

**OFFICE OF RESEARCH – POST AWARD MANAGEMENT
PROCEDURE TO COMPLETE EFFORT CERTIFICATION IN BANNER**



Date Issued : February 2021

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.

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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.

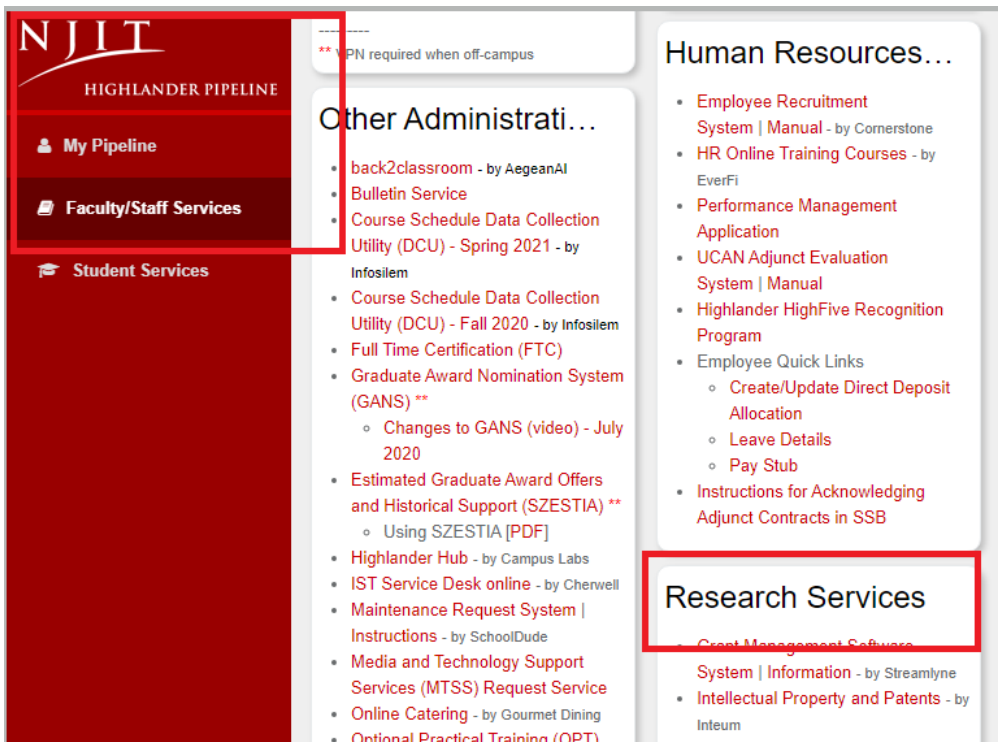
Payroll reports should be used in conjunction to reviewing effort reports to reference:

- 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:



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This will direct you to the screen below.

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

Review Or Certify Reports Proxy Super

Certify My Effort
Review Or Certify Reports

Effort List

COA	Period Code	Period Description	Name	ID	Start Date	End Date	Status	Unlocked/Locked
1	FALL2020	Fall 2020 Certification	Patil, Shubhada Chand rashekhar	3	01/13/2021	03/31/2021	Awaiting Certification	Unlocked
1	FALL2020	Fall 2020 Certification	Pattison, Irina A.	3	01/13/2021	03/31/2021	Awaiting Certification	Unlocked
1	FALL2020	Fall 2020 Certification	Peng, Cheng	3	01/13/2021	03/31/2021	Awaiting Certification	Unlocked
1	FALL2020	Fall 2020 Certification	Peralta, Mirely M.	3	01/13/2021	03/31/2021	Awaiting Certification	Unlocked
1	FALL2020	Fall 2020 Certification	Pereira, Kevin F.	3	01/13/2021	03/31/2021	Awaiting Certification	Unlocked

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.

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

Effort List

Period by when certifications must be completed.
Report Status

COA	Period Code	Period Description	Name	ID	Start Date	End Date	Status	Unlocked/Locked	Comments
1	FALL2020	Fall 2020 Certification	Patil, Shubhada Chand rashekhar	31503533	01/13/2021	03/31/2021	Awaiting Certification	Unlocked	
1	FALL2020	Fall 2020 Certification	Pattison, Irina A.	31403932	01/13/2021	03/31/2021	Awaiting Certification	Unlocked	
1	FALL2020	Fall 2020 Certification	Peng, Cheng	31261008	01/13/2021	03/31/2021	Awaiting Certification	Unlocked	
1	FALL2020	Fall 2020 Certification	Peralta, Mirely M.	31161275	01/13/2021	03/31/2021	Awaiting Certification	Unlocked	
1	FALL2020	Fall 2020 Certification	Pereira, Kevin F.	31395399	01/13/2021	03/31/2021	Awaiting Certification	Unlocked	
1	FALL2020	Fall 2020 Certification	Perez, Ana	21471035	01/13/2021	03/31/2021	Awaiting Certification	Unlocked	
1	FALL2020	Fall 2020 Certification	Perumal, Venkatesan	31499223	01/13/2021	03/31/2021	Awaiting Certification	Unlocked	
1	FALL2020	Fall 2020 Certification	Pettiford, Shelley E.	31454240	01/13/2021	03/31/2021	Awaiting Certification	Unlocked	

