BANNER MODULE – EFFORT REPORTING

This procedure outlines the steps to be followed to complete effort certification reports in Banner. It is divided into the following sections:

A. Effort Reporting Overview
B. Important Note on Monthly Payroll Reports
C. Accessing the Effort Reports and Walkthrough for Different Tabs
D. Approving the Reports
E. Requesting Changes/Corrections
F. Setting up a Proxy
G. Contacts

A. EFFORT REPORTING OVERVIEW

What is effort?
Effort reports provide a percentage breakdown of an individual’s total activity during the certification period and must equal 100% of their dedicated time and effort across all funding sources including university activity efforts.

Why is effort reporting important?
Required in accordance with Part 200 - Uniform Administrative Requirements, Cost Principles, And Audit Requirements For Federal Awards, (formerly OMB Circular A-21) Section 200.430 – Compensation for Personal Services

Who should certify effort reporting?
Effort reports should be certified by responsible persons with suitable means of verification that the work was performed.
1. Principal Investigators and Faculty must certify their own effort.
2. Student - Principal investigators must certify student effort.
3. Other - For all other employees, effort reports must be certified by the PI.

When are certifications required?
Effort reports are distributed three times a year – once each Semester – Spring/Summer/Fall.

The Effort Report deadlines will be:

- Spring – July 31
- Summer – October 31
- Fall – March 31

NOTE: Labor Redistributions (Recasts) related to these period will need to be completed before the certification deadline.
B. IMPORTANT NOTE ON MONTHLY PAYROLL REPORTS

**MUST READ – TO BE USED IN REFERENCE FOR EFFORT CERTIFICATION**

Payroll reports are sent monthly to PIs by email containing details of charges for individuals to their grants.

*It is highly recommended that you utilize your monthly payroll report in conjunction with reviewing your effort reports.*

When reviewing your monthly reports, any corrections or adjustments should be done upon discovery so that these changes would have taken effect prior to the creation of the effort reports. This will reduce the need to make corrections during the open review period so the submission of the certification can be completed by the deadline.

Payroll reports should be used in conjunction to reviewing effort reports to reference:
- Payroll amounts: The payroll report will contain the $ value of the individuals charges on the grant.
- Index → → Fund: The payroll reports also contain a cross walk between index and the fund.
- Identification of Employee: The payroll reports describes the type of employee. Ie full time, graduate student, hourly student, hourly staff or any other type.

C. ACCESSING THE EFFORT REPORTS AND WALKTHROUGH FOR DIFFERENT TABS

Once effort reports are ready and available to be certified, you will receive an email notifying you that reports are available.

You can then access the Effort Reporting link through the NJIT Pipeline under the Research Services Section:
This will direct you to the screen below.

1. **Certify my Effort** – Lists PI and other individual’s own effort report to review and certify
2. **Review or Certify reports** – Lists all other staff that are charged to the PI’s grant which require PI review and approval.

1. **Start and End date** – This is the open review period for the effort reports. The end date is by when all certifications must be completed. Any reports not completed by end date will be reported to upper management.
2. **Report Status** –
   a. **Awaiting Certification** – Pending review and approval
b. Completed – Report has been certified

c. Awaiting Refresh – Change was submitted and needs report to be updated.

d. Unlocked/Locked – Once a report is in locked status, no labor redistributions (recasts) are allowed. This will require justification and approval from the Office of Research.

NOTE: Effort reports should not be certified unless they have been thoroughly reviewed for accuracy and changes requested have been refreshed on the report.

**Individual Reports**

- Click on Review or Certify Reports tab and Enter 1 for COA, and the certification period under review ie Fall2020.
- Double click anywhere on individual’s name or ID to open the report:

![Individual Reports Image]

<table>
<thead>
<tr>
<th>COA</th>
<th>Period Code</th>
<th>Period Description</th>
<th>Name</th>
<th>ID</th>
<th>Start Date</th>
<th>End Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>FALL2020</td>
<td>Fall 2020 Certification</td>
<td>John Doe</td>
<td>312345</td>
<td>01/13/2021</td>
<td>03/31/2021</td>
</tr>
<tr>
<td>1</td>
<td>FALL2020</td>
<td>Fall 2020 Certification</td>
<td>Jane Smith</td>
<td>678901</td>
<td>01/13/2021</td>
<td>03/31/2021</td>
</tr>
<tr>
<td>1</td>
<td>FALL2020</td>
<td>Fall 2020 Certification</td>
<td>Michael Brown</td>
<td>123456</td>
<td>01/13/2021</td>
<td>03/31/2021</td>
</tr>
<tr>
<td>1</td>
<td>FALL2020</td>
<td>Fall 2020 Certification</td>
<td>Sarah Davis</td>
<td>789012</td>
<td>01/13/2021</td>
<td>03/31/2021</td>
</tr>
</tbody>
</table>
The certificate appears as below:

1. Effort Report tab - is a summary of all the different funds the individual is being charged to. Please note, no $ values appear on this report – this is only in percentage. All funds must total 100% of their salary distribution.

*If upon review of the Effort Report information, you agree that the allocation is accurate, you can “Certify” the report at this point. Otherwise, please continue to the “Pay Period Summary” tab for further details on the effort allocation.*
2. **Pay Period Summary tab** - contains a summary of the % of effort by pay period. You can reference your monthly payroll report to see the $ value each month. (Refer to *Important Note on Payroll Reports* section above).

