Effort Certification Training

Certification Stage

Why do we Certify?

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

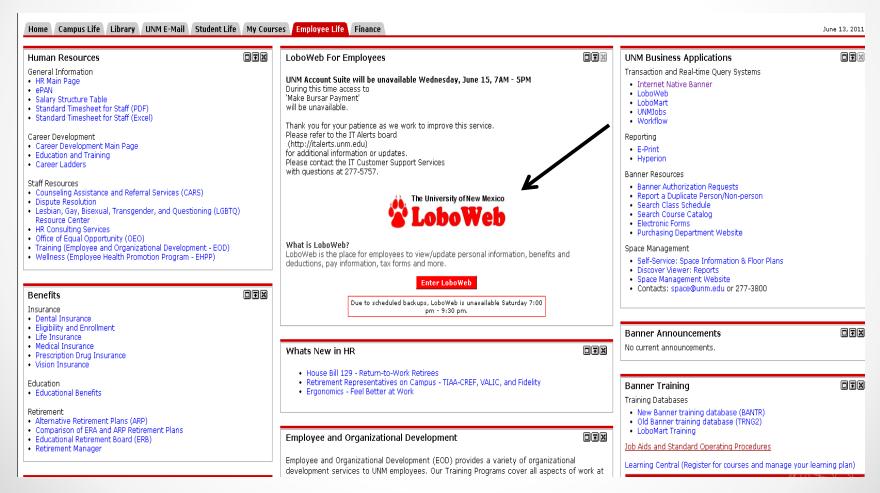- Recently approved Effort Certification Policy will be added to UNM Faculty Handbook

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

Select Effort Certification

Search [_____] [Go]

Employee

Welcome to LoboWeb for Employees! You can view personal information such as benefits and deductions, leave balances and direct deposi
- 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 20

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 b

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Personal Information
  Update race/ethnicity information; update addresses, emergency contact information, and directory information; opt-out of public dis

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

Select Review or Certify Reports

Click Advanced Search

Click advanced search to view search options

Select Attribute to Begin Search

Open drop down menu to select the search attribute

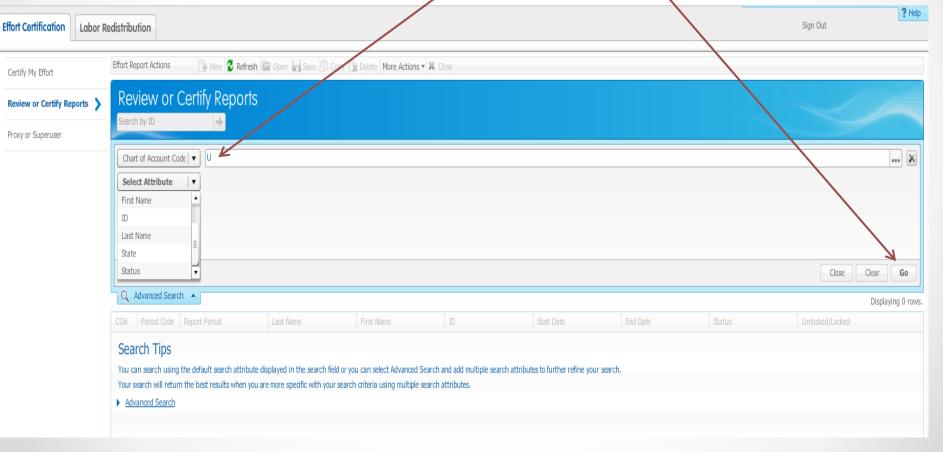# Open Search Drop Down Box – Chart of Accounts

