UNM Effort Certification Training

Pre-Review Stage
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
  - Effort must equal 100% cumulative total
    - Includes teaching, research, service
    - 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%
    - Original award agreement and time worked

- Recently approved Effort Certification Policy will be added to UNM Faculty Handbook
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 – department would be responsible to repay the charges to the agency
    - Non-compliance on Uniform Guidance Single audit - could impact future funding

- Applies to non-timesheet employees only
Effort Certification

- Reports are displayed by employee
- Certification reports distributed and certified semi-annually through LoboWeb
  - Pre-Review Stage
    - 30 calendar days after reports are generated
  - Fund Financial Manager Certification
    - 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
- Pre-Review must be completed prior to Certification
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
- Some reasons for variances could include:
  - 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 prior approval
Terminology

• Stages:
  o **Pre-Review** – department personnel, identified by the Fund Financial Manager, reviews the effort report prior to certification. All labor redistributions should be completed during the Pre-Review Stage
  
  o **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.

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

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

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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.

Awaiting Refresh - Update

Record requires Pre-review and Recertification.

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

Pre-reviewer reviews report and approves. Email notification sent to Certifier.

Awaiting Certification

Awaiting Refresh - Update

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

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

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Awaiting Refresh - Update

Record requires Pre-review and Recertification.
Accessing Reports

- [https://my.unm.edu/home](https://my.unm.edu/home) - to log into LoboWeb
- Select the Employee tab - Click on Lobo Web
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, W-4 forms, and 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 2, 2008, should be available at a later date. 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 display of your email address.

- **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**
  - W-4 Form, W-2 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
My Activities

Once you are in Employee Dashboard look to the right for My Activities. Click the Effort Certification link.
Selecting and Adding Proxy Access

Once the Effort system has opened click on Proxy.

Here is where you can delegate who you would like to act as proxy for you. Once you have completed this click on Navigate to Effort Certification Application.
Select Review or Certify Reports

To Review employees needing your approval click on the Review or Certify Reports tab.
Click on Advance Search in the upper right hand corner.

Under Chart of Account Code type a capital U then click Go. This will bring up a list of employees needing your Pre Review.

If you know the Banner ID you can just search by that as well.
Select from Employee List

- Double click on 202102 to view effort report actions.
- Note Status and State of each employee
Employee Effort Report

1. Salary distribution is displayed as percentage; a pie chart also displays the salary distribution.
2. Tolerance +/- 5% original award vs. effort worked.
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:
  o Absences (generally 3 months or more)
  o Significant reductions of the PI and/or Key Personnel effort (25% or more)
  o 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

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

![Image of FNRECDS report interface]
MyReports Effort reports

Located in the Finance Reports>All Campus Reports

- FNRECRTEffort Certification Status Report
  - List of employees in the effort queue
  - Status of the record
  - Action to be taken
Navigation Tips

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

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

• **Sort columns**
  o 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**
  o 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
  o 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

- Select 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

- Select Monthly – Regular link to view FOAPA detail including index

<table>
<thead>
<tr>
<th>Pay Period</th>
<th>Start Date</th>
<th>End Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Monthly - Regular 1 2020</td>
<td>January 1, 2020</td>
<td>January 31, 2020</td>
</tr>
<tr>
<td>Monthly - Regular 2 2020</td>
<td>February 1, 2020</td>
<td>February 29, 2020</td>
</tr>
<tr>
<td>Monthly - Regular 3 2020</td>
<td>March 1, 2020</td>
<td>March 31, 2020</td>
</tr>
</tbody>
</table>

### Pay Period 1 2020
- Organization: CASAA Clinical Research PI #10
- Grant: 2BL99 Neurocognitive & Neurobehavioral
- Fund: 21830 2BL99 - Neurocognitive & Neurobehavioral
- Effort Type: RESTRICT Sponsored labor charge
- Payroll Percent: 19.9999
- Effort Period Percent: 8.9796

