Effort Certification Training

Certification Stage

THE UNIVERSITY OF NEW MEXICO

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/**

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 – Salary is unsupported, and therefore, unallowable
    - Non-compliance on the Uniform Guidance Single Audit - could impact future funding
- **Applies to non-timesheet (5R) employees only**

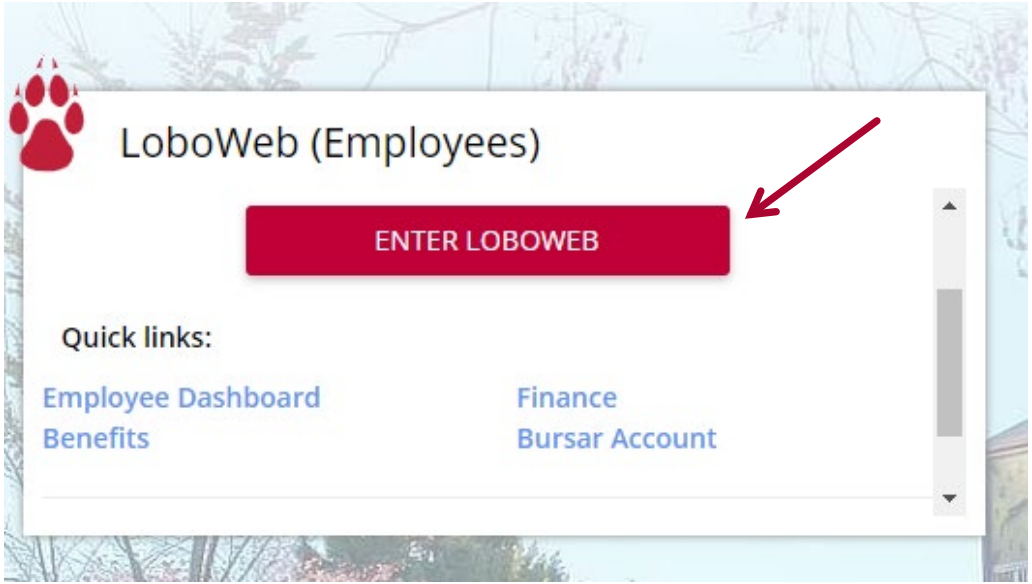
Effort Certification Process

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

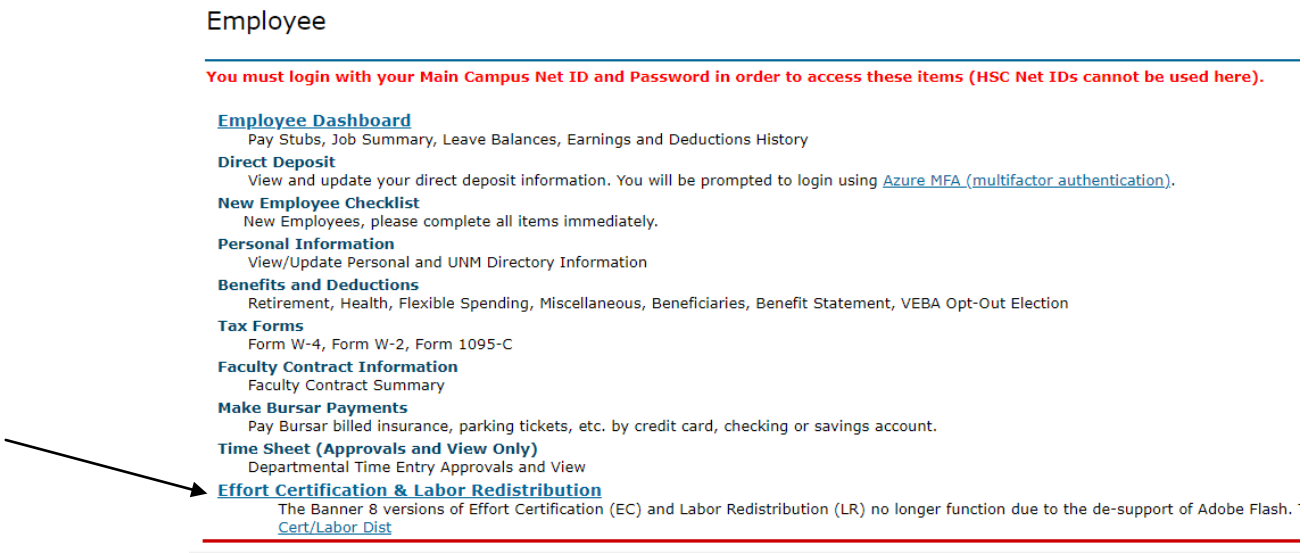
Accessing Reports

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

- Select the ENTER LOBOWEB tab.

