

AGENDA
University of Nevada, Reno
2007-08 Faculty Senate
December 12, 2007, 12:30 p.m.
RSJ 304

All times are approximate

- | | | | |
|-------|-----|--|--|
| 12:30 | 1. | Roll Call and Introductions | |
| 12:35 | 2. | Request to Approve the November 15, 2007 Meeting Minutes | Action/Enclosure |
| 12:40 | 3. | Chair's Report | Information/Discussion |
| 1:10 | 4. | Election of New Parliamentarian | Action |
| 1:20 | 5. | Apportionment | Action |
| 1:30 | 6. | Conflict of Interest: Cindy Kiel | Action/Enclosure to be sent Monday 12-10 |
| 1:50 | 7. | Effort Reporting: Mark Brenner, Tammy Freeman | Action/Enclosure |
| 2:15 | 8. | Break | |
| 2:30 | 9. | Digital Measures
Jannet Vreeland & Duncan Aldrich | Information/Discussion |
| 2:50 | 10 | Voluntary System of Accountability
Jannet Vreeland | Information/Discussion |
| 3:00 | 10 | New business | Discussion |
| 3:30 | 11. | Adjourn | |

Future Senate Meetings
[UNR Faculty Senate Website](#)

January 17, 2008
RSJ 304

February 21, 2008
RSJ 304

Future Board of Regents Meetings
[NSHE Website](#)

February 7-8 , 2008
CSN - W. Charleston

April 3-4, 2008
WNC - Carson

1. Roll Call and Introductions

Present: Eric Albers (HHS), Gale Craviso (SOM), Maureen Cronin (SS), Donnelly Curtis (Library), Dean Dietrich (DEV), Abigail Forrest for Normand LeBlanc (SOM), Jodi Herzik (Provost), Guy Hoelzer (COS), Stephen Jenkins (COS), Cindy Kiel (Research), Doina Kulick (SOM), Normand LeBlanc (SOM), Nette Marjanovic for Michelle Gardner (Pres), Bourne Morris (JO), Elliott Parker (COBA), Mark Pinsky for Alex Kumjian (COS), Steve Rock (COE), Nelson Rojas (CLA), Aaron Santesso (CLA), Barbara Scott (SOM), JoAnne Skelly (COOP), Leah Skladany (SOM), Judy Strauss (COBA), Judith Sugar (HHS), Patricia Swager (SOM), Shanon Taylor (COE), Ginny Vogel (CLA), Jill Wallace (IT).

Absent: David Crowther (COE), Bill Follette (CLA), Tom Lean (A & F), Mano Misra (EN), Hans-Peter Plag (COS), Leonard Weinberg (CLA), Esmail Zanjani (CABNR).

Guests: Kate Grey (Communications), John Mahaffey (Assessment), Steve Cavote (Assessment), Jake Kupiec (Communications), Steve Zink (IT).

2. Request to Approve the October 18, 2007 Meeting Minutes

MOTION: Skelly/Vogel. To approve the October 18, 2007 meeting minutes as published. ACTION: Passed Unanimously

3. Visit with Regent Rosenberg

Regent Rosenberg discussed the upcoming salary study of part-time faculty that the regents had requested that Vice Chancellor Jane Nichols prepare for them. Rosenberg felt that the regents did not really understand the range of LOAs and their range of salaries. Regent Rosenberg reported that at the next meeting each president would be asked to speak about the effect the budget cuts would have on each institution. The While Chancellor Rogers as said that the institutions would not prepare a revised budget reflecting a 5% cut, the regents would have final say about the budget issues and the governor should have spoke to them about budget cuts. Regent Rosenberg would like to see the curriculum again managed by the faculty, not the students or the administration. Faculty should not be concerned about contacting regents with faculty issues. The regents have been trying to do the right thing by each institution, and while they do not always understand the issue, they were willing to learn. Many times the regents act reactively as opposed to proactively.

Regent Rosenberg said that as a faculty member he is concerned about the policy that lets Associate Arts degrees from NSHE community colleges meet all requirements for the core. He has found some students coming have been allowed to make substitutions and waivers that are significantly less than our core. Concern was expressed regarding the shortage of nursing, social work, and psychiatry practitioners. Nevada State College (NSC) was designed to take load off of the universities and develop that track. It is not working the way and while the regents want to help they don't know what to do to fix this issue. Rosenberg said that someone should be at the regents' meeting to speak about any issues with the outside consulting policy. Regents do not understand the importance of outside consulting with the community.

