



Department of Chemistry and Chemical Biology	SOP-CCB	6/10/14
Standard Operating Procedures	Effort Certification	
Faculty/Staff/Students	Org: 889A	Revision date:

Overview:

UNM Faculty Handbook - E120: Effort Reporting Policy

Certification of effort is an OMB Circular A-21 requirement that the University of New Mexico agrees to when a contract or grant is accepted that is fully or partly funded by the federal government. Timely effort reports, generated by the University, are used to document the certification of effort. The OMB requirement is designed to ensure that:

- a) The percent of effort expended on each project is not less than the percent of effort committed to the sponsor to spend on the project.
- b) The percent of effort expended on each project is not less than the percent of salary charged to the project.

Guidelines:

The University is committed to ensuring that effort expended on federally sponsored agreements is appropriately documented, that salaries and wages charged to sponsored agreements reasonably reflect the effort expended on those agreements, that effort is certified by authorized personnel in a timely manner, and that effort certifications comply with sponsor requirements and federal regulations.

This process is completed semi-annually for period January-June and for July-December. Those involved in completing this process are the Pre-reviewer, who is the designated department Account Administrator (AA) and the Certifier, who is the Principal Investigator (PI).

Procedures:

The Pre-reviewer will receive a system-generated email during the first month of the new period (January and July). This email contains instructions for logging into the Effort Certification Reports. The pre-review period is to be completed within 30 days. During this time period, any necessary labor redistributions are to be completed. After the pre-review period is complete, the PI will receive an email during the second month of the new period (February and August). This email will list all of the employees that are ready for certification. The certification period is to be completed within 30 days. The AA and PIs will begin to receive weekly updates listing all employees that are awaiting certification. All Effort Reports are to be certified by the third month of the period (March and September).

Internal Process:

When the pre-review Effort Certification email is received, the AA will print the ePrint report FRROEC02. These reports provide effort distribution in dollar values which correspond to the percentages displayed on the effort certification reports. The AA will then

check that the effort charged is consistent with the effort proposed on each grant. The AA will communicate via email with each PI for verification and process any necessary labor redistributions. Once the PI has verified the effort on their grant(s) is correct, the AA will complete the review for each employee by the designated pre-review deadline. Once the review is complete, the AA will send an email to the faculty PIs with instructions on logging into the Effort Certification Reports, a quick guide on how to certify effort for the PI, as well as, the employees on the grant(s). This email will also include an internal deadline for the PIs to complete the certifications. The AA can check the status of the completed effort certifications from MyReports Effort Certification Status FNRECRT report. This report will show which PIs have completed the certification and which are still outstanding. The AA will then follow-up with each PI that is delinquent to ensure that all effort certifications are completed in a timely manner.