

Effort Certification Training

Certification Stage



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**

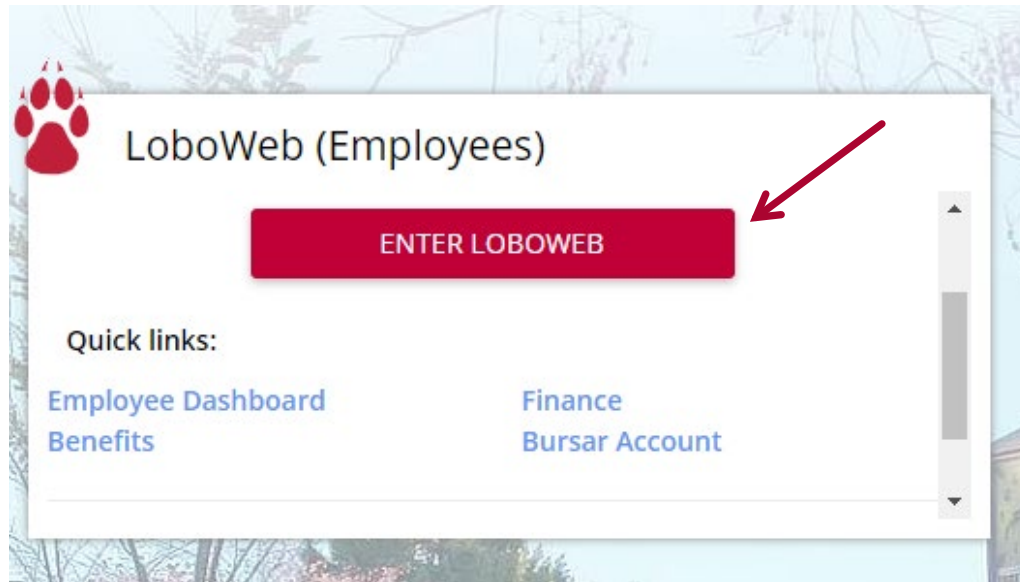
Effort Certification Process

- 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

Employee

You must login with your Main Campus Net ID and Password in order to access these items (HSC Net IDs cannot be used here).

[Employee Dashboard](#)

Pay Stubs, Job Summary, Leave Balances, Earnings and Deductions History

Direct Deposit

View and update your direct deposit information. You will be prompted to login using [Azure MFA \(multifactor authentication\)](#).

New Employee Checklist

New Employees, please complete all items immediately.

Personal Information

View/Update Personal and UNM Directory Information

Benefits and Deductions

Retirement, Health, Flexible Spending, Miscellaneous, Beneficiaries, Benefit Statement, VEBA Opt-Out Election

Tax Forms

Form W-4, Form W-2, Form 1095-C

Faculty Contract Information

Faculty Contract Summary

Make Bursar Payments

Pay Bursar billed insurance, parking tickets, etc. by credit card, checking or savings account.

Time Sheet (Approvals and View Only)

Departmental Time Entry Approvals and View

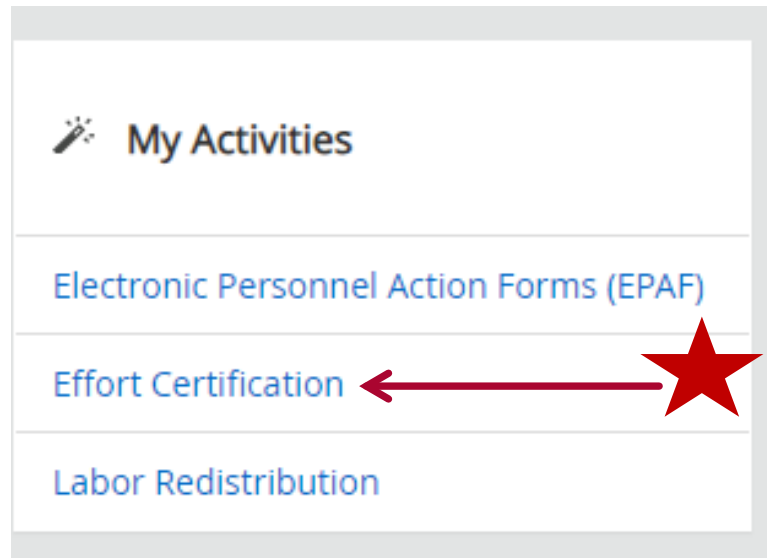
[Effort Certification & Labor Redistribution](#)

The Banner 8 versions of Effort Certification (EC) and Labor Redistribution (LR) no longer function due to the de-support of Adobe Flash.

