

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.
 - Federal Requirement
 - 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
 - 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

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> - to log into LoboWeb
- Select the Employee tab - Click on Lobo Web

The screenshot displays the LoboWeb interface with three main sections:

- Human Resources:** Includes a list of links under 'General Information' such as HR Website, EAPF Resource Page, ePAN, Employment Knowledge Base, Salary Structure Table, Standard Time Sheet for Staff (xlsx), Standard Time Sheet for Staff (Excel 2007), and Standard Timesheet for Staff - Instructions.
- LoboWeb (Employees):** Features a red paw print icon, a description of LoboWeb as a place for employees to view/update personal information, benefits, and deductions, and a prominent red button labeled 'ENTER LOBOWEB' with an arrow pointing to it. Below this are 'Quick links' for Leave Balances, Pay Stub, Finance, and Bursar Account.
- UNM Business:** Lists various applications and reports, including LoboMail, LoboTime, UNMJobs, Workflow, AppReview GradApp, Grad Studies App, Reporting (E-Print, Enterprise Metrics Reporting (EMR), HR Reports).

Select Effort Certification

[Student](#) [Financial Aid](#) [Employee](#) [Payment](#) [Finance](#)

Search

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 will not be available. 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 posted on the HR/Payroll Support Center website.

Personal Information

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

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

My Activities

Once you are in Employee Dashboard look to the right for My Activities.
Click the Effort Certification link

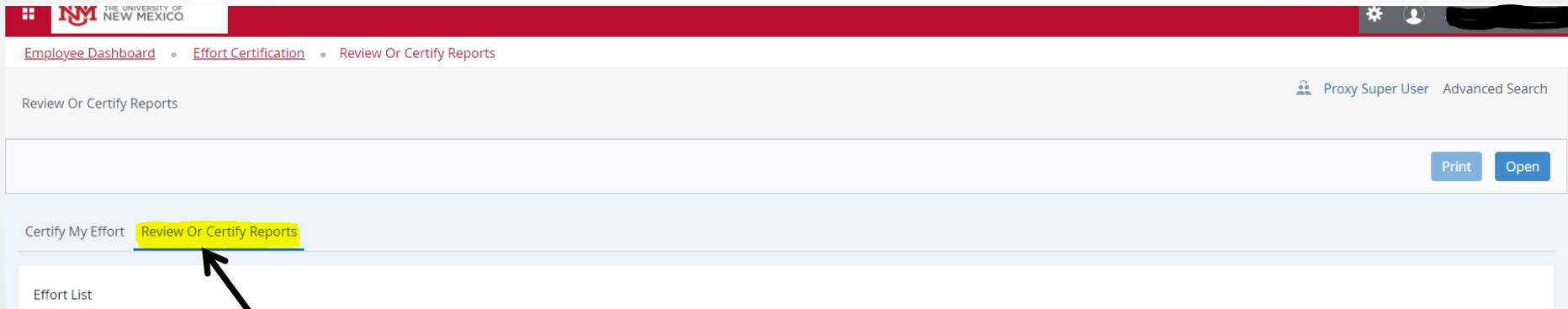
The screenshot displays the 'Employee Dashboard' interface. At the top left, there is a profile picture placeholder and a 'My Profile' button. To the right, a section titled 'Leave Balances as of 04/16/2021' contains a table with the following data:

| Category | Value | Category | Value | Category | Value |
|---------------------------------|-------|-----------------------------|-------|----------------------------------|-------|
| Annual Leave in hours | 0.00 | Sick Minor in hours | 0.00 | Catastrophic Lv Donated in hours | 0.00 |
| Comp1 - NonUnion/USUNM in hours | 0.00 | Comp2 - Police/CWA in hours | 0.00 | Paid Parental Leave in hours | 0.00 |

Below the table is a link for 'Full Leave Balance Information'. The main navigation menu on the left includes 'Pay Information', 'Earnings', 'Benefits', 'Taxes', 'Job Summary', and 'Employee Summary'. On the right side, a secondary menu is open, showing 'My Activities' (highlighted in yellow), 'Effort Certification', and 'Labor Redistribution'. An arrow points from the 'My Activities' item in the right menu to the 'Effort Certification' link in the main content area.

Select Review or Certify Reports

To Review employees needing your approval click on the Review or Certify Reports tab.



The screenshot displays the NMI (The University of New Mexico) Employee Dashboard. The breadcrumb trail at the top reads: [Employee Dashboard](#) • [Effort Certification](#) • [Review Or Certify Reports](#). The main content area is titled "Review Or Certify Reports" and includes a "Proxy Super User" profile and an "Advanced Search" option. Below this, there are "Print" and "Open" buttons. A navigation bar at the bottom shows two tabs: "Certify My Effort" and "Review Or Certify Reports". The "Review Or Certify Reports" tab is highlighted in yellow, and a black arrow points to it from the bottom left. Below the tabs is an "Effort List" section.

