

# Effort Certification Training

Certification Stage



# Definition of Effort

- Effort is defined as the compensated 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 research, instruction, administration, service, and clinical activity
    - 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%
- UNM's Effort Certification Policy is part of the UNM Faculty Handbook
  - **E120: Effort Reporting Policy -**  
<https://handbook.unm.edu/e120/>

# 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 – Salary is unsupported, and therefore, unallowable
    - Non-compliance on the Uniform Guidance Single Audit - could impact future funding
- **Applies to non-timesheet (5R) employees only**

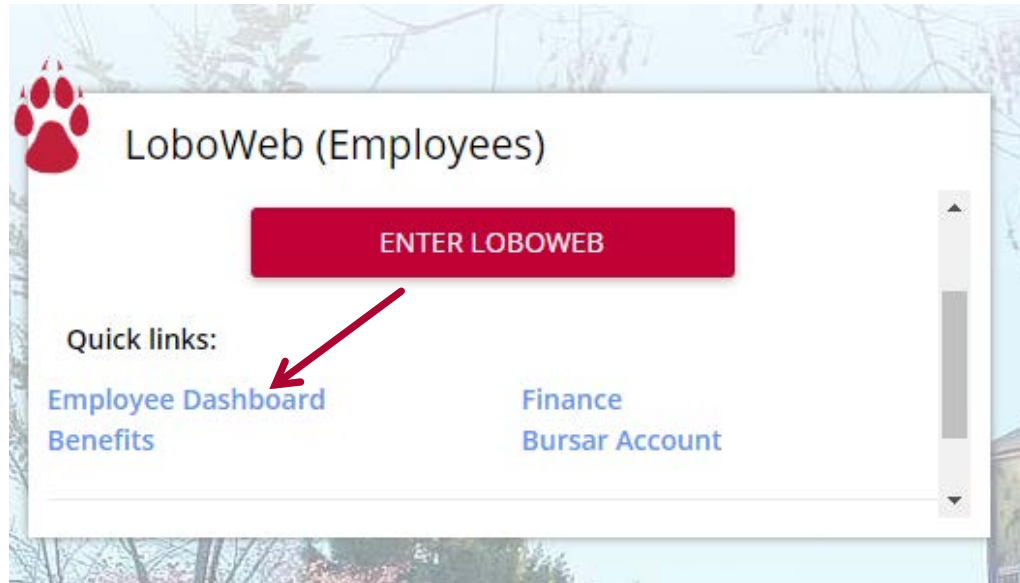
# Effort Certification Process

- Reports are displayed by employee
- Effort Certification reports are distributed and certified semi-annually through the Effort Certification link in the UNM Employee Dashboard
  - 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
- **ALL Pre-Reviews must be completed prior to any PI Certification**

# Accessing Reports

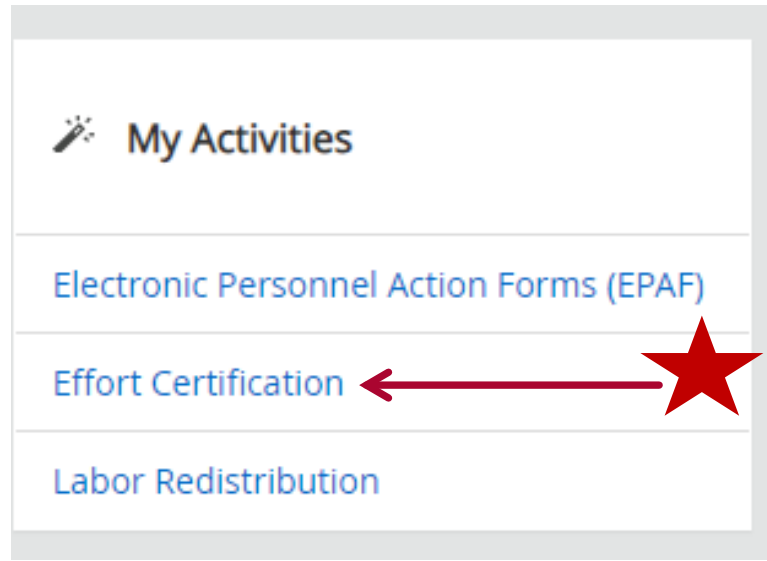
First log into MyUNM: <https://my.unm.edu/home>

- Select the Employee Life tab - Click on the 'Employee Dashboard' link



# Select Effort Certification

In the My Activities box on the right side of the page select the 'Effort Certification' link.