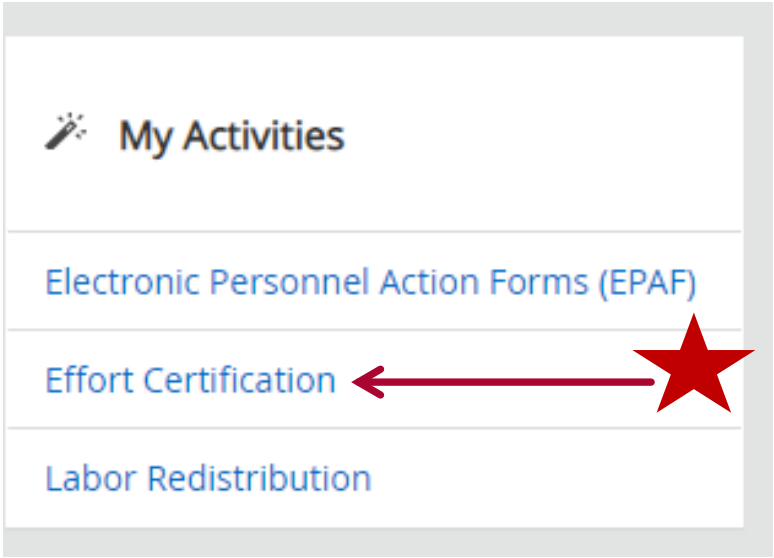


Click on Effort Certification & Labor Redistribution

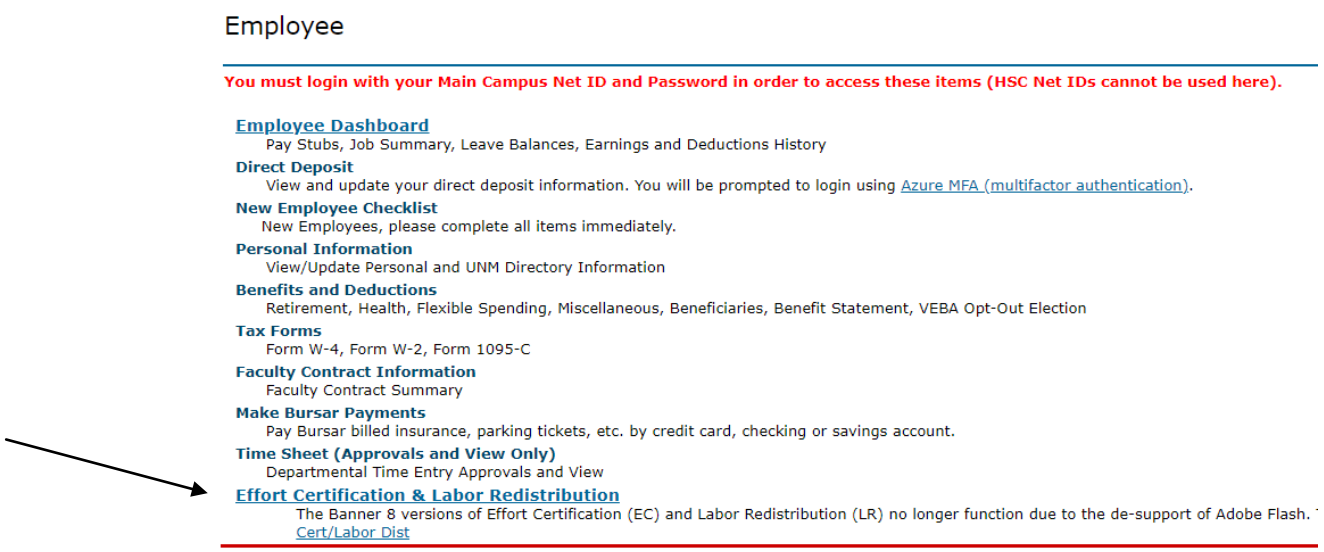


Select Effort Certification

In the My Activities box on the right side of the page select the ‘Effort Certification’ link.



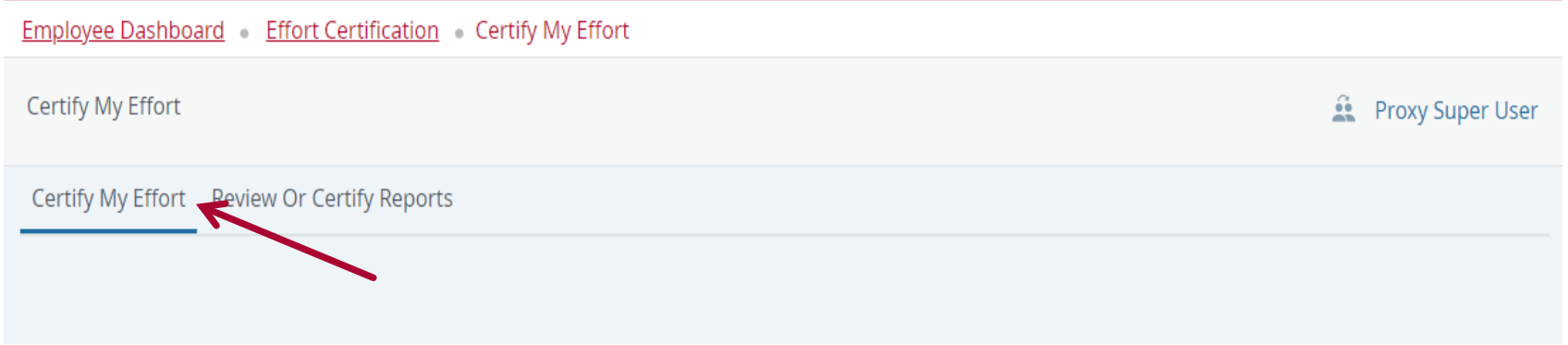
Click on Effort Certification & Labor Redistribution



How to Certify Your Own Effort

System will default to the ‘Certify My Effort’ tab where PI information will be displayed. This is where you will certify your own effort. Double click on your effort to open it.

