UNIVERSITY OF NORTH FLORIDA
Office for Research and Sponsored Programs (ORSP)

EFFORT REPORTING PROCEDURES

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I. Overview

The Office of Management and Budget Circular A-21 (OMB A-21), Cost Principals for Educational Institutions, requires universities to certify employee effort expended on federally sponsored contracts and grants. OMB A-21 requires that each institution maintain an accurate system for reporting the percentage of time that employees devote to federally sponsored projects as a condition to receive federal funding. As outlined in the circular, the University has adopted the "after-the-fact" activity reporting and use the FAIR system to document and certify the distribution of personnel effort expended on federally sponsored contracts and grants. Faculty Activity Reports (FARs) constitute the University's official record of a faculty member's activities for each academic term. As the official record, the University uses these reports in a number of different ways. Internally, the University uses FARs in calculating data for program reviews and for making cross-college and interdepartmental comparisons.

In addition to using the data internally, the University submits the data from FARs to the State as documentation of faculty productivity in the areas of teaching, research, and service. The data also provide the State with a record of our academic advising efforts and are used to calculate our administrative costs. FARs serve as the official record of faculty effort devoted to externally funded contracts and grants and provide a key source of documentation of how this effort is compensated. This record becomes extremely important when such projects undergo audits by funding agencies.

Because the State and external funding agencies use the data from FARs when they look at UNF, it is important that we prepare these reports completely and accurately. Because the University uses the data for internal comparisons it is also important that we strive for consistency in reporting the data across units. We encourage faculty to take seriously the preparation of the FAR and that support staff strive to enter the data into FAIR accurately.

At this point in time the Assignment of Faculty Duties (AFD) is actually a portion of the *Assigned Faculty Duties and Faculty Activity Report* (AFD-FAR) form, and it is initially

completed before the term and specifies the activities assigned to faculty members that term. Recall that activities consist of courses taught; research and service performed, and also include advisement, administration, and other activities related to instruction, research or service. The Assignment of Faculty Duties (AFD) portion of the form, in addition to compliance with the collective bargaining agreement, also lays the basis for the faculty member's evaluation and this procedure is outlined in Florida Statutes 241.731.

The Faculty Activity Report is completed after the term and provides information regarding what was actually completed in support of the Assignment of Faculty Duties.

II. Definitions

Effort – The proportion of time spent on any activity and expressed as a percentage of the total professional activity for which an individual is employed by the institution.

Effort Reporting – Requires a confirmation of effort of all individuals performing services on a sponsored project when all or a portion of their salary is charged to the sponsored project. Effort reporting is a Federal requirement. It is mandated by the Office of Management and Budget (OMB) in regulation to OMB Circular A-21. After-the the-fact Activity Records is the method UNF uses to demonstrate that individuals who are paid on federal funds have contributed the required effort.

FAIR – The Faculty Academic Information Reporting (FAIR) system is the University's approved effort reporting system. The FAIR system consists of modules for the collection of information about activities for faculty, instructional staff, and A&P employees paid from C&G funds.

FAR – Faculty Activity Reports (FARs) constitute the University's official record of a faculty member's activities for each academic term. FARs (Faculty Activity Reports) are due within 5 weeks of each term ending. ORSP must review and sign off on all FARs for faculty and A&P staff who received direct payments from or committed match to a project.

Mandatory cost sharing – Cost sharing that is legally required by the awarding agency as a condition of the award.

Principal Investigator (PI) – An employee having the background and training in scientific and administrative oversight necessary to conduct and manage a sponsored project. The individual must be treated by the appointing unit as an independent investigator and by the University as a non-temporary employee.

Voluntary cost sharing – Cost sharing that is not required by the awarding agency as a condition of the award. However, some federal agencies expect some cost sharing commitment to be identified in the proposal. If voluntary cost sharing is included in the proposal, it will become mandatory cost sharing if accepted by the sponsoring agency as a part of the award (grant or contract).