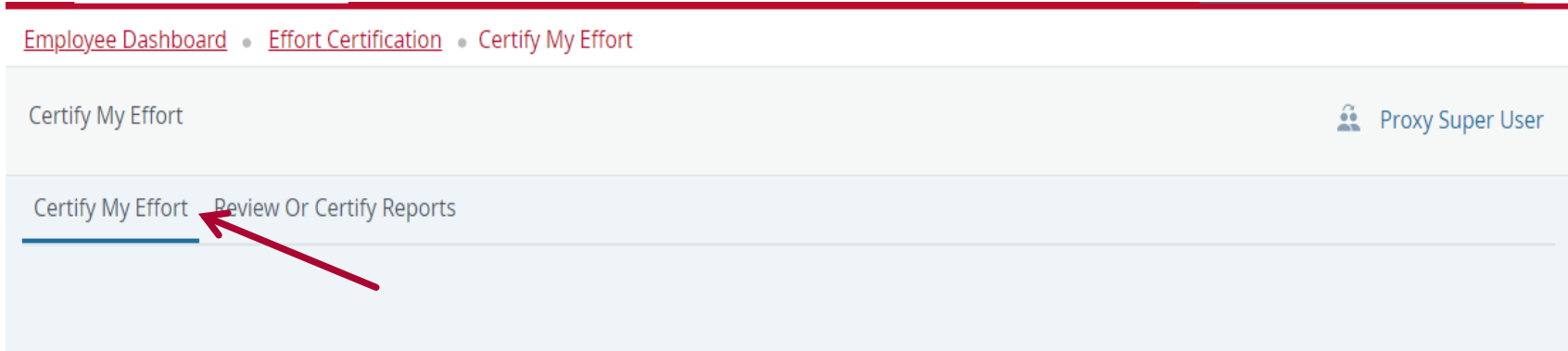




# How to Certify Your Own Effort

System will default to the 'Certify My Effort' tab where PI information will be displayed. This is where you will certify your own effort. Double click on your effort to open it.

To view all other employee Effort Reports requiring certification, click on the Review or Certify Reports tab and complete the steps below before accessing the list effort reports requiring certification.



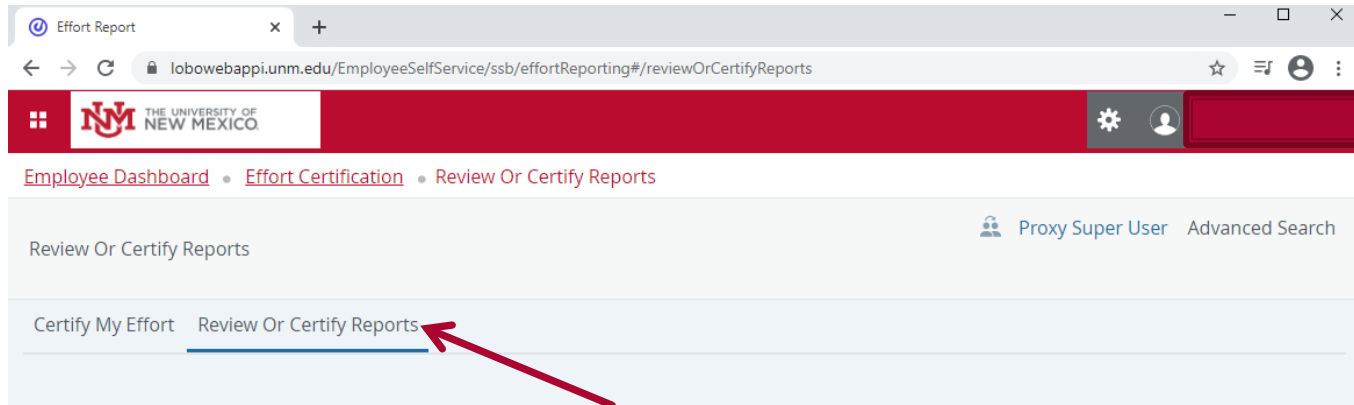
The screenshot shows a web interface with a breadcrumb trail at the top: [Employee Dashboard](#) • [Effort Certification](#) • [Certify My Effort](#). Below this is a header area with the text "Certify My Effort" on the left and a user profile icon and name "Proxy Super User" on the right. A navigation bar contains two tabs: "Certify My Effort" and "Review Or Certify Reports". The "Certify My Effort" tab is currently selected, indicated by a blue underline. A red arrow points from the bottom right towards the "Review Or Certify Reports" tab.

