

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 for employees. It features three main navigation panels: 'Human Resources', 'LoboWeb (Employees)', and 'UNM Business...'. The 'LoboWeb (Employees)' panel is the central focus, containing a description of the site's purpose, a prominent red button labeled 'ENTER LOBOWEB' (indicated by a black arrow), and a 'Quick links' section with links for 'Leave Balances', 'Pay Stub', 'Finance', and 'Bursar Account'. The 'Human Resources' panel on the left lists various general information resources, while the 'UNM Business...' panel on the right lists reporting tools and applications.

Human Resources

General Information

- [HR Website](#)
- [EPAF Resource Page](#)
- [ePAN](#)
- [Employment Knowledge Base](#)
- [Salary Structure Table](#)
- [Standard Time Sheet for Staff \(xlsx\)](#)
- [Standard Time Sheet for Staff \(Excel 2007\)](#)
- [Standard Timesheet for Staff - Instructions](#)

LoboWeb (Employees)

LoboWeb is the place for employees to view/update personal information, benefits and deductions, pay information, tax forms and more.

ENTER LOBOWEB

Quick links:

- [Leave Balances](#)
- [Pay Stub](#)
- [Finance](#)
- [Bursar Account](#)

UNM Business...

- [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 deposit information, 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 support center page.

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

Click Advanced Search

The screenshot shows a software interface with a top navigation bar containing 'Effort Certification' and 'Labor Redistribution' tabs, and a 'Sign Out' button. The main content area is titled 'Review or Certify Reports' and includes a search field with 'Search by ID' and a right-pointing arrow. Below the search field is a dropdown menu labeled 'Advanced Search'. A table with columns for COA, Period Code, Report Period, Last Name, First Name, ID, Start Date, End Date, Status, and Unlocked/Locked is visible below the dropdown. A 'Search Tips' section provides instructions on using the search field and advanced search options. A blue callout box with white text and a black arrow pointing to the 'Advanced Search' dropdown contains the text: 'Click advanced search to view search options'. The interface also features an 'Open Items' panel on the left and a 'Help' button in the top right corner.

Click advanced search to view search options

Select Attributes to Begin Search

The screenshot displays the Banner Effort Certification software interface. At the top, there are tabs for 'Effort Certification' and 'Labor Redistribution', and a 'Sign Out' button. The main window is titled 'Review or Certify Reports' and contains a search bar with the text 'Search by ID'. Below the search bar is a dropdown menu labeled 'Select Attribute', which is highlighted by a black arrow. Below the dropdown menu is a table with columns: COA, Period Code, Report Period, Last Name, First Name, ID, Start Date, End Date, Status, and Unlocked/Locked. Below the table is a 'Search Tips' section with the text: 'You can search using the default search attribute displayed in the search field or you can select Advanced Search and add multiple search attributes to further refine your search. Your search will return it'. Below the search tips is a link for 'Advanced Search'. At the bottom of the window, there is a footer with the text 'Banner Effort Certification (Release 8.3.0.5)'. In the bottom left corner, there is a logo for 'SUNBURY HIGHER EDUCATION'.

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

Certify My Effort

Review or Certify Reports >

Proxy or Superuser

Review or Certify Reports

Search by ID

Select Attribute

Close Clear Go

Advanced Search

Displaying 0 rows.

COA	Period Code	Report Period	Last Name	First Name	ID	Start Date	End Date	Status	Unlocked/Locked
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Search Tips

You can search using the default search attribute displayed in the search field or you can select Advanced Search and add multiple search attributes to further refine your search. Your search will return it

[Advanced Search](#)

Open drop down menu to select the search attribute

SUNBURY HIGHER EDUCATION

Banner Effort Certification (Release 8.3.0.5)

