



New Mexico State University

Electronic Effort Certification Quick Reference Guide

This document provides individuals with a quick reference tool for general effort reporting information and the Electronic Effort Certification (EEC) system.

EXECUTIVE MESSAGE

All employees of New Mexico State University (NMSU) who are involved in sponsored projects have an obligation to ensure compliance with sponsor and University requirements for managing sponsored funds. Compliance is NMSU's commitment to conform to all rules and regulations relating to sponsored projects. This includes but is not limited to:

- Sponsor Rules and Regulations
- NMSU Policies and Procedures
- State and Federal Guidelines

WHAT IS EFFORT REPORTING?

NMSU requires all individuals who receive Federal sponsored funding to comply with University policies regarding the proposing, charging, reporting, Reviewing and Certifying of effort for those awards.

Federal Guidelines 2 CFR Part 200 §200.430 require payroll costs to be documented to ensure that external sponsors reimburse the grantee only for the time and effort actually expended on their behalf. The University supports these requirements using the online Electronic Effort Certification (EEC) system.

Effort Certification is the process in which individuals verify that the salaries charged to sponsored projects are reasonable in relation to the actual work performed.

Failure to meet Federal requirements could result in loss of funding, audit findings, settlements, and damage to our institution's reputation.

HOW IS EFFORT CALCULATED?

EEC reports reflect the percentage(s) of effort performed by an employee within a six month period, either Spring (Jan – June) or Fall (July – Dec). Percentage of effort is determined by taking the 6 months of payroll and averaging payroll by each fund. Regardless of employee status (Part-Time/Full-Time) all effort contributed and reflected on the EEC report equals 100%. This includes sponsored, non-sponsored, and gift funds.

REASONABLE ESTIMATE

Federal Guidelines 2 CFR Part 200 §200.430 recognize that teaching, research and administration are often “inextricably intermingled.” Exempt employees requiring EEC reports must Certify that the effort percentage(s) reflected on an EEC report are “reasonable” in relation to the actual work performed. NMSU considers “reasonable” to be within (+/-) 5% of actual effort contributed.

INSTITUTIONAL BASE SALARY

Compensation paid to employees on NMSU sponsored funds:

Includes:

- Organized Research
- Instruction / Teaching
- Department / Division Administration

Excludes:

- Incidental Pay
- External Consulting Payments

EFFORT REPORTING PERIODS

EEC reports require Review and Certification actions to be completed on a semi-annual basis.

Effort Reporting Periods (naming convention):

SPR20XX = January 1st through June 30th

FALL20XX = July 1st through December 31st

EEC Review Periods:

Spring: August 1st –August 31st deadline

Fall: February 1st –February 28th deadline

EEC Certification Periods:

Spring: September 1st –September 30th deadline

Fall: March 1st –March 31st deadline

EEC SYSTEM USERS AND THEIR ROLES AND RESPONSIBILITIES

Reviewer: This required role is held by the fund's Research Administrators, PIs and/or Department Heads.

A Reviewer is required to examine and verify all data on the EEC report before completing the Review action. Reviewers are assigned using the New Fund Request Form (NFNR).

Certifier: This required role is held by any exempt employee who charges a percentage of their time to sponsored grants and/or contracts.

A Certifier is required to examine and verify all data on the EEC report before completing the Certify action. Certifiers are automatically determined within the Banner system through their payroll funding source(s).

EEC Routing Queue Changes

➤ Certifiers cannot be changed

➤ Reviewers can be changed by reassigning the EEC Administrator or the EEC Pre-Reviewer on the NFNR (both are Reviewers and are required to complete a Review action)

DUE DATES AND TIMING

Reviewers have approximately one month prior to the Effort Certification Period to complete the **Review action** on the EEC report.

Reviewer Delinquent notices will follow every business day after the Review Period deadline until the Review action has been completed. Notices will include the Reviewer's supervisor, Department Head, and/or the Dean of the college.

Exempt employees must complete the **Certify action** on EEC reports within 30 days of the Certification release date. The EEC system will email notifications/reminders every Tuesday and then every day during the last week of the month if action is pending.