4. Chair's Report: Steve Rock, Chair

Chair Steve Rock apologized that the committee charges did not go out in packet. Please contact him if you have questions. The Academy for the Environment Review Committee had met and was beginning its work. The Academy received a 72 million dollar federal earmark, which had overshadowed the Academy's mission. Of the 72 million, only 14 million went to on campus research the other 58 million was for the purchase of water rights. The *Conflict of Interest Committee* had convened to bring the university's Conflict of Interest (COI) policy in compliance with the Board of Regents' policy. Rock would like the policy brought to the senate by the December 12, 2007 meeting. The *Non-traditional Taskforce* would be looking at LOAs salary issues and grant-funded faculty issues this year. The *IRB Review Committee* convened and would be looking at the IRB process and policies. The committee would be looking at the least offensive

ways to work with the process. The *Institutional Budget Committee* was reconstituted at the senate's request. The committee would look at models at other institutions to recommend whether or not this committee should be reconstituted as a standing committee or if other mechanisms would be better. The *Ad Hoc Committee on Research* would not be convened at least until spring. The President and Interim Provost asked that the VPR's Office undergo a self-study and external review, which would take approximately sixty days. Once the self-study was finished the executive board would look at the recommendations and bring them to the senate. The review occurred due to an ad hoc faculty committee's findings. The ad hoc committee was formed by faculty and was not a senate committee; the committee does not have representatives from each college.

The *Center for Excellence in Leadership and Civic Engagement Review Committee* has begun its work.
Summary of Faculty Senate Standing Committees:

Rock had summaries for a few of the standing committees. The Bylaws and Code Committee was looking at the approval process of department bylaws; the committee was looking at ways to make the process more efficient by having the department bylaws go to the department and college bylaws committee and then to the dean for final approval rather than through the entire process. The committee was also working on templates for the bylaws, which should ease some of the problems. Senators discussed calling department bylaws policies and procedures, which would require a bylaws change. A mechanism for letting departments know when they are out of compliance would be very useful.

The Technology Committee has awarded the funds for the software acquisition.

The Campus Affairs Committee was looking at the graying of the campus and what other campuses are doing. They are also looking at phase in retirement and emeritus faculty.

The *University Courses and Curriculum Committee* would now report to the Academic Standards Committee with any policy changes. The senate discussed the make up of the committee, the mission of the committee and the name of the committee.

Outside of budget issues, the *November Board of Regents' Meeting* should have only one item that seemed to be especially critical for faculty on its agenda, which would be the Outside Consulting Policy. The regents do not realize the importance of outside consulting to the community. Consulting was not just a benefit to the community, but to the students and the institution as well. The council of chairs would speak to this issue if the policy was voted on separately outside of the committee report.

Faculty can contact regents to help educate the regents and explain the importance of consulting. The university has been working on a conflict of interest policy that would deal with issues regarding conflicts and outside consulting. The senate discussed the importance of educating the public and the regents regarding this issues.

The Senate Manager Search was under way.

The Provost Search Committee would be doing Airport interviews in early December. The search firm has a good group of candidates.

Budget Cuts: President Glick asked the executive board to recommend a couple of members to serve on an advisory committee to discuss budget cuts. The president was concerned with what protects our students and our core mission.

5. **Higher Education Research Institute Survey (HERI): John Mahaffy, Director University Assessment and Steve Cavote, Associate Director, University Assessment.**

John Mahaffy and Steve Cavote presented the information and background on the HERI Survey. By participating in this survey, the campus could compare results with other peer institutions. The HERI survey is conducted on a three year cycle, this being the last year for this cycle. Neither Mahaffy nor Cavote were advocating this survey, but wondered if the senate would be interested in the data. The assessment would be able to get funding from the provost's office and the assessment office would staff the survey. Senators discussed the advantages of participating in the survey and asked if there was a specific purpose for collecting the data. If the senate was not sure what the information would be used for, then it would be better to wait to do a survey. Once the goal was decided, then a survey could be developed.