Open Search Drop Down Box – Chart of Accounts

The screenshot shows a web application interface for 'Effort Certification' under the 'Labor Redistribution' tab. The main window is titled 'Review or Certify Reports' and contains a search bar with the text 'Search by ID'. Below the search bar, a dropdown menu is open, showing a list of search attributes: 'Select Attribute', 'Chart of Account Code', 'Effort Period Code', 'Effort Period Description', 'First Name', and 'ID'. A blue callout box with a white border and a black arrow pointing to the 'Chart of Account Code' option contains the text: 'Open drop box, select Chart of Account Code to begin search'. Below the dropdown menu, there are 'Close', 'Clear', and 'Go' buttons. At the bottom of the interface, there is an 'Advanced Search' section with a search tip and a link to 'Advanced Search'. The table below the search tips is empty, with columns for COA, Period Code, Report Period, Last Name, First Name, ID, Start Date, End Date, Status, and Unlocked/Locked. The text 'Displaying 0 rows.' is visible to the right of the table. In the bottom right corner of the page, there is a page number '10'.

Open Search Drop Down Box – Chart of Accounts

- Chart of Accounts – type a capital “U” in the space provided – it is very important to use a **Capital U**, otherwise no information will com up

The screenshot shows the 'Review or Certify Reports' interface. At the top, there are tabs for 'Effort Certification' and 'Labor Redistribution', and a 'Sign Out' button. Below the tabs, there is a 'Certify My Effort' section and a 'Review or Certify Reports' section with a 'Proxy or Superuser' link. The main area is titled 'Review or Certify Reports' and contains a search field with 'Search by ID' and a search button. Below the search field, there is a 'Chart of Account Code' dropdown menu with 'U' entered. A 'Select Attribute' dropdown menu is open, showing options: 'First Name', 'ID', 'Last Name', 'State', and 'Status'. At the bottom right of the search area, there are 'Close', 'Clear', and 'Go' buttons. Below the search area, there is an 'Advanced Search' section with a search icon and a 'Displaying 0 rows.' message. A table with columns: COA, Period Code, Report Period, Last Name, First Name, ID, Start Date, End Date, Status, and Unlocked/Locked is visible. Below the table, there is a 'Search Tips' section with text: 'You can search using the default search attribute displayed in the search field or you can select Advanced Search and add multiple search attributes to further refine your search. Your search will return the best results when you are more specific with your search criteria using multiple search attributes.' and a link to 'Advanced Search'.

Open Search Drop Down Box – Effort Period Code

The screenshot displays the Banner Effort Certification web application interface. At the top, there are tabs for "Effort Certification" and "Labor Redistribution", and a "Sign Out" link. The main content area is titled "Review or Certify Reports" and includes a "Search by ID" field. Below this, there is a "Select Attribute" dropdown menu with a list of options: "Effort Period Code", "Effort Period Description", "First Name", "ID", and "Last Name". A blue callout box with a white border and a black arrow points to the "Effort Period Code" option in the dropdown menu. The callout text reads: "Open drop box, select Effort Period Code to begin search". Below the dropdown menu, there is an "Advanced Search" button and a table header with columns: "COA", "Period Code", "Report Period", "Last Name", "First Name", "ID", "Start Date", "End Date", "Status", "Unlocked/Locked", and "Comments". The table currently displays "0 rows". At the bottom left, there is an "Open Items" section. The footer of the page includes the "ellucian" logo and the text "Banner Effort Certification (Release 8.11.1.4)".

Effort Certification | Labor Redistribution | Sign Out

Certify My Effort

Review or Certify Reports >

Proxy or Superuser

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

Review or Certify Reports

Search by ID

Chart of Account Code

Select Attribute

Effort Period Code

Effort Period Description

First Name

ID

Last Name

Open drop box, select Effort Period Code to begin search

Close Clear Go

Advanced Search

Displaying 0 rows.

COA	Period Code	Report Period	Last Name	First Name	ID	Start Date	End Date	Status	Unlocked/Locked	Comments
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Search Tips

You can search using the default search attribute displayed in the search field or you can select Advanced Search and add multiple search attributes to further refine your search.

Your search will return the best results when you are more specific with your search criteria using multiple search attributes.

