Definition of Effort

Effort is defined as the compensated time spent on a sponsored project. It is expressed as a percentage of the employees’ total University related duties

- Effort must equal 100% cumulative total
- Includes research, instruction, administration, service, and clinical activity
  - Does not include any activities outside of University related work
- Cannot exceed 100% if working on multiple projects
- It is not measured on a standard 40 hour work week, but on the actual time worked.
- Tolerance threshold of +/- 5%

UNM’s Effort Certification Policy is part of the UNM Faculty Handbook

- E120: Effort Reporting Policy - [https://handbook.unm.edu/e120/](https://handbook.unm.edu/e120/)
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.

- 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 – Salary is unsupported, and therefore, unallowable
  - Non-compliance on Uniform Guidance Single audit - could impact future funding

Applies to non-timesheet (5R) employees only
Effort Certification

Reports are displayed by employee

Effort Certification reports are distributed and certified semi-annually through the Effort Certification link in the UNM Employee Dashboard

• Pre-Review Stage
  • 30 calendar days after reports are generated
• Fund Financial Manager Certification Stage
  • Begins when Pre-Review stage is completed
  • Ends 60 calendar days after reports are generated
• Email notification at all stages
  • Fund Financial Manager copied on initial email for Pre-Review
  • Reminder and delinquent notifications will also be sent

ALL Pre-Reviews must be completed prior to any PI Certification
Terminology

Stages:

- **Pre-Review** – department personnel, identified as the Account Administrator (AA) listed in Banner for the grant, reviews the effort report prior to certification. All labor redistributions should be completed during the Pre-Review Stage.

- **Certification** – Fund Financial Manager(s) will certify employees effort after Pre-Review stage is complete, each Fund Financial Manager certifies respective indices.
System generates effort certification reports twice a year. Accessible in Lobo Web at my.unm.edu employee tab.

**Pre-review stage**: Email notification sent to Pre-reviewer, FYI to PI.

30 days to complete review process.

**Certification Stage** - Certifier looks at record and certifies its accuracy. 30 days to complete certification process.

- **Certified** - Certified record is locked and cannot be modified without approval. Email notification sent to PI and Pre-reviewer.
- **Completed**

**Pre-reviewer** requests labor distribution to correct effort.

**Awaiting Refresh - Update**

Labor redistribution processed, new report generated for certification after Update process. Back to Pre-reviewer.

**Needs correction.** Notifies staff labor redistribution needed. Back to Pre-reviewer.

**Record is Locked**

Request to unlock record must be submitted to C&GA. Special exception memo requires Dean/Director approval.

Re-distribution processed after record unlocked.

**Record requires Pre-review and Re-certification.**
Accessing Reports

First log into MyUNM: https://my.unm.edu/home

Select the ENTER LOBOWEB tab -
Click on Effort Certification & Labor Redistribution
Select Effort Certification

In the ‘My Activities’ box on the right side of the page select the Effort Certification link.
Selecting and Adding Proxy Access

- Click on Proxy Super User

- Act as Proxy for someone that has given you authority

- Add Proxy to give authority to someone to act on your behalf
Select Review or Certify Reports

To view all the Effort Reports that need to be pre-reviewed select Review Or Certify Reports at the top of the page.
Click Advanced Search

Advanced Search should come up automatically but if it does not click Advanced Search to view search options.
Select Chart of Account Code

Select the drop down for the Chart of Account Code and click U, University of New Mexico
Select Effort Period Code

Please note: that the current effort period will be at the bottom of the list.

Then click Go on the bottom right of the screen to display all the effort reports that need to be Pre-Reviewed.

Search for Reports to Review

If you know the Banner ID you can just search by that as well

Enter the Employee Banner ID in the ID box then click Go
Select from Employee List

Double click on the record to view effort report actions

Note Status and State of each employee

If there is a comment in the effort there will be 🗣 in the comments column.
Employee Effort Report

Salary distribution is displayed as a percentage; a pie chart also displays the salary distribution.