MOTION: Wallace/Swager. Not to participate in the HERI survey but look at doing an in-house survey that would be useful to our standing committees.

MOTION: Wallace/ Swager. Don't participate in this HERI particular survey but look at doing an in-house survey that would be useful for our committees

Friendly amendment Swager/Kulick Not to participate in the HERI Survey as it is currently presented at this time, but to look at doing an in-house survey that would be useful to our standing committees.

MOTION: Strauss/Skelly. To table the current motion

ACTION: Motion to table Failed

Call the question -

ACTION: Passed Motion Not to participate in the HERI Survey as it is currently presented at this time, but to look at doing an in-house survey that would be useful to our standing committees.

6. University Electronic Communication: Jake Kupiec, Director, University Digital Media Initiative:

Jake Kupiec spoke regarding campus communication. Her main question to faculty was how would faculty like to receive campus communications?

At this time, there are some different channels to get news and events out. There is an events page where faculty can get their events posted. Both Nevada News and Our Workplace would be available for news items. Currently Our Workplace serves as a faculty/staff newsletter and would soon be folded into Nevada News. Banner ad cans also be placed with a few weeks lead time.

To list an event, please email: communciations@unr.edu.

To add an event to the events page, click on Events <http://www.unr.edu/events> then click on Submit Event and fill in the required fields. Senators asked what process was used to decide that campus announcements should be discontinued and asked that Milt be reminded that top-down decisions without faculty input were cited as issues in the morale report. The decision was made to stop anonymous announcements, and discussed in the President's Council who were the owners of these lists. A number of discussions took place regarding responsibility of sending announcements and nothing changed, so President Glick made the decision to stop all anonymous campus announcements. Some new lists were created such as the Police emergency list, and the faculty senate list. These lists actually receive a response from faculty so they are not anonymous list serves. Digital Communications would be looking at list serves where people could opt in and out. A request was made for a table of contents near the top of the newspapers so faculty could browse that to find which articles they might be interested in reading. Digital Communications would like to have they web standards launched in January 2008, which would help guide faculty on designs for their web pages.

7. Computer Security: Steve Zink, Vice President for Information Technology/Dean, Library

Steve Zink spoke about IT security and the lost flash drive. Zink said that the drive was not encrypted. The university has paid the subscription to Equifax in case of issues with the information that was on the drive. It appeared that no one had accessed the flash drive at this point. The flash drive contained information on 16,000 freshmen. While this incident was a concern, Zink felt that damage was minimal. Recommendation from IT are for faculty and staff not to keep unnecessary files on their laptops or flash drives, keep sensitive information in secure areas, lock you computer if you will be away from it for any period of time. The security policy is on the IT website at this link:

<http://www.it.unr.edu/guidelines/documents/UNR%20IT%20Policy.pdf>

8. New Business:

Sponsored Projects was doing rapid deployment using a new system. Registration would begin November 16, 2007 and many more pre-requisites would be enforced.

9. Apportionment:

MOTION: Rojas/Parker. To move apportionment to the December 12, 2007 meeting.

ACTION: Passed unanimously

Adjourned 5:03 PM

UNR Faculty Senate Meeting
December 12, 2007
[Agenda Item #6](#)

Conflict of Interest Policy
To be sent Monday December 10, 2007

Effort Reporting Policy

I) Policy Sections

- a) Policy Statement
- b) Background
- c) Who Must Know This Policy
- d) Related Information
- e) Key Principals of Effort Reporting
- f) Policy Elements and Definitions
 - i) Effort Reporting System Roles and Responsibilities
 - ii) Miscellaneous Policies
 - iii) Use of Memo Accounts
 - iv) Deadline to file Overload PAFs
 - v) Non-Compliance
 - vi) Payroll Cost Transfers (PR-45 form)

II) Policy Statement

Effort Reporting is the process of confirming that an employee's payroll distribution reflects a reasonable estimate of the employee's effort on all Institutional Activities.

Faculty, staff, and students working on sponsored projects are required by federal law to report effort on sponsored projects on a systematic and reasonable allocation basis. This includes all permanent and some temporary employees, depending on their employment contract type.