### Pay Period 2 2020
- Organization: CASAA Clinical Research PI #10
- Grant: 2BL99 Alcohol Research Training Change
- Fund: 2144 FED/R01/5610 19-OCT-20
- Effort Type: RESTRICT Sponsored labor charge
- Payroll Percent: 10.0001
- Effort Period Percent: 4.4809

### Pay Period 3 2020
- Organization: CASAA Clinical Research PI #10
- Grant: 2BL99 Alcohol Research Training Change
- Fund: 2144 FED/R01/5610 19-OCT-20
- Effort Type: RESTRICT Sponsored labor charge
- Payroll Percent: 10.0002
- Effort Period Percent: 4.4809

### Funding Chart
- 10% of the funds are allocated to Youth, 20% to Public Service, 90% to Research, 10% to Training, and 15% to Outreach.
Routing Queue
Pre-Review Scenarios

• Pre-Review completed – no change necessary
• Pre-Reviewer needs labor re-distribution completed to update record
  • Pre-reviewer prepares labor re-distribution
• Pre-Reviewer requires a labor re-distribution to update record
  o 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 re-distribution 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
- Effort reports will show status by Org, PI and activity in dollars
Scenario 1 – Complete Pre-Review

- Click Review button to complete Pre-Review stage
- Email notification will be sent to PI
Scenario 2 – Pre-Review Effort Report

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

Do not need to click any buttons below, complete labor re-distribution with normal process
Scenario 2 - Labor Re-distribution completed

- Labor redistribution processed by department, has not updated payroll records. Note message in upper right corner
Scenario 2 – 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 2 – Complete Pre-Review

- Click Review button to complete Pre-Review stage
- Email notification will be sent to PI
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
- PI will receive email notification when record is available to certify
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 when updated record has been pre-reviewed and is ready for certification
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

<table>
<thead>
<tr>
<th>Grant</th>
<th>Fund</th>
<th>Effort Category</th>
<th>Effort</th>
</tr>
</thead>
<tbody>
<tr>
<td>2RMW0 WKKF Evaluation FY19/FY20</td>
<td>2MW02 FROE:420,503.97 22-DEC-20</td>
<td>RESTRICT Sponsored labor charge</td>
<td>30.00</td>
</tr>
<tr>
<td>3RGB6 QVIR Evaluation for Youth &amp; Family Tree Project</td>
<td>3GB60 3RGB6 - QVIR Evaluation for Youth &amp;</td>
<td>RESTRICT Sponsored labor charge</td>
<td>35.00</td>
</tr>
<tr>
<td>3RG53 PRC Research</td>
<td>3GS30 3RG53 - PRC Research</td>
<td>RESTRICT Sponsored labor charge</td>
<td>30.00</td>
</tr>
<tr>
<td>3RHZ6 New Mexico Tribal Data Champions</td>
<td>3HZ60 3RHZ6-New Mexico Tribal Data Champions</td>
<td>RESTRICT Sponsored labor charge</td>
<td>5.00</td>
</tr>
</tbody>
</table>

Total Sponsored Activity 100.00%

Total: 100.00%

[Buttons: Request Changes, Certify, Add New Funding, Save]
• Once effort has been certified, salary transfers for that period will only be permitted in rare circumstances
  o 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
  o Request to open a previously certified effort report memo must be completed and signed by Dean or Director
    • Requests can be scanned or sent to your respective C&GA Manager
      o Jessica Alderete– Main Campus
      o Peggy Domiguez- HSC
  o 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

- Error Message if locked record is selected
Record is Locked

- Lobo Web
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

* to be determined by Research faculty
Contact Information

• Contact your Pre-Reviewer for general/procedural questions

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

• For all other questions
  o Contact: Jessica Armijo - Main Campus/Branches
    • jessald@unm.edu
    • 277-9731
  o Contact: Peggy Dominguez - Health Sciences Center
    • PKDominguez@salud.unm.edu
    • 272-1335