

UNM Effort Certification Training

Pre-Review Stage

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

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.
 - 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 Uniform Guidance Single audit - could impact future funding
- **Applies to non-timesheet employees only**

Effort Certification

- Reports are displayed by employee
- Certification reports distributed and certified semi-annually through LoboWeb
 - Pre-Review Stage
 - 30 calendar days after reports are generated
 - Fund Financial Manager Certification
 - Begins when Pre-Review stage is completed
 - Ends 60 calendar days after reports are generated
 - Email notification at all stages
 - Fund Financial Manager copied on initial email for Pre-Review
 - Reminder and delinquent notifications will also be sent
- Pre-Review must be completed prior to Certification

Tips for Reviewing Effort

- Effort is reported as an average over the reporting period (may be impacted by the number of months the award is active)
- Compare reported effort percentage to proposed effort in original award document
- Some reasons for variances could include:
 - Absences (generally 3 months or more)
 - Significant reductions of the PI and/or Key Personnel effort (25% or more)
 - Note: It is the PI's responsibility to work with the Pre-award office to obtain sponsor prior approval

Terminology

- Stages:
 - Pre-Review – department personnel, identified by the Fund Financial Manager, reviews the effort report prior to certification. All labor redistributions should be completed during the Pre-Review Stage
 - Certification – Fund Financial Manager (s) will certify employees effort after Pre-Review stage is complete, each Fund Financial Manager certifies respective indices

Effort Process Flow

System generates effort certification reports twice a year. Accessible in Lobo Web at my.unm.edu employee tab .

Under Review

Pre-review stage- Email notification sent to **Pre-reviewer**, FYI to PI.
30 days to complete review process.

Pre-reviewer requests labor distribution to correct effort.

Pre-reviewer reviews report and approves. Email notification sent to Certifier.

Awaiting Certification

Certification Stage - Certifier looks at record and certifies its accuracy.
30 days to complete certification process

Certified

Certified record is locked and cannot be modified without approval. Email notification sent to PI and Pre-reviewer.

Completed

Record is Locked

Request to unlock record must be submitted to C&GA. Special exception memo requires Dean/Director approval.

Re-distribution processed after record unlocked.

Awaiting Refresh - Update

Record requires Pre-review and Re-certification.

Awaiting Refresh - Update

Labor re-distribution processed, new report generated for certification after Update process. **Back to Pre-reviewer**

Awaiting Refresh - Update
Needs correction. Notifies staff labor redistribution needed. **Back to Pre-reviewer**

Accessing Reports

- <https://my.unm.edu/home> - to log into LoboWeb
- Select the Employee tab - Click on Lobo Web

The screenshot displays the LoboWeb (Employees) interface. 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' with an arrow pointing to it, and a section of quick links. The Human Resources panel lists various general information links, and the UNM Business panel lists application and reporting links.

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

UNM Business

- [LoboWeb](#)
- [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 of information.

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 Only

Effort Certification & Labor Redistribution

New! Certify effort against sponsored projects or initiate/approve labor redistributions.



RELEASE: 8.4.1

Selecting and Adding Proxy Access

The screenshot displays a web application interface for 'Effort Certification'. The top navigation bar includes 'Effort Certification' and 'Labor Redistribution' tabs, a 'Sign Out' link, and a 'Help' icon. The main content area is titled 'Proxy or Superuser' and contains three sections: 'Superuser', 'Proxy', and 'Update Proxy'. The 'Proxy' section features a dropdown menu for 'Act as Proxy For' with options 'Self, MSCHWAN' and 'Shirley Mitchell, MITCHES'. The 'Update Proxy' section is a table with columns for 'Person Name' and 'Remove', listing 'Cynthia Browning, CBROWNIN', 'Chelsea Walker, BWALKER', and 'Barbara West, BWEST'. A sidebar on the left shows 'Open Items' with a sub-section for 'Effort Certification' containing 'Andrew Frauenglass'. A toolbar at the top of the main content area includes icons for 'New', 'Refresh', 'Open', 'Save', 'Copy', 'Delete', 'More Actions', and 'Close'. Two blue callout boxes are overlaid on the interface: one pointing to the 'Proxy or Superuser' header and another pointing to the 'Update Proxy' table.

Act as Proxy for someone that has given you authority

Add Proxy to give authority to someone to act on your behalf

Person Name	Remove
Cynthia Browning, CBROWNIN	<input type="checkbox"/>
Chelsea Walker, BWALKER	<input type="checkbox"/>
Barbara West, BWEST	<input type="checkbox"/>

Select Review or Certify Reports

The screenshot displays the Banner Effort Certification interface. On the left, a navigation menu includes 'Certify My Effort' (with a blue arrow), 'Review or Certify Reports' (indicated by a black arrow), and 'Proxy or Superuser'. The main area features a toolbar with 'New', 'Refresh', 'Open', 'Save', 'Copy', 'Delete', 'More Actions', and 'Close'. Below the toolbar is a blue header for 'Certify My Effort'. A table with the following columns is visible: COA, Period Code, Report Period, Start Date, End Date, Status, and Unlocked/Locked. The table body is currently empty. At the bottom left, there is an 'Open Items' section with a close button. The footer contains 'SUNGARD HIGHER EDUCATION' and 'Banner Effort Certification (Release 8.3.0.5)'.

