



Faculty Handbook

E120: Effort Reporting Policy

Approved By: Faculty Senate and Provost

Effective Date: March 28,2012 **Draft 4/12/2024**

Responsible Faculty Committee: Research Policy Committee

Office Responsible for Administration: Vice President for Research (VPR) and Health Sciences Vice President for Research (HSVPR)

Legend: **Red** text is new wording, ~~strikeouts~~ show proposed deletions, Language that is shown in black (not underlined) reflects language that is in one of the current policies and is language that the taskforce does not propose to change. **Green** -notes where this language is located in current policy.

Revisions to the Policy Rationale, Policy Statement, and Applicability sections of this document must be approved by the University Faculty.

POLICY RATIONALE

(E120, 1st paragraph) Conduct of research is a primary mission of The University of New Mexico (UNM). UNM is committed to ensuring that effort expended on federally sponsored agreements is appropriately documented, that salaries and wages charged to sponsored agreements reasonably reflect the effort expended on those agreements, that effort is certified by authorized personnel in a timely manner, and that effort certifications comply with sponsor requirements and federal regulations.

POLICY STATEMENT

(E120, 2nd paragraph) Certification of effort is **a federal** ~~an Office of Management and Budget (OMB) Circular A-21~~ requirement that UNM agrees to when a contract or grant is accepted that is fully or partly funded by the federal government. Timely effort reports, generated by UNM, are used to document the certification of effort. The ~~OMB~~ **federal** requirement is designed to ensure that:

- a) The percent of effort expended on each project is not less than the percent of effort committed to the sponsor to spend on the project; **and**
- b) The percent of effort expended on each project is not less than the percent of salary charged to the project.

APPLICABILITY

This Policy applies to faculty and staff participating in sponsored research at or on behalf of UNM.

Revisions to the remaining sections of this document may be amended with the approval of the Faculty Senate Policy, Research Policy, and Operations Committees in consultation with the responsible Faculty Senate Committee listed in Policy Heading.

DEFINITIONS

WHO SHOULD READ THIS POLICY

- Faculty
- Staff
- Department chairs, academic deans and other academic administrators and executives

RELATED DOCUMENTS

UNM Regents' Policy Manual
[Policy 5.13](#) "Research Fraud"

Faculty Handbook
[Policy E30](#) "Research Data Management"
[Policy E40](#) "Research Misconduct"

CONTACTS

Direct any questions about this Policy or its components to the Office of the Vice President for Research (OVPR) or the Office of the Health Sciences Vice President for Research (HSVPR).

PROCEDURES

To comply with [federal requirements](#) OMB A-21, an individual with first-hand knowledge of the work performed and the benefitting sponsored project shall certify effort reports in a timely manner.

Monitoring Uncertified Effort Reports:

UNM is committed to ensuring that effort reports made in connection with federally sponsored projects are accurate, timely, reasonably reflect the actual level of effort expended, and comply with all agency requirements. It is each department's responsibility to ensure that a process has been appropriately established to certify effort reports on a timely basis. Effort reports that are outstanding at the certification deadline may result in salary and related costs being disallowed by the federal funding agency. Principal Investigators, department chairs or equivalent, and deans/directors or above, as appropriate, will be notified of effort reports that have not been certified.

Independent Evaluation:

The University **UNM** President or designee will ensure that there are periodic reviews of the effort reporting system.

~~Rules, Procedures, Guidelines, Forms, and other related resources:~~

- ~~1. Rules [reserved]~~
- ~~2. Procedures [reserved]~~
- ~~3. Guidelines [reserved]~~
- ~~4. Forms [reserved]~~
- ~~5. Other Related Resources [reserved]~~

References:

~~[United States Office of Management and Budget CIRCULAR A-21](#)~~

DRAFT HISTORY

April 12, 2024 – draft approved by Research Policy Committee

March 12, 2024 – draft revised per feedback from Jason Galloway

March 8 2023 – draft developed based on document from Research Policy Committee

HISTORY

Approved by the University Faculty on March 13, 1973