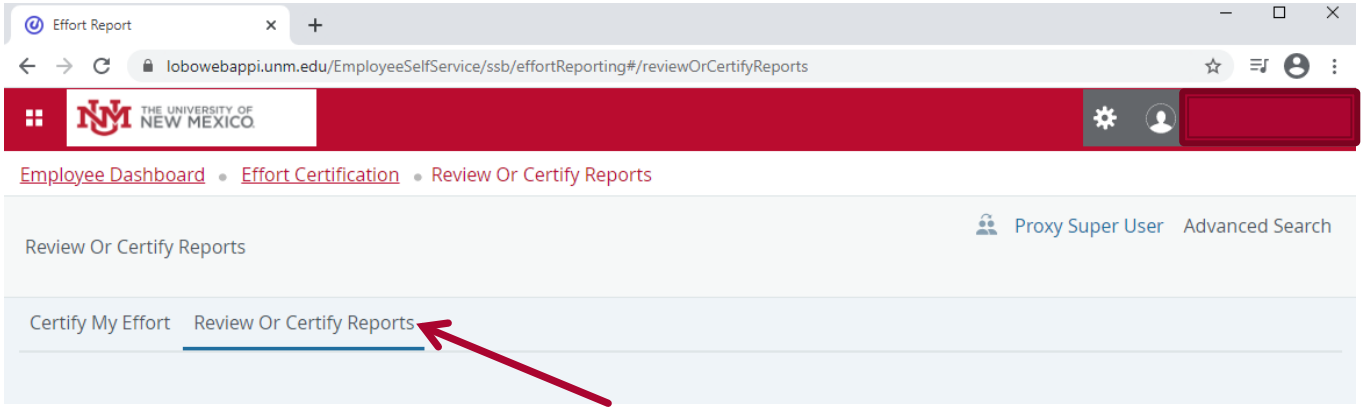
To view all other employee Effort Reports requiring certification, click on the Review or Certify Reports tab and complete the steps below before accessing the list effort reports requiring certification.



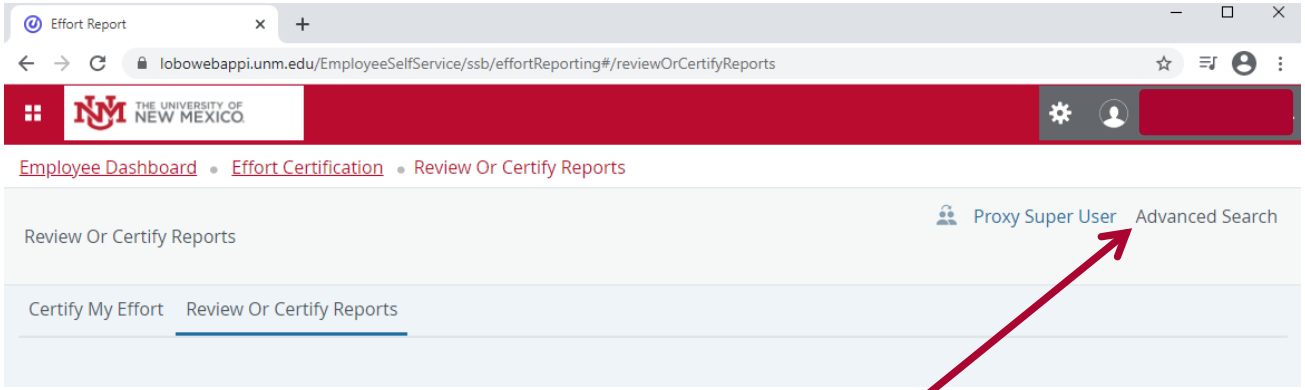
Certifying Effort for all other employees on an award

Step 1 - Select Review or Certify Reports

To view all the employee Effort Reports that need to be certified select ‘Review Or Certify Reports’ tab at the top of the page.