# Certifying Effort for all other employees on an award

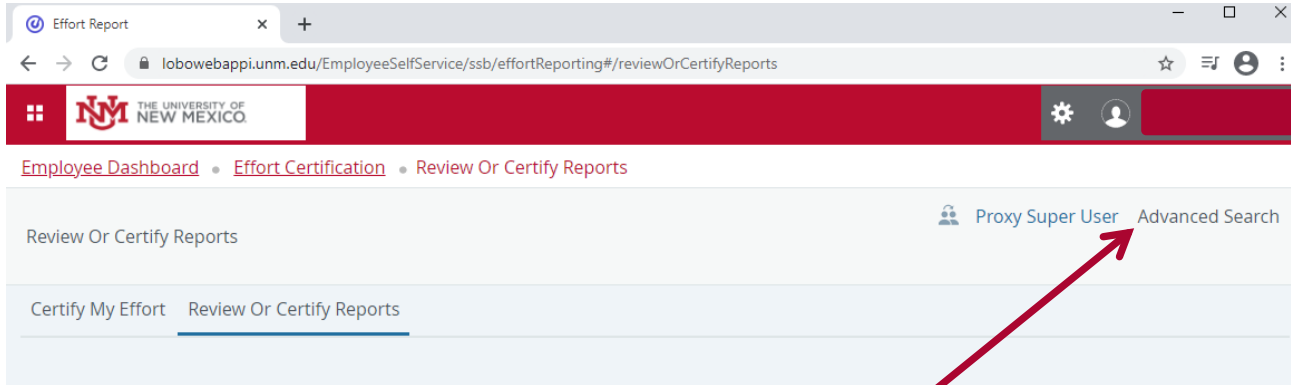


# Step 1 - Select Review or Certify Reports

To view all the employee Effort Reports that need to be certified select 'Review Or Certify Reports' tab at the top of the page.



# Step 2 - Click Advanced Search



Advanced Search should come up automatically but if it does not click Advance Search to view search options.

# Step 3 - Select Chart of Account Code

Advanced Search

<b>ID</b> Enter ID <input type="text"/>	<b>Name</b> Enter Name <input type="text"/>	<b>Chart of Account Code</b> Select COA code <input type="text"/> U, University of New Mexico
<b>Effort Period Code</b> Select Period Code <input type="text"/>	<b>State</b> <input type="text"/>	
<b>Grant</b> Select Grant Code <input type="text"/>		

Select the drop down for the Chart of Account Code and click U, University of New Mexico

Clear Close Go

# Step 4 - Select Effort Period Code

**Important Note:** The current effort period will be at the **bottom** of the list. Select the effort period, and then click 'Go' on the bottom right of the screen to display all the effort reports that need to be certified.