Tolerance +/- 5% original award vs. effort worked – If there is a discrepancy email maineffortrptng@unm.edu or HSC-EffortReporting@salud.unm.edu.
Status Definitions

**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

**Unlocked** – Effort report is available for change by members of the routing queue

**Locked** – After an effort report is completed it is locked and cannot be modified

**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
Tips for Reviewing Effort

Effort is reported as an average over the reporting period (may be impacted by the number of months the award is active)

Compare reported effort percentage to proposed effort in original award document

Tolerance threshold of +/- 5%

Variances that may require agency prior approval:
- Absences (generally 3 months or more)
- Significant reductions of the PI and/or Key Personnel effort (25% or more)
- Note: It is the PI's responsibility to work with the Pre-award office to obtain sponsor’s prior approval
MyReports Effort reports

Located in the Finance Reports>All Campus Reports

FNRECDSEffort Certification Detail and Summary Report
- Select by ORG, Employee or PI
- Detail by account code available
- Reporting Period
MyReports Effort Reports

Located in the Finance Reports>All Campus Reports

FNRECR-T-Effort Certification Status Report
- List of employees in the effort queue
- Status of the record
- Action to be taken
- View pending or actions taken by Org Code
Navigation Tips

Scroll Bar
- Click F11 if you have multiple items listed under sponsored projects and cannot see the scroll bar

Expand the columns
- Click on the line you would like to expand and drag the line to make the column larger

Sort columns
- Click on the top of the column you would like to sort by, you can sort by any of the columns listed

View routing queue
- Select Routing Queue link on the left panel, to view all individuals in the queue and what actions have been or need to be taken
- Note: The employee name will appear on routing queue as certifier, the only time they will be required to certify is if they are also the PI

View Effort Breakdown by Pay Period
Pay Period Summary

Click on Pay Period Summary to view effort by pay period

- If grant is not active over whole effort certification period, this is where you can view detail by month
Pay Period Summary

Click on Monthly – Regular link to view FOAPA detail including index
Routing Queue

The Routing Queue will show who has reviewed and certified and who is pending action.
Pre-Review Scenarios

Pre-Review completed – no change necessary

Pre-Reviewer needs labor redistribution completed to update record
  ◦ Pre-reviewer prepares labor re-distribution

Pre-Reviewer requires a labor re-distribution to update record
  ◦ Pre-reviewer is not the department personnel that completes the labor re-distribution, request change through effort report

Pre-Reviewer completes review, Certifier requests a labor redistribution to update the record

30 days to complete Pre-Review Stage

Note: All Pre-Reviewers must complete review to move to Certification Stage
Scenario 1 - Pre-Review Effort Report

Salary distribution is displayed as percentage; a pie chart graph also displays the salary distribution

- Tolerance +/- 5% original award vs. effort worked
Scenario 1 – Complete Pre-Review

Click Review button to complete Pre-Review stage

Email notification will be sent to PI once the effort period is open for certification. (Please refer to email that was sent out at the beginning of the effort period for specific dates.)
Scenario 2 – Pre-Review Effort Report

Pre-reviewer begins review of effort record and needs to complete a labor distribution and is the labor redistribution initiator for department
- Does not need to select request changes button as this locks up the effort
- Completes necessary labor re-distribution in Employee Dashboard or Banner
- Review button on record will disappear

Please note: that when the “Request Changes” button is clicked no changes are made. The changes will only be made when a Labor Redistribution is processed.
Scenario 2 - Labor Redistribution completed

Labor redistribution processed by department, pending completion of updated payroll records. Note message on the right side in the Report Status Box.
Scenario 2 – Update Effort Report

Labor Redistribution has been approved and changes have been applied and Awaiting Refresh, click the Update Report button to show changes on the effort report:
- Available for Pre-review certification after update is complete
- Status changes to Under Review – Unlocked and the Review action can be taken
Scenario 2 – Complete Pre-Review

Click Review button to complete Pre-Review stage

Email notification will be sent to PI once the effort period is open for certification. (Please refer to email that was sent out at the beginning of the effort period for specific dates.)
Scenario 3 – Pre-Review Effort Report

Pre-reviewer begins review of effort record and needs to complete a labor distribution and is not labor redistribution initiator for department

- Select Request Changes button; system prompts user to send an e-mail. Send email to department labor redistribution initiator, include all necessary information to complete labor re-distribution.
Scenario 3 – Labor Re-Distribution has been requested

- Status now Under Review - Changes Submitted (optional).
Scenario 3 - Labor Re-distribution completed

Labor redistribution processed by department, has not updated payroll records. Note message in upper right corner
Scenario 3 – Update Effort Report

Changes have been applied and Awaiting Refresh, click the Update Report button to show changes on the effort report

- Available for Pre-review certification after update is complete
- Status changes to Under Review – Unlocked and the Review action can be taken
Scenario 3 - Complete Pre-Review

Select Review button to complete this stage

Email notification will be sent to PI once the effort period is open for certification. (Please refer to email that was sent out at the beginning of the effort period for specific dates.)