[Cert/Labor Dist](#)

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

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You must login with your Main Campus Net ID and Password in order to access these items (HSC Net IDs cannot be used here).

Employee Dashboard

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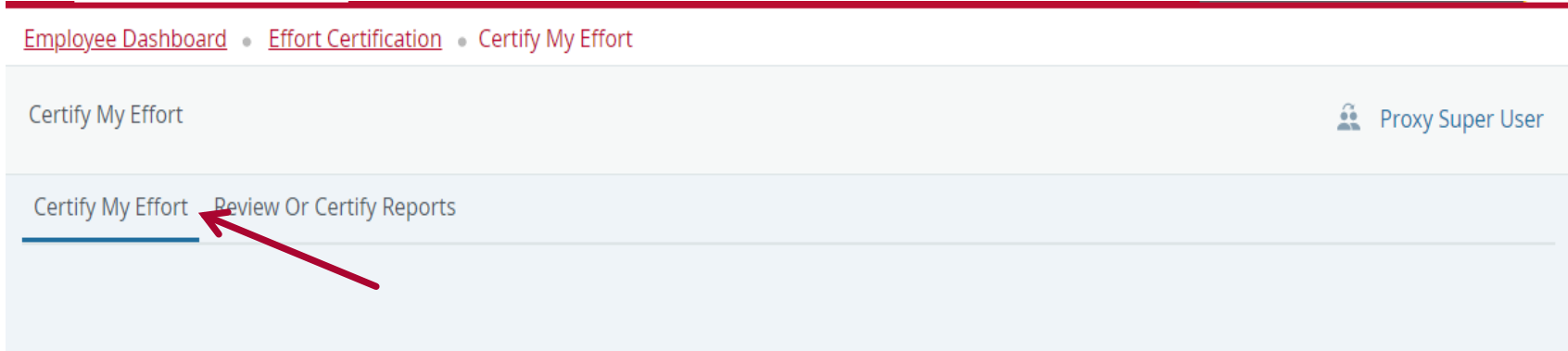
Effort Certification & Labor Redistribution

The Banner 8 versions of Effort Certification (EC) and Labor Redistribution (LR) no longer function due to the de-support of Adobe Flash.
[Cert/Labor Dist](#)

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.

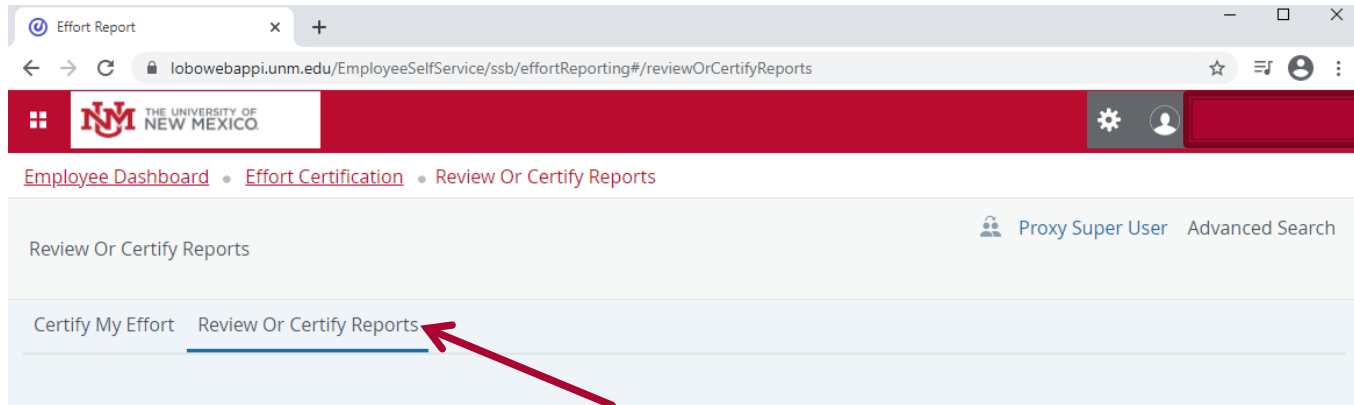
To view all other employee Effort Reports requiring certification, click on the Review or Certify Reports tab and complete the steps below before accessing the list effort reports requiring certification.