Click Advanced Search

Click on Advance Search in the upper right hand corner.

[Employee Dashboard](#) • [Effort Certification](#) • [Review Or Certify Reports](#)

Review Or Certify Reports

Proxy Super User [Advanced Search](#)

Print Open

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

Advanced Search

| | | | | |
|------------|-------------------|--------------------|------------------------------|--------------------|
| ID | Last Name | First Name | Chart of Account Code | Effort Period Code |
| Enter ID x | Enter Last Name x | Enter First Name x | U | Select Period Code |
| State | Status | Grant | | |
| | | Select Grant Code | | |

Clear Close **Go**

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

Advanced Search

| | | | | |
|------------|-------------------|--------------------|-----------------------|--------------------|
| ID | Last Name | First Name | Chart of Account Code | Effort Period Code |
| Enter ID x | Enter Last Name x | Enter First Name x | Select COA code | Select Period Code |
| State | Status | Grant | | |
| | | Select Grant Code | | |

Clear Close Go

Select from Employee List

- Double click on 202201 to view effort report actions.
- Note Status and State of each employee

Employee Dashboard • Effort Certification • Review Or Certify Reports

Certify My Effort Review Or Certify Reports

Effort List

| COA | Period Code | Period Description | Name | ID | Start Date | End Date | Status | Unlocked/Locked | Comments |
|-----|-------------|--------------------------|------|----|------------|------------|-----------|-----------------|----------|
| U | 201901 | January 1 - June 30 2019 | | | 10/03/2019 | 11/29/2019 | Completed | Locked | |
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| U | 201901 | January 1 - June 30 2019 | | | 10/03/2019 | 11/29/2019 | Completed | Locked | |

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

Effort Report | Pay Period Summary | Comments | Routing Queue

Sponsored

| Grant | Fund | Effort Category | Effort |
|--|---------------------------------------|---------------------------------|--------|
| 2RKD8 Neural Underpinnings of Emotion Regulation and Drinking to Cope Among Problem Alcohol Drinkers | 2KD80 2RKD8 - Neural Underpinnings of | RESTRICT Sponsored labor charge | 92.24 |
| 3RDF3 Tree Center for Advancing Behavioral Health | 3DF31C Tree - Investigator Core | RESTRICT Sponsored labor charge | 4.85 |

Total Sponsored Activity 97.09%

Non Sponsored

| Fund | Organization | Effort Category | Effort |
|---------------|--------------------------------------|-----------------|--------|
| 2U0006 MU Idc | 028C0 CASAA Clinical Rsrch Gen Admin | | 2.91 |

Total Non Sponsored Activity 2.91%

Total : 100.00%

[Save](#)

Effort Report Overview

Report Status

201901
January 1 - June 30 2019
October 03, 2019 - November 29, 2019

Completed - Locked

Comments Exist

Important Dates

Begin Pre-Review
September 30, 2019
Certification Period
October 03, 2019 to November 29, 2019
Post Review End
December 20, 2019

Pay Dates

5R - 1 January 01, 2019-January 31, 2019
5R - 2 February 01, 2019-February 28, 2019
5R - 3 March 01, 2019-March 31, 2019
5R - 4 April 01, 2019-April 30, 2019
5R - 5 May 01, 2019-May 31, 2019
5R - 6 June 01, 2019-June 30, 2019

Funding Chart

| Fund | Percentage |
|--------|------------|
| 2RKD8 | 92.2% |
| 3RDF3 | 4.9% |
| 2U0006 | 2.9% |

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

The screenshot shows a web application interface for an Effort Report. At the top, there are navigation links: [Employee Dashboard](#), [Effort Certification](#), and [Effort Report](#). Below these, there are tabs for [Effort Report](#), [Pay Period Summary](#) (which is highlighted with a yellow box and a black arrow), [Comments](#), and [Routing Queue](#). The main content area displays the report title [Monthly - Regular 1 2020](#) and the date range [January 01, 2020 - January 31, 2020](#). Below this is a table with the following data:

| Organization | Grant | Fund | Effort Type | Payroll Percent | Effort Period Percent |
|---------------------------------------|--|---|---------------------------------|-----------------|-----------------------|
| 028C09 CASAA Clinical Research PI #10 | 2RLR9 Neurocognitive and Neurobehavioral | 2LR90 2RLR9 - Neurocognitive & Neurobehav | RESTRICT Sponsored labor charge | 19.9999 | 8.9796 |

On the right side of the interface, there is a sidebar titled [Effort Report Overview](#) with a collapse icon. It contains a [Report Status](#) section with the following information: 202001, January 1 - June 30 2020, October 19, 2020 - November 18, 2020, and Completed - Locked.

