regular Salary (includes Summer Salary, Professional Leave Pay, Retired Faculty Salary)
- Patient / Clinical Care (except as noted below)
- Administrative / Endowed Supplements

Excludes:

- Clinical Care bonus (practice plan incentives)
- Supplemental Pay (formerly TPS) (see [GIM 35 “What is Institutional Base Salary”](#))
- External Consulting Payments

Actual salary dollars and percentages of total IBS are presented on the FEC as estimates of effort needing to be certified.

Reduced Responsibilities (See [GIM 38](#))

- May occur when faculty lose partial/full salary support
- May volunteer time for scholarly activities, including proposal writing (excludes teaching)
- Unit must provide funding for scholarly activities, e.g., proposal preparation, as described in [GIM 38](#).

Reasonable Estimate

Federal guidelines recognize that teaching, research, patient care and administration are often “inextricably intermingled”.

Faculty must certify that their effort percentage on a project or activity is a reasonable approximation of the work performed.

Reporting Periods

Semi-annual (Calendar Year) - Faculty in the Schools of Dentistry, Medicine, Pharmacy and Public Health working on sponsored projects

Semi-annual (Academic Year) - Faculty for remaining schools and colleges working on sponsored projects (fall/winter quarters; spring/summer quarters)

Due Date and Timing

Faculty must certify their FEC within 60 days of the eFECS release date.

The eFECS system will automatically send out notifications to faculty 20 days and 3 days prior to the due date as necessary.

FEC coordinators will have approximately six weeks prior to the eFECS faculty notification dates to review, correct and/or communicate issues.

Roles and Responsibilities

Faculty Member (Certifier): Review, adjust (as necessary) and certify his/her effort for the applicable period via the eFECS system.

FEC Coordinator: Review for and facilitate error corrections on the FEC reports, e.g., committed cost share reflected, salary transfers to align with effort. Assist faculty in the effort reporting process. Coordinate the overall unit effort certification process.

Additional Information

For information, examples and tools related to effort reporting, <http://finance.uw.edu/maa/fec>

WHAT IS IN AND OUT OF EFFORT CERTIFICATION

IN - Activities That Must be Accounted for When Reviewing and Verifying Effort

Examples of Activities That May be Charged Directly to Sponsored Programs (Note – Some sponsors may require specific budgeting of these activities)

- Engaging in any of the following activities related to the sponsored program:
 - Preparing non-competing and supplemental proposals and requests or extensions
 - Mentoring students related to the sponsored research
 - Writing reports and articles
 - Participating in appropriate seminars
 - Attending meetings and conferences
 - Consulting with colleagues and/or graduate students
 - Participating in Data Safety & Monitoring Boards (DSMB)
 - Effort related to pursuing intellectual property
 - Delivering special lectures regarding aspects of the research
 - EH&S proposals
 - IACUC proposals

Examples of Activities That May Not be Charged Directly to Sponsored Programs

- Teaching
- Administration
- Service
- Clinical activity
- Institutional governance
- Effort on new and competing proposals
- Possible exceptions:
 - Sponsored project is specifically awarded for one of the aforementioned activities (e.g., award is for instructional (teaching) activities),
 - Proposal preparation time charged to a mentored K award or research training grant

OUT - Activities That are Excluded From Effort Certification Entirely

Examples of Activities That are Excluded From Effort Certification Entirely

- Outside professional work
- Volunteer community or public service
- Interdepartmental consulting for which supplemental compensation is paid
- Effort related to review panels or other advisory activities for federal sponsors that include honorarium, per diem, and/or travel reimbursement by the Federal agency
- Normal scholarly activity performed during summer time outside of the main nine-month Academic year, if not compensated during that time
- Editorial or peer review effort for scholarly journals
- Participating in the work of national professional organizations and societies
- Effort for faculty on Reduced Responsibility (RR) status exceeding the support provided by the department for scholarly activities

Examples of Activities That are Excluded from Effort Certification if the Time Involved is De Minimis

- University of Washington activities whose inclusion in or exclusion from total effort would not, in the aggregate, affect the percentages of effort allocated to sponsored activity and therefore do not require separate tracking and funding.
- Personal activities such as:
 - Voting
 - Completing effort reports
 - Completing expense reports