Open drop box, select Chart of Account Code to begin search
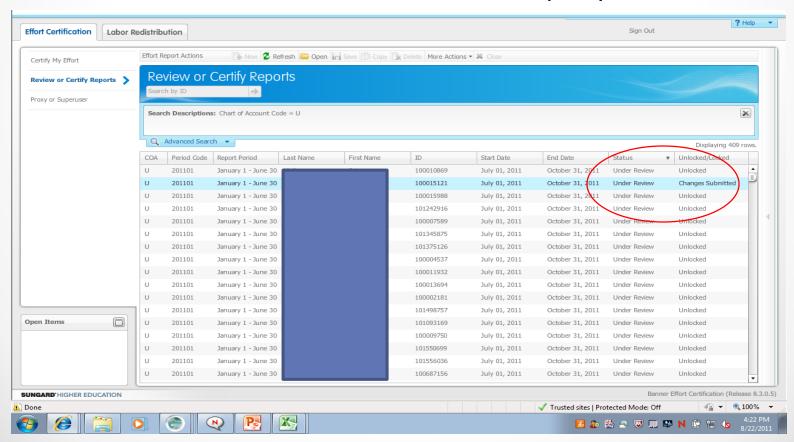
Search for Reports to Certify

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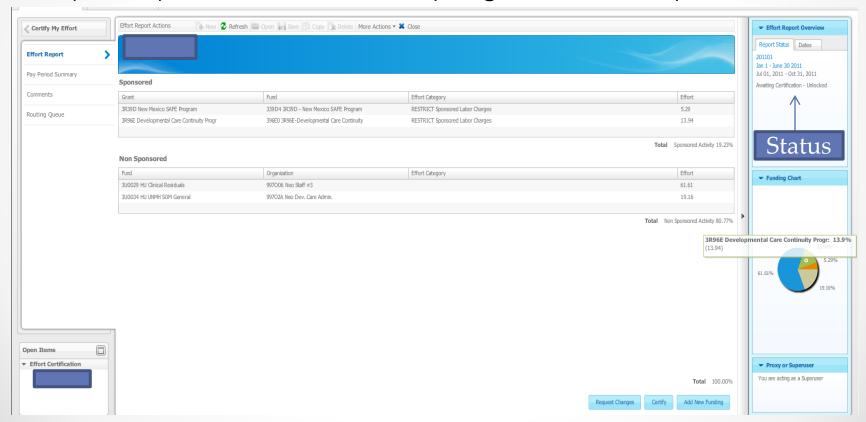
Select from Employee List

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

Employee Effort Report

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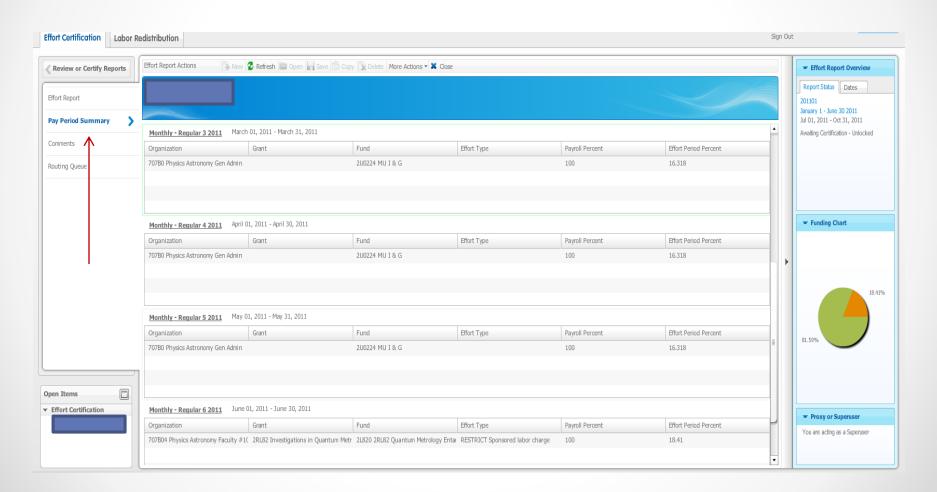- E-print reports will show status by Org, PI and activity in dollars

Column Definitions

Status column:

- **<u>Under Review</u>** – report has been created and is available for viewing
- **<u>Awaiting Certification</u>** – Pre-Reviewer has reviewed and is ready for certification
- **<u>Completed</u>** – effort report has been certified and completed

Locked/unlocked column:

- **<u>Locked</u>** – after an effort report is completed it is locked and cannot be modified
- **<u>Unlocked</u>** – effort report is available for change by members of the routing queue
- **<u>Awaiting Refresh</u>** – labor re-distribution has been completed and has updated the payroll record, report needs to be updated, reviewed and certified
- **<u>Changes Submitted</u>** – when request change button is clicked
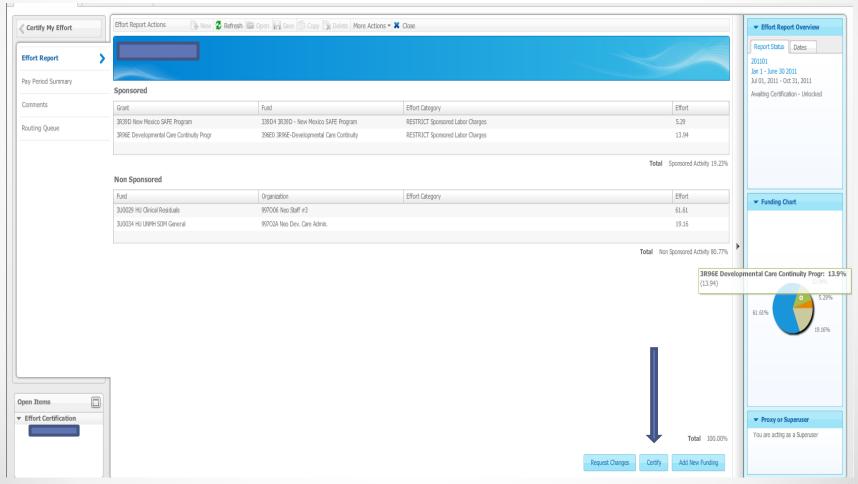
Pay Period Summary

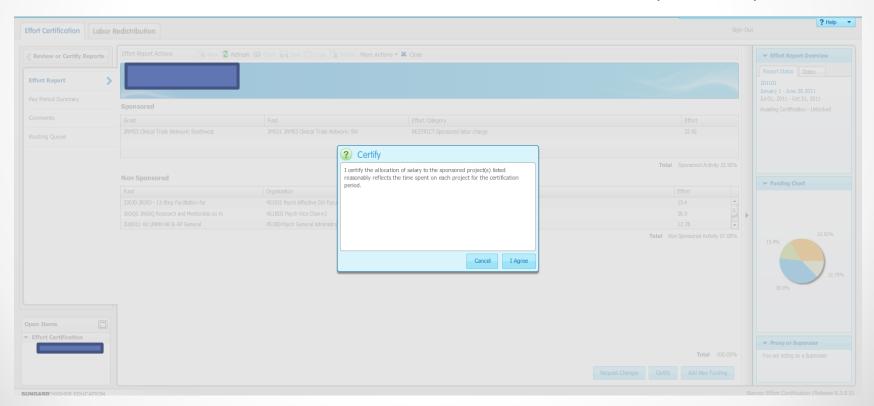- Select Pay Period Summary to view effort by pay period.

Certifying Effort

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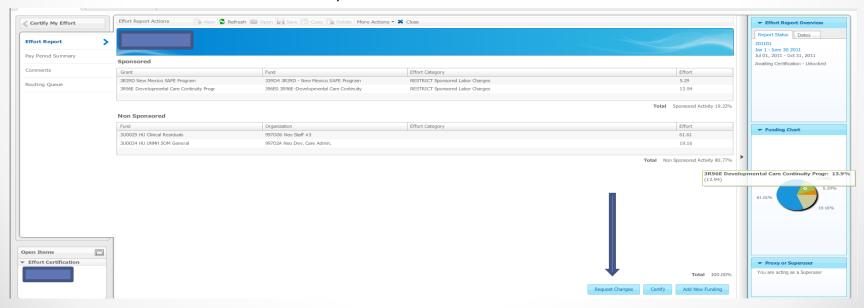 - Note: Certification will not be completed until all PI's have certified

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

Certifier Requests a Change

- If effort needs to be corrected after Pre-Review Stage is complete - select <u>request changes</u> to initiate an email to designated department personnel
  - Email should include all necessary information to complete the labor distribution
  - Existing report will be updated after labor re-distribution is completed
    - PI's will receive email notification when updated record has been pre-reviewed and is ready for certification
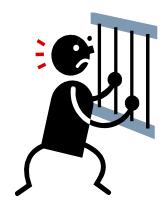
Record is Locked

- 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