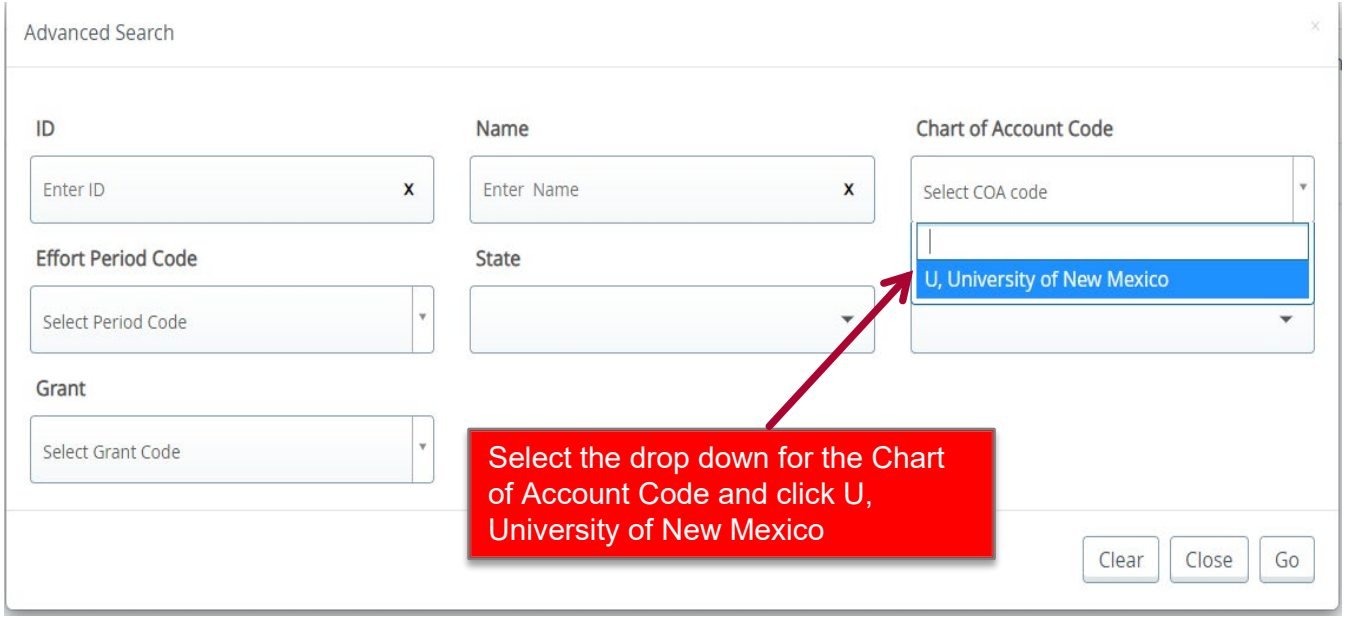


Step 2 - Click Advanced Search



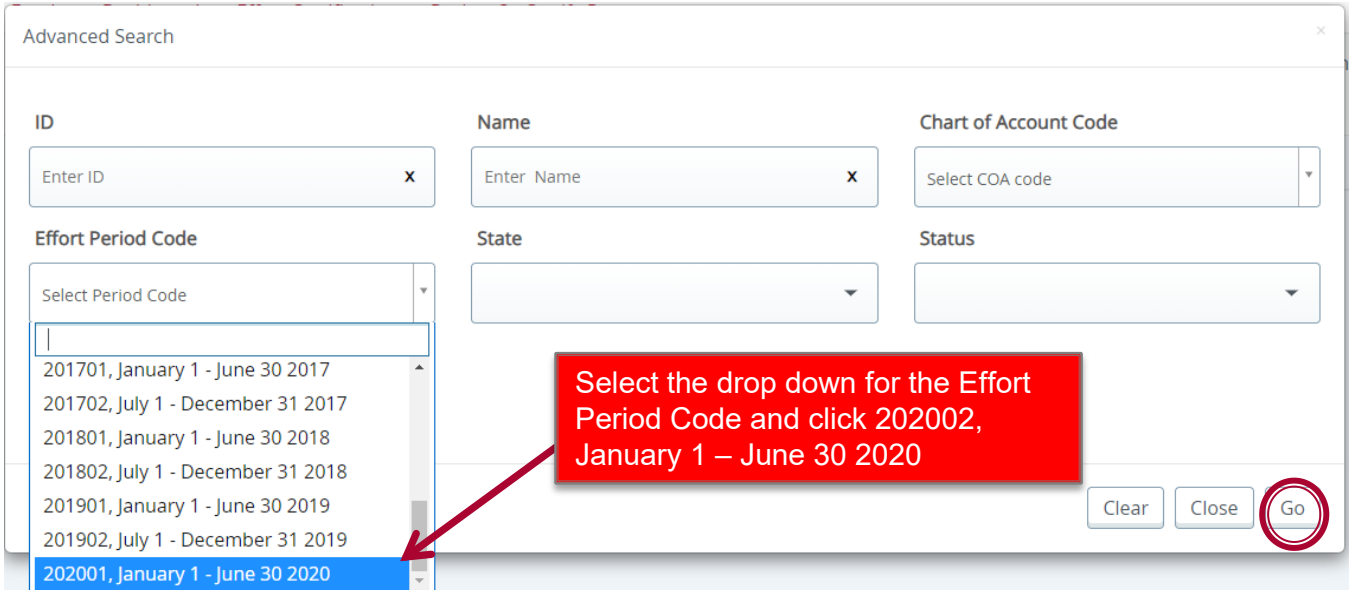
Advanced Search should come up automatically but if it does not click Advance Search to view search options.

Step 3 - Select Chart of Account Code

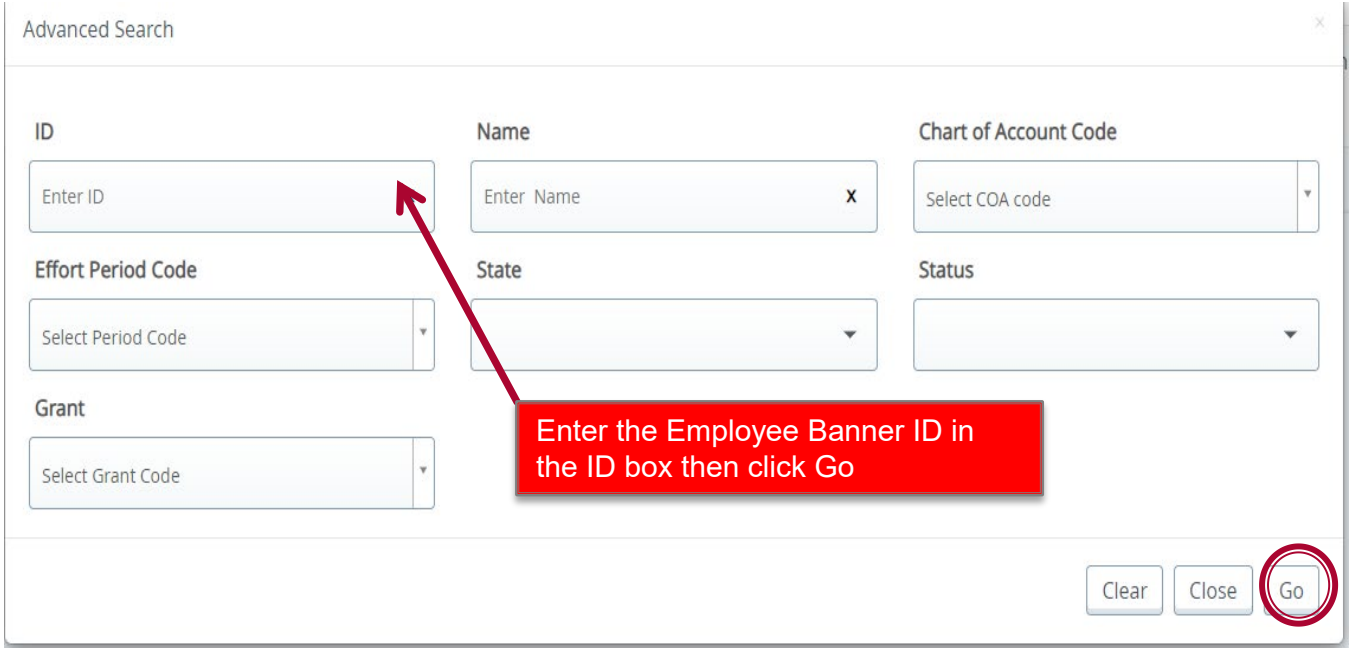


Step 4 - Select Effort Period Code

Important Note: The current effort period will be at the *bottom* of the list.
Select the effort period, and then click 'Go' on the bottom right of the screen to display all the effort reports that need to be certified.



