

Instructions for Completing the Employee Effort Certification Report

1. An Employee Effort Certification Report should be completed and signed by each faculty and professional staff member working on a federally-sponsored program (grants/contracts). Clerical staff and students who fill out hourly time sheets are excluded from this requirement.
2. This report should provide an account of 100% the employee's actual effort for the given time period. The employee should indicate the percent effort (number of hours worked on an individual activity divided by the total number of hours worked for Smith College) for all federally-sponsored and curricular (i.e., instruction, administration, public service) activities. The percent effort should be recorded in whole numbers. For each externally-sponsored activity, the employee should indicate if they are the principal investigator.
3. Note that 100% effort is defined as the effort expended to accomplish the full set of activities encompassed by Smith College appointments regardless of the actual number of hours expended on those activities. 100% effort is not defined as a single, standard number of hours or days per week because it will likely be different for each faculty/staff member and may vary during the year. The number of hours implicit in an individual faculty member's 100% must be reasonable and supportable to department, school, college and external reviewers if requested.
4. The employee must record all effort expended on their projects regardless the source of compensation. Instances in which an employee is expending effort on a grant, but is paid by another source constitute cost sharing. Mandatory cost sharing occurs when it is required by the sponsor at the time of application. Voluntary cost sharing represents additional effort expended on a project that is not required by the sponsor. Both mandatory and voluntary cost sharing must be reflected in the report.
5. Employee Effort Certification Reports are required for three reporting periods annually. Effort certification report requests will be distributed to all applicable employees approximately 15 days from the close of a reporting period. Completed reports must be submitted to the Controller's Office (College Hall 204) no later than the 30 days after the distribution of the effort certification report request. The reporting periods and approximate submittal deadlines are provided as follows:
 - a. Summer (June 1–August 30); submittal deadline – October 15
 - b. Fall (September 1 – December 31); submittal deadline – February 15
 - c. Spring (January 1 – May 31); submittal deadline – July 15
6. Principal Investigators will be asked to verify that the information submitted by any employee working under their grants is accurate.
7. Other Items of Note
 - a. When a PI is absent in excess of 90 days from his/her project, approval must be obtained from the sponsoring agency.
 - b. Changes in effort require approval from the Provost/Dean's Office and/or the Sponsoring Agency as appropriate.
 - c. Time spent in the preparation of proposals cannot be charged to a sponsored accounting unit. Therefore, it is inappropriate for an employee to be paid from sponsored accounting units to prepare and submit proposals.

If you have questions concerning the completion of an effort report, you may contact the Bill Sheehan in the Controller's Office at (413) 585-2200.