COA	Period Code	Report Period	Start Date	End Date	Status	Unlocked/Locked
-----	-------------	---------------	------------	----------	--------	-----------------

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. Below the navigation bar is a toolbar with icons for 'New', 'Refresh', 'Open', 'Save', 'Copy', 'Delete', 'More Actions', and 'Close'. The main content area has a blue header with the title 'Review or Certify Reports' and a search field labeled 'Search by ID'. Below the header is a dropdown menu labeled 'Advanced Search'. A table with columns 'COA', 'Period Code', 'Report Period', 'Last Name', 'First Name', 'ID', 'Start Date', 'End Date', 'Status', and 'Unlocked/Locked' is visible. A 'Search Tips' section is also present. An arrow points from a blue callout box to the 'Advanced Search' dropdown menu.

Effort Certification Labor Redistribution Sign Out ? Help

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

Certify My Effort

Review or Certify Reports > Review or Certify Reports

Proxy or Superuser

Search by ID

Advanced Search

Displaying 0 rows.

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

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

Open Items

Click advanced search to view search options

Select Attribute to Begin Search

The screenshot shows the Banner Effort Certification interface. At the top, there are tabs for 'Effort Certification' and 'Labor Redistribution'. The main window title is 'Review or Certify Reports'. Below the title bar, there is a search field labeled 'Search by ID'. A dropdown menu labeled 'Select Attribute' is highlighted with a black arrow. Below the search field, there is an 'Advanced Search' button. The main content area displays 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, there is a 'Search Tips' section with a link to 'Advanced Search'. A blue callout box with white text says 'Open drop down menu to select the search attribute'.

Open Search Drop Down Box – Chart of Accounts

The screenshot shows the 'Review or Certify Reports' interface. At the top, there is a navigation bar with 'Effort Certification' and 'Labor Redistribution' tabs, and a 'Sign Out' link. Below this is a toolbar with icons for 'New', 'Refresh', 'Open', 'Save', 'Copy', 'Delete', and 'More Actions'. The main content area has a blue header with the title 'Review or Certify Reports' and a search field labeled 'Search by ID'. 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'. An arrow points from a text box to the 'Chart of Account Code' option. Below the dropdown is an 'Advanced Search' section with a search tip and a link to 'Advanced Search'. At the bottom, there is a table with columns: COA, Period Code, Report Period, Last Name, First Name, ID, Start Date, End Date, Status, and Unlocked/Locked. The table is currently empty, displaying 0 rows. A sidebar on the left contains 'Certify My Effort', 'Review or Certify Reports', and 'Proxy or Superuser' options. An 'Open Items' panel is also visible at the bottom left.

Effort Certification | Labor Redistribution | Sign Out

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

- Chart of Account Code
- Effort Period Code
- Effort Period Description
- First Name
- ID

Open drop box, select Chart of Account 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
-----	-------------	---------------	-----------	------------	----	------------	----------	--------	-----------------

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](#)

Open Items

Search for Reports to Review

- Select Attribute drop down
 - Chart of Accounts – type a capital “U” – it is very important to use a **Capital U**, otherwise no information will come up.

Effort Certification Labor Redistribution Sign Out ? Help

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

Chart of Account Code U

Select Attribute

First Name

ID

Last Name

State

Status

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
-----	-------------	---------------	-----------	------------	----	------------	----------	--------	-----------------

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](#)

Search for Reports to Review

- Select Attribute drop down
Effort Period Code – type “201802” and hit Go. System will display all records that you have access to view

The screenshot shows the Banner Effort Certification system interface. The main window is titled "Review or Certify Reports" and contains a search form. The search form has a "Search by ID" field and a "Select Attribute" dropdown menu. The "Effort Period Code" field is set to "201801". The "Go" button is highlighted. The interface also includes a table with columns for 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. The interface also includes a "Search Tips" section and a "Go" button.