Each individual working on a sponsored project is the primary person responsible for the timely and accurate completion of their own effort report. Principal Investigators (PI) are equally responsible to be certain that every individual working on their sponsored project has completed an effort report. Administrative units are expected to facilitate sponsored project management in order to enable the timely and accurate submission of effort reports. Additionally, administrative units should ensure that employees receive the appropriate training for their specific role in the Effort Reporting System.

III) Background

The United States Office of Management and Budget's (OMB) Circular A-21 outlines the requirements for the reporting and certification of faculty and staff effort associated with sponsored projects and other activities. According to this regulation, the University can initially charge salaries to sponsored project accounts based on reasonable estimates of how an employee plans on spending his or her time in the future. The mechanism UNR uses for distributing salaries based on the estimates of activity to be performed on sponsored project and other institutional accounts is the Payroll Activity Form, ("PAF"). Because the PAF is reliant on the estimates of an individual's planned activities in the future, the regulations require the institution to verify whether the estimated plan did or did not occur after-the-fact. This after-the-fact verification is accomplished at UNR through the web-based Effort Reporting System ("ERS"). In the ERS, each individual certifies how he or she actually spent his or her time during each reporting term.

Fortunately, the federal government recognizes that teaching, research, service and administration are intermingled in the daily activities of personnel. Thus, personnel working on sponsored projects are not expected to precisely report via timecards how they spend their time; instead a reasonable

estimate over a specified period of time based on a percentage of effort is acceptable. Nonetheless, the federal government requires that salary charges are consistent with an individual's effort in order to ensure that a sponsor is only charged for the amount of effort that directly benefited the scope of work identified for that particular sponsor. A cost transfer is required if the difference between what was paid and actual effort is more than 5% of an employee's salary over the effort reporting term.

IV) Who Must Know This Policy

- a) Senior Administration
- b) Deans, Directors, & Department Chairs
- c) Principal Investigators & Co-Principal Investigators
- d) Finance Personnel
- e) Payroll Personnel
- f) Sponsored Projects Personnel
- g) All Employees including faculty and other research personnel paid from or working with Sponsored Accounts

V) Related Information

- a) Federal Office of Management and Budget Circulars

A-21 – Cost Principles for Educational Institutions

<http://www.whitehouse.gov/omb/circulars/a021/a021.html>

A-110 – Uniform Administrative Requirements for Sponsored projects and Agreements With Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations

<http://www.whitehouse.gov/omb/circulars/a110/a110.html>

A-133 – Audits of States, Local Governments, and Non-Profit Organizations

<http://www.whitehouse.gov/omb/circulars/a133/a133.html>

- b) University of Nevada, Reno Administrative Manual

http://www.unr.edu/business_finance/forms/uam.pdf

Payroll Policy - Sections 1,301-1,332

Cost Transfer Policy – Section 1,116

UNR Consulting Policy - Section 2,609

PAF Guidelines - Section 2,611

- c) Cost Accounting Standards <http://www.unr.edu/vpaf/controller/documents/CASB.pdf>

- d) Cost Sharing Procedures and Requirements

- e) Sponsored Projects Manual

<http://www.unr.edu/ospa/website4/content/documents/guide/OSP%20Manual.pdf>

VI) Key Principles of Effort Reporting

The following Key Principles of Effort Reporting should be understood and reviewed as individual decisions are made on how to report and expend salary funds on sponsored projects or when allocating cost shared effort on a project.

- a) Allocability: Only salary paid for time that benefits a project can be charged to a project.
- b) Consistency: The University and employees must treat all costs for various institutional activities or for various sponsors in a similar manner regardless of the source of funds.
- c) Timeliness:
 - i) PAFs for activity during non-contract days (overload) must be processed in a timely manner to reflect work performed during the overload period.
 - ii) Cost Transfers must be processed and/or PAF revisions must occur as soon as possible when there is a change in effort.
 - iii) Effort reports must be certified in a timely manner.
- d) Reasonableness: The regulations require a reasonable allocation of effort and salary charges over an academic term or monthly reporting period based on how an individual actually spent his or her time.
- e) 100%: Generally, for each contract period for salaried employees, an individual can not work more than 100% or 1 FTE for the University.
- f) Workweek: Federal laws related to salaried employees specify that a workweek includes all hours worked on institutional activities during that workweek.
- g) Effort confirmation drives payroll, not the other way around.
- h) Salary Supplementation: Generally speaking, you can supplant (replace) existing base salary amounts but you may not supplement base salary amounts solely due to receipt of or because of an increase in grant or contract funding. You can pay additional amounts of funding for a separate and distinct employment contract. However, pay during this additional contract period must be reasonable and use a calculation based on what the employee makes during his/her normal contract period. Incentive pay programs can be utilized only if the basis for the additional pay is not solely due to receipt of federal grant/contract funds.
- i) Significant Changes in Effort for Key Personnel on a Sponsored Project Require Sponsor Approval.