The screenshot shows the 'Advanced Search' form with the following fields:

- ID:** Enter ID
- Name:** Enter Name
- Chart of Account Code:** Select COA code
- Effort Period Code:** Select Period Code (dropdown menu)
- State:** (dropdown menu)
- Status:** (dropdown menu)

A red callout box with a white border points to the 'Effort Period Code' dropdown menu. The text inside the callout box reads: "Select the drop down for the Effort Period Code and click 202001, January 1 – June 30 2020". The dropdown menu is open, showing a list of effort period codes. The last item, "202001, January 1 - June 30 2020", is highlighted in blue. At the bottom right of the form, there are three buttons: "Clear", "Close", and "Go". The "Go" button is circled in red.

Effort Period Code
201701, January 1 - June 30 2017
201702, July 1 - December 31 2017
201801, January 1 - June 30 2018
201802, July 1 - December 31 2018
201901, January 1 - June 30 2019
201902, July 1 - December 31 2019
<b>202001, January 1 - June 30 2020</b>

# Step 5 - Search for Reports to Review

Advanced Search

<b>ID</b> Enter ID	<b>Name</b> Enter Name X	<b>Chart of Account Code</b> Select COA code
<b>Effort Period Code</b> Select Period Code	<b>State</b>	<b>Status</b>
<b>Grant</b> Select Grant Code		

Enter the Employee Banner ID in the ID box then click Go

Clear Close **Go**

**NOTE:** If you know the Banner ID you can just search by that as well



# Step 6 - Select from Employee List

- Double click on the record to view effort report actions
- Note Status and State of each employee

[Employee Dashboard](#) • [Effort Certification](#) • [Review Or Certify Reports](#)

[Print](#) [Open](#)

Certify My Effort [Review Or Certify Reports](#)

Effort List

COA	Period Code	Period Description	Name	ID	Start Date	End Date	Status	Unlocked/ Locked	Comments
U	202001	January 1 - June 30 2020	[REDACTED]	[REDACTED]	10/19/2020	11/18/2020	Awaiting Certification	Unlocked	
U	202001	January 1 - June 30 2020	[REDACTED]	[REDACTED]	10/19/2020	11/18/2020	Awaiting Certification	Unlocked	
U	202001	January 1 - June 30 2020	[REDACTED]	[REDACTED]	10/19/2020	11/18/2020	Awaiting Certification	Unlocked	
U	202001	January 1 - June 30 2020	[REDACTED]	[REDACTED]	10/19/2020	11/18/2020	Awaiting Certification	Unlocked	

# Employee Effort Report

- Salary distribution is displayed as a percentage; a pie chart also displays the salary distribution
- Tolerance of +/- 5% is acceptable from original award vs. effort worked – If there is a discrepancy email [maineffortrptng@unm.edu](mailto:maineffortrptng@unm.edu) or [HSC-Effort-Reporting@salud.unm.edu](mailto:HSC-Effort-Reporting@salud.unm.edu)

Employee Dashboard > Effort Certification > Effort Report

Effort Report | Pay Period Summary | Comments | Routing Queue

Print

**Sponsored**

Grant	Fund	Effort Category	Effort
2RLY6 Agile Manufacturing for High Value, Low Volume Production	2LY60 2RLY6-Agile Manufacturing for High	RESTRICT Sponsored labor charge	10.82
2RDC7 MARCUS Mobile Adaptive Reactive Counter UAS System	2RC70 2RDC7-MARCUS Mobile Adap React UAS	RESTRICT Sponsored labor charge	16.22

Total Sponsored Activity 27.04%

**Non Sponsored**

Fund	Organization	Effort Category	Effort
20024 MU I & O	27180 Elec Computer Engr Administration		72.96

Total Non Sponsored Activity 72.96%

Total : 100.00%

Request Changes | Review | Add New Funding | Save

**Effort Report Overview**

**Report Status**

202001  
January 1 - June 30 2020  
October 19, 2020 - November 18, 2020  
Under Review - Unlocked

**Important Dates**

Begin Pre-Review  
October 19, 2020  
Certification Period  
October 19, 2020 to November 18, 2020  
Post Review End  
December 18, 2020