<table>
<thead>
<tr>
<th>Effort Report</th>
<th>Pay Period Summary</th>
<th>Comments</th>
<th>Routing Queue</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sponsored</td>
<td>Fund</td>
<td>Effort Category</td>
<td>Effort</td>
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<tr>
<td>Grant</td>
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<tr>
<td>2PL1: Removal of Understanding the effects of energy input from the solar wind to thermosphere-ionosphere-thermosphere (HIT) system</td>
<td>2PL1: Removal of Understanding the effects of energy input from the solar wind to thermosphere-ionosphere-thermosphere (HIT) system</td>
<td>RESTRICT</td>
<td>32.00</td>
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<tr>
<td>2PPV3: Accelerator Science and Technology Graduate and Undergraduate Research Program</td>
<td>2PPV3: Accelerator Science and Technology Graduate and Undergraduate Research Program</td>
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<td>Total Sponsored Activity 77.0%</td>
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<table>
<thead>
<tr>
<th>Effort Report Overview</th>
<th>Report Status</th>
<th>Important Dates</th>
<th>Pay Dates</th>
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<tr>
<td>202001</td>
<td>January 1 - June 30 2020</td>
<td>Certification Period</td>
<td>October 19, 2020 to November 18, 2020</td>
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<td>Under Review - Unlocked</td>
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<table>
<thead>
<tr>
<th>Non Sponsored</th>
<th>Fund</th>
<th>Organization</th>
<th>Effort Category</th>
<th>Effort</th>
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<tr>
<td>200306 M01</td>
<td>279 80 Atc Computer Eng Administration</td>
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<tr>
<td>Total Non Sponsored Activity 23.0%</td>
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Total : 100.0%

Request Changes  Review  Add New Funding  Save
Scenario 4 - 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

- Email should include all necessary information to complete the labor distribution
- Existing report will be updated after labor re-distribution is completed
- PI’s will receive email notification once the effort period is open to certify and when updated record has been pre-reviewed
Clear Changes Requested

If changes requested button was selected in error
Click clear changes to restore report to original if review or certification stage
Certification Stage

Select Certify button

Complete certification process

- Note: Certification will not be completed until all Fund Financial Managers have certified
Record is Locked

Once effort has been certified, salary transfers 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 Office.
    ◦ Main Campus – maineffortrptng@unm.edu
    ◦ HSC Campus – HSC-Effort-Reporting@salud.unm.edu

◦ Memos will be retained by Contract & Grant Accounting

The Effort Report will need to be reviewed and re-certified
Record is Locked

- When the effort is locked you will see a lock on the side of the labor
Record is Locked

Will not be able to edit Report only look at it. There will not be an edit icon available on the Labor Redistribution in the top right hand corner. And it will show locked under the select column.

<table>
<thead>
<tr>
<th>Select</th>
<th>Batch ID</th>
<th>Name</th>
<th>ID</th>
<th>Pay Year</th>
<th>Pay ID</th>
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<th>Sequence</th>
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Potential Consequences for non-compliance and delinquent effort reports*

- Ability to submit proposals could be suspended
- List of non-compliant PI’s sent to the department’s ADR and shared with Research Office
- Uncertified effort expenses moved to unrestricted index until certified reports are received

* to be determined by Main Campus/HSC Research office
Contact Information

Contact your Pre-Reviewer for general/procedural questions

Effort Email
- Main campus – maineffortrptng@unm.edu
- HSC campus – HSC-Effort_Reporting@salud.unm.edu

For all other questions
- Contact: Tamara Archuleta- Main Campus/Branches
  - tarchul2@unm.edu
  - 277-7719
- Contact: Peggy Dominguez - Health Sciences Center
  - PKDominguez@salud.unm.edu
  - 272-1335