1. **Introduction**

   Federal and State sponsoring agencies require a time and effort report when an individual is compensated by or has agreed to contribute time and effort to a federally- and state-sponsored program. UNC-General Administration issued Contracts and Grants Standards (effective July 1, 2009), outlining UNC system standards for time and effort reporting. North Carolina Central University is the recipient of federally- and state-sponsored programs. This regulations sets forth requirements for proposing, managing and certifying effort on sponsored programs administered by the University.

2. **Scope**

   This regulation applies to (1) all individuals whose salaries are charged to sponsored programs, in whole or in part, (2) individuals whose salaries are not charged to a sponsored program but who contribute time furthering sponsored program activity objectives, and (3) all individuals involved in certifying the effort of other individuals.

3. **Purpose**

   3.1 The purpose of this regulation is to ensure effort certifications completed in connection with University sponsored programs are accurate, reasonably reflect the actual level of effort expended on sponsored program activities, and comply with Federal and State sponsoring agencies’ requirements. In requesting sponsored program funding, the University must ensure that the proposed effort commitments are reasonable and conform to the University’s expectation of the Principal Investigator. The University provides this assurance by requiring periodic time and effort reports for each individual whose salary is charged, wholly or partially, to a sponsored program and/or cost sharing during the time and effort reporting period.
3.2 Acceptance of federally- or state-sponsored program funds means acceptance of the effort reporting obligation as a condition of taking the funds.

3.3 Compliance with relevant federal and state laws and regulations is also a condition of employment at NCCU.

3.4 The Federal government and its auditors are active in their review of requirements regarding time and effort reporting. Financial penalties, expenditure disallowances and harm to the University’s reputation could result from failure to accurately propose, charge, document salaries, provide accurate effort certifications or failure to comply with the University’s time and effort reporting requirements.

4. Requirements

All faculty, EPA non-faculty professional personnel, SPA staff, and students, whether full-time or part-time, and whether paid or unpaid by sponsored project funds, who contribute to accomplishing the objectives of a sponsored project.

5. Due Dates

5.1 Time and Effort Reports shall be submitted to the Office of Sponsored Research and Programs within thirty (30) days of the end of each academic term during the life of the sponsored program award.

5.2 By the thirty-fifth (35th) day, the Principal Investigator responsible for the sponsored program for whom a non-compliant employee works shall email the non-compliant employee a reminder to complete and submit his/her outstanding Time and Effort Report within ten (10) business days and that at the end of ten-day deadline, if the Time and Effort Report is not submitted, a “hold” will be placed on the sponsored program fund. A copy of this notice shall be sent to the department chair and the dean or the administrative department director.

5.3 At the end of the sixth (6th) week from the end of each academic term, the Office of Sponsored Research and Programs shall send a notice to the Principal Investigator with a copy to the Dean or administrative department director and Area Vice Chancellor that a “hold” has been placed on the sponsored program fund and that in ten (10) business days from the date of the notice, costs will be disallowed and uncertified salary costs will be moved to a non-sponsored program departmental fund if the Time and Effort Reports are not completed and submitted to the Office of Sponsored Research and Programs within ten (10) business days from the date of the notice. No expenditures or commitments will be allowed at this time until the Time and Effort Report is submitted to the Office of Sponsored Research and Programs.

5.4 Failure to submit a certified Time and Effort Report at the end of eighth (8th) week from the end of each academic term shall result in the Office of Sponsored Research and Programs, unilaterally and without further notice, disallowing costs and moving uncertified salary costs to a non-sponsored fund supporting the offending employee’s department. Thereafter, the Dean shall be notified that a cost disallowance has occurred, the amount of the cost disallowance, and the non-sponsored program departmental fund number charged.

6. Non-Compliance

6.1 Failure to follow the provisions of these time and effort reporting requirements may subject the individuals and departments responsible for the violation(s) to administrative and/or disciplinary actions in accordance with University disciplinary procedures and the judgment of management. Specifically, and without limitation, if Time and Effort Reports are not completed and returned in a...
timely and accurate manner,

6.1.1 Salary costs associated with uncertified grant activity may be removed and charged to a departmental account.

6.1.2 The Office of Sponsored Research and Programs may place a hold on funds until the effort reports are completed accurately.

6.1.3 The Office of Sponsored Research and Programs may suspend submission of any new proposals on behalf of a non-compliant Principle Investigator, or the inclusion of a non-compliant researcher in proposals, until effort reports are up to date and properly completed and certified.

6.1.4 The Office of Sponsored Research and Programs may recommend termination of a sponsored program to the Dean of Research and Sponsored Programs.

6.1.5 The Dean of Research and Sponsored Programs may remove the Principle Investigator.

6.1.6 The Dean of Research and Sponsored Programs may terminate the sponsored programs, with the requisite notice of termination to the sponsoring agency.