Effort Certification Labor Redistribution Sign out ? Help

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

Certify My Effort

Review or Certify Reports

Proxy or Superuser

Search by ID

Chart of Account Code U

Effort Period Code 201801

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	Comments
-----	-------------	---------------	-----------	------------	----	------------	----------	--------	-----------------	----------

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

Banner Effort Certification (Release 8.11.1.4)

Search for Reports to Review

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

The screenshot displays the Banner Effort Certification web application. At the top, there are tabs for 'Effort Certification' and 'Labor Redistribution', along with a 'Sign Out' link and a 'Help' dropdown. The main content area is titled 'Review or Certify Reports' and features a search interface. A black arrow points to the 'Search by ID' input field. Below the search field is a 'Select Attribute' dropdown menu. At the bottom of the search window, there are 'Close', 'Clear', and 'Go' buttons. Below the search window, there is an 'Advanced Search' link 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. A 'Search Tips' section provides instructions on how to use the search functionality. The footer of the application includes the 'ellucian' logo and the text 'Banner Effort Certification (Release 8.11.1.4)'.

Effort Certification Labor Redistribution Sign Out ? Help

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

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	Comments
-----	-------------	---------------	-----------	------------	----	------------	----------	--------	-----------------	----------

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)

Select from Employee List

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

The screenshot displays the Banner Effort Certification interface. At the top, there are tabs for 'Effort Certification' and 'Labor Redistribution'. Below the tabs is a navigation bar with 'Sign Out' and a 'Help' icon. The main content area is titled 'Review or Certify Reports' and includes a search bar with the text 'Search by ID'. Below the search bar, there is a search description: 'Chart of Account Code = U'. The main data area is a table with the following columns: COA, Period Code, Report Period, Last Name, First Name, ID, Start Date, End Date, Status, and Unlocked/Locked. The table contains 20 rows of data. The second row, for Aaron Baca, is highlighted in blue. A black circle highlights the 'Under Review' status and 'Changes Submitted' state for Aaron Baca. A large blue rectangular redaction covers the names of several other employees in the list. The bottom of the screen shows the Windows taskbar with various icons and the system clock displaying 4:22 PM on 8/22/2011.

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

Employee Effort Report

- Salary distribution is displayed as percentage; a pie chart also displays the salary distribution
- Tolerance +/- 5% original award vs. effort worked

← Certify My Effort

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%

Request Changes
Certify
Add New Funding

Effort Report Overview

Report Status Dates

201101

Jan 1 - June 30 2011

Jul 01, 2011 - Oct 31, 2011

Awaiting Certification - Unlocked

↑
Status

Funding Chart

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

Proxy or Superuser

You are acting as a Superuser

Status Definitions

- **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
- **Unlocked** – effort report is available for change by members of the routing queue
- **Locked** – after an effort report is completed it is locked and cannot be modified
- **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

Tips for Reviewing Effort

- Effort is reported as an average over the reporting period (may be impacted by the number of months the award is active)
- Compare reported effort percentage to proposed effort in original award document
- Tolerance threshold of +/- 5%
- Variances that may require agency prior approval:
 - Absences (generally 3 months or more)
 - Significant reductions of the PI and/or Key Personnel effort (25% or more)
 - Note: It is the PI's responsibility to work with the Pre-award office to obtain sponsor's prior approval

E-Print and MyReports report

- E Print reports FRROEC02 and FRROEC02-HSC
- Located in the fin_banp repository
 - Provides a report of the effort distribution in dollar values to correspond to the percentages displayed on the effort certification reports
 - Displays information by Org Code, PI, and Grant
- MyReports report FNRECRT-Effort Certification Status Report
- Located in the Finance Reports/F All Campus Reports
 - List of employees in the effort queue
 - Status of the record
 - Action to be taken

Navigation Tips

- Scroll Bar
 - Click F11 if you have multiple items listed under sponsored projects and cannot see the scroll bar
- Expand the columns
 - Click on the line you would like to expand and drag the line to make the column larger
- Sort columns
 - Click on the top of the column you would like to sort by, you can sort by any of the columns listed
- View routing queue
 - Select Routing Queue link on the left panel, to view all individuals in the queue and what actions have been or need to be taken
 - Note: The employee name will appear on routing queue as certifier, the only time they will be required to certify is if they are also the PI
- View Effort Breakdown by Pay Period

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

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

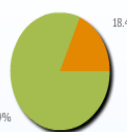
Monthly - Regular 6 2011 June 01, 2011 - June 30, 2011

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 Supenser

You are acting as a Supenser

Pay Period Summary

- Select Monthly – Regular link to view FOAPA detail including index

The screenshot displays the MyUNM web application interface. A central window titled "Pay Period Monthly - Regular 1 2011" is open, showing a table of employee data. The table has the following columns: Sequen, Position an, Effective D, Earning Co, Shift, CDA, Index, Fund, Organi, Account, Program, Activity, Locati, and Percent. The data rows are as follows:

Sequen	Position an	Effective D	Earning Co	Shift	CDA	Index	Fund	Organi	Account	Program	Activity	Locati	Percent
2	FY0378 - 0	July 01, 2011	010 Regul	1	U	254093 235666-TRICORE-Path Tricare	3U003	25480	2000 F	P171 N	254C0*		10
2	FY0378 - 0	July 01, 2011	010 Regul	1	U	254566 Med Lab Sciences On line Courses	3U004*	254C0	2000 F	P101 Dr	254C1E		25.4
2	FY0378 - 0	July 01, 2011	010 Regul	1	U	254001 Pathology	3U004*	25480	2000 F	P101 Dr	GNACT		24.6
2	FY0378 - 0	July 01, 2011	010 Regul	1	U	254156 HR - MHC Tech for Non-Human	318E0	25481E	2000 F	P16R S	GNACT		24.2
2	FY0378 - 0	July 01, 2011	010 Regul	1	U	254571 Pathology Outside Consults	3U003	25481E	2000 F	P222 Pl	GNACT		15.8

The background interface includes a navigation menu on the left with "Pay Period Summary" selected, and a right-hand sidebar with "Effort Report Overview" and a "Funding Chart" pie chart. The pie chart shows four segments: 26.4%, 25.4%, 24.6%, and 23.6%. The bottom of the page features the SUNGARD HIGHER EDUCATION logo and the text "Review Effort Certification (Release 9.3.0.7)".

Routing Queue

The screenshot displays the Banner Effort Certification Routing Queue interface. At the top, there are tabs for "Effort Certification" and "Labor Redistribution", along with a "Sign Out" link and a "Help" icon. The main content area is titled "Effort Report Actions" and includes a toolbar with options like "New", "Refresh", "Open", "Save", "Copy", "Delete", "More Actions", and "Close". Below the toolbar, a list of routing queue items is shown, each with a "Pending" status and an "E-mail" action:

- Christie Matton, Review, Pre-Reviewer
Pending
E-mail
- Carlton Caves, Alternate Certifier
Pending
E-mail
- Wolfgang Rudolph, Alternate Certifier
Pending
E-mail

On the left side, a navigation menu includes "Review or Certify Reports", "Effort Report", "Pay Period Summary", "Comments", and "Routing Queue" (which is highlighted with a blue arrow). Below the menu is an "Open Items" section showing "Carlton Caves" under "Effort Certification". On the right side, there are two summary panels: "Effort Report Overview" showing report status and dates, and "Funding Chart" displaying a pie chart with the following data:

Category	Percentage
Green	51.05%
Blue	34.04%
Orange	13.09%
Light Blue	1.82%

At the bottom right, a "Proxy or Superuser" section indicates the user is acting as a Superuser and includes an "Add Member" button. The footer contains the "SUNGARD HIGHER EDUCATION" logo and the text "Banner Effort Certification (Release 8.7)".

Pre-Review Scenarios

- Pre-Review completed – no change necessary
- Pre-Reviewer needs labor re-distribution completed to update record
 - Pre-reviewer prepares labor re-distribution
- Pre-Reviewer requires a labor re-distribution to update record
 - Pre-reviewer is not the department personnel that completes the labor re-distribution, request change through effort report
- Pre-Reviewer completes review, Certifier requests a labor re-distribution to update the record
- 30 days to complete Pre-Review Stage

Note: All Pre-Reviewers must complete review to move to Certification Stage

Scenario 1 - Pre-Review Effort Report

- Salary distribution is displayed as percentage; a pie chart graph also displays the salary distribution
 - Tolerance +/- 5% original award vs. effort worked
- E-print reports will show status by Org, PI and activity in dollars

Effort Certification | Labor Redistribution | Sign Out | ? Help

Review or Certify Reports | Effort Report Actions | Refresh | Open | Save | Copy | Delete | More Actions | Close

Effort Report

Pay Period Summary

Comments

Routing Queue

Sponsored

Grant	Fund	Effort Category	Effort
2R105 Strange Particles & Heavy Ion Physi	21050 MR Strange Particles & Heavy Ion	RESTRICT Sponsored labor charge	19.82

Total Sponsored Activity: 19.82%

Non Sponsored

Fund	Organization	Effort Category	Effort
2U0224 MU I & G	036E AS General Administrative		7.87
2U0224 MU I & G	707B0 Physics Astronomy Gen Admin		72.31

Total Non Sponsored Activity: 80.18%

Total 100.00%

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

Effort Report Overview

Report Status | Dates

201101
January 1 - June 30 2011
Jul 01, 2011 - Oct 31, 2011
Under Review - Unlocked

Funding Chart

Proxy or Supersuser

You are acting as a Supersuser

SUNGARD HIGHER EDUCATION | Banner Effort Certification (Release 8.3.0.5)

Scenario 1 – Complete Pre-Review

- Click Review button to complete Pre-Review stage
- Email notification will be sent to PI

Effort Certification | Labor Redistribution | Sign Out

Review or Certify Reports

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
2R105 Strange Particles & Heavy Ion Physi	21050 MR Strange Particles & Heavy Ion	RESTRICT Sponsored labor charge	19.82