Certifier Delinquent notices will follow every business day after the Certification Period deadline until the Certification action has been completed. Notices will include the Certifier's supervisor, Department Head, and/or the Dean of the college.



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WHO CAN CERTIFY AN EFFORT REPORT?

Exempt employees must Certify their own EEC reports.

The Alternate Certifier role is only utilized when extenuating circumstances arise and the assigned Certifier is unable to Certify an EEC report on their own behalf.

The Financial Manager assigned to any fund listed on the EEC report is reflected as an Alternate Certifier on the EEC Routing Queue. Alternate Certifiers are assigned using Banner screen FTMFUND (this includes sponsored and non-sponsored funds).

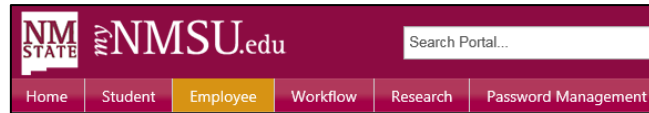
- Alternate Certifiers can be changed by reassigning the Financial Manager listed on the fund that appears on the EEC.
 - Send Restricted Financial Manager changes to OGC
 - Send Unrestricted Financial Manager changes to AFR
 - Send Gift Financial Manager changes to the NMSU Foundation

The Data Management Specialist in the Sponsored Projects Accounting (SPA) department can assign a Proxy with justified evidence of extenuating circumstances. The Proxy can Certify on behalf of an individual and would most likely be the individual's direct supervisor.

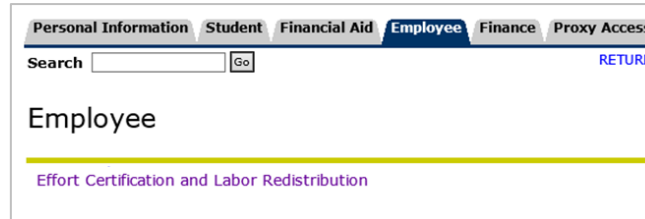
HOW TO ACCESS THE EEC SYSTEM

The EEC system is available 2 ways via my.nmsu.edu.

1) On the My NMSU home screen, select the **Employee** tab

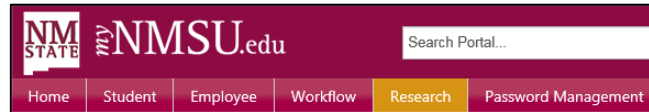


Under the **Banner Self-Service** section click on the **Employee** hyperlink. Click the **Effort Certification and Labor Redistribution** hyperlink.



-----*OR*-----

2) (PI Portal Directions) On the My NMSU home screen, select the **Research** tab.



Under the **Finance** section click on the **Effort Certification and Labor Redistribution** hyperlink



NOTE:

If you need to **Review or Certify** an EEC report for another individual you will need to click this hyperlink in the EEC system:



The above link will appear between the **Certify My Effort** and the **Proxy or Superuser** hyperlinks on the Effort Certification tab. If it is missing, send a request to SPA for "**Web Tailor Access**". The link will appear when access is granted.

WHAT IS THE EEC SYSTEM?

The EEC system is an electronic web-based effort reporting system located within my.nmsu.edu. The EEC system stores EEC reports that can be accessed by Reviewers and Certifiers who can verify effort-related information and perform pending actions.

EEC SYSTEM FUNCTIONALITY

Types of functionality provided in the EEC system include:

- Access to EEC reports 24/7 from anywhere via **Internet Explorer** web browser (preferred)
- Ability to provide electronic-signature "action" on pending EEC reports (per emailed EEC notifications)
- Access to view and verify EEC effort information on demand including:
 - Effort Report Overview
 - Pay Period Summary Information
 - Routing Queue Information

EEC FAQs

- **Frequently verify expenses** (at least monthly) for both sponsored and non-sponsored projects to identify any potential errors requiring Electronic Labor Redistributions.
- Any changes to the members of the EEC Routing queue will take effect during the following Effort Reporting Period.
 - For immediate changes, request for the EEC report to be re-extracted.
- The Review action must be completed before the Certification action can be taken.
- The Review button will not be available before the Review Period.
- The Certify button will not be available before the Certification Period.