VII) Policy Elements and Definitions

- a) **University of Nevada, Reno Certifiable Effort** – In the Effort Reporting process, faculty, staff and graduate students certify their effort on sponsored projects as a percentage of their total effort on their Institutional Activities.

Faculty, department administrators, department chairs and Dean's office administration must be careful to assure that a faculty member who devotes 100% effort to sponsored programs does not have responsibility for non-sponsored activities such as non-sponsored research, instruction, administration, service or clinical activity. Normally, salary for non-sponsored teaching, administration, service, clinical activity, institutional governance and proposal preparation effort must come from non-sponsored funds.

At the University of Nevada, Reno proposal preparation for new and competing renewals is normally an unallowable charge to an existing sponsored project. There may be exceptions to this general rule if the primary purpose of the project is to pay for the generation of new proposals or if the award explicitly authorizes payment for this activity. Proposal preparation is calculated in the Base Amount used to determine our Facilities and Administrative costs. Per the Fair Labor Standards Act, personnel may not volunteer their time for activities that benefit the Institution and for which they would normally be compensated.

Although all university activities must be included in a faculty member's effort for reporting purposes, not all of a faculty member's professional activities must necessarily be considered university activities. For example, outside professional work and volunteer community or public service conducted in accordance with the University's consulting policy are types of activities that would normally be deemed non-university activities and would not be considered within the 100%/1FTE of a faculty member's University time.

Additionally, interdepartmental consulting for which supplemental compensation is paid for activity which is outside the scope of an employee's regular job duties and service on review panels or other advisory activities for federal or other non-profit sponsors that include an honorarium and/or travel reimbursement are also considered outside of total University effort.

- b) **Committed Effort** – Committed Effort is the amount of effort proposed in a sponsored project proposal or other project application that is accepted by a sponsor. Committed effort not paid by the sponsor is mandatory cost share and must be reported and met in the same manner as paid effort. Volunteered commitment in proposals become mandatory requirements at the time of award, regardless of whether it was required by the sponsor in the Request for Proposal. Key personnel must be careful to follow sponsor requirements regarding when the key personnel must notify the sponsor of significant changes in effort levels as defined by the sponsor.
- c) **Cost Shared Effort** – Cost sharing represents the portion of the total project costs related to a sponsored agreement that is contributed by someone other than the sponsor. In most cases, the cost sharing of direct expenditures is borne by the University and consists of departmental or institutional resources that are redirected to the support of the sponsored project. There are three types of cost share:
- Mandatory cost share is required by the Sponsor in the proposal stage.
 - Voluntarily Committed cost share is offered by the PI in the proposal stage and is accepted by the sponsor at the time of the award. Once it is accepted by the sponsor it is included in the sponsored project budget
 - Voluntary Uncommitted cost share is activity which benefits the project but is paid by Institution.

Mandatory and Voluntary Committed cost share effort must be reported on the effort reports during the term in which the work was performed. The Federal Office of Management and Budget does not currently require reporting of Voluntary Uncommitted cost share.

- d) **Data Capture** – For every effort reporting term, HR and Financial (Payroll) Data is captured in the University Data Warehouse and then imported to the Effort Reporting System (ERS). The data for each term can only be imported once into ERS. Payroll transactions processed after the Capture Date for an effort reporting term will not be reflected in the effort reports. Required payroll corrections must be processed in ERS after the data capture for each Effort Reporting Term.