Total Sponsored Activity 19.82%

Non Sponsored

Fund	Organization	Effort Category	Effort
2U0224 MU I & G	036E AS General Administrative		7.87
2U0224 MU I & G	707B0 Physics Astronomy Gen Admin		72.31

Total Non Sponsored Activity 80.18%

Total 100.00%

Effort Report Overview

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

Funding Chart

Proxy or Superuser

You are acting as a Superuser

Request Changes **Review** Add New Funding

SUNGARD HIGHER EDUCATION | Banner Effort Certification (Release 8.3.0.5)

Scenario 2 – Pre-Review Effort Report

- Pre-reviewer begins review of effort record and needs to complete a labor distribution and is labor re-distribution initiator for department
 - Does not need to select request changes button
 - Completes necessary labor re-distribution in LoboWeb or Banner
 - Review button on record will disappear

Do not need to click any buttons below, complete labor re-distribution with normal process

Grant	Fund	Effort Category	Effort
ZR105 Strange Particles & Heavy Ion Physi	21050 MR Strange Particles & Heavy Ion	RESTRICT Sponsored labor charge	19.82

Total Sponsored Activity 19.82%

Fund	Organization	Effort Category	Effort
2U0224 MU I & G	039E AS General Administrative		7.87
2U0224 MU I & G	707B0 Physics Astronomy Gen Admin		72.31

Total Non Sponsored Activity 80.18%

Total 100.00%

Effort Report Overview
Report Status: 201101
January 1 - June 30 2011
Jul 01, 2011 - Oct 31, 2011
Under Review - Unlocked

Funding Chart
Pie chart showing: 72.31% (blue), 19.82% (orange), 7.87% (green)

Proxy or Supuser
You are acting as a Supuser

Buttons: Request Changes, Review, Add New Funding

Scenario 2 - Labor Re-distribution completed

- Labor redistribution processed by department, has not updated payroll records. Note message in upper right corner

Sign Out [? Help](#)

More Actions [Close](#)

Effort Category	Charge Type	Effort
RESTRICT Restricted labor charges	Direct	75
RESTRICT Restricted labor charges	Direct	12.81

Total Sponsored Activity 87.81%

Effort Category	Charge Type	Effort
	Direct	12.19

Total Non Sponsored Activity 12.19%

Effort Report Overview

Report Status Dates

201001
January 1 to June 30, 2010
Apr 14, 2011 - Jun 30, 2011

Awaiting Certification - Unlocked

Pay events are in process that may affect this effort report.

Funding Chart

Scenario 2 – Update Effort Report

- Changes have been applied and Awaiting Refresh, click the Update Report button to show changes on the effort report
 - Available for Pre-review certification after update is complete
 - Status changes to Under Review – Unlocked and the Review action can be taken

The screenshot displays a software interface for managing effort reports. At the top, there is a menu bar with options: New, Refresh, Open, Save, Copy, Delete, More Actions, and Close. Below the menu is a blue header bar. The main content area contains two tables of effort data. The first table shows sponsored activity, and the second table shows non-sponsored activity. To the right, a sidebar titled 'Effort Report Overview' displays the report status as 'Awaiting Refresh - Unlocked' and includes an 'Update Report' button, which is highlighted by a black arrow.

Organization	Effort Category	Charge Type	Effort
SAFE 997H00 Pediatrics CDD Faculty #0	RESTRICT Sponsored Labor Charges	Direct	4.24
Care 997O06 Neo Staff #3	RESTRICT Sponsored Labor Charges	Direct	15
Total			Sponsored Activity 19.24%

Organization	Effort Category	Charge Type	Effort
997O06 Neo Staff #3		Direct	61.61
al 997O2A Neo Dev. Care Admin.		Direct	19.15
Total			Non Sponsored Activity 80.76%

Scenario 2 – Complete Pre-Review

- Click Review button to complete Pre-Review stage
- Email notification will be sent to PI

The screenshot displays the Banner Effort Certification interface. The main content area shows a report for 'Labor Redistribution' with a 'Review' button highlighted by a black arrow. The report is divided into 'Sponsored' and 'Non Sponsored' sections, each with a table of activity. A 'Funding Chart' on the right shows a pie chart with three segments: 72.31% (blue), 19.82% (orange), and 7.87% (green). The 'Review' button is located at the bottom right of the main content area, next to 'Request Changes' and 'Add New Funding' buttons. A black arrow points to the 'Review' button.