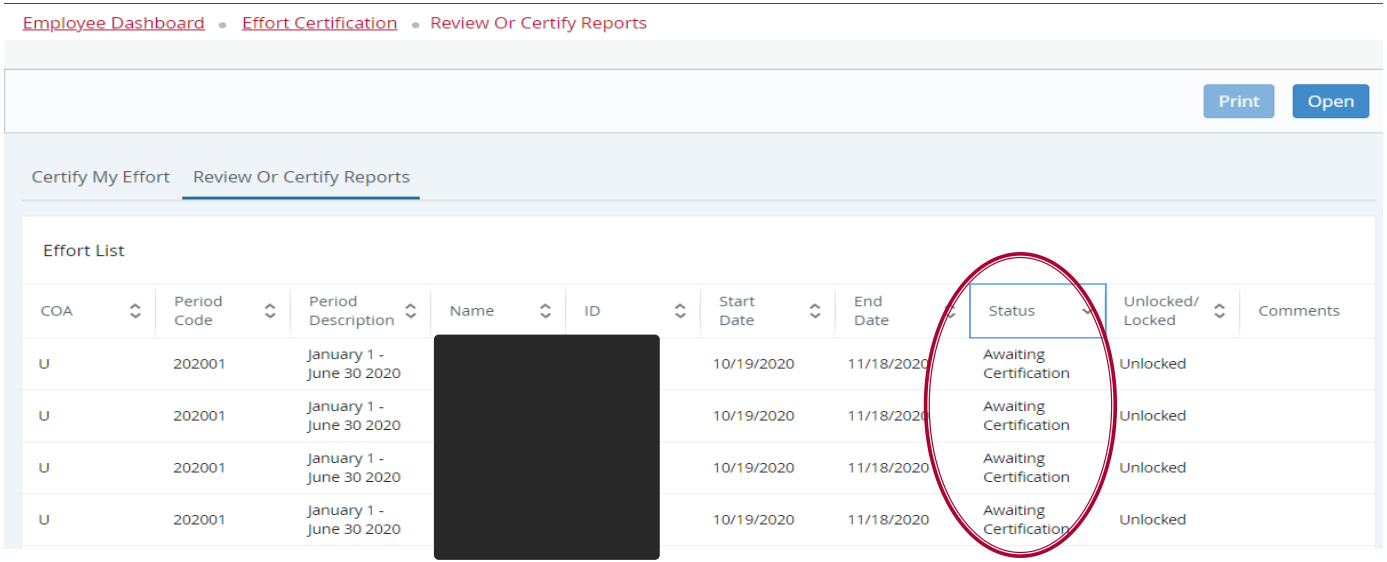
Step 5 - Search for Reports to Review



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

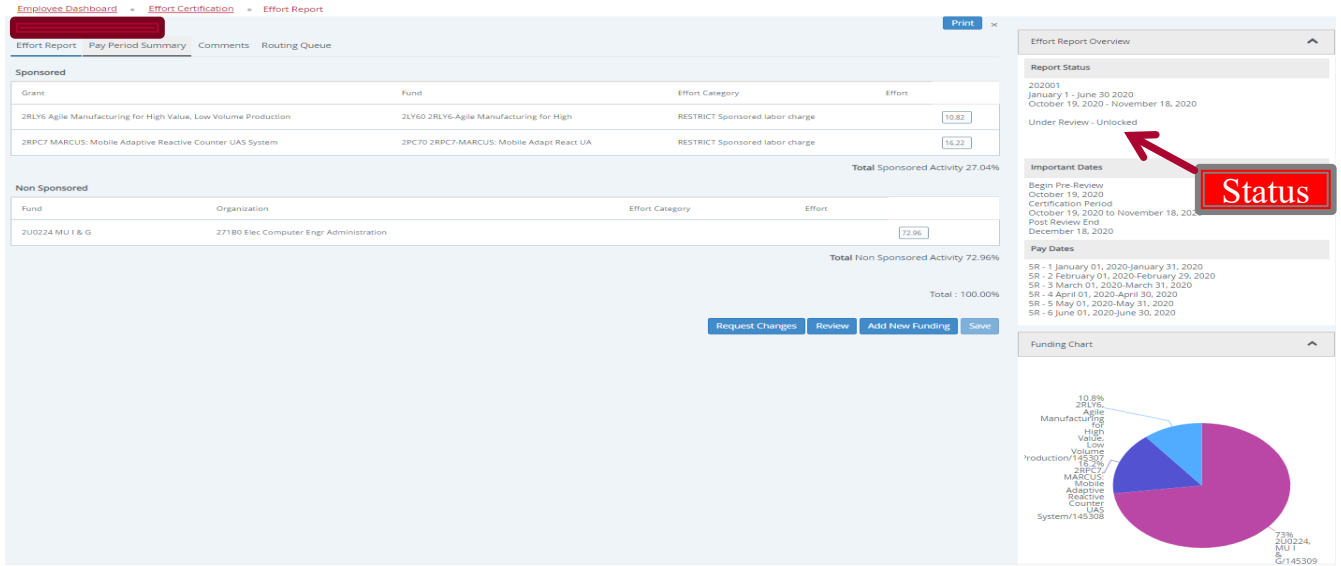
Step 6 - Select from Employee List

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



Employee Effort Report

- Salary distribution is displayed as a percentage; a pie chart also displays the salary distribution
- Tolerance of +/- 5% is acceptable from original award vs. effort worked – If there is a discrepancy email maineffortrptng@unm.edu or HSC-Effort-Reporting@salud.unm.edu



