

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 A-133 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
- Pre-Review must be completed prior to Certification

Accessing Reports

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

The screenshot shows the UNM LoboWeb interface. At the top, navigation tabs include Home, Campus Life, Library, UNM E-Mail, Student Life, My Courses, Employee Life (highlighted), and Finance. The date June 13, 2011 is in the top right. The main content area is titled 'LoboWeb For Employees' and contains a notice: 'UNM Account Suite will be unavailable Wednesday, June 15, 7AM - 5PM'. Below this, it says 'Thank you for your patience as we work to improve this service. Please refer to the IT Alerts board (http://italerts.unm.edu) for additional information or updates. Please contact the IT Customer Support Services with questions at 277-5757.' The LoboWeb logo is displayed, with a black arrow pointing to it. Below the logo is a red button labeled 'Enter LoboWeb' and a red-bordered box stating: 'Due to scheduled backups, LoboWeb is unavailable Saturday 7:00 pm - 9:30 pm.' The sidebar on the left has sections for Human Resources, Benefits, and Education. The right sidebar has sections for UNM Business Applications, Banner Announcements, and Banner Training.

Home Campus Life Library UNM E-Mail Student Life My Courses **Employee Life** Finance June 13, 2011

Human Resources

General Information

- HR Main Page
- ePAN
- Salary Structure Table
- Standard Timesheet for Staff (PDF)
- Standard Timesheet for Staff (Excel)

Career Development

- Career Development Main Page
- Education and Training
- Career Ladders

Staff Resources

- Counseling Assistance and Referral Services (CARS)
- Dispute Resolution
- Lesbian, Gay, Bisexual, Transgender, and Questioning (LGBTQ) Resource Center
- HR Consulting Services
- Office of Equal Opportunity (OEO)
- Training (Employee and Organizational Development - EOD)
- Wellness (Employee Health Promotion Program - EHPP)

Benefits

Insurance

- Dental Insurance
- Eligibility and Enrollment
- Life Insurance
- Medical Insurance
- Prescription Drug Insurance
- Vision Insurance

Education

- Educational Benefits

Retirement

- Alternative Retirement Plans (ARP)
- Comparison of ERA and ARP Retirement Plans
- Educational Retirement Board (ERB)
- Retirement Manager

LoboWeb For Employees

UNM Account Suite will be unavailable Wednesday, June 15, 7AM - 5PM

During this time access to 'Make Bursar Payment' will be unavailable.

Thank you for your patience as we work to improve this service. Please refer to the IT Alerts board (<http://italerts.unm.edu>) for additional information or updates. Please contact the IT Customer Support Services with questions at 277-5757.

The University of New Mexico
LoboWeb

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

Enter LoboWeb

Due to scheduled backups, LoboWeb is unavailable Saturday 7:00 pm - 9:30 pm.

UNM Business Applications

Transaction and Real-time Query Systems

- Internet Native Banner
- LoboWeb
- LoboMart
- UNMJobs
- Workflow

Reporting

- E-Print
- Hyperion

Banner Resources

- Banner Authorization Requests
- Report a Duplicate Person/Non-person
- Search Class Schedule
- Search Course Catalog
- Electronic Forms
- Purchasing Department Website

Space Management

- Self-Service: Space Information & Floor Plans
- Discover Viewer: Reports
- Space Management Website
- Contacts: space@unm.edu or 277-3800

Banner Announcements

No current announcements.

Banner Training

Training Databases

- New Banner training database (BANTR)
- Old Banner training database (TRNG2)
- LoboMart Training

[Job Aids and Standard Operating Procedures](#)

[Learning Central \(Register for courses and manage your learning plan\)](#)

Employee and Organizational Development

Employee and Organizational Development (EOD) provides a variety of organizational development services to UNM employees. Our Training Programs cover all aspects of work at

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, as well as:
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 HR/Payroll Support Center page.

Personal Information

Update race/ethnicity information; update addresses, emergency contact information, and directory information; opt-out of public display of your name.

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.



Click Advanced Search

The screenshot shows a web application interface for 'Review or Certify Reports'. At the top, there are tabs for 'Effort Certification' and 'Labor Redistribution', and a 'Sign Out' button. Below the tabs is a navigation menu with 'Certify My Effort', 'Review or Certify Reports', and 'Proxy or Superuser'. 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 for 'Advanced Search'. A red arrow points from a callout box to this dropdown menu. The callout box contains the text 'Click advanced search to view search options'. 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. The table is currently empty, displaying '0 rows'. Below the table is a 'Search Tips' section with a link to 'Advanced Search'. At the bottom left, there is an 'Open Items' panel.

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

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

Advanced Search

Click advanced search to view search options

Open Items

Select Attribute to Begin Search

The screenshot displays the Banner Effort Certification application. 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 with the text "Search by ID" and a search icon. A red arrow points to a dropdown menu labeled "Select Attribute". Below the search field, there 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, there is a "Search Tips" section with text explaining search options and a link to "Advanced Search". A blue callout box with white text says "Open drop down menu to select the search attribute".

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

Certify My Effort

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

Advanced Search

Open drop down menu to select the search attribute

Open Search Drop Down Box – Chart of Accounts

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
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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](#)

Open Items

Search for Reports to Certify

- Select Attribute drop down
 - Chart of Accounts – type “U” and select Go. System will display all records that you have access to view

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](#)

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 | 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

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

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%

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)

61.61% 19.16% 13.9%

Proxy or Superuser
You are acting as a Superuser

Total 100.00%

Request Changes Certify Add New Funding

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

Effort Report

Pay Period Summary

Comments ↑

Routing Queue

Open Items

▼ Effort Certification

Effort Report Overview

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

Funding Chart

Proxy or Supenser

You are acting as a Supenser

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

Organization	Grant	Fund	Effort Type	Payroll Percent	Effort Period Percent
707B0	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
707B0	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
707B0	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	
707B04	Physics Astronomy Faculty #1C	2RL82 Investigations in Quantum Metr	2L820 2RL82 Quantum Metrology Entai	RESTRICT Sponsored labor charge	100	18.41

Certifying Effort

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

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%

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

61.61% 13.94% 19.16%

Total 100.00%

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

Funding Chart

Proxy or Supersuser
You are acting as a Supersuser

Open Items

Effort Certification

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 web application. The main window is titled 'Effort Certification' and 'Labor Redistribution'. A 'Certify' dialog box is open in the center, 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.' The dialog has 'Cancel' and 'I Agree' buttons. The background interface shows a table of effort reports with columns for Grant, Fund, Effort Category, and Effort. A 'Funding Chart' on the right side features a pie chart with four segments representing 15.4%, 32.92%, 38.9%, and 12.78%. The bottom of the screen includes buttons for 'Request Changes', 'Certify', and 'Add New Funding'.

Grant	Fund	Effort Category	Effort
2RMS3 Clinical Trials Network: Southwest	2M531 2RMS3 Clinical Trials Network: SW	RESTRICT Sponsored labor charge	32.92

Fund	Organization	Effort
33030 3R30J - 12-Step Facilitation for	451102 Psych Affective DO Facu	15.4
360Q0 3R60Q Research and Mentorship on AI	451B03 Psych Vice Chair#3	38.9
3U0011 HJ UNPH AR & AP General	451B0 Psych General Adminstr	12.78

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 software interface for certifying effort reports. The main area shows a table of activities, divided into 'Sponsored' and 'Non Sponsored' sections. A blue arrow points from the 'Request Changes' button at the bottom to the 'Sponsored' table.

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%

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

61.61% **5.29%** **19.16%**

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 posted on UNM website
- 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:
 - Effort-Reporting@salud.unm.edu