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

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- 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 :

Certify My Effort Review Or Certify Reports								
Effort List								
COA	Period Code	Period Description	Name	ID	Start Date	End Date		
1	FALL2020	Fall 2020 Certification	Patricia M. Howard	31251000	01/13/2021	03/31/2021		
1	FALL2020	Fall 2020 Certification	Patricia M. Howard	31251000	01/13/2021	03/31/2021		
1	FALL2020	Fall 2020 Certification	Peng Wang	31251000	01/13/2021	03/31/2021		
1	FALL2020	Fall 2020 Certification	Perkins, Emily M.	31181000	01/13/2021	03/31/2021		
1	FALL2020	Fall 2020 Certification	Perkins, David E.	31251000	01/13/2021	03/31/2021		

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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.

P , R 3 Print x

Effort Report Pay Period Summary Comments Routing Queue

Sponsored

Fund	Organization	Effort Category	Charge Type	Effort
27S267 Intelligent Transportation System-4	250000 Civil & Environmental Engineering	SPNRCH	DIRECT	80

Total Sponsored Activity 80%

Non Sponsored

Fund	Organization	Effort Category	Charge Type	Effort
279G01 Transport Allocation	250000 Civil & Environmental Engineering		DIRECT	20

Total Non Sponsored Activity 20%

Total : 100.00%

Request Changes Certify Add New Funding Save

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.

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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).

Organization	Grant	Fund	Effort Type	Payroll Percent	Effort Period Percent
G275264 Civil & Environmental Engineering	G275264 Intelligent Transportation System	275267 Intelligent Transportation System-4	SPNRCH Sponsored Research	100.0000	10.0000

Organization	Grant	Fund	Effort Type	Payroll Percent	Effort Period Percent
G275264 Civil & Environmental Engineering	G275264 Intelligent Transportation System	275267 Intelligent Transportation System-4	SPNRCH Sponsored Research	100.0000	10.0000

Organization	Grant	Fund	Effort Type	Payroll Percent	Effort Period Percent
G275264 Civil & Environmental Engineering	G275264 Intelligent Transportation System	275267 Intelligent Transportation System-4	SPNRCH Sponsored Research	100.0000	10.0000

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.*

Enter your comments...

Remaining character : 4000

Add Comment

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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.

The image displays two screenshots of the Banner Routing Queue interface. Both screenshots show a search bar at the top with the placeholder text "Employee Last, First Name - Employee ID" and a "Print" button. Below the search bar, there are tabs for "Effort Report", "Pay Period Summary", "Comments", and "Routing Queue". The "Routing Queue" tab is selected. In the top screenshot, the "Responsible PI, Alternate Certifier" is highlighted with a red box, and the status is "Pending" with a yellow triangle icon. Below this, there is a section for "Certifying Individual, Certifier" with a status of "Pending" and a yellow triangle icon. An "Add Member" button is visible at the bottom. The bottom screenshot shows the "Responsible PI, Graduate Student Certifier" highlighted with a red box, and the status is "Pending" with a yellow triangle icon. An "Add Member" button is also visible at the bottom.

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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.

Student Last, First Name - ID number

Effort Report Pay Period Summary Comments **Routing Queue**

Responsible PI for 1st fund , Graduate Student Certifier
⚠ Pending
E-mail

Responsible PI for 2nd fund , Graduate Student Certifier
⚠ Pending
E-mail

Add Member

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

Employee Last, First Name - ID

Effort Report Pay Period Summary Comments **Routing Queue**

Responsible PI , Alternate Certifier
⚠ Pending
E-mail

Employee , Certifier
⚠ Pending
E-mail

Add Member

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.

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ge Type

Effort

CT

80

otal Sponsored Activity 80%

pe

Effort

20

lon Sponsored Activity 20%

Total : 100.00%

Add New Funding

Save

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 08, 2020-March 21, 2020
BH - 6 February 23, 2020-March 07, 2020
BH - 5 February 09, 2020-February 22, 2020

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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.

The screenshot shows the Banner system interface for effort certification. At the bottom right, there are four buttons: "Request Changes", "Certify", "Add New Funding", and "Save". The "Certify" button is highlighted with a red box, and a red arrow points to it from the right.

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

The screenshot shows a pop-up window titled "Certify" with the text: "I certify that the percentage distribution of effort on this report reasonably reflects the activity time devoted to each funding source during the certification period." At the bottom right of the pop-up, there are two buttons: "Cancel" and "I Agree". The "I Agree" button is highlighted with a red box, and a red arrow points to it from the right.

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.

The screenshot shows the Banner system interface after certification. The report status is now "Completed - Locked". A red box highlights the area where the "Certify" button was previously located, with a callout saying "No More buttons". Another callout says "Change in status" pointing to the status change. The "Save" button is still visible at the bottom right.

If the status is complete – Locked, the certification process is complete.

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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 :

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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.