Column Definitions

Status Column:

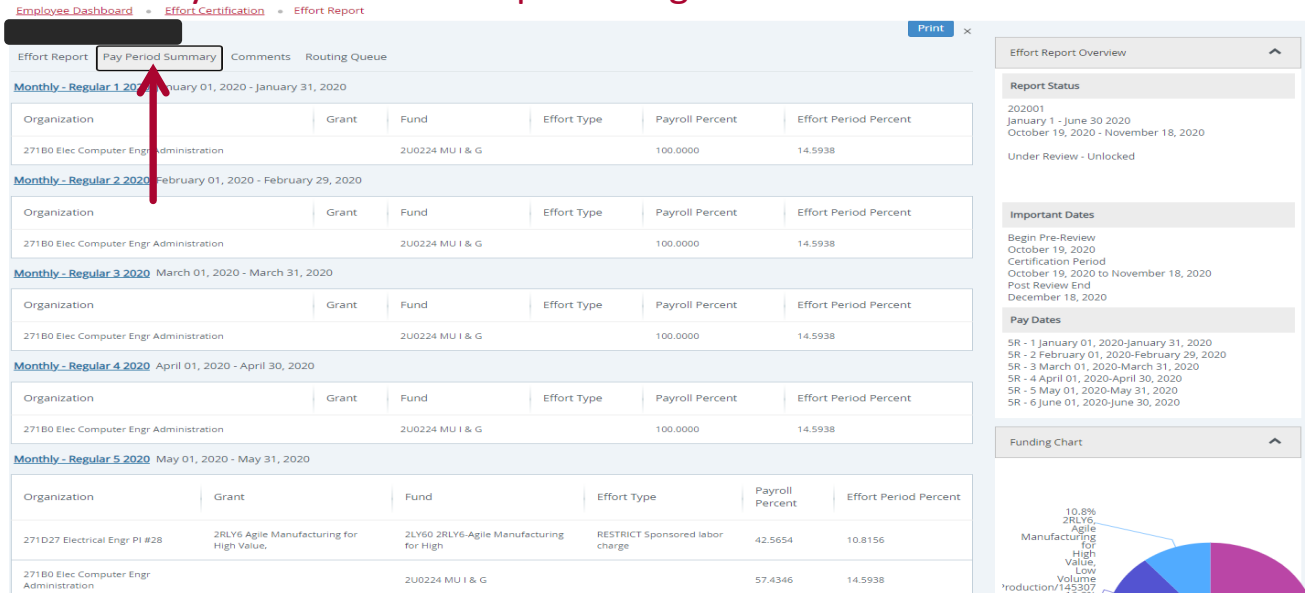
- **Under Review** – Report has been created and is available for viewing by pre-reviewers
- **Awaiting Certification** – Pre-Reviewers have reviewed and report is ready for certification
- **Completed** – Effort report has been certified and completed

Locked/unlocked column:

- **Locked** – After an effort report is completed it is locked and cannot be modified
- **Unlocked** – Effort report is available for action by members of the routing queue
- **Awaiting Refresh** – Labor re-distribution has been completed and has updated the payroll records, report needs to be updated, reviewed and certified
- **Changes Submitted** – When request change button is clicked