<u>Voluntary uncommitted cost sharing</u> – On January 5, 2001, the Office of Management and Budget (OMB) issued a policy statement clarifying the OMB Circular A-21 treatment of Voluntary Uncommitted Cost Sharing. Voluntary Uncommitted Cost Sharing is defined by OMB as university faculty or senior researcher effort that is over and above that which is committed and budgeted for in a sponsored agreement. This differs from mandatory or voluntary committed cost sharing which is cost sharing specifically pledged in the proposal's budget or award. To be considered voluntary uncommitted cost sharing, percentage of effort and/or dollar amounts cannot be included in the proposal. If voluntary uncommitted cost sharing is defined in such a way that time and effort can be accounted for, the proposed effort becomes voluntary committed cost sharing.

III. Who is Affected by This Procedure

This procedure applies to all new sponsored projects and programs as of July 1, 2008. It should be understood by Principal Investigators (PIs), Department Managers and Staff, Department Chairs, Deans, and the Office of Research and Sponsored Programs (ORSP).

IV. Procedures

1) All employees who work any portion of their time on sponsored projects, whether they are compensated by that project or not, must certify their effort. This includes:

- Faculty
- Part-time Faculty
- Adjuncts
- Administrative and Professional staff

USPS, students, or Other Personnel Services (OPS) employees are not required to complete FARs as their time is certified by the submission of bi-weekly timesheets.

2) Required employees complete a FAR using the FAIR system identifying their effort on a sponsored activity.
- See *Appendix A for the C&G FAR manual* for step-by-step instructions on completing the FAR.
- If the project is basic research, applied research or public service, then effort should be identified in the Sponsored Research section of the FAR. If the project is instructional related, activity should be identified in the Instruction section of the FAR. Cost share on sponsored activities should be identified in the Cost Share section of the FAR.

3) Print the FAR from the FAIR system.

4) The PI of the award signs the FAR. If more than one award with multiple PIs are involved, then all PIs should sign the FAR.

5) If the employee is a faculty member and has activity or effort from other areas than sponsored research (i.e. instruction, service, or department research), the FAR must be signed by the Dean of the college.

6) Submit the signed FAR to ORSP.

7) ORSP reviews and verifies the committed effort.

8) The Director of ORSP signs the FAR.

9) After the FAR is signed by ORSP, the FAR is returned by ORSP to the department.

Faculty Academic Information Reporting (FAIR) on Sponsored Projects

Office of Research and Sponsored Programs (ORSP)

Objectives:

To train principal investigators, A&P personal and others regarding sponsored activity and how to enter the information on their Faculty Activity Reports in the FAIR system.

Intended Audience:

This guide is intended for use by individuals who perform sponsored activity and are required to enter the information into the FAIR system.

Table of Contents

Mission of the Office of Research and Sponsored Programs

The Office of Research and Sponsored Programs (ORSP) serves as the University's central administrative unit responsible for securing external resources through grants and contracts and providing financial and contractual stewardship of awards. ORSP provides dynamic and proactive services to cultivate and maximize external resources for relevant research, scholarly and creative pursuits. ORSP provides guidance and support to the University community in an environment that fosters the creative process and the enrichment of students and teaching, while ensuring protection of the University's financial, contractual, and regulatory obligations as well as accountability to external funding sources.

Purpose of the Office of Research and Sponsored Programs

The Office of Research and Sponsored Programs (ORSP) is designated as both the advocate and the administrative oversight office for all externally funded contracts and grants related to the research, training, and public service activities within the University. ORSP provides proposal and funding advice and assistance, award negotiations, post-award administration, accounting services, and financial administration for faculty interested in grants and contracts. Through the programs which it administers, ORSP contributes to professional development of faculty, enhances the educational experiences of students, and facilitates the University's efforts to address critical concerns of the community and region.

