

Instructions for Completing [Form 1315 FR.01 Effort Report](#)

If an individual devoted some percent of committed effort to a sponsored project and did not receive an Effort Certification Statement (ECS) during normal initiation through Workday, or is leaving Yale before initiation of the applicable effort reporting period, [Form 1315 FR.01 Effort Report](#) must be completed and certified. See [Policy 1315 Effort Reporting: Certifying Effort on Sponsored Projects](#) for more information. Please contact effort.reports@yale.edu with any questions.

Situations which require submission of [Form 1315 FR.01 Effort Report](#) include:

1. The covered individual is on Executive (Confidential) Payroll.
2. The covered individual is/was on sabbatical leave.
3. The covered individual is paid 100% from a non-Yale source (e.g., the Howard Hughes Medical Institute, Veterans Affairs Connecticut Healthcare System).
4. The covered individual is leaving Yale mid-effort cycle.

If a situation occurs where an ECS is not generated, it is the responsibility of the Effort Certification Reviewer to download [Form 1315 FR.01 Effort Report](#) and complete the following steps:

1. Consult with the Principal Investigator (PI) and/or faculty member to complete the following:
 - a. Effort Certification Period
 - i. Identify the Fall, Spring, or Summer and calendar year.
 - b. Type
 - i. Identify the type of effort report
 - c. Name of covered Individual, Title, Department (home Cost Center) and Employee Type
 - d. Sponsored and Non-Sponsored Accounts
 - e. Account Description (Title/Sponsor Award Number)
 - f. Actual Effort Percentages
 - i. **“Actual Effort” Definition:** The amount of time (expressed as a percentage of all activities) that was spent on an activity during the certification period. Actual Effort percentage would include actual effort promised to the sponsor in the proposal but paid with non-sponsored funds.
2. Ensure the **Total Effort** on [Form 1315 FR.01 Effort Report](#) is equal to 100%.
3. Ensure the appropriate certifier signs and dates the form.
 - a. Acceptable signatures are an approved Electronic Digital Signature, a Wet Signature scanned and uploaded, or Adobe Fill & Sign.

If the Effort Report is for a staff member or student and it contains effort to multiple awards, please note that each Grant PI must certify the effort to his/her award. This may involve coordination between the covered individual's home department and the Grant-owning departments.

The completed [Form 1315 FR.01 Effort Report](#) must be appropriately certified and kept on file in the department(s) in accordance with [Policy 1105 Retention of University Financial Records, Section 1105.7 Records Related to Grants and Contracts](#). The completed [Form 1315 FR.01 Effort Report](#) must also be forwarded to the Effort Certification Manager at effort.reports@yale.edu. Effort reports are expected to be certified within **60 calendar days** from the date of the availability notification in accordance with [Procedure 1315 PR.04 Effort Reporting](#).