Effort Certification Training

Certification Stage
Why do we Certify?

• Effort is a mechanism to confirm salaries and wages charged to a sponsored project in relation to the work performed and committed to the agency in proposal.
  o Federal Requirement
  o UNM is required to assure Federal and other award sponsors that the allocation of salaries charged are fair, consistent and timely with the effort performed.
    • Potential financial penalties for non-compliance
    • Expenditure disallowance – department would be responsible to repay the charges to the agency
    • Non-compliance on the Uniform Guidance Single Audit - could impact future funding

• Applies to non-timesheet employees only
What is Effort

• Effort is the time spent on a sponsored project, it is expressed as a percentage of the employees’ total University related duties
  o Effort must equal 100% cumulative total
    • Includes teaching, research, service
    • Does not include any activities outside of University related work
  o Cannot exceed 100% if working on multiple projects
  o It is not measured on a standard 40 hour work week, but on the actual time worked.
  o Tolerance threshold of +/- 5%
    • Original award agreement and time worked

• Recently approved Effort Certification Policy will be added to UNM Faculty Handbook
Effort Certification Process

- Reports are displayed by employee
- Certification reports distributed and certified semi-annually through LoboWeb
  - Pre-Review Stage
    - 30 calendar days after reports are generated
  - PI Certification
    - Begins when Pre-Review stage is completed
    - Ends 60 calendar days after reports are generated
  - Email notification at all stages
    - PI copied on initial email for Pre-Review
    - Email sent to PI after each employee is reviewed by all Pre-Reviewers
    - Reminder and delinquent notifications will also be sent and the Department Chair/Dean will get copied on the email
- Pre-Review must be completed prior to Certification
Accessing Reports

- [http://my.unm.edu/home](http://my.unm.edu/home) - to log into LoboWeb
- Select the Employee tab - Click on Lobo Web
Adobe Flash Warning

When Using Chrome, Firefox and Edge you will receive a warning that Adobe Flash is required.

If you are unable to install Adobe Flash you can use Internet Explorer where flash is not required.

When using a Mac or Apple computer you will need to use Safari. Adobe Flash will have to be installed.
Select Effort Certification

Employee

Welcome to LoboWeb for Employees! You can view personal information such as benefits and deductions, leave balances and direct deposits.
Demographic Self-Service Information (i.e. home address)
Emergency Contacts
Annuities and Donations
W4 Forms
Direct Deposit Information

Please remember that history will build beginning January 2, 2008. Information such as previous pay stubs or job history prior to January 2008 should be included in your personnel file.

Should you have any questions, be sure to call us at the Banner HR/Payroll Support Center at 277-HRPR (4777). Hours of operation will be

Personal Information
- Update race/ethnicity information; update addresses, emergency contact information, and directory information; opt-out of public directory information

Make Bursar Payments
- Pay Bursar billed insurance, parking tickets, etc. by credit card, checking or savings account.

Benefits and Deductions
- Retirement, Health, Flexible Spending, Miscellaneous, Beneficiaries, Benefit Statement

Pay Information
- Direct Deposit, Earnings History, Deductions History, Pay Stubs

Tax Forms
- W4 Form, W2 Statement

Jobs Summary
- List of Jobs and Associated Transactions

Leave Balances
- List of Leave Balances

Time Sheet (Approvals and View Only)
- Departmental Time Entry Approvals and View

Effort Certification & Labor Redistribution
- New! Certify effort against sponsored projects or initiate/approve labor redistributions.

RELEASE: 8.4.1
Select Review or Certify Reports
Click Advanced Search

Click advanced search to view search options
Select Attributes to Begin Search

Open drop down menu to select the search attribute
Open Search Drop Down Box – Chart of Accounts

Open drop box, select Chart of Account Code to begin search.
Open Search Drop Down Box – Chart of Accounts

- Chart of Accounts – type a capital “U” in the space provided – it is very important to use a **Capital U**, otherwise no information will come up
Open Search Drop Down Box – Effort Period Code

Open drop box, select Effort Period Code to begin search.
Search for Reports to Certify

- Effort Period Code – type “202001” in the space provided and select Go. System will display all records that you have access to view.
Select from Employee List

- Highlight record, double click to view effort report actions
- Note Status and State of each employee
Employee Effort Report

- Salary distribution is displayed as percentage; a pie chart graph also displays the salary distribution.
- Tolerance +/- 5% original award vs. effort worked – If there is a discrepancy email maineffortrptng@unm.edu.
- E-print reports will show status by Org, PI and activity in dollars.