**Pay Dates**

SR - 1 January 01, 2020-January 31, 2020  
SR - 2 February 01, 2020-February 29, 2020  
SR - 3 March 01, 2020-March 31, 2020  
SR - 4 April 01, 2020-April 30, 2020  
SR - 5 May 01, 2020-May 31, 2020  
SR - 6 June 01, 2020-June 30, 2020

**Funding Chart**

10.8%  
2RLY6  
Agile  
Manufacturing  
for  
High  
Value,  
Low  
Volume  
Production

73%  
20024  
MU I  
& O  
72.96%

16.22%  
2RDC7  
MARCUS  
Mobile  
Adaptive  
Reactive  
Counter  
UAS  
System

**Status**

# Column Definitions

## Status Column:

- **Under Review** – Report has been created and is available for viewing by pre-reviewers
- **Awaiting Certification** – Pre-Reviewers have reviewed and report 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 action by members of the routing queue
- **Awaiting Refresh** – Labor re-distribution has been completed and has updated the payroll records, report needs to be updated, reviewed and certified
- **Changes Submitted** – When request change button is clicked

# Pay Period Summary

- Click on Pay Period Summary to view effort by pay period
- If grant is not active over entire 6-month effort certification period, this is where you can view detail by month to ensure percentages are accurate

The screenshot displays the 'Effort Report' interface. At the top, there are navigation tabs: 'Effort Report', 'Pay Period Summary' (highlighted with a red box and an arrow), 'Comments', and 'Routing Queue'. Below the tabs, the main content area shows a table of effort data organized by month. The table has columns for Organization, Grant, Fund, Effort Type, Payroll Percent, and Effort Period Percent. The data is grouped into five monthly sections: 'Monthly - Regular 1 2020' (Jan 01 - Jan 31), 'Monthly - Regular 2 2020' (Feb 01 - Feb 29), 'Monthly - Regular 3 2020' (Mar 01 - Mar 31), 'Monthly - Regular 4 2020' (Apr 01 - Apr 30), and 'Monthly - Regular 5 2020' (May 01 - May 31). The first three months show a single row for '271B0 Elec Computer Engr Administration' with a payroll percent of 100.0000 and an effort period percent of 14.5938. The fourth month shows two rows: one for '271B0 Elec Computer Engr Administration' and another for '271D27 Electrical Engr Pt #28'. The fifth month shows one row for '271B0 Elec Computer Engr Administration'. On the right side, there is a sidebar with sections: 'Effort Report Overview', 'Report Status' (202001, January 1 - June 30 2020, October 19, 2020 - November 18, 2020, Under Review - Unlocked), 'Important Dates' (Begin Pre-Review October 19, 2020, Certification Period October 19, 2020 to November 18, 2020, Post Review End December 18, 2020), 'Pay Dates' (SR - 1 January 01, 2020-January 31, 2020, SR - 2 February 01, 2020-February 29, 2020, SR - 3 March 01, 2020-March 31, 2020, SR - 4 April 01, 2020-April 30, 2020, SR - 5 May 01, 2020-May 31, 2020, SR - 6 June 01, 2020-June 30, 2020), and 'Funding Chart' (a pie chart showing 10.8% for '271D27 Electrical Engr Pt #28' and 10.8156% for '271B0 Elec Computer Engr Administration').