Sponsored

Grant	Fund	Effort Category	Effort
2R105 Strange Particles & Heavy Ion Physi	21050 MR Strange Particles & Heavy Ion	RESTRICT Sponsored labor charge	19.82

Total Sponsored Activity 19.82%

Non Sponsored

Fund	Organization	Effort Category	Effort
2U0224 MU I & G	036E AS General Administrative		7.87
2U0224 MU I & G	707B0 Physics Astronomy Gen Admin		72.31

Total Non Sponsored Activity 80.18%

Total 100.00%

Effort Report Overview

Report Status: Under Review - Unlocked

201101
January 1 - June 30 2011
Jul 01, 2011 - Oct 31, 2011

Funding Chart

72.31%
19.82%
7.87%

Proxy or Superuser

You are acting as a Superuser

Request Changes Review Add New Funding

SUNGARD HIGHER EDUCATION Banner Effort Certification (Release 8.3.0.5)

Scenario 3 –Pre-Review Effort Report

- Pre-reviewer begins review of effort record and needs to complete a labor distribution and is not labor re-distribution initiator for department
 - Select Request Changes button; system prompts user to send an e-mail. Send email to department labor re-distribution initiator, include all necessary information to complete labor re-distribution

The screenshot displays the Banner Effort Certification software interface. The main window is titled "Effort Certification" and "Labor Redistribution". The left sidebar shows "Review or Certify Reports" and "Effort Report". The main area displays a table of effort records, categorized into "Sponsored" and "Non Sponsored".

Grant	Fund	Effort-Category	Effort
2R105 Strange Particles & Heavy Ion Physl	21050 MR Strange Particles & Heavy Ion	RESTRICT Sponsored labor charge	19.82
Total Sponsored Activity			19.82%

Fund	Organization	Effort-Category	Effort
2U0224 MU I & G	03E AS General Administrative		7.87
2U0224 MU I & G	70780 Physics Astronomy Gen Admin		72.31
Total Non Sponsored Activity			80.18%

Total 100.00%

Buttons: Request Changes, Review, Add New Funding

Right sidebar: Effort Report Overview (Report Status: 201101, January 1 - June 30 2011, Jul 01, 2011 - Oct 31, 2011, Under Review - Unlocked), Funding Chart (Pie chart showing 7.87%, 19.82%, and 72.31%), Proxy or Supersuser (You are acting as a Supersuser)

Bottom right: SUNGARD HIGHER EDUCATION, Banner Effort Certification (Release 8.3.0.5)

Scenario 3 – Labor Re-Distribution has been requested

- o Status now Under Review-Changes Submitted (optional).

The screenshot displays a software interface with a table of labor charges and a summary panel on the right. A blue arrow points from the text 'has been requested' to the 'Under Review - Changes Submitted' status in the summary panel.

	Organization	Effort Category	Charge Type	Effort
rueck	433CL5 CHTM PI #6	RESTRICT Restricted labor charges	Direct	33.33
electronics Brueck Adm	433C00 CHTM PI #1	RESTRICT Restricted labor charges	Direct	50
22-JUN-11	433C00 CHTM PI #1	RESTRICT Restricted labor charges	Direct	16.67
Total				Sponsored Activity 100.00%

	Organization	Effort Category	Charge Type	Effort
Total				Non Sponsored Activity 0.00%

Effort Report Overview
Report Status: Dates:
201001
January 1 to June 30, 2010
Apr 14, 2011 - Aug 31, 2011
Under Review - Changes Submitted
Changed by:

Funding Chart

Proxy or Superuser

Clear Changes

Scenario 3 - Labor Re-distribution completed

- Labor redistribution processed by department, has not updated payroll records. Note message in upper right corner

Sign Out [? Help](#)

More Actions Close

Effort Category	Charge Type	Effort
RESTRICT Restricted labor charges	Direct	75
RESTRICT Restricted labor charges	Direct	12.81

Total Sponsored Activity 87.81%

Effort Category	Charge Type	Effort
	Direct	12.19

Total Non Sponsored Activity 12.19%

Effort Report Overview

Report Status Dates

201001
January 1 to June 30, 2010
Apr 14, 2011 - Jun 30, 2011
Awaiting Certification - Unlocked

Pay events are in process that may affect this effort report.

Funding Chart

Scenario 3 – Update Effort Report

- Changes have been applied and Awaiting Refresh, click the Update Report button to show changes on the effort report
 - Available for Pre-review certification after update is complete
 - Status changes to Under Review – Unlocked and the Review action can be taken

The screenshot displays a software interface for managing effort reports. At the top, there is a menu bar with options: New, Refresh, Open, Save, Copy, Delete, More Actions, and Close. Below the menu is a blue header bar. The main content area features two tables. The first table lists 'Sponsored Activity' with columns for Organization, Effort Category, Charge Type, and Effort. The second table lists 'Non Sponsored Activity' with the same columns. To the right, a sidebar titled 'Effort Report Overview' shows the report status as 'Awaiting Refresh - Unlocked' and includes a prominent 'Update Report' button with an arrow pointing to it.