<table>
<thead>
<tr>
<th>Grant</th>
<th>Fund</th>
<th>Effort Category</th>
<th>Effort</th>
</tr>
</thead>
<tbody>
<tr>
<td>S123456 NMCE Program</td>
<td>S123456 NMCE Program</td>
<td>RESTRICT Sponsored Labor Charges</td>
<td>5.27</td>
</tr>
<tr>
<td>S789012 Developmental Care</td>
<td>S789012 Developmental Care</td>
<td>RESTRICT Sponsored Labor Charges</td>
<td>13.84</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Non Sponsored Fund</th>
<th>Organization</th>
<th>Effort Category</th>
<th>Effort</th>
</tr>
</thead>
<tbody>
<tr>
<td>1234567890</td>
<td>987654321</td>
<td>Max Staff #5</td>
<td>10.07</td>
</tr>
<tr>
<td>987654321</td>
<td>0987654321</td>
<td>Max Dev. Care Admin</td>
<td>10.10</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Total Non Sponsored Activity</th>
<th>30.17%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Sponsored Activity</td>
<td>13.23%</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Total</th>
<th>100.00%</th>
</tr>
</thead>
</table>

Status overview with pie chart and data.
Column Definitions

Status column:
• **Under Review** – report has been created and is available for viewing
• **Awaiting Certification** – Pre-Reviewer has reviewed and is ready for certification
• **Completed** – effort report has been certified and completed

Locked/unlocked column:
• **Locked** – after an effort report is completed it is locked and cannot be modified
• **Unlocked** – effort report is available for change by members of the routing queue
• **Awaiting Refresh** – labor re-distribution has been completed and has updated the payroll record, report needs to be updated, reviewed and certified
• **Changes Submitted** – when request change button is clicked
Pay Period Summary

- Select Pay Period Summary to view effort by pay period.

<table>
<thead>
<tr>
<th>Pay Period</th>
<th>Start Date - End Date</th>
<th>Organization</th>
<th>Grant</th>
<th>Fund</th>
<th>Effort Type</th>
<th>Payroll Percent</th>
<th>Effort Period Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Monthly - Regular 6 2011</td>
<td>June 01, 2011 - June 30, 2011</td>
<td>707804 Physics Astronomy Faculty 311</td>
<td>20822 Investigations in Quantum Met</td>
<td></td>
<td></td>
<td>100</td>
<td>16.41</td>
</tr>
</tbody>
</table>
Certifying Effort

- Select Certify button
- Complete certification process
  - Note: Certification will not be completed until all PI’s have certified
Certification Statement

- Certification Statement – “I Agree” to proceed with Certification of Effort
  - If Certify button was selected in error, hit cancel to exit the certification statement and continue with review of record until ready to certify.
Certifier Requests a Change

• If effort needs to be corrected after Pre-Review Stage is complete - select request changes to initiate an email to designated department personnel
  o Email should include all necessary information to complete the labor distribution
  o Existing report will be updated after labor re-distribution is completed
    • PI’s will receive email notification when updated record has been pre-reviewed and is ready for certification
Once effort has been certified, salary transfers on sponsored projects for that period will only be permitted in rare circumstances:

- If it is necessary to adjust the salary charges for a previously certified effort period, a detailed explanation of the need for the salary adjustment and subsequent re-certification is required.
- Request to open a previously certified effort report memo must be completed and signed by Dean or Director.
  - Requests can be submitted to your respective Contract & Grant Accounting Fiscal Monitor for review.
  - Memos will be retained by Contract & Grant Accounting.
- The Effort Report will need to be reviewed and re-certified.
Potential Consequences*

- Ability to submit proposals could be suspended
- List of non-compliant PI’s sent to the departments ADR
- Uncertified effort expenses moved to unrestricted index

*as proposed by Research faculty
Contact Information

• Contact your Pre-Reviewer for general/procedural questions

• For all other questions
  o Contact: Contract & Grant Accounting office - Main Campus/Branches  
    • 277-4721
  o Contact: Contract & Grant Accounting - Health Sciences Center  
    • 272-0163
  o Or send Email to:  
    • Main Campus – maineffortrptng@unm.edu
    • HSC Campus – HSC-Effort-Reporting@salud.unm.edu