- e) **Effort** - Effort is the total activity or work for which an employee is compensated for all Institutional Activities regardless of number of hours worked.
- f) **Effort Reporting System** – The Effort Reporting System replaced the Personal Activity Report system in January 2007. ERS is a web-based application with electronic routing and e-mail notification for updating and certifying effort and is accessible by using an employee's NetID/MedID and password.
- g) **Effort Reporting Term:** The Effort Reporting Term is the period of time for which an employee is certifying effort. For hourly employees the term is one month. Salaried employees will report based on Academic semesters. A Contract Faculty will report twice a year. B Contract Faculty will have two additional terms, one for work performed during the non-contract period in December, January, and Spring Break and a second term for the Summer non contract period.
- h) **Full Time Equivalent ("fte")** – A measurement equal to one employee working a full-time work schedule for their term of appointment.
- i) **Institutional Activities** – Institutional Activities include all job duties or assignments that benefit the Institution. Generally, expected roles are defined in a role statement. These activities could include, but are not limited to, these general areas:
- Conducting Research
 - Writing Proposals
 - Instruction
 - Advising Students
 - Supervising Employees
 - Serving on Internal Committees
 - Attending Required Training
 - Clinical Activity
 - Institutional/Unit Governance
 - Work on other scholarly activities that directly benefit the Institution
- j) **Leave** – In accordance with UNR's Cost Accounting Standards, the charging of vacation, sick and other leave time and certification of effort related to leave is accomplished in the following manner: Paid leave benefit costs are charged to sponsored agreements or similar cost objectives when the leave is actually taken. Payment of unused earned vacation/annual leave and sick leave (for classified employees only) upon separation is charged when actually paid and is distributed based on the accounts charged for salary when the leave was accrued. Therefore, paid leave will appear as actual payroll charges and will be included on the employee's effort report. B Contract faculty under non-contract day summer time appointments are not eligible for annual leave.
- k) **Payroll Action Form (PAF)** – The PAF is completed by a hiring unit for new hires and any changes to pay status. The PAF directs an employee's payroll distribution. Certifiers and pre-reviewers should be certain that any payroll changes made by PAFs processed close to the data capture date are included in the effort report.
- i) Retroactive PAFs - Payroll Activity Forms (PAFs) should be processed as soon it is identified that future effort will not match the planned payroll distribution. From time to time, it is necessary to process Retroactive PAFs to increase fte, add accounts, or increase pay. Careful attention must be given to the effect a Retroactive PAF will have on an effort report. PAFs to pay for work performed in a period which has already been certified will not be approved if the PAF is presented for processing more than 30 days after effort is certified.

- ii) **Overload PAFs** - All Effort expended during the non contract period must be confirmed via the effort reporting process. It is the responsibility of the PI to submit a PAF in a timely manner to ensure that Human Resources has sufficient time to process the PAF in order to create a payroll transaction that will be included in the data capture. Payroll charges posted for overload activity after the data capture date must be certified by using the Retroactive Effort Form. Please see the section on Deadlines to Submit Overload PAFs below.
- l) **Payroll Distribution** – Salaries are charged to sponsored projects by using an estimate of the Total Institutional Salary and based on the employee's fte as directed by the PAF.
- m) **Separate Employment Contract Terms** – Employees hired to perform work outside his/her department that is in addition to his/her primary job and in accordance with University personnel and consulting policies via a separate employment agreement with the University will report effort on the secondary job separately from the effort expended on the primary job. Such pay must also meet the requirements of federal regulations and must be approved in writing by any Sponsors supporting the salary of the employee requesting such secondary additional pay.
- n) **Sponsor** – A sponsor is any entity providing external funding for research, scholarly and/or other activities conducted at UNR.
- o) **Suitable Means of Verification** – Suitable Means of Verification is the standard of documentation required by the federal government in the event that someone other than the employee is certifying the employee's effort. An individual certifying his/her own effort does NOT need to have Suitable Means of Verification.
- p) **Total Institutional Salary ("TIS")** – Total Institutional Salary is the compensation paid by the University of Nevada, Reno to an employee for all Institutional Activities. Total Institutional Salary does not include any income that an individual is permitted to earn outside of duties for the University of Nevada, Reno and that do not use significant University resources such as individual consulting or community service efforts.