Organization	Effort Category	Charge Type	Effort
SAFE 997H00 Pediatrics CDD Faculty #0	RESTRICT Sponsored Labor Charges	Direct	4.24
Care 997006 Neo Staff #3	RESTRICT Sponsored Labor Charges	Direct	15
Total			Sponsored Activity 19.24%

Organization	Effort Category	Charge Type	Effort
997006 Neo Staff #3		Direct	61.61
al 99702A Neo Dev. Care Admin.		Direct	19.15
Total			Non Sponsored Activity 80.76%

Scenario 3 - Complete Pre-Review

- Select Review button to complete this stage
- PI will receive email notification when record is available to certify

The screenshot displays the Banner Effort Certification software interface. The main area shows a table of activity categorized into 'Sponsored' and 'Non Sponsored'.

Sponsored Activity:

Grant	Fund	Effort Category	Effort
2R105 Strange Particles & Heavy Ion Physi	21050 MR Strange Particles & Heavy Ion	RESTRICT Sponsored labor charge	19.82

Non Sponsored Activity:

Fund	Organization	Effort Category	Effort
2U0224 MU I & G	036E AS General Administrative		7.87
2U0224 MU I & G	70780 Physics Astronomy Gen Admin		72.31

Summary: Total Sponsored Activity 19.82%, Total Non Sponsored Activity 80.18%, Total 100.00%.

The right-hand sidebar includes an 'Effort Report Overview' section with report status and dates, a 'Funding Chart' pie chart showing the distribution of activity (72.31%, 19.82%, 7.87%), and a 'Proxy or Supersuser' section indicating the user is acting as a Supersuser.

At the bottom right of the main data area, there are three buttons: 'Request Changes', 'Review', and 'Add New Funding'. A black arrow points to the 'Review' button.

Navigation Menu (Left): Review or Certify Reports, Effort Report, Pay Period Summary, Comments, Routing Queue.

Open Items (Bottom Left): Effort Certification

Footer: SUNGARD HIGHER EDUCATION, Banner Effort Certification (Release 8.3.0.5)

Scenario 4 - 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

The screenshot displays a web-based effort report interface. At the top, there is a navigation bar with 'Certify My Effort' and 'Effort Report Actions' (New, Refresh, Open, Save, Copy, Delete, More Actions, Close). The main content area is divided into 'Sponsored' and 'Non Sponsored' sections, each with a table of data. A 'Request Changes' button is located at the bottom right, with a black arrow pointing to it. A tooltip for the '3R96E Developmental Care Continuity Progr: 13.9%' is visible over a pie chart in the 'Funding Chart' section.

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%

Request Changes | Certify | Add New Funding

Clear Changes Requested

- If changes requested button was selected in error
- Click clear changes to restore report to original if review or certification stage

The screenshot displays a web application interface for an effort report. The main content area shows a table with columns for Organization, Effort Category, Charge Type, and Effort. The table contains three rows of data, all with 'RESTRICT Restricted labor charges' as the Effort Category. A 'Total' row indicates 'Sponsored Activity 100.00%'. Below this, another table header is visible, and a 'Total' row indicates 'Non Sponsored Activity 0.00%'. A large black arrow points down to a 'Clear Changes' button located at the bottom center of the main content area.

Effort Report Overview

Report Status: Dates:

201001
January 1 to June 30, 2010
Apr 14, 2011 - Aug 31, 2011
Under Review - Changes Submitted

Changed by Michael Schwantes

Funding Chart

Category	Percentage
Green	50%
Orange	33.33%
Blue	16.67%

Proxy or Superuser

Total 100.00%

Certification Stage

- Select Certify button
- Complete certification process
 - Note: Certification will not be completed until all Fund Financial Managers have certified

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

Effort Report Overview

Report Status Dates

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% 13.94% 5.29% 19.16%

Proxy or Superuser
You are acting as a Superuser

Open Items

Effort Certification

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%

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

Total 100.00%

Record is Locked

- Once effort has been certified, salary transfers 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 scanned or sent to your respective C&GA Manager
 - Jessica Alderete- Main Campus
 - Peggy Domiguez- HSC
 - Memos will be retained by Contract & Grant Accounting
- The Effort Report will need to be reviewed and re-certified

