Effort Certification Training

Certification Stage

Why do we Certify?

- Effort is a mechanism to confirm salaries and wages <u>charged</u> to a sponsored project in relation to the work <u>performed</u> and <u>committed</u> to the agency in proposal.
  - o Federal Requirement
  - 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 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

Select Effort Certification

My Activities

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

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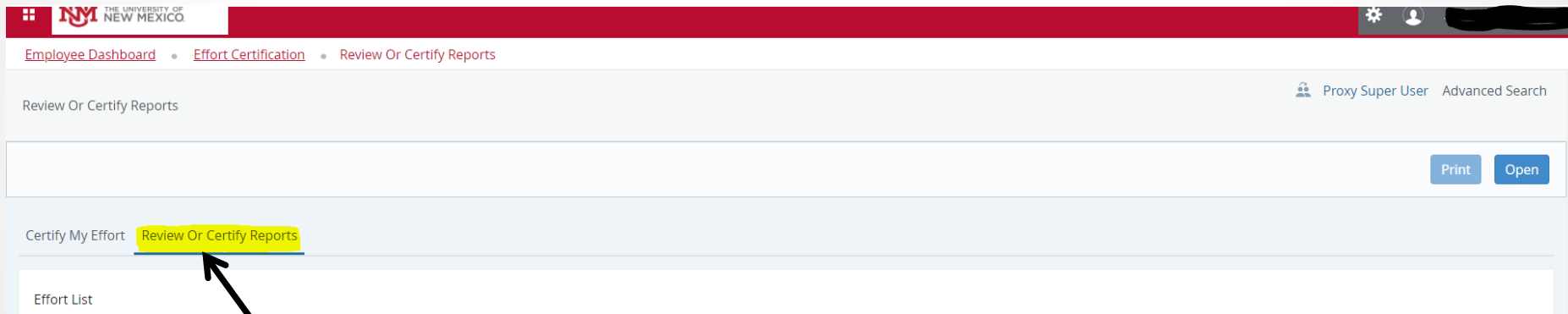
To Review employees needing your approval click on the Review or Certify Reports tab.

Click Advanced Search

Click on Advance Search in the upper right hand corner.

Proxy Super User   Advanced Search

Review Or Certify Reports

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   x

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   x

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 202101 to view effort report actions.
- Note Status and State of each employee

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
- E-print reports will show status by Org, PI and activity in dollars

Column Definitions

Status column:

- **<u>Under Review</u>** – report has been created and is available for viewing

- **<u>Awaiting Certification</u>** – Pre-Reviewer has reviewed and is ready for certification

- **<u>Completed</u>** – effort report has been certified and completed

Locked/unlocked column:

- **<u>Locked</u>** – after an effort report is completed it is locked and cannot be modified

- **<u>Unlocked</u>** – effort report is available for change by members of the routing queue

- **<u>Awaiting Refresh</u>** – labor re-distribution has been completed and has updated the payroll record, report needs to be updated, reviewed and certified

- **<u>Changes Submitted</u>** – 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

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 <u>request changes</u> 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

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

Comments   Routing

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
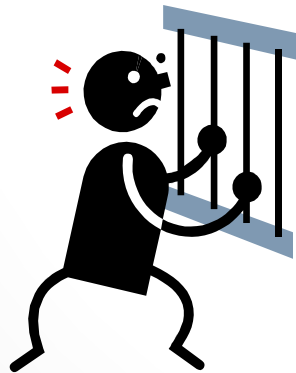
*as proposed by Research faculty

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