TIS includes compensation from these sources:

- Sponsored Projects
 - Time on Funded Projects
 - Cost Share on Funded Projects
 - Institutional Accounts
 - Instruction
 - Administrative Stipends
 - Proposal Preparation
 - Gifts and Endowments
 - Other UNR Funds
 - Clinical Practice Plans
 - Hatch Funds
 - Hospitals except Veterans Administration
- q) **Work Week** –
- i) **For Salaried Personnel** - a work week is the total amount of time spent conducting University business irrespective of normal work schedules. Please see the definition of Institutional Activities for additional information.
- ii) **For Hourly Personnel** - a work week is limited to the number of hours per week as indicated in their employment contract. Overtime on research sponsored projects

should be included in proposal budgets or be pre-approved by the sponsor and must be in accordance with the federal Fair Labor Standards Act and State of Nevada regulations. Failure to have approval could result in disallowed costs.

r) **Effort Reporting Roles and Responsibilities**

The principles of assigning roles in the Effort Reporting System are:

- Foster a high level of integrity in the process via a system of checks and balances
- Spread the workload among personnel who have the skills, knowledge, and authority to ensure compliant sponsored project management

- i) **Office of Sponsored Projects (OSP):** OSP is responsible for providing oversight of the University's effort reporting system, and designing and implementing the effort reporting policies and procedures. OSP will conduct training on the effort reporting system and the related policies and procedures.

The Effort Reporting Specialist serves as the campus' main contact for effort reporting. This position will initiate the reporting period for each term and notify all participants of the capture date of an effort reporting term. The Specialist will conduct training, provide assistance to personnel during the reporting period, monitor the process for compliance, and oversee the post notification procedures and/or suspensions if necessary.

- ii) **Departmental Coordinator:** The Departmental Coordinator (DC) bears the responsibility for facilitating the effort reporting process within their department/unit. DC's can serve as the pre-reviewer for all reports or delegate that duty to other employees. The DC's are responsible for all post reviewing duties and the subsequent submission of salary cost transfers where appropriate. The DC can produce reports for Departmental review, e.g., completion status, high risk, cost transfers or other reports requested by a Department Head or Unit Director.

The Departmental Coordinator should have knowledge of unit budgeting and funding and sponsored project management including applicable cost sharing requirements. The DC should be familiar with UNR accounting systems and University policies and be able to complete cost transfers within the financial system.

- iii) **College Administrator:** The College Administrator has oversight of the process including the designation and support of the Departmental Coordinators and Pre-reviewers. They can also create reports for their college unit as requested or needed for purposes of following up on late or missing effort certifications or for other purposes defined by a College/Unit Head.
- iv) **Pre-reviewer:** The Pre-reviewer is responsible for pre-reviewing assigned effort reports before they are certified. The purpose of the pre-review is to verify the accuracy of the payroll data and/or cost sharing based on the actual effort of an employee. Changes to the payroll data (via a cost transfer) may be necessary if there has been a change in an employees' effort from what was originally planned and directed by the PAF. The pre-review responsibility should be delegated to an individual with direct knowledge of the management of a sponsored project. The pre-review is also an opportunity to manage salary cap issues, NIH K-award efforts, cost shared effort, or other unique reporting requirements for various sponsors. The effort form is not available for certification until the necessary Pre-review has been completed.
- v) **Principal Investigator:** The Principal Investigator (PI) works with the DC and the Pre-reviewer to ensure the appropriateness and accuracy of all effort expended on the

sponsored project and compliance with the principals of Effort Reporting. The PI is primarily responsible for ensuring that all individuals who have worked on a project under the PI's direction complete their effort reports in a timely and accurate manner.

- vi) **Employees:** Generally, all graduate students, post-docs, temporary LOAs, PIs, and classified employees who work on a sponsored project are expected to certify his/her own effort report. Students and temporary hourly employees who submit timesheets to payroll prior to being paid are exempt from certifying effort in the Effort Reporting System. Employees must verify that their effort has been charged to the correct account name and/or number and communicate issues or errors to the PI and the DC or Pre-reviewer. However, there may be instances where a supervisor or PI may have a better understanding of how an individual spent his or her time on sponsored projects. In this circumstance it is allowable for a supervisor with Suitable Means of Verification to certify effort on behalf of the employee. In the event that an employee has more than one supervisor, the supervisor with knowledge of the greatest portion of the employee's fte will be responsible to confer with the other supervisor and mutually agree on the certifiable effort expended.