▶ [Advanced Search](#)

ellucian

Banner Effort Certification (Release 8.11.1.4)

Search for Reports to Certify

- Effort Period Code – type “201802” in the space provided and select Go. System will display all records that you have access to view

The screenshot displays the Banner Effort Certification web application. The main window is titled "Review or Certify Reports" and features a search interface. A search bar labeled "Search by ID" is visible. Below it, there are two dropdown menus: "Chart of Account Code" with the value "U" and "Effort Period Code" with the value "201801". A "Select Attribute" dropdown is also present. At the bottom right of the search area, there are buttons for "Close", "Clear", and "Go". Two black arrows originate from the text in the bullet point above: one points to the "Effort Period Code" dropdown, and the other points to the "Go" button. Below the search area, a table header is visible with columns: COA, Period Code, Report Period, Last Name, First Name, ID, Start Date, End Date, Status, Unlocked/Locked, and Comments. A "Search Tips" section is also present, providing instructions on how to use the search functionality. The footer of the application shows "Banner Effort Certification (Release 8.11.1.4)".

Select from Employee List

- Highlight record, double click to view effort report actions
- Note Status and State of each employee

Effort Certification Labor Redistribution Sign Out ? Help

Certify My Effort Effort Report Actions New Refresh Open Save Copy Delete More Actions Close

Review or Certify Reports > Review or Certify Reports

Search by ID

Search Descriptions: Chart of Account Code = U

Advanced Search

Displaying 409 rows.

COA	Period Code	Report Period	Last Name	First Name	ID	Start Date	End Date	Status	Unlocked/Locked
U	201101	January 1 - June 30			100010869	July 01, 2011	October 31, 2011	Under Review	Unlocked
U	201101	January 1 - June 30			100015121	July 01, 2011	October 31, 2011	Under Review	Changes Submitted
U	201101	January 1 - June 30			100015988	July 01, 2011	October 31, 2011	Under Review	Unlocked
U	201101	January 1 - June 30			101242916	July 01, 2011	October 31, 2011	Under Review	Unlocked
U	201101	January 1 - June 30			100007589	July 01, 2011	October 31, 2011	Under Review	Unlocked
U	201101	January 1 - June 30			101345875	July 01, 2011	October 31, 2011	Under Review	Unlocked
U	201101	January 1 - June 30			101375126	July 01, 2011	October 31, 2011	Under Review	Unlocked
U	201101	January 1 - June 30			100004537	July 01, 2011	October 31, 2011	Under Review	Unlocked
U	201101	January 1 - June 30			100011932	July 01, 2011	October 31, 2011	Under Review	Unlocked
U	201101	January 1 - June 30			100013694	July 01, 2011	October 31, 2011	Under Review	Unlocked
U	201101	January 1 - June 30			100002181	July 01, 2011	October 31, 2011	Under Review	Unlocked
U	201101	January 1 - June 30			101498757	July 01, 2011	October 31, 2011	Under Review	Unlocked
U	201101	January 1 - June 30			101093169	July 01, 2011	October 31, 2011	Under Review	Unlocked
U	201101	January 1 - June 30			100009750	July 01, 2011	October 31, 2011	Under Review	Unlocked
U	201101	January 1 - June 30			101550699	July 01, 2011	October 31, 2011	Under Review	Unlocked
U	201101	January 1 - June 30			101556036	July 01, 2011	October 31, 2011	Under Review	Unlocked
U	201101	January 1 - June 30			100687156	July 01, 2011	October 31, 2011	Under Review	Unlocked

SUNGARD HIGHER EDUCATION Banner Effort Certification (Release 8.3.0.5)

Done Trusted sites | Protected Mode: Off 100% 4:22 PM 8/22/2011

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

The screenshot shows the 'Employee Effort Report' interface for Patricia Lilley. The main content area displays two tables: 'Sponsored Activity' and 'Non Sponsored Activity'. The 'Sponsored Activity' table lists two grants: '3R39D New Mexico SAFE Program' (5.29 effort) and '3R96E Developmental Care Continuity Progr' (13.94 effort). The 'Non Sponsored Activity' table lists two funds: '3U0029 HU Clinical Residuals' (61.61 effort) and '3U0034 HU UNMH SOM General' (19.16 effort). A pie chart on the right shows the distribution: 61.61% (Clinical Residuals), 13.94% (Developmental Care Continuity Progr), and 5.29% (SAFE Program). The total effort is 100.00%. The interface includes a left sidebar with 'Certify My Effort' and 'Open Items' sections, and a right sidebar with 'Effort Report Overview' and 'Funding Chart' sections. A 'Status' button is visible in the right sidebar.