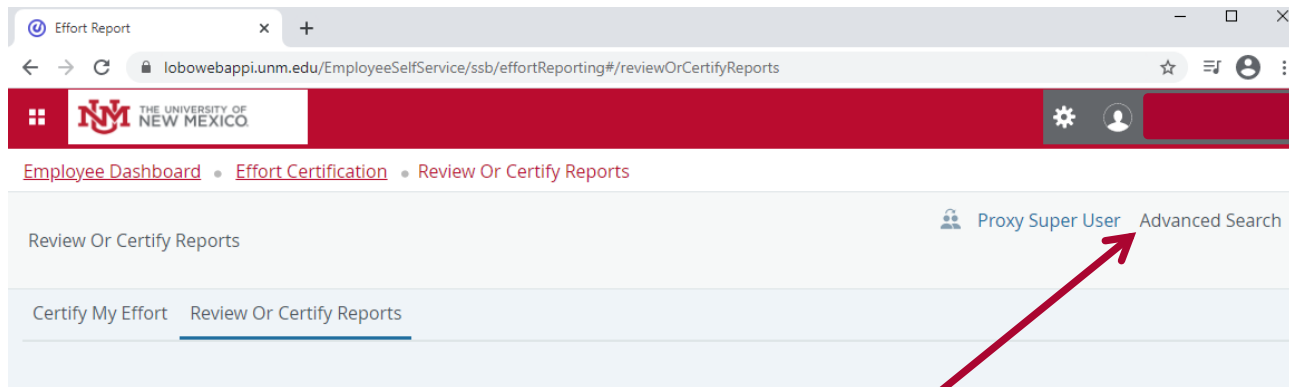
Certifying Effort for all other employees on an award

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



The screenshot shows a web browser window with the URL lobowebappi.unm.edu/EmployeeSelfService/ssb/effortReporting#/reviewOrCertifyReports. The page header includes the University of New Mexico logo and navigation links: [Employee Dashboard](#), [Effort Certification](#), and [Review Or Certify Reports](#). The main content area has a sub-header "Review Or Certify Reports" and a user profile "Proxy Super User". A red arrow points to the "Advanced Search" link in the top right corner of the main content area.