NOTE: When certifying his/her effort for a reporting period, an employee will represent the following:

I confirm that the distribution of activity represents a reasonable estimate of all work performed by me during the stated period or in the event that I am certifying effort for someone other than myself, that I have Suitable Means of Verification to certify on behalf of this employee.

I understand that falsification of effort statements may result in potential disallowed costs, penalties and/or actions under the federal False Claims Act.

s) **Miscellaneous Policies**

- i) Use of Memo Accounts

Beginning work on a project prior to receipt of an official award is discouraged because such activity incurs costs that the sponsor has no obligation to reimburse. If an administrative unit is willing to accept the risk of the activity beginning prior to the receipt of award, a memo account must be established through the Office of Sponsored Projects.

The memo account is a temporary account that can be limited in both duration and budget. A memo account is necessary to ensure that effort on the project is captured in the effort report.

- ii) Deadlines to file Overload PAFs

All Effort expended during non contract periods must be confirmed via the effort reporting process. It is the responsibility of the PI to submit a PAF in a timely manner to ensure that Human Resources has sufficient time to process the PAF in order to create a payroll transaction that will be included in the data capture for the overload reporting period. Payroll charged for overload activity after the applicable data capture date must be certified by using the Retroactive Effort Form.

- For the May Reporting Cycle - B Faculty working during their non-contract days in December, January, and Spring Break must have a PAF for this period through

the financial system by HR's May cut off date to ensure that a payroll transaction is processed for the May payroll.

- For the September Reporting Cycle - B Faculty working during their non contract days in May, June, July and/or August must have their PAF though the financial system by HR's September cut off date to ensure that a payroll transaction is processed for the September payroll.

iii) Employees working outside of his/her home department

The employee is the primary individual responsible for the certification of his/her own effort. However, if the employee is not available to certify his or her own effort and has charges on accounts outside his/her home department, the PI responsible for the project(s) showing the greatest percentage of salary for that employee on the effort form should be assigned to certify on behalf of the employee. Furthermore, it is the responsibility of the PI to discuss the effort expended by the employee and to obtain Suitable Means of Verification from any other supervisors with knowledge of charges on the effort form.

t) **Non-Compliance**

All effort reports must be certified thirty-days from date the pre-reviewers receive initial notification that the cycle has been initialized. Failure to certify within 30 days will result in the following:

- Late Notice: The employee, their supervisor, the Principal Investigator (PI), the Departmental Coordinator and the College Administrator responsible for the account will receive a Late Notice after the end of the reporting cycle.
- Delinquent Notice: Thirty days after the late notice, the PI, the Departmental Coordinator, the College Administrator and the PI's Dean or Director will receive a Delinquent Notice. The PI will be placed on the Office of Sponsored Projects' (OSP) suspension list and the sponsored project account will be frozen. Faculty on the OSP suspension list will be ineligible for all OSP services including, budget revisions, proposal preparation, and account set up.
- Final Notice: 14 days after the Delinquent Notice, the PI, the Departmental Coordinator, the College Administrator and the PI's Dean or Director will receive a final notice and will requested to provide an account to which the payroll charges on the sponsored accounts can be moved. Once the charges have been transferred off of the sponsored account, the PI can be removed from the suspension list and the sponsored account reopened upon approval from the Unit Dean or Director. Any project with uncertified salaries can not be closed out until all salaries are either certified or moved off of the project account.

u) **Payroll Cost Transfer (PR-45) Policy**

The Effort Reporting System is reliant on Institutional payroll transactions, including salary cost transfers to create an effort report. For each effort reporting cycle, the payroll data must be captured and uploaded into ERS. In order to ensure the reliability of the data, no paper salary cost transfers can be processed affecting sponsored project accounts for the effort reporting period after the capture date. Instead, all salary cost transfers must be completed in ERS after the capture date.

It is expected that all salary cost transfers are completed as soon as it is recognized that there is a discrepancy between the salary amount indicated on the PAF and the actual effort expended. Cost transfers completed within an effort reporting period will be incorporated with actual payroll charges in the Effort Reporting System. However, in the event that a discrepancy is discovered after the capture date and prior to certification, a salary cost transfer is permitted in the ERS.

In rare circumstances, a salary cost transfer might be needed for a previously certified period. The Cost Transfer Explanation Form must accompany such a request and it must be completed within 30 days following the end of the effort reporting cycle.