3. **Comments tab** - Used only to record any information relevant to review / approval / report. For example, if Office of Research (OR) reopens a certification, comments can be entered by OR to document information. *Please note this section should not be used to communicate any changes/corrections.*
4. Routing Queue displays the approvers in the queue for this certificate.

All PIs are listed as “Alternate Certifier” as they have the option to certify these on behalf of the employees. NOTE: Hourly staff and students will have to be certified by the PI. These personnel can be identified by using the monthly payroll reports.

If PI is listed as “Graduate Student Certifier”, he/she will be required to certify on these reports for graduate students.
NOTE: If a person worked on separate grants during the certification period that were managed by two or more different PIs, the certification will have to be approved by each PI. See example below.

NOTE: There is a button for add member to routing queue. **Do not add any individual to routing queue.**

5. On the right of the individual effort report, you can also see additional information:

   1. **Report Status and Important Dates:** This describes the certification (semester) period, open review period for completion, and the status of the effort report.

   2. **Pay Dates:** This section contains details of pay periods range covered by this certification period.
## Effort Report Overview

### Report Status

**FALL2020**  
Fall 2020 Certification  
January 13, 2021 - March 31, 2021  

**Awaiting Certification - Unlocked**

### Important Dates

**Begin Pre-Review**

Certification Period  
January 13, 2021 to March 31, 2021

**Post-Review End**

### Pay Dates

- BH - 18 August 09, 2020-August 22, 2020  
- BH - 17 July 26, 2020-August 08, 2020  
- BH - 16 July 12, 2020-July 25, 2020  
- BH - 15 June 28, 2020-July 11, 2020  
- BH - 14 June 14, 2020-June 27, 2020  
- BH - 13 May 31, 2020-June 13, 2020  
- BH - 12 May 17, 2020-May 30, 2020  
- BH - 11 May 03, 2020-May 16, 2020  
- BH - 10 April 19, 2020-May 02, 2020  
- BH - 9 April 05, 2020-April 18, 2020  
- BH - 8 March 22, 2020-April 04, 2020  
- BH - 7 March 06, 2020-March 31, 2020  
- BH - 6 February 23, 2020-March 07, 2020
D. APPROVING THE REPORTS

Once you have reviewed the reports and are ready to approve them, click the “Certify” button on the bottom right of the page.

This will bring a pop up window with a certification message. Click “I agree.”

Once you click “I agree,” the certification is complete and no more action is needed on your end for this certificate. Now repeat the process with any other certificates in your queue. Once the report has been certified, the buttons in the bottom of the report disappear and the status changes to Completed – Locked. Refer to section on status to understand different reports statuses.

If the status is complete – Locked, the certification process is complete.
E. REQUESTING CHANGES/CORRECTIONS

On your review, if you find that the effort report is incorrect, reach out to your department/college labor redistribution initiator. Once the recast is fully approved and processed, the report will be in “Awaiting Refresh” status.

Once the report is updated/refreshed, the status will go back to “Awaiting Certification.” Then the new report can be certified.

IMPORTANT NOTE: Please DO NOT select “Add New Funding” or “Request Changes” on the effort report as these do not trigger any actual changes or updates to the report. You have to request the changes as indicated earlier via email to your department/college initiator.

The “Add New Funding” button will bring up a new window as below:
Please note even though you are able to add funding distributions in this section, this does not have any impact on actual payroll distribution. If you click on this, just hit cancel.

If you accidentally enter data and save, click “Request Changes”, close out of popup, select “Clear Changes” and Click “Yes.” The report will go back to its starting point.

The “Request Changes” button will bring up a window as below:

![Image of the Request Changes button and its window]

Please note the window shown here for the “Request Changes” button.
This button is designed to link to a mail client so that you can send an email from the effort module to your department personnel. However, this includes set up and linking to your mail client (webmail/outlook). If you would like to set this up, you will need to contact IT Helpdesk.

NOTE: This setup does not add any additional information or reduce the required data elements needed to request any changes different than if you were going through your regular email.

If you did not intend to click any of the buttons and did so in error, when you close out of these pop ups, you can clear changes as below:

This will bring the report back to unlocked status and revert to its original state.
F. SETTING UP PROXY

There is an option for PIs to setup a proxy to review the certifications but only for employees and students. A proxy cannot certify the PI’s own report.

A proxy is someone who is given authority on behalf of the PI to review and approve the effort certifications.

It is important to note that the selected proxy must be an individual that has direct knowledge of the project(s) activities and can certify that the effort is correct and/or know what necessary changes are needed.

To Setup a Proxy:

Once the PI is in the Effort Certification module, select “Proxy User”:

Then select “Add New Proxy”:

This will create a pop up window to search for an “Employee to add as Proxy”:
You can type in the name of the proxy and click on the person. They will appear below the Proxy button:

If you ever need to remove the employee, you can select the checkbox and click on “Delete Proxies” button:

After the PI completes this part, the **proxy** must log in to the effort module, and select the person they are proxy for:
Then, go to “Act as a Proxy for” area, and select the PI name from the drop down box:

Then click on “Navigate to Effort Certification application” button on bottom right:

The proxy will now be able to view all the certification under the PI’s queue except the PI’s own report.

If the proxy has their own reports to certify, they must remember to go back to Act as Proxy and select “Self.”

G. CONTACTS

If you have any further questions on how to access/review the reports, please email timeandeffort-group@njit.edu and a designated team member will get back to you.

***END***