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

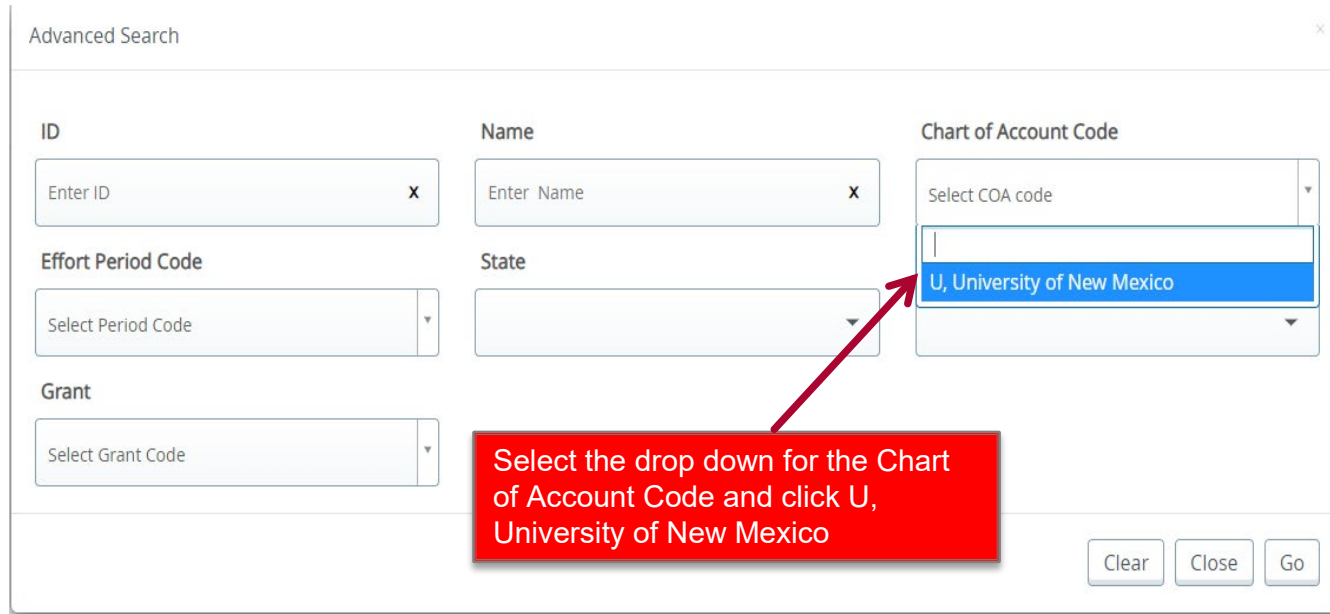
Step 3 - Select Chart of Account Code

Advanced Search

ID Enter ID <input type="text"/>	Name Enter Name <input type="text"/>	Chart of Account Code Select COA code <input type="text"/>
Effort Period Code Select Period Code <input type="text"/>	State <input type="text"/>	U, University of New Mexico
Grant Select Grant Code <input type="text"/>		

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

Clear Close Go



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.

The screenshot shows a web application window titled "Advanced Search". It contains several input fields: "ID" (with placeholder "Enter ID"), "Name" (with placeholder "Enter Name"), "Chart of Account Code" (with placeholder "Select COA code"), "Effort Period Code" (with placeholder "Select Period Code"), "State", and "Status". A list of effort period codes is displayed below the "Effort Period Code" field, with the entry "202001, January 1 - June 30 2020" highlighted in blue. A red callout box with white text points to this entry, stating: "Select the drop down for the Effort Period Code and click 202002, January 1 – June 30 2020". At the bottom right of the window, there are three buttons: "Clear", "Close", and "Go", with the "Go" button circled in red.

Step 5 - Search for Reports to Review

Advanced Search

ID Enter ID	Name Enter Name X	Chart of Account Code Select COA code
Effort Period Code Select Period Code	State	Status
Grant Select Grant Code		

Enter the Employee Banner ID in the ID box then click Go

Clear Close **Go**

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

[Print](#) [Open](#)

[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	202001	January 1 - June 30 2020			10/19/2020	11/18/2020	Awaiting Certification	Unlocked	
U	202001	January 1 - June 30 2020			10/19/2020	11/18/2020	Awaiting Certification	Unlocked	
U	202001	January 1 - June 30 2020			10/19/2020	11/18/2020	Awaiting Certification	Unlocked	
U	202001	January 1 - June 30 2020			10/19/2020	11/18/2020	Awaiting Certification	Unlocked	

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

Employee Dashboard - **Effort Certification** - **Effort Report**

Effort Report | Pay Period Summary | Comments | Routing Queue

Sponsored

Grant	Fund	Effort Category	Effort
2RLY6 Agile Manufacturing for High Value, Low Volume Production	2LY60 2RLY6-Agile Manufacturing for High	RESTRICT Sponsored labor charge	10.82
2RPC7 MARCUS: Mobile Adaptive Reactive Counter UAS System	2PC70 2RPC7-MARCUS: Mobile Adapt React UA	RESTRICT Sponsored labor charge	16.22

Total Sponsored Activity 27.04%

Non Sponsored

Fund	Organization	Effort Category	Effort
2U0224 MU I & G	27180 Elec Computer Engr Administration		72.96

Total Non Sponsored Activity 72.96%

Total : 100.00%

[Request Changes](#) [Review](#) [Add New Funding](#) [Save](#)

Effort Report Overview

Report Status

202001
January 1 - June 30 2020
October 19, 2020 - November 18, 2020
Under Review - Unlocked

Important Dates

Begin Pre-Review
October 19, 2020
Certification Period
October 19, 2020 to November 18, 2020
Post Review End
December 18, 2020

Pay Dates

SR - 1 January 01, 2020-January 31, 2020
SR - 2 February 01, 2020-February 29, 2020
SR - 3 March 01, 2020-March 31, 2020
SR - 4 April 01, 2020-April 30, 2020
SR - 5 May 01, 2020-May 31, 2020
SR - 6 June 01, 2020-June 30, 2020