Faculty Activity Reports

All employees who work any portion of their time on sponsored projects, whether they are compensated by that project or not, must certify their effort. Effort is the portion of time expended towards any institutional activity for which a salary is received. Effort is expressed as a percentage of a 1.0 FTE (Full Time Equivalent). Effort reporting is a mandatory process as specified in Office of Management and Budget Circular A-21 (OMB A-21), Section J.10. This includes UNF faculty, adjuncts compensated on Federal Awards and Administrative and Professional staff. These individuals must document the time devoted to the project including buyouts/reassignments, supplemental compensation and cost share. Please see the definition of terms listing in appendix A for more information. FAR's must be completed in accordance with University policy.

The Importance of the Faculty Activity Report

The Office of Management and Budget Circular A-21 (OMB A-21), Cost Principals for Educational Institutions, requires universities to certify employee effort expended on federally sponsored contracts and grants. OMB A-21 requires that each institution maintain an accurate system for reporting the percentage of time that employees devote to federally sponsored projects as a condition to receive federal funding. As outlined in the circular, the University has adopted the "after-the-fact" activity reporting and use the FAIR system to document and certify the distribution of personnel effort expended on federally sponsored contracts and grants. Faculty Activity Reports (FARs) constitute the University's official record of a faculty member's activities for each academic term. As the official record, the University uses these reports in a number of different ways. Internally, the University uses FARs in calculating data for program reviews and for making cross-college and interdepartmental comparisons.

In addition to using the data internally, the University submits the data from FARs to the State as documentation of faculty productivity in the areas of teaching, research, and service. The data also provide the State with a record of our academic advising efforts and are used to calculate our administrative costs.

FARs serve as the official record of faculty effort devoted to externally funded contracts and grants and provide a key source of documentation of how this effort is compensated. This record becomes extremely important when such projects undergo audits by funding agencies.

Because the State and external funding agencies use the data from FARs when they look at UNF, it is important that we prepare these reports completely and accurately. Because the University uses the data for internal comparisons it is also important that we strive for consistency in reporting the data across units. We encourage faculty to take seriously the preparation of the FAR and that support staff strive to enter the data into FAIR accurately.

At this point in time the Assignment of Faculty Duties (AFD) is actually a portion of the *Assigned Faculty Duties and Faculty Activity Report* (AFD-FAR) form, and it is initially completed before the term and specifies the activities assigned to faculty members that term. Recall that activities consist of courses taught; research and service performed, and also include advisement, administration, and other activities related to instruction, research or service. The Assignment of Faculty Duties (AFD) portion of the form, in addition to compliance with the collective bargaining agreement, also lays the basis for the faculty member's evaluation and this procedure is outlined in Florida Statutes 241.731.

The Faculty Activity Report is completed after the term and provides information regarding what was actually completed in support of the Assignment of Faculty Duties.

Processing the Faculty Activity Report

The FACULTY ACTIVITY REPORTING (FAR) system contains information about the effort expended in support of the assignment. This realization of the assignment is also known as the faculty activity report or more simply, the activity report.

FARs (Faculty Activity Reports) are due within 5 weeks of each term ending. ORSP must review and sign off on all FARs for faculty and A&P staff who received direct payments from or committed match to a project. In the FAIR system, there will be two faculty activity reports for each faculty who was paid either above 1.0 FTE or received supplemental compensation from a sponsored project (a "contract" FAR and a "supplemental" FAR). You will see a Pay Plan 01 for regular pay plan and a Pay Plan 22 for Sponsored Activity. ORSP will need to receive both documents for our files.

