

## University of Richmond –Effort Certification Policy

### Policy Statement:

The University's Grants Accounting Office will maintain an effort reporting system compliant with federal regulations and obtain effort certification reports from all faculty, staff, and students working on Federal Grants.

### Federal Requirement:

The University of Richmond uses After-the-Fact Activity Reports. The Federal Government's OMB Circular A-21 section J.10.c (2) states that for professorial and professional staff, the reports will be prepared each academic term, but no less frequently than every six months. The circular also states that these reports will reasonably reflect the activities for which employees are compensated by the institution. To confirm that the distribution of activity represents a reasonable estimate of the work performed by the employee during the period, the reports will be signed by the employee, principal investigator or their proxy when the principal investigator is not available, or responsible official(s) using suitable means of verification that the work was performed.

### Effort Certification Reports:

**Distribution**-The University of Richmond's Grants Accounting Office will distribute effort certification reports three times a year. These reports will be sent approximately 15 days after the end of the semester. The three reports cover the following time periods:

- Fall Semester – August 16 – January 15
- Spring Semester – January 16 –May15
- Summer Semester – May 16 – August 15

**Who Receives a Report**- All monthly employees working on a Federal Grant, regardless of whether they were compensated by the grant, must complete an Effort Certification Report by entering the percentages of time they worked on the grant(s), departmental activities, and other sponsored programs that semester. Bi-weekly staff and students will not receive a report because their effort is captured by Webtime Entry on a bi-weekly basis and by the Student Summer Logs. For those students working for academic credit, the PI will supply a list of those students to the Grants Accounting Office. The Grants Accounting Manager will verify that each of these students worked on the grant during the semester by sending and receiving verification from each student.

**Calculation of Effort**-The Effort Certification Report accounts for 100% of all effort expended for the semester. When completing the report, all effort should be reported regardless of whether the grant compensated that effort and the total percentages must add up to 100%.

**Cost Share**- Separate index numbers are created to track the cost share portion of federal grants. When a cost share requirement exists, these index numbers will be included on the Effort Certification Report as a separate line item so the effort required can be tracked and verified.

**Signatures**-The Principal Investigator, faculty member, and monthly staff must complete, sign, and date their Effort Certification Report. The Principal Investigator or their proxy must also approve, sign, and date any reports sent to faculty and staff working on their Federal Grant(s). Principal Investigators or their proxy must verify and electronically sign the bi-weekly staff and student payroll on the Webtime Entry system on a bi-weekly basis. In all cases, written and electronic signatures will be accepted.

**Due Date**- The Grants Accounting Office requests that all Effort Certification Reports be returned within 30 days.

**Verification**-The Grants Accounting Manager must verify that all Effort Certification Reports have been returned, signed, and dated by the Principal Investigator or their proxy before the beginning of the next semester. The Grants Accounting Manager must enter all effort percentages into a Time Verification Spreadsheet to verify that the effort exerted is equal to or more than the percentage of Federal funds paid during the semester. The Grants Accounting Manager must also verify all Webtime entries and approvals each semester.

**Filing**- The completed Effort Certification Reports will be filed in a binder by fiscal year and kept in the Grants Accounting Office.

**Further Information**-For additional information please contact:

The Grants Accounting Office Staff:

- James Fitchett, Grants Accounting Manager, 804-289-8178
- Tammy Hicks, Director of Accounting, 804-289-8752

Office of Management and Budget website for Circular A- 21  
[http://www.whitehouse.gov/omb/circulars\\_a021\\_2004/](http://www.whitehouse.gov/omb/circulars_a021_2004/)

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