Organization	Grant	Fund	Effort Type	Payroll Percent	Effort Period Percent
<b>Monthly - Regular 1 2020</b> January 01, 2020 - January 31, 2020					
271B0 Elec Computer Engr Administration		2U0224 MU I & G		100.0000	14.5938
<b>Monthly - Regular 2 2020</b> February 01, 2020 - February 29, 2020					
271B0 Elec Computer Engr Administration		2U0224 MU I & G		100.0000	14.5938
<b>Monthly - Regular 3 2020</b> March 01, 2020 - March 31, 2020					
271B0 Elec Computer Engr Administration		2U0224 MU I & G		100.0000	14.5938
<b>Monthly - Regular 4 2020</b> April 01, 2020 - April 30, 2020					
271B0 Elec Computer Engr Administration		2U0224 MU I & G		100.0000	14.5938
271D27 Electrical Engr Pt #28	2RLY6 Agile Manufacturing for High Value.	2LY60 2RLY6-Agile Manufacturing for High	RESTRICT Sponsored labor charge	42.5654	10.8156
<b>Monthly - Regular 5 2020</b> May 01, 2020 - May 31, 2020					
271B0 Elec Computer Engr Administration		2U0224 MU I & G		57.4346	14.5938

# Pay Period Summary

- Click on Monthly – Regular link to view FOAPA detail including index

The screenshot displays a web interface for the University of New Mexico. At the top, there is a navigation bar with the UNM logo and the text 'THE UNIVERSITY OF NEW MEXICO'. Below this, a breadcrumb trail reads 'Employee Dashboard > Effort Certification > Effort Report'. The main content area is titled 'Pay Period Monthly - Regular 3 2020 March 01, 2020 - March 31, 2020'. It features a table with columns: Sequence Number, Position and Suffix, Effective Date, Earning Code, Shift, COA, Index, Fund, Organization, Account, Program, Activity, Location, and Percent. A single row of data is visible. Below this table is a 'Close' button. Further down, there are two summary tables. The first table has columns: Organization, Grant, Fund, Effort Type, Payroll Percent, and Effort Period Percent. The second table is identical but includes a link 'Monthly - Regular 3 2020' with a red arrow pointing to it. To the right of these tables are two sections: 'Important Dates' and 'Pay Dates', each with a list of dates and descriptions.

Sequence Number	Position and Suffix	Effective Date	Earning Code	Shift	COA	Index	Fund	Organization	Account	Program	Activity	Location	Percent
0	F90204-00	August 01, 2019	010 Regular	1	U		2U0224 MU I & G	27180 Elec Computer Engr Administration	2000 Faculty Salary Detail Gen	P101 Instruction Unrestricted	GNACTV General Activity		100

Organization	Grant	Fund	Effort Type	Payroll Percent	Effort Period Percent
27180 Elec Computer Engr Administration		2U0224 MU I & G		100.0000	14.5938

[Monthly - Regular 3 2020](#) March 01, 2020 - March 31, 2020

Organization	Grant	Fund	Effort Type	Payroll Percent	Effort Period Percent
27180 Elec Computer Engr Administration		2U0224 MU I & G		100.0000	14.5938

**Important Dates**

- Begin Pre-Review: October 19, 2020
- Certification Period: October 19, 2020 to November 18, 2020
- Post Review End: December 18, 2020

**Pay Dates**

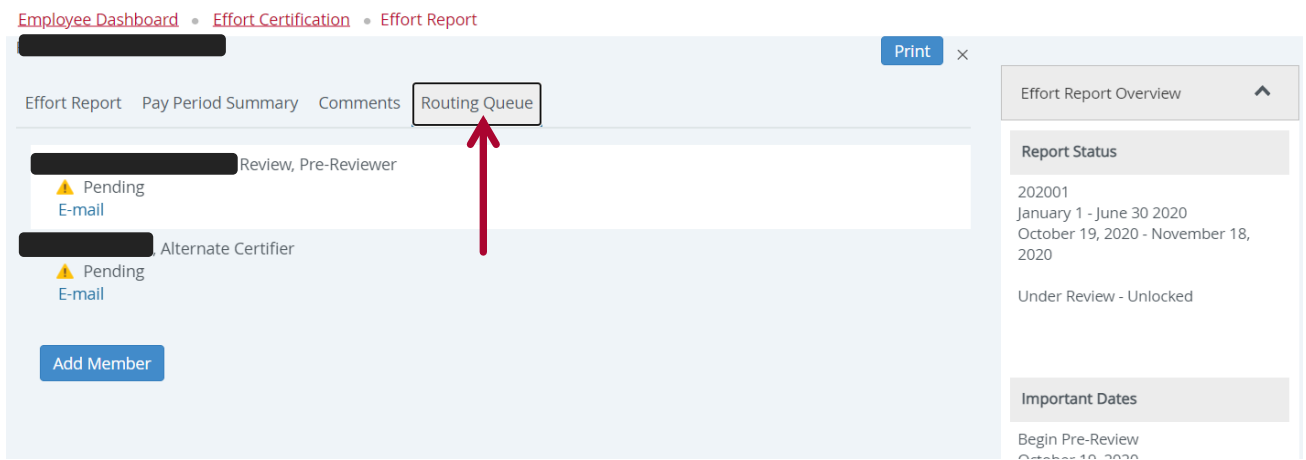
- 5R - 1 January 01, 2020-January 31, 2020
- 5R - 2 February 01, 2020-February 29, 2020
- 5R - 3 March 01, 2020-March 31, 2020
- 5R - 4 April 01, 2020-April 30, 2020