Details for Sponsored Research Activities

Sponsored research entries on FARs require more detail than other noncredit generating activities. This is due to the fact that (a) the FAR documents how the grant activity is supported (as E&G funded match, a faculty reassignment, or a faculty payment) and (b) for accounting purposes each sponsored research entry must be linked to the correct grant account. For these reasons you will need to supply additional information about these activities to the person who enters your FAR into FAIR. In addition to writing a brief narrative, and providing the reported FTE for each grant activity in which you are involved, you will also need to supply the related C&G (contract and grant) account numbers associated with the project. Time and effort must be certified by the person whose time and effort is being reported. By certifying effort, all University employees are attesting to the following statement:

> "I certify to the best of my knowledge that salary, wages and other costs charged to this project are appropriate in relation to work performed and costs incurred on this project. Where required, corrections have been or will be made through the accounting system."

Data Requirements for E&G Match to a Grant

You use the E&G Match to Grant subcategory if a percentage of your regular assignment is being used as a match to that grant. This means that the University is paying your salary and commits this portion of the salary to the grant.

For activities that fall under this category the E&G (education and general) account number is the university account from which your regular paycheck is drawn. You will need to provide the person who enters your FAR into FAIR with the C&G (contract and grant) account number for the project. If you are uncertain about this number you can contact the principle investigator (PI) on the grant or the Office of Research and Sponsored Programs (ORSP).

If your university-supported salary for this project comes as an overload payment from the University you will also need to work with your department secretary to determine the overload account number. When you do have a university-funded overload both the default E&G number and the overload number must appear in FAIR. You will want to check with your departmental secretary to determine the overload account number.
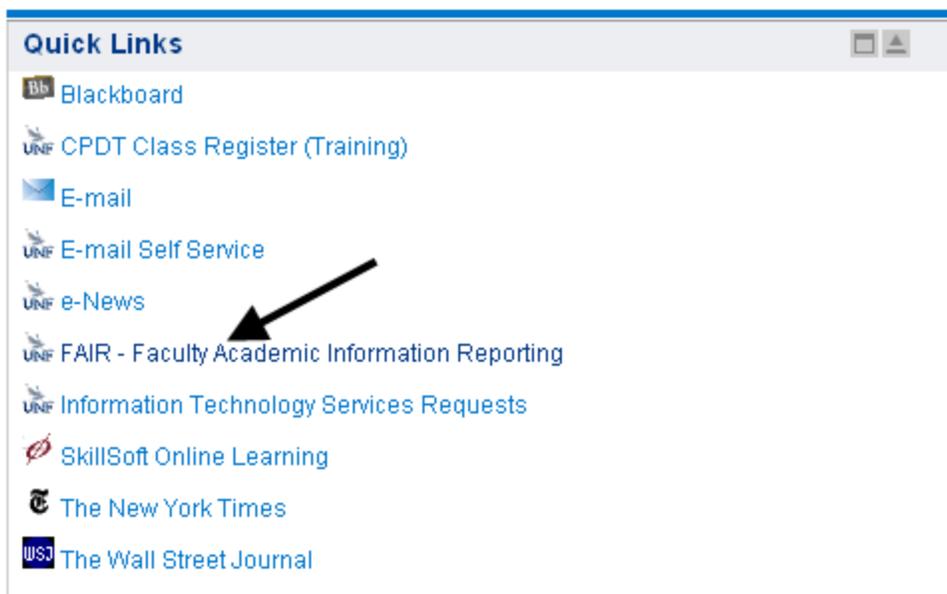
Chapter Two

To access FAIR – Faculty Academic Information Reporting you will need to login to mywings:

1. Open Internet Explorer

2. Go to http://mywings.unf.edu

3. Login with your Network username and password.

4. Click the link FAIR – Faculty Academic Information Reporting in the Quick Links section

Reporting Funded/Organized Research and Training Activities

1. Click to select Faculty Member or Administrative Faculty OR Administrative Staff and enter your Network User Name (your N#) and Password. Click Login.

2. Click on AFD-FAR link or Term Based Assign Faculty Duties – Faculty Activity Report (AFD-FAR) link

3. You can either look up a person by their name or choose from a listing. To look up by the name you click on <u>Browse By Name</u> on the menu bar.