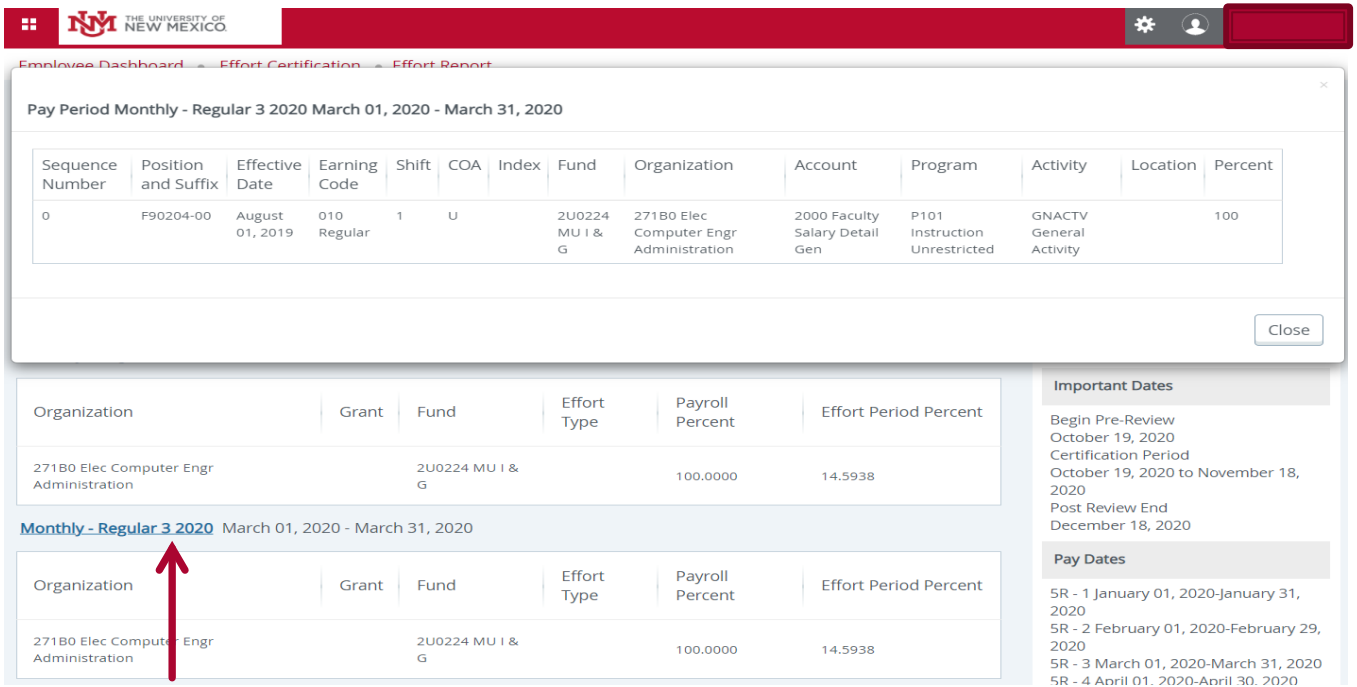
Pay Period Summary

- Click on Pay Period Summary to view effort by pay period
- If grant is not active over entire 6-month effort certification period, this is where you can view detail by month to ensure percentages are accurate



Pay Period Summary

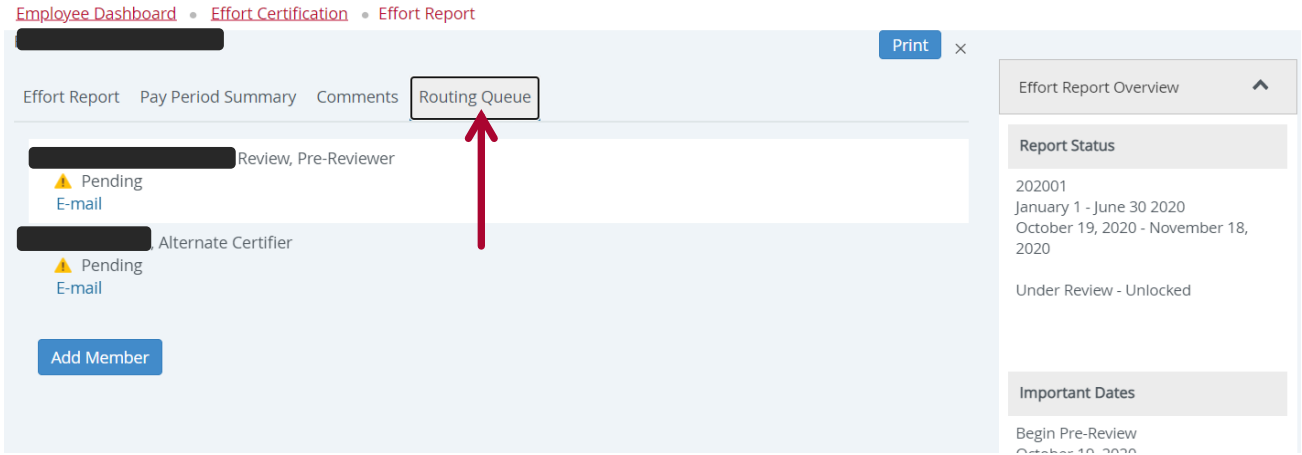
- Click on Monthly – Regular link to view FOAPA detail including index



Routing Queue

The Routing Queue will show all pre-reviewers and certifiers and all completed and pending queue actions.

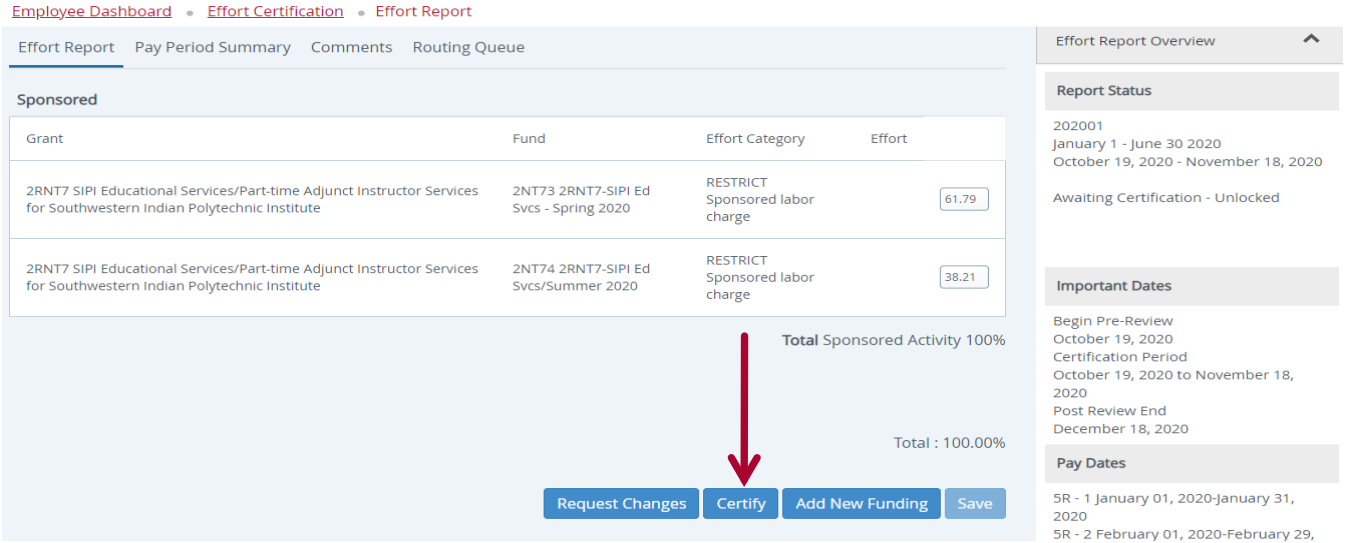
NOTE: If there are multiple certifiers all certifications will need to be complete before the effort is locked.