Fund	Organization	Effort Category	Charge Type	Effort
280D18 Health Alert Network/Training FY 21	240000 Sr. Vice Provost for Research	OTHSPNPG	DIRECT	100

Total Sponsored Activity 100%

Total : 100.00%

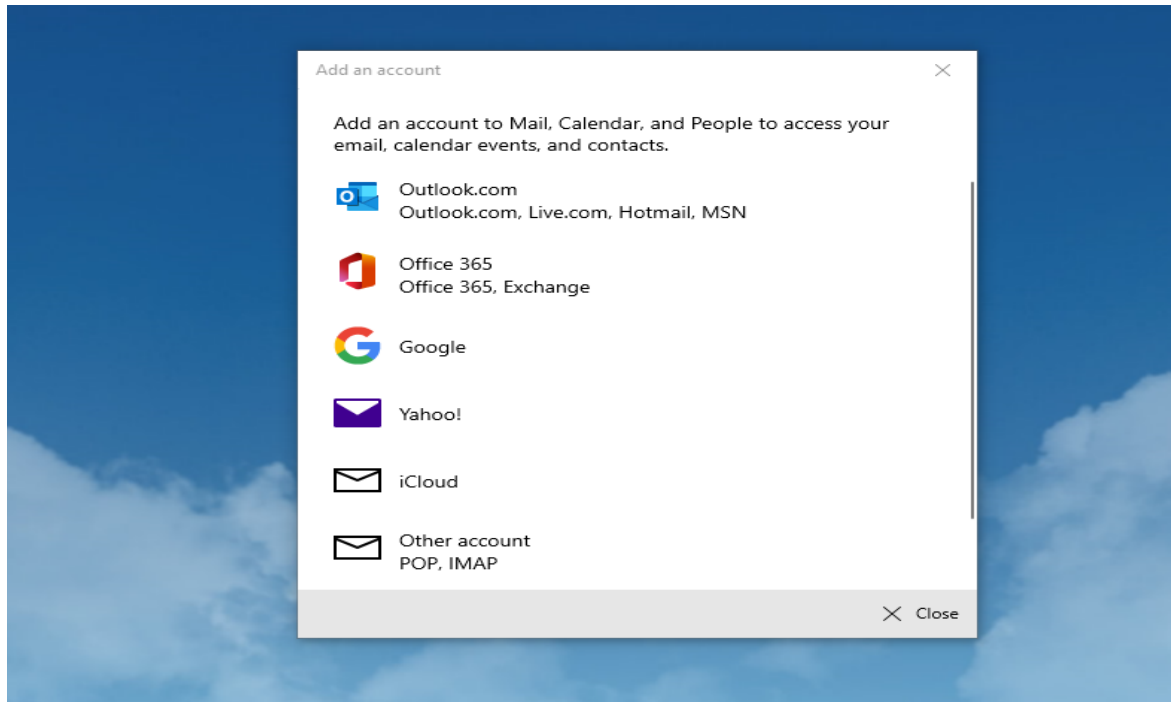
Clear Changes
Save

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

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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:

Fund	Organization	Effort Category	Charge Type	Effort
210000 Computer Science	210000 Computer Science	SPNRCH	DIRECT	100

Total Sponsored Activity 100%

Total : 100.00%

[Clear Changes](#) [Save](#)

This will bring the report back to unlocked status and revert to its original state.

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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":

The screenshot shows the NJIT Banner system interface. At the top is a red header with the NJIT logo and the user name 'Smith, John'. Below the header is a breadcrumb trail: 'Employee Dashboard • Effort Certification • Review Or Certify Reports'. The main content area has a tabbed interface with 'Review Or Certify Reports' selected. A red box highlights a button labeled 'Proxy Super User' with a person icon. To the right of this button is an 'Advanced Search' link. Below the tabs, there are two sub-tabs: 'Certify My Effort' and 'Review Or Certify Reports', with the latter being active.

Then select "Add New Proxy":

The screenshot shows the 'Existing Proxies' section of the Banner system. It features a red button labeled 'Add a new proxy'. Below this button is a text input field labeled 'Employee Name - [Home Organization]'. The entire section is highlighted with a yellow background.

This will create a pop up window to search for an "Employee to add as Proxy":

The screenshot shows the 'Existing Proxies' section of the Banner system. It features a red button labeled 'Add a new proxy'. To the right of this button is a dropdown menu labeled 'Select Employee to add as Proxy'. Below the dropdown menu is a text input field labeled 'Employee Name - [Home Organization]'. To the right of the input field is a button labeled 'Delete proxies'. Below the input field, there is a small text note: 'Select single/multiple names and click on Delete Proxies to remove from list'. The entire section is highlighted with a yellow background.

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You can type in the name of the proxy and click on the person. They will appear below the Proxy button:

Existing Proxies

Add a new proxy

Employee Name - [Home Organization]

☒ Smith, John - [Office of Research & Development]

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

Existing Proxies

Add a new proxy

Select single/multiple names and click on Delete Proxies to remove from list

Delete proxies

Employee Name - [Home Organization]

☒ Smith, John - [Office of Research & Development]

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

Navigate to Effort Certification application

After the PI completes this part, the proxy must log in to the effort module, and select the person they are proxy for:

NJIT New Jersey Institute of Technology