# Routing Queue

The Routing Queue will show all pre-reviewers and certifiers and all completed and pending queue actions.

**NOTE: If there are multiple certifiers all certifications will need to be complete before the effort is locked.**



# Final Step - Certification

- Select 'Certify' button
  - Complete certification process by accepting certification statement in pop-up window
- Note: Certification will not be completed until all Fund Financial Managers have certified**

Employee Dashboard • Effort Certification • Effort Report

Effort Report | Pay Period Summary | Comments | Routing Queue

### Sponsored

Grant	Fund	Effort Category	Effort
2RNT7 SIPI Educational Services/Part-time Adjunct Instructor Services for Southwestern Indian Polytechnic Institute	2NT73 2RNT7-SIPI Ed Svcs - Spring 2020	RESTRICT Sponsored labor charge	61.79
2RNT7 SIPI Educational Services/Part-time Adjunct Instructor Services for Southwestern Indian Polytechnic Institute	2NT74 2RNT7-SIPI Ed Svcs/Summer 2020	RESTRICT Sponsored labor charge	38.21

Total Sponsored Activity 100%

Total : 100.00%

Request Changes | **Certify** | Add New Funding | Save

Effort Report Overview

### Report Status

202001  
January 1 - June 30 2020  
October 19, 2020 - November 18, 2020

Awaiting Certification - Unlocked

### Important Dates

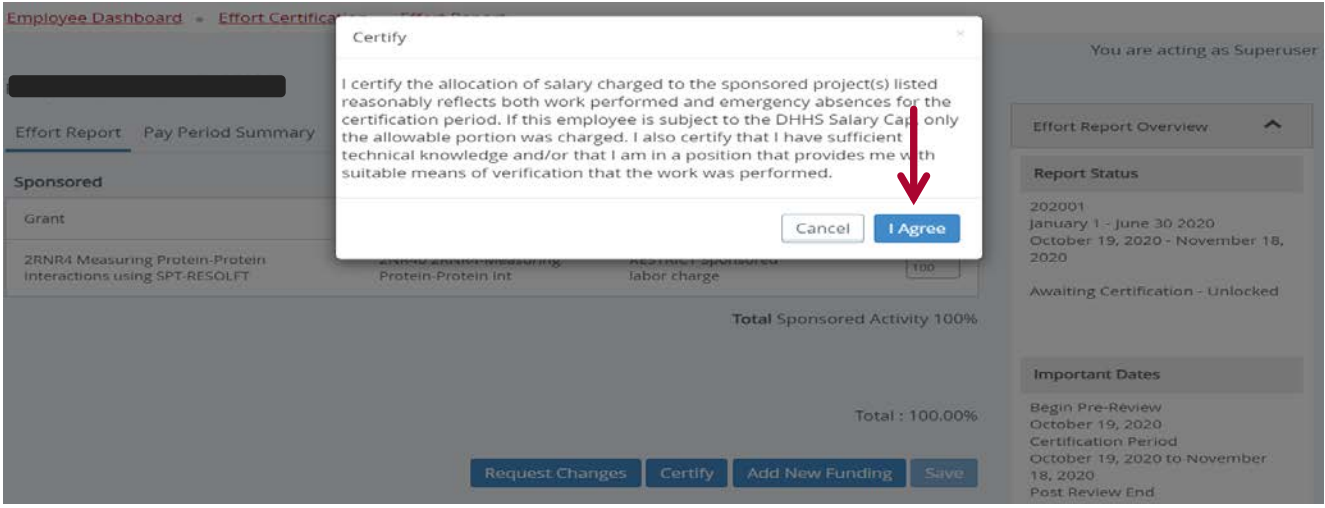
Begin Pre-Review  
October 19, 2020  
Certification Period  
October 19, 2020 to November 18, 2020  
Post Review End  
December 18, 2020

