



Susan Cochran
Telephone: (510) 987-0887
Email: susan.cochran@ucop.edu

Chair of the Assembly of the Academic Senate
Faculty Representative to the Regents
University of California
1111 Franklin Street, 12th Floor
Oakland, California 94607-5200

December 19, 2022

ACADEMIC SENATE DIVISION CHAIRS

Re: Guidance on Effort Reporting for Grants and Contracts

Dear Division Chairs,

Vice Provost Douglas Haynes today sent guidance to the campus executive vice chancellors (EVCs) regarding effort reporting on external funds today. As you are aware, federal regulations require accurate effort reporting by the University. Grants and contracts can be charged only for work consistent with the funding agreements. In part, this is accomplished by certifications from principal investigators (PIs) of work performed by all individuals receiving financial support from the grant or contract in question. PIs should not certify these reports unless they are confident the report is accurate.

Any expenses tied to work effort that cannot be certified will be moved to other unrestricted funds temporarily until final disposition. This may raise several issues for your campus:

- 1) In our earlier [guidance](#) on November 23, we advised faculty not to ask student employees if they are striking. Students have a right to strike. Asking may be perceived as questioning that right or as potentially retaliatory. Hence, that guidance remains in effect. In the case of uncertainty about a student employee's work status, faculty should not certify work effort.
- 2) The process of certifying compliance with federal regulations will shift costs temporarily to unrestricted accounts. We encourage you to work with your EVCs and leadership in Academic Personnel units to develop appropriate procedures for this.
- 3) We also encourage you to develop campus procedures for engaging PIs that serve to protect both PIs and our student employees. Accurate certification of work effort is critical.

We recognize how difficult it is to lead your campuses without timely and more precise information. We are happy to discuss these matters further with you.

Sincerely,



Susan Cochran, Chair
Academic Council



James Steintrager, Vice Chair
Academic Council

cc: Academic Council
Provost and EVP Brown
VP Haynes
Senate Division Executive Directors
Executive Director Lin