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%

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%

Buttons: Request Changes, Certify, Add New Funding

Right Sidebar: Effort Report Overview (Report Status: Awaiting Certification - Unlocked), Funding Chart (Pie chart showing 61.61%, 13.94%, 5.29%), Proxy or Superuser (You are acting as a Superuser)

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.

Effort Certification | Labor Redistribution | Sign Out

Review or Certify Reports

Effort Report

Pay Period Summary

Comments

Routing Queue

Open Items

Effort Certification

Effort Report Actions: New, Refresh, Open, Save, Copy, Delete, More Actions, Close

Monthly - Regular 3 2011 March 01, 2011 - March 31, 2011

Organization	Grant	Fund	Effort Type	Payroll Percent	Effort Period Percent
70780 Physics Astronomy Gen Admin		2U0224 MU I & G		100	16.318

Monthly - Regular 4 2011 April 01, 2011 - April 30, 2011

Organization	Grant	Fund	Effort Type	Payroll Percent	Effort Period Percent
70780 Physics Astronomy Gen Admin		2U0224 MU I & G		100	16.318

Monthly - Regular 5 2011 May 01, 2011 - May 31, 2011

Organization	Grant	Fund	Effort Type	Payroll Percent	Effort Period Percent
70780 Physics Astronomy Gen Admin		2U0224 MU I & G		100	16.318

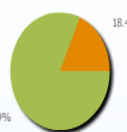
Monthly - Regular 6 2011 June 01, 2011 - June 30, 2011

Organization	Grant	Fund	Effort Type	Payroll Percent	Effort Period Percent
707804 Physics Astronomy Faculty #1(2RL82 Investigations in Quantum Metr	2L820 2RL82 Quantum Metrology Entai	RESTRICT Sponsored labor charge	100	18.41

Effort Report Overview

Report Status: 201101
Dates: January 1 - June 30 2011
Jul 01, 2011 - Oct 31, 2011
Awaiting Certification - Unlocked

Funding Chart



Category	Percentage
Green	81.59%
Orange	18.41%

Proxy or Superuser

You are acting as a Supenser

Certifying Effort

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

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%

Funding Chart

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

61.61% 19.16% 5.29%

Proxy or Supersuser
You are acting as a Supensuser

Request Changes **Certify** Add New Funding

Certification Statement

- Certification Statement – “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 displays the Banner Effort Certification interface. A central dialog box titled "Certify" is open, containing the text: "I certify the allocation of salary to the sponsored project(s) listed reasonably reflects the time spent on each project for the certification period." Below the text are two buttons: "Cancel" and "I Agree". A black arrow points to the "I Agree" button. The background interface shows a table of effort reports with columns for Grant, Fund, Effort Category, and Effort. A pie chart on the right side of the interface shows the distribution of activity: 15.4%, 33.3%, 11.7%, and 39.6%.

Grant	Fund	Effort Category	Effort
2RMS3 Clinical Trials Network Southwest	2MS31 2RMS3 Clinical Trials Network SW	RESTRICT sponsored labor charge	32.92

Fund	Organization	Effort
33G31 3R2G1 -12-Step Facilitation for	451102 Psych Affective DO Fac	15.4
36DQ3 3R6Q3 Research and Mentorship on AI	451B03 Psych Vice Chair #3	38.9
3J0G11 HU UMH: AR & AP General	451D0 Psych General Administr	12.78

Total Sponsored Activity 32.92%

Total Non Sponsored Activity 67.08%

Total 100.00%

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

Play 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	9970G6 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%

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% 19.16% 5.29%

Proxy or Superuser
You are acting as a Superuser

Request Changes Certify Add New Funding

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