Final Step - Certification

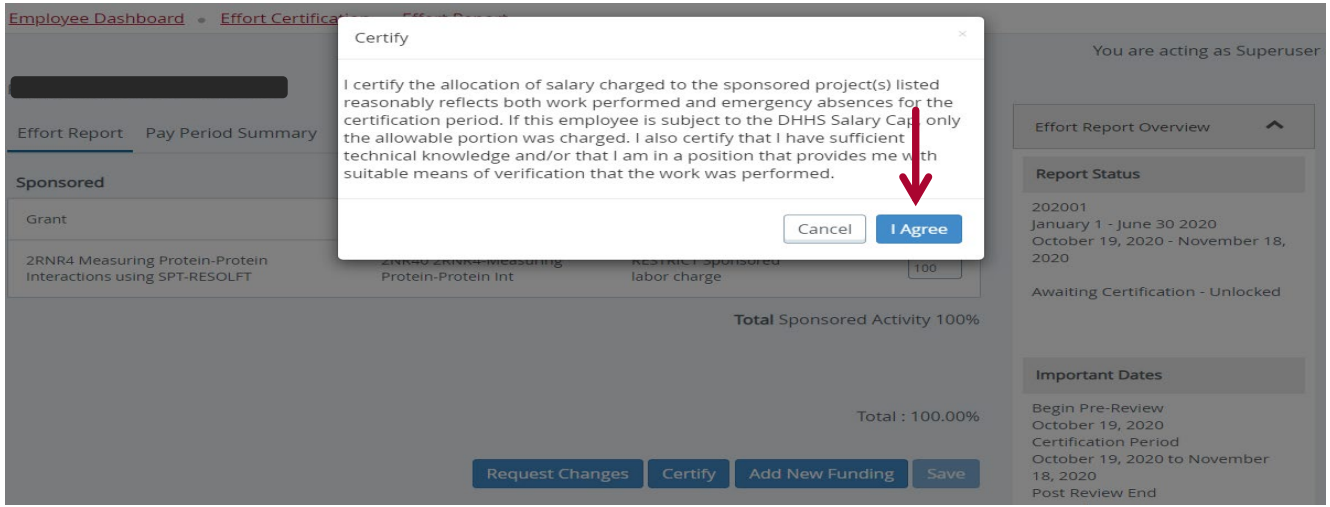
- Select ‘Certify’ button
- Complete certification process by accepting certification statement in pop-up window

Note: Certification will not be completed until all Fund Financial Managers have certified



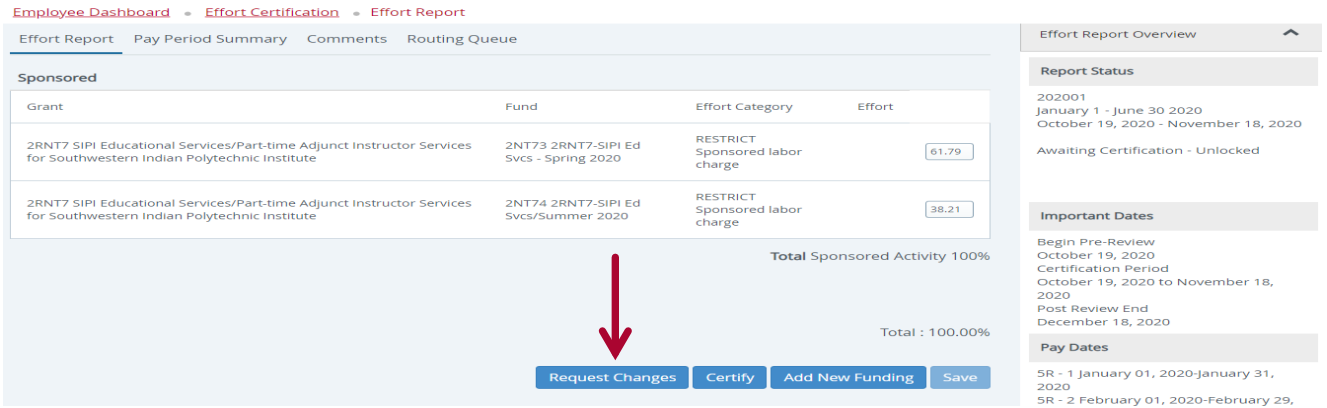
Certification Statement

- Certification Statement – Click “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
  - 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



Record is Locked

- Once effort has been certified, labor redistributions for the certified employee for that period will only be permitted in very 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 and kept in the award file
- The Effort Report will need to be pre-reviewed again and re-certified

Consequences for delinquent reports*

- Ability to submit proposals could be suspended
- List of non-compliant PI's sent to the department's ADR and Research Office
- Uncertified effort expenses moved off of award to PI's unrestricted index

*as proposed by applicable Research Office (Main Campus or HSC)

Contact Information

- Contact your pre-reviewer or departmental grant administrator for general/procedural questions
- For all other questions, contact applicable Contract & Grant Accounting office
  - Contract & Grant Accounting - Main Campus/Branches
    - 277-4721
  - 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