

WEST CHESTER UNIVERSITY OF PENNSYLVANIA (WCU)

Effort Reporting Form

In order to comply with the university and government's requirements, all internal and external grant sponsored projects, contracts and subcontracts must provide documented evidence of reported effort. This form should be completed monthly by each WCU faculty or staff working on a sponsored project.

Name (please print): _____ University ID#: _____

Department: _____ Academic Year: _____ Month: _____

This form must be completed on a monthly basis. The total reported for actual effort must equal 100%.

	Committed (as stated in the grant)	Actual
<i>University Obligations</i>		
Teaching and Administrative Activities		_____ %
<i>Sponsored Research/Scholarship Activities</i>		
Funding Source & Fund #		
_____	_____ %	_____ %
_____	_____ %	_____ %
_____	_____ %	_____ %
_____	_____ %	_____ %
TOTAL		_____ 100 %

I confirm that I have direct knowledge of the employee's compensated activities and that the distribution of effort represents a reasonable estimate of the actual work performed by the employee during the period covered by this report.

Employee Signature: _____ Date: _____

PI or Responsible Official Signature: _____ Date: _____

Certifying Official (Dean or Department Chairperson): _____ Date: _____

Directions for Completing Form

- Fill in name, WCU ID number, department assigned to, and the month and year of the reporting period (previous month).
- Annotate the percentage of your total effort expended on University Obligations such as teaching, administration, committee assignments, service, and other scholarly activities.
- Identify each Sponsored Project to which you are committed. Annotate the actual percentage of your total effort that was expended on each sponsored project. Your total actual effort, combining Sponsored Projects and WCU Obligations must total 100%. Then, annotate the percentage of your total effort that you committed to in the grant application. The amount of effort that you estimated in your application should be very close to the actual amount of effort that you have expended.
- Sign the form, and have the Principal Investigator (PI) sign. If you are the PI, have your immediate supervisor, Department Chair or Dean, sign the form. Turn in the completed form to the OSRFD, Suite 101B, Old Library, no later than the 10th day of the month directly following the reporting period.

Office of Sponsored Research & Faculty Development Accepted Not Accepted

Associate Vice President _____ Date _____

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Effort Reporting Policy

Background

The University's effort reporting system provides the principal means for certifying that the salaries and wages charged to, or contributed to, sponsored projects are reasonable and consistent with the portion of total professional activity performed on and committed to the projects. WCU requires this effort reporting to comply with the federal government's Office of Management and Budget (OMB) Circular A-21 "Principles for Determining Costs Applicable to Grants, Contracts, and Other Agreements with Educational Institutions." This process applies to all regular staff and faculty of WCU, including those whose compensation is charged in whole or in part to an externally sponsored project of any type. Effort reports are available at the Office of Sponsored Research and Faculty Development (OSRFD) website (www.wcupa.edu/OSRFD).

Appropriately certified effort reports also provide auditable documentation to demonstrate to WCU's external funders that the level of effort described in the grant application has been maintained and continued throughout the project.

WCU PIs are expected to complete the first effort report when preparing a proposal. This effort report will reflect the level of effort as presented in the grant application. Once an award has been made, the PIs will follow WCU effort reporting policy as listed below.

WCU has adopted an after-the-fact reporting system to document time and effort. The report reflects the percentage of time each employee spent on all grants and contracts compared to their total time (effort). Effort is not based on a 40-hour workweek, nor is it based on full time equivalent. Effort is an employee's total activity within her or his university appointment and includes all research, teaching, service, and administrative duties the employee performs. While effort reporting is not based on a 40 hour work week, the number of hours implicit in an individual's 100% effort must be *reasonable and supportable* to the department, school, university, and external reviewers. Effort is expressed in percentage terms and must total 100%. These mandatory reports are subject to federal auditing. *Remember, whether or not you support the concept of effort reporting, it is a federal requirement and a current focus of federal auditing. Recent noncompliance findings have resulted in multimillion dollar fines at major research universities.*

Frequency of Reports

Effort Reports must be completed *monthly* for each of the sponsored projects where time and effort is committed. *Completed reports are due to the OSRFD no later than the 10th day of the month following the reporting period.* In preparing effort reports, employees are encouraged to refresh their memories by consulting available resources documenting their activities during the period. These documents may include detailed time records, schedules, correspondence, telephone logs, meeting documentation, etc. These documents are potentially very helpful in refreshing memories of a very full schedule. They also are types of resources that external auditors may consult to help resolve effort report questions if they arise. Completed reports will be kept on file in the OSRFD. Federal compliance requires adherence to University policies and procedures. Timely certification and return of Effort Reporting Forms within University established deadlines is a federal compliance requirement.

Certification of Report

The employee's signature on the report confirms that the distribution of effort reported represents a reasonable estimate of the actual work performed during the reporting period. The Principle Investigator, Department Chair or Dean must also verify the information provided on the report. Federal regulations require the individual who certifies effort must have first hand knowledge of the employee's activities. The completed form is then sent to the OSRFD where it is reviewed and accepted by the Associate Vice President of OSRFD.