Funding Chart

Fund	Organization	Effort Category	Effort	Percentage
2U0224, MU I & G	27180 Elec Computer Engr Administration		72.96	73%
2RLY6 Agile Manufacturing for High Value, Low Volume Production	2LY60 2RLY6-Agile Manufacturing for High	RESTRICT Sponsored labor charge	10.82	10.8%
2RPC7 MARCUS: Mobile Adaptive Reactive Counter UAS System	2PC70 2RPC7-MARCUS: Mobile Adapt React UA	RESTRICT Sponsored labor charge	16.22	16.2%

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

Employee Dashboard - Effort Certification - Effort Report

Print

Effort Report | **Pay Period Summary** | Comments | Routing Queue

Monthly - Regular 1 2020 January 01, 2020 - January 31, 2020

Organization	Grant	Fund	Effort Type	Payroll Percent	Effort Period Percent
271B0 Elec Computer Engr Administration		2U0224 MU I & G		100.0000	14.5938

Monthly - Regular 2 2020 February 01, 2020 - February 29, 2020

Organization	Grant	Fund	Effort Type	Payroll Percent	Effort Period Percent
271B0 Elec Computer Engr Administration		2U0224 MU I & G		100.0000	14.5938

Monthly - Regular 3 2020 March 01, 2020 - March 31, 2020

Organization	Grant	Fund	Effort Type	Payroll Percent	Effort Period Percent
271B0 Elec Computer Engr Administration		2U0224 MU I & G		100.0000	14.5938

Monthly - Regular 4 2020 April 01, 2020 - April 30, 2020

Organization	Grant	Fund	Effort Type	Payroll Percent	Effort Period Percent
271B0 Elec Computer Engr Administration		2U0224 MU I & G		100.0000	14.5938

Monthly - Regular 5 2020 May 01, 2020 - May 31, 2020

Organization	Grant	Fund	Effort Type	Payroll Percent	Effort Period Percent
271D27 Electrical Engr PI #28	2RLY6 Agile Manufacturing for High Value.	2LY60 2RLY6-Agile Manufacturing for High	RESTRICT 5ponsored labor charge	42.5654	10.8156
271B0 Elec Computer Engr Administration		2U0224 MU I & G		57.4346	14.5938

Effort Report Overview

Report Status

202001
January 1 - June 30 2020
October 19, 2020 - November 18, 2020
Under Review - Unlocked

Important Dates

Begin Pre-Review
October 19, 2020
Certification Period
October 19, 2020 to November 18, 2020
Post Review End
December 18, 2020

Pay Dates

SR - 1 January 01, 2020-January 31, 2020
SR - 2 February 01, 2020-February 29, 2020
SR - 3 March 01, 2020-March 31, 2020
SR - 4 April 01, 2020-April 30, 2020
SR - 5 May 01, 2020-May 31, 2020
SR - 6 June 01, 2020-June 30, 2020

Funding Chart

Organization	Grant	Fund	Effort Type	Payroll Percent	Effort Period Percent
271D27 Electrical Engr PI #28	2RLY6 Agile Manufacturing for High Value.	2LY60 2RLY6-Agile Manufacturing for High	RESTRICT 5ponsored labor charge	42.5654	10.8156
271B0 Elec Computer Engr Administration		2U0224 MU I & G		57.4346	14.5938

Pay Period Summary

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

Employee Dashboard - Effort Certification - Effort Report

Pay Period Monthly - Regular 3 2020 March 01, 2020 - March 31, 2020

Sequence Number	Position and Suffix	Effective Date	Earning Code	Shift	COA	Index	Fund	Organization	Account	Program	Activity	Location	Percent
0	F90204-00	August 01, 2019	010 Regular	1	U		2U0224 MU I & G	27180 Elec Computer Engr Administration	2000 Faculty Salary Detail Gen	P101 Instruction Unrestricted	GNACTV General Activity		100

Close

Organization	Grant	Fund	Effort Type	Payroll Percent	Effort Period Percent
27180 Elec Computer Engr Administration		2U0224 MU I & G		100.0000	14.5938

[Monthly - Regular 3 2020](#) March 01, 2020 - March 31, 2020

Organization	Grant	Fund	Effort Type	Payroll Percent	Effort Period Percent
27180 Elec Computer Engr Administration		2U0224 MU I & G		100.0000	14.5938

Important Dates

Begin Pre-Review
October 19, 2020
Certification Period
October 19, 2020 to November 18, 2020
Post Review End
December 18, 2020

Pay Dates

5R - 1 January 01, 2020-January 31, 2020
5R - 2 February 01, 2020-February 29, 2020
5R - 3 March 01, 2020-March 31, 2020
5R - 4 April 01, 2020-April 30, 2020

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.