Certifying Effort

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

Effort Report Pay Period Summary Comments Routing Queue

Sponsored

| Grant | Fund | Effort Category | Effort |
|---|---|---------------------------------|--------|
| 2RMW0 WKKF Evaluation FY19/FY20 | 2MW02 FROE:\$202,503.97 22-DEC-20 | RESTRICT Sponsored labor charge | 30.00 |
| 3RGB6 QVIR Evaluation for Youth & Family Tree Project | 3GB60 3RGB6 - QVIR Evaluation for Youth & | RESTRICT Sponsored labor charge | 35.00 |
| 3RGS3 PRC Research | 3GS30 3RGS3 - PRC Research | RESTRICT Sponsored labor charge | 30.00 |
| 3RHZ6 New Mexico Tribal Data Champions | 3HZ60 3RHZ6-New Mexico Tribal Data Champi | RESTRICT Sponsored labor charge | 5.00 |

Total Sponsored Activity 100.00%

Total : 100.00%

Request Changes Certify Add New Funding Save

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

Effort Report Actions | New | Refresh | Open | Save | Copy | Delete | More Actions | Close

Effort Report

Pay Period Summary

Comments

Routing Queue

Sponsored

| Grant | Fund | Effort Category | Effort |
|---|---|----------------------------------|----------------------------------|
| 3R39D New Mexico SAFE Program | 339D4 3R39D - New Mexico SAFE Program | RESTRICT Sponsored Labor Charges | 5.29 |
| 3R96E Developmental Care Continuity Progr | 396E0 3R96E-Developmental Care Continuity | RESTRICT Sponsored Labor Charges | 13.94 |
| Total | | | Sponsored Activity 19.23% |

Non Sponsored

| Fund | Organization | Effort Category | Effort |
|------------------------------|-----------------------------|-----------------|--------------------------------------|
| 3U0029 HU Clinical Residuals | 997006 Neo Staff #3 | | 61.61 |
| 3U0034 HU UNMH SOM General | 99702A Neo Dev. Care Admin. | | 19.16 |
| Total | | | Non Sponsored Activity 80.77% |

Total 100.00%

Request Changes | **Certify** | **Add New Funding**

Effort Report Overview

Report Status:

201101

Jan 1 - June 30 2011

Jul 01 2011 - Oct 31, 2011

Awaiting Certification - Unlocked

Funding Chart

3R96E Developmental Care Continuity Progr: 13.9% (13.94)

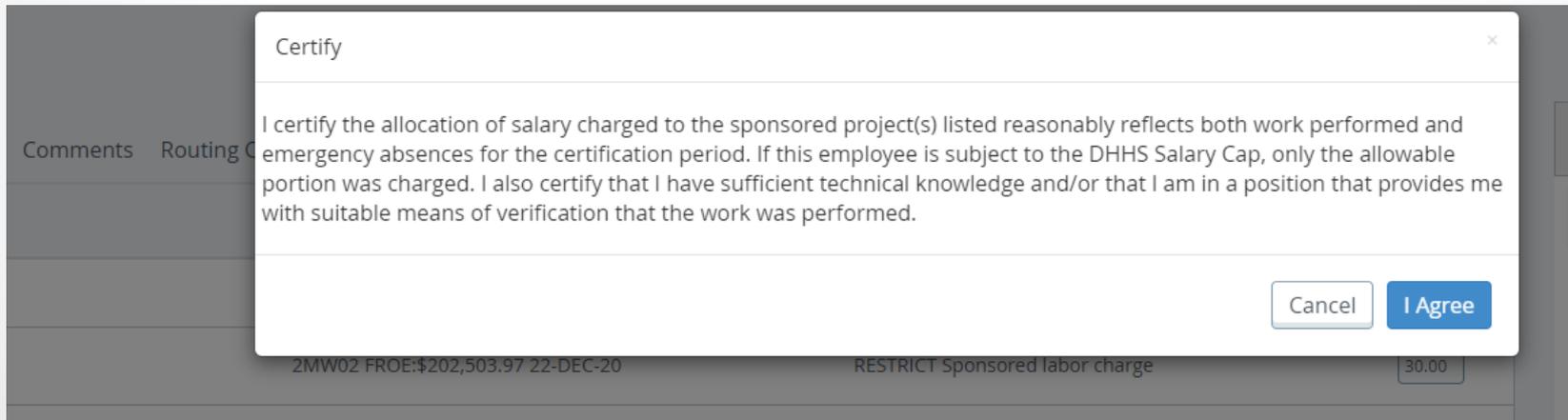
61.61% 5.29% 19.16%

Proxy or Superuser

You are acting as a Superuser

Certify Statement

This is the final step once you click I Agree the effort is complete.



Certify

I certify the allocation of salary charged to the sponsored project(s) listed reasonably reflects both work performed and emergency absences for the certification period. If this employee is subject to the DHHS Salary Cap, only the allowable portion was charged. I also certify that I have sufficient technical knowledge and/or that I am in a position that provides me with suitable means of verification that the work was performed.

Cancel I Agree

2MW02 FROE:\$202,503.97 22-DEC-20 RESTRICT Sponsored labor charge 30.00

Record is Locked

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