4. Type in the Term (YYYY/MM) and type in the person's last name and click on search. The terms are input by academic year, 20XX, and the term, 01 for spring, 05 summer and 08 for fall. Click on search box.

5. A list of the available FAR's will come up for the last name you have entered.

6. If you want to select from a list you will enter the corresponding Term (YYYY/MM) the year in the first field and the month in the second field. Choose the College and Department from the drop down menus. Click on Search button.

7. Click on name to select the FAR.

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8. The FAR will populate for the person selected.

9. Scroll down to the Sponsored Activities section of the FAR. Grant/Project activities are generally reported in the "Sponsored Activity" section of the FAR. For each "sponsored" entry, there will be a corresponding FTE as well as a paying ORG/FUND. The paying fund listed should be the fund (or index) from which the faculty received payment for the activity. In the case of direct payments from a grant, a C&G (contracts and grants) fund number (beginning 21, 22, 23, 24 or 25) will be listed. In order for you to enter a record you need to click the plus sign on the right-hand bottom of the grid.

10. Enter the Contract/Grant/Project name, the assigned percentage of FTE, paying org/fund, benefiting org/fund (if there is cost share involved), ACT FTE. The grant salary amount and the Act Cont Hrs will fill in automatically once the record is updated. Click the plus sign to add as many lines as needed. Click the checkmark box to add the record after each one is added.

CONTRACT, GRANT OR PROJECT	FTE	COST SHARE	GRANT SALARY	PAYING ORG/FUND	BENEFITTING ORG/FUND	ACT FTE	ACT CONT HRS	✂
Florida SBDC Network 2008	1.0			624000210217 ▼	▼	1.0		✔ ✗
Total: Sponsored Activities	0					0	0	
Total: All Activities	0					0	0	

AFD-FAR COMMENT ()

11. The salary and the Act Cont Hrs will populate in the record.

CONTRACT, GRANT OR PROJECT	FTE	COST SHARE	GRANT SALARY	PAYING ORG/FUND	BENEFITTING ORG/FUND	ACT FTE	ACT CONT HRS	✂
Florida SBDC Network 2008	1.0000		$24,940.60	624000210217 ▼	▼	1.0000	12.00	☐
UPDATE RESET								✚
Total: Sponsored Activities	1			SUPP DOC ()		1	12	
Total: All Activities	1					1	12	

AFD-FAR COMMENT ()

12. In the case of "match" committed on a project, the paying ORG/FUND will be the E&G (education and general) fund number which pays the faculties' contracted salary. When a benefiting ORG/FUND is listed, the number should correspond to the grant (index) for which the effort is expended. The "match" or "cost share" will be listed on the pay plan 22 FAR. The words "cost share" will populate after the entry has been updated/saved.

CONTRACT, GRANT OR PROJECT	FTE	COST SHARE	GRANT SALARY	PAYING ORG/FUND	BENEFITTING ORG/FUND	ACT FTE	ACT CONT HRS	W	P	✂
Hope Outreach Campaign	0.0200	COST SHARE	$0.00	640200110000 ▼	640200230191 ▼	0.0200	0.24	Y	Y	☐
UPDATE RESET										✚
Total: Sponsored Activities	0.02			SUPP DOC ()		0.02	0			
Total: All Activities	1.02					1.02	12			

AFD-FAR COMMENT ()

Update Activity Report

13. Supporting documentation is required for Sponsored Activities and it is optional for all other Non-instructional activities. To enter supporting documentation click the Supp Doc link.

Supporting Documentation is required !

CONTRACT, GRANT OR PROJECT	FTE	COST SHARE	GRANT SALARY	PAYING ORG/FUND	BENEFITTING ORG/FUND	ACT FTE	ACT CONT HRS	✂
ASSIGNMENT ACTIVITIES				SPONSORED ACTIVITY				
Florida SBDC Network 2008	1.0000		$24,940.60	624000210217 ▼	▼	1.0000	12.00	☐
UPDATE **RESET**								➕
Total: Sponsored Activities	1			SUPP DOC ()		1	12	
Total: All Activities	1					1	12	

AFD-FAR COMMENT ()

Update Activity Report

14. You will be taken to the Supporting Documentation screen. You can either type or copy your text into the box provided. After you have typed your narrative you need click on the Save this document box.

