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.
  
  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 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:
  - **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.
  - **Certification** – Fund Financial Manager(s) will certify employees’ effort after the 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.

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

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

**Awaiting Certification**

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

**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 Re-certification.

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

Awaiting Refresh - Update

Awaiting Refresh - Update

Under Review

**Awaiting Refresh - Update**

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

- [https://my.unm.edu/home](https://my.unm.edu/home) - to log into LoboWeb
- Select the Employee tab - Click on Lobo Web
Select Effort Certification

Employee

Welcome to LoboWeb for Employees! You can view personal information such as benefits and deductions, leave balances and direct deposit.
- Demographic Self-Service Information (i.e. home address)
- Emergency Contacts
- Annuitities and Donations
- W-4 Forms
- Direct Deposit Information

Please remember that history will build beginning January 2, 2006. Information such as previous pay stubs or job history prior to January 2006 should not be relied upon. 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

- 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
Selecting and Adding Proxy Access

- 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
Click Advanced Search
Select Attribute 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
Search for Reports to Review

- Select Attribute drop down
  - Chart of Accounts – type a capital “U” – it is very important to use a **Capital U**, otherwise no information will come up.
Search for Reports to Review

- Select Attribute drop down
  Effort Period Code – type “201802” and hit Go. System will display all records that you have access to view.
Search for Reports to Review

- If you know the Banner ID you can just search by that as well.
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 also displays the salary distribution
- 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:
  - 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
E-Print and MyReports report

• E Print reports FRRO EC 02 and FRRO EC 02-HSC
  • Located in the fin_banp repository
    o Provides a report of the effort distribution in dollar values to correspond to the percentages displayed on the effort certification reports
    o Displays information by Org Code, PI, and Grant

• MyReports report FNRECRT-Effort Certification Status Report
  • Located in the Finance Reports/F All Campus Reports
    o List of employees in the effort queue
    o Status of the record
    o 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
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
- E-print 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
  - 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

<table>
<thead>
<tr>
<th>Organization</th>
<th>Effort Category</th>
<th>Charge Type</th>
<th>Effort</th>
</tr>
</thead>
<tbody>
<tr>
<td>SAFE 997400 Pediatrics CDD Faculty #6</td>
<td>RESTRICT Sponsored Labor Charges</td>
<td>Direct</td>
<td>4.24</td>
</tr>
<tr>
<td>Care 997006 Neo Staff #3</td>
<td>RESTRICT Sponsored Labor Charges</td>
<td>Direct</td>
<td>15</td>
</tr>
</tbody>
</table>

Total Sponsored Activity 19.24%

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<tbody>
<tr>
<td>997006 Neo Staff #3</td>
<td></td>
<td>Direct</td>
<td>61.51</td>
</tr>
<tr>
<td>al 99702A Neo Dev, Care Admin.</td>
<td></td>
<td>Direct</td>
<td>19.15</td>
</tr>
</tbody>
</table>

Total Non Sponsored Activity 80.76%
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 re-distribution initiator for department
- Select Request Changes button; system prompts user to send an e-mail. Send email to department labor re-distribution 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
Record is Locked

• 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

- Banner PHAREDS
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 Alderete - Main Campus/Branches
    • jessald@unm.edu
    • 277-9731
  o Contact: Peggy Dominguez - Health Sciences Center
    • PKDominguez@salud.unm.edu
    • 272-1335