

College of Engineering Faculty Effort Certification Policy and Guidelines

1.0 Purpose

Faculty who receive some or all of their salary from federal grants must be paid an appropriate percentage of their salary from non-federal sources while writing new grant proposals or engaging in other University of Washington activities, such as serving on departmental or university committees or holding advisory meetings with non-grant-related graduate students.

2.0 Revision History

No revisions to date.

3.0 Persons Affected

- 3.1 All faculty paid from research grants
- 3.2 Chairs and Center/Program Directors
- 3.3 Department Administrators and center fiscal staff
- 3.4 COE Office of the Associate Dean for Research
- 3.5 Central Administration:
 - Office of Research
 - Office of Sponsored Programs
 - Grant & Contract Accounting

4.0 Policy

It is the College's expectation that the chair or director of a department or center will review faculty activities and ensure that when a faculty member is engaged in approved non-grant-related university activities, the faculty member is paid from a non-federal source of funds for the time spent on non-grant-related activities. The College's expectation that faculty members accurately reflect their efforts aligns with the UW policy.

For faculty with 9-month state-funded appointments who receive federal funding to support summer quarter research activities, this policy applies during any summer month when salary is provided from federal sources.

5.0 Definitions

5.1 Effort Certification

Faculty Effort Certifications (FECs) are quarterly or semi-annual reports designed to track the effort of faculty who have been paid from and/or committed to sponsored project effort. A faculty member receives an FEC if he or she is paid by the University of Washington and

- Performs effort paid on federal and/or non-federal sponsored projects;
- And/or performs cost sharing on federal and/or non-federal sponsored projects.

The purpose of the FEC is to certify that the pay was a reasonable reflection of effort. Certification of faculty effort is required by the Office of Management and Budget (OMB) Circular A-21, Cost Principles for Educational Institutions.

Non-faculty personnel, such as professional staff, senior fellows, and lab technicians do not receive FECs. Their effort is reported on monthly Grant and Contract Certification Reports (also known as Payroll Certification Reports) or as otherwise agreed to by the University.

5.2 Faculty Effort

For the purposes of sponsored agreements, faculty effort is the time faculty spend on their university activities, including research, instruction, administration, service and clinical activity.

5.3 Faculty Work Week

A faculty work week is the average number of hours a faculty member normally works during a week. Hours are to be averaged over the effort reporting period. For many faculty this number will vary from one week to another.

As an example, if within an effort reporting period, a faculty member were to work half 60-hour weeks and half 40-hour weeks, his/her average work week would be 50 hours. Hours are averaged over 13 weeks for quarterly effort reporting and six months (two calendar quarters) for semi-annual reporting.

6.0 Responsibilities

- 6.1 Chairs and center or program directors are responsible for ensuring that faculty are paid from appropriate sources when carrying out their responsibilities in research activities, grant writing, service and other work-related activities.
- 6.2 Department administrators and center fiscal staff are responsible for updating salary budget lines in accordance with the chair's or director's instructions.

- 6.3 Faculty are responsible for informing chairs and directors about their grant and other activities on a regular basis in order to be paid from appropriate salary lines. They are responsible for accurately reflecting their work effort.
- 6.4 The COE Office of the Associate Dean for Research is responsible to oversee, update and distribute this policy. Grant & Contract Accounting will distribute reports to Associate Dean and chairs listing faculty at 100% on research funds. The Associate Dean will act as a resource to discuss alternative funding availability or other options with chairs or center/program directors as necessary, on a case-by-case basis.
- 6.5 Grant & Contract Accounting is responsible for supplying quarterly reports identifying faculty who are paid 100% in research dollars.

7.0 Procedures

Chairs and directors who have faculty in their units receiving most of their salary from federal grants should have regular meetings, quarterly at a minimum, with these individuals. It is important to discuss upcoming grant writing activities and proposed non-grant departmental or university activities. Through these meetings, the chair or director will determine when non-federal resources need to be made available to fund salaries in order to cover non-grant-related activities. The percentage of the salary which needs to be paid by the unit from non-federal funds should be proportional to the amount of non-grant university activity. It is important that the proportions of grant and departmental funds used for salary be reviewed on a regular basis.

Chairs and directors will work with administrators and fiscal staff to identify department, center, or program funds to support non-grant activity. If non-federal funds are **not** available, the chair or director should contact the Associate Dean for Research to negotiate support.

Below are some examples of how a chair or director might manage different situations.

1. Professor A has a 1.0 FTE appointment with 100% of their salary paid from grants. During a quarter of grant proposal writing, the chair and Professor A might agree that 5% is the appropriate amount of salary to come from non-federal sources. (The actual split will be determined based on the nature of the proposal or other approved non-grant activities).
2. Professor B has a 0.5 FTE appointment with 100% of salary paid from grants. (Note that faculty who are less than 1.0 FTE and have all of their salary paid by a grant or grants – e.g., 0.5 FTE paid entirely by federal grants – are 100% federal grant-funded and are subject to these guidelines.) For a quarter during which Professor B has proposal writing or other approved non-grant activities, there are two options: (a) temporarily supplement Professor B's funding with non-federal sources, raising the FTE to greater than 0.5, or (b) replace part of the grant-related funding with non-federal sources. In case (a), Professor B continues to devote the same effort to the grant activities while adding new responsibilities; in case (b), with Professor B's FTE fixed at 0.5, Professor B reduces grant-related activity and replaces it with other activities. In either case, the percentage of salary paid by the unit from non-federal funds should be proportional to the amount of non-grant university activity.

3. Professor C has a 1.0 FTE appointment with 80% of salary provided from grants and 20% from other sources. If the terms under which the 20% from other sources allow for non-project activities, then no other action is required, provided non-grant related activities do not exceed 20% effort. Otherwise, the unit would provide the appropriate amount of funds for those activities.

8.0 Content Creator:

Associate Dean of Research

Note: This policy was discussed with departmental chairs at the College of Engineering Executive Committee Meeting March 21, 2007.

9.0 Effective Date:

April 1, 2007