Sponsored Research   Get from Save System

```
Hope Media Campaign Grant

Met with manager of local Spanish Radio station, developed radio messages.  Wrote
articles and submitted them to various local papers for possible publications.

Hope Outreach Campaign

Gave class related to fruits and vegetables; assisted PI with project related
activities.
```

Save this document

15. After your FAR is completed you will need to click on the Update Activity Report Link. The (N) or (Y) designation indicates whether supporting documentation has already been entered for the activity.

CONTRACT, GRANT OR PROJECT	FTE	COST SHARE	GRANT SALARY	PAYING ORG/FUND	BENEFITTING ORG/FUND	ACT FTE	ACT CONT HRS	W	P	✂
Hope Media Campaign	0.0200		$974.00	640200230190 ▼	▼	0.0200	0.24	Y	Y	☐
Hope Outreach Campaign	0.0200		$764.00	640200230191 ▼	▼	0.0200	0.24	Y	Y	☐
UPDATE RESET										✚
Total: Sponsored Activities	0.04			SUPP DOC (Y)		0.04	0.48			
Total: All Activities	0.04					0.04	0.48			

AFD-FAR COMMENT ()

Update Activity Report

16. After you complete the FAR you will need to print the FAR. If the FAR has Supporting Documentation choose the Print Complete AFD-FAR with SPRIDEN ID option.

Assignment/Activity Report	Voluntary Activity	Print Complete AFD-FAR with SPRIDEN ID	Print With SPRIDEN ID
Faculty Information	Thesis/Diss Worksheet	Print Complete AFD-FAR without SPRIDEN ID	Print Without SPRIDEN ID

Year & Term:	200708	SPRIDEN ID:	N00002928	Pay Plan:	01	Last Name:	Investigator	First Name:	P	M.I.	C

17. Sign the FAR and obtain the necessary department chair signatures and send the FAR to the Office of Research and Sponsored Programs for processing. The original FAR will be returned to the department after it has been signed by ORSP.

◉ I wish to print this document and sign on it.

○ I wish to sign this document electronically.

ASSIGNED FACULTY DUTIES: Please sign below when the assignment is made or revised.
Signatures denote delivery/receipt of the assignment contained in this document.

_____ _____ _____ _____ _____ _____
Signature--Faculty Member   Date   Signature--Chair/Director   Date   Signature--Dean/VP/Other   Date

ACTIVITY REPORT: Please sign below after the activity report is completed.
Signatures denote delivery/receipt of the activity report contained in this document.

_____ _____ _____ _____ _____ _____
Signature--Faculty Member   Date   Signature--Chair/Director   Date   Signature--Dean/VP/Other   Date

SPONSORED ACTIVITIES : Please sign below when the activities are made or revised.
Signatures denote delivery/receipt of the activities contained in this document.

_____   _____
Signature--ORSP   Date

Definition of Terms

Cost Share	Portion of the total costs - direct and indirect - of a sponsored research award that is not provided by the sponsor, i.e., the university has agreed to fund it and it is included in the itemized costs of the project or programs budget that has been approved by the sponsor.
Faculty Activity Report (FAR)	The University's official record of a faculty member's activities for each academic term.
Mandatory/Committed Cost Share	Cost share that is required by a funding agency, documented in the proposal, and agreed to in the sponsor's awarding documents.
Voluntary/Committed Cost Share	Cost share that the sponsor did not require, but the proposal nonetheless included, and subsequently became a condition of the award.
Voluntary/Uncommitted Cost Share	Cost share that the University expended on the project, but was not required by the sponsor.