Record is Locked

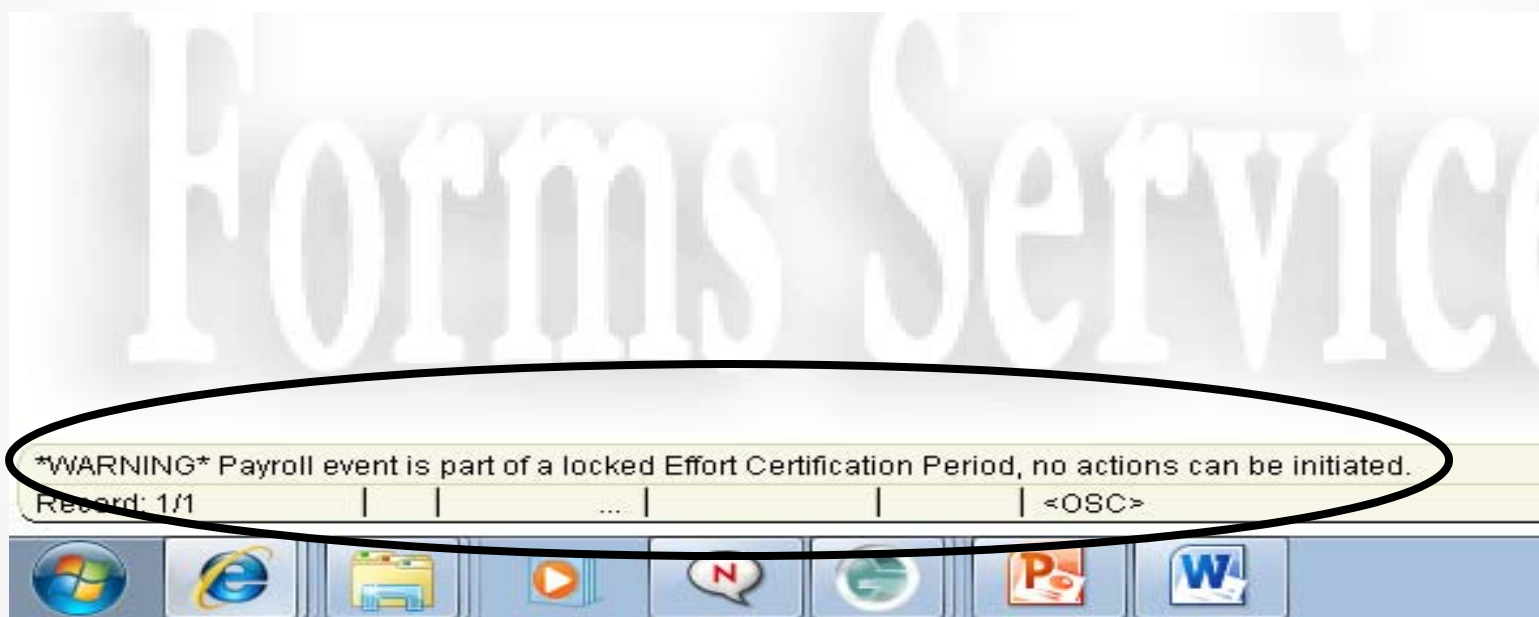
- When the effort is locked you will see a lock on the side of the labor

The screenshot shows a web application interface for "Person Search". The search criteria is "ID = 100007589". The table displays 44 rows of labor records. The selected row (row 4) is highlighted in green and has a lock icon on its left side. The lock icon is circled in red. The table columns are: Last Name, First Name, ID, Pay Year, Pay ID, Pay Number, Sequence, and Disposition. The Disposition for all rows is "70, Complete".

Last Name	First Name	ID	Pay Year	Pay ID	Pay Number	Sequence	Disposition
			2010	5R	3	0	70, Complete
			2010	5R	4	0	70, Complete
			2010	5R	5	0	70, Complete
			2010	5R	6	0	70, Complete
			2010	5R	7	0	70, Complete
			2010	5R	8	0	70, Complete
			2010	5R	9	0	70, Complete
			2010	5R	10	0	70, Complete
			2010	5R	11	0	70, Complete
			2010	5R	12	0	70, Complete
			2011	5R	1	0	70, Complete
			2011	5R	2	0	70, Complete
			2011	5R	3	0	70, Complete
			2011	5R	4	0	70, Complete
			2011	5R	5	0	70, Complete
			2011	5R	6	0	70, Complete
			2011	5R	7	0	70, Complete
			2011	5R	8	0	70, Complete

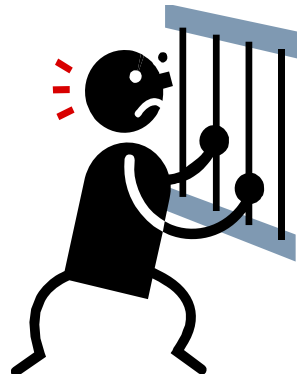
Record is Locked

- Banner PHAREDS



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



* to be determined by Research faculty

Contact Information

- Contact your Pre-Reviewer for general/procedural questions
- Effort Email
 - Main campus – maineffortrptng@unm.edu
 - HSC campus – HSC-Effort_Reporting@salud.unm.edu
- For all other questions
 - Contact: Jessica Alderete - Main Campus/Branches
 - jessald@unm.edu
 - 277-9731
 - Contact: Peggy Dominguez - Health Sciences Center
 - PKDominguez@salud.unm.edu
 - 272-1335