### Pay Dates

5R - 1 January 01, 2020-January 31, 2020  
5R - 2 February 01, 2020-February 29,

# Certification Statement

- Certification Statement – Click “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 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 the 'Employee Dashboard' for 'Effort Certification' and 'Effort Report'. The main content area shows a table of sponsored activities with columns for Grant, Fund, Effort Category, and Effort. A red arrow points to the 'Request Changes' button at the bottom of the table.

Grant	Fund	Effort Category	Effort
2RNT7 SIFI Educational Services/Part-time Adjunct Instructor Services for Southwestern Indian Polytechnic Institute	2NT73 2RNT7-SIFI Ed Svcs - Spring 2020	RESTRICT Sponsored labor charge	61.79
2RNT7 SIFI Educational Services/Part-time Adjunct Instructor Services for Southwestern Indian Polytechnic Institute	2NT74 2RNT7-SIFI Ed Svcs/Summer 2020	RESTRICT Sponsored labor charge	38.21

Total Sponsored Activity 100%  
Total : 100.00%

Buttons: Request Changes, Certify, Add New Funding, Save

Effort Report Overview

Report Status

202001  
January 1 - June 30 2020  
October 19, 2020 - November 18, 2020

Awaiting Certification - Unlocked

Important Dates

Begin Pre-Review  
October 19, 2020  
Certification Period  
October 19, 2020 to November 18, 2020  
Post Review End  
December 18, 2020

Pay Dates

5R - 1 January 01, 2020-January 31, 2020  
5R - 2 February 01, 2020-February 29,

# Record is Locked

- Once effort has been certified, labor redistributions for the certified employee for that period will only be permitted in very 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 Office.
    - Main Campus – [maineffortrptng@unm.edu](mailto:maineffortrptng@unm.edu)
    - HSC Campus – [HSC-Effort-Reporting@salud.unm.edu](mailto:HSC-Effort-Reporting@salud.unm.edu)
  - Memos will be retained by Contract & Grant Accounting and kept in the award file
- The Effort Report will need to be pre-reviewed again and re-certified



# Consequences for delinquent reports\*

- Ability to submit proposals could be suspended
- List of non-compliant PI's sent to the department's ADR and Research Office
- Uncertified effort expenses moved off of award to PI's unrestricted index

\*as proposed by applicable Research Office  
(Main Campus or HSC)



# Contact Information

- Contact your pre-reviewer or departmental grant administrator for general/procedural questions
- For all other questions, contact applicable Contract & Grant Accounting office
  - Contract & Grant Accounting - Main Campus/Branches
    - 277-4721
  - Contract & Grant Accounting - Health Sciences Center
    - 272-0163
- Or send Email to:
  - Main Campus – [maineffortrptng@unm.edu](mailto:maineffortrptng@unm.edu)
  - HSC Campus – [HSC-Effort-Reporting@salud.unm.edu](mailto:HSC-Effort-Reporting@salud.unm.edu)