The screenshot shows a web interface for an employee dashboard. At the top, there are navigation links: [Employee Dashboard](#), [Effort Certification](#), and [Effort Report](#). Below these is a header area with a [Print](#) button and a close icon. A menu bar contains several options: [Effort Report](#), [Pay Period Summary](#), [Comments](#), and [Routing Queue](#). The [Routing Queue](#) option is highlighted with a red box and a red arrow pointing to it. The main content area displays two entries: 1) A user (redacted) with the role 'Review, Pre-Reviewer' and a 'Pending E-mail' status. 2) A user (redacted) with the role 'Alternate Certifier' and a 'Pending E-mail' status. Below these entries is an 'Add Member' button. On the right side, there is a sidebar with sections: 'Effort Report Overview' (with an expand/collapse arrow), 'Report Status' (showing '202001', 'January 1 - June 30 2020', 'October 19, 2020 - November 18, 2020', and 'Under Review - Unlocked'), and 'Important Dates' (showing 'Begin Pre-Review' and 'October 19, 2020').

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**

Employee Dashboard • Effort Certification • Effort Report

Effort Report | Pay Period Summary | Comments | Routing Queue

Sponsored

Grant	Fund	Effort Category	Effort
2RNT7 SIPI Educational Services/Part-time Adjunct Instructor Services for Southwestern Indian Polytechnic Institute	2NT73 2RNT7-SIPI Ed Svcs - Spring 2020	RESTRICT Sponsored labor charge	61.79
2RNT7 SIPI Educational Services/Part-time Adjunct Instructor Services for Southwestern Indian Polytechnic Institute	2NT74 2RNT7-SIPI Ed Svcs/Summer 2020	RESTRICT Sponsored labor charge	38.21

Total Sponsored Activity 100%

Total : 100.00%

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

Effort Report Overview

Report Status

202001
January 1 - June 30 2020
October 19, 2020 - November 18, 2020

Awaiting Certification - Unlocked

Important Dates

Begin Pre-Review
October 19, 2020
Certification Period
October 19, 2020 to November 18, 2020
Post Review End
December 18, 2020

Pay Dates

5R - 1 January 01, 2020-January 31, 2020
5R - 2 February 01, 2020-February 29,

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

The screenshot shows the 'Employee Dashboard' with the 'Effort Certification' section active. A modal window titled 'Certify' is overlaid on the page. The modal contains the following text: '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.' Below the text are two buttons: 'Cancel' and 'I Agree'. A red arrow points to the 'I Agree' button. The background shows a table of sponsored projects with columns for project name, labor charge, and a '100' value. At the bottom of the modal, there are buttons for 'Request Changes', 'Certify', 'Add New Funding', and 'Save'. The background also shows a 'Report Status' section with dates and a 'Post Review End' date.

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

Employee Dashboard » Effort Certification » Effort Report

Effort Report | Pay Period Summary | Comments | Routing Queue

Sponsored

Grant	Fund	Effort Category	Effort
2RNT7 SIPI Educational Services/Part-time Adjunct Instructor Services for Southwestern Indian Polytechnic Institute	2NT73 2RNT7-SIPI Ed Svcs - Spring 2020	RESTRICT Sponsored labor charge	61.79
2RNT7 SIPI Educational Services/Part-time Adjunct Instructor Services for Southwestern Indian Polytechnic Institute	2NT74 2RNT7-SIPI Ed Svcs/Summer 2020	RESTRICT Sponsored labor charge	38.21

Total Sponsored Activity 100%

Total : 100.00%

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

Effort Report Overview

Report Status

202001
January 1 - June 30 2020
October 19, 2020 - November 18, 2020

Awaiting Certification - Unlocked

Important Dates

Begin Pre-Review
October 19, 2020
Certification Period
October 19, 2020 to November 18, 2020
Post Review End
December 18, 2020

Pay Dates

5R - 1 January 01, 2020-January 31, 2020
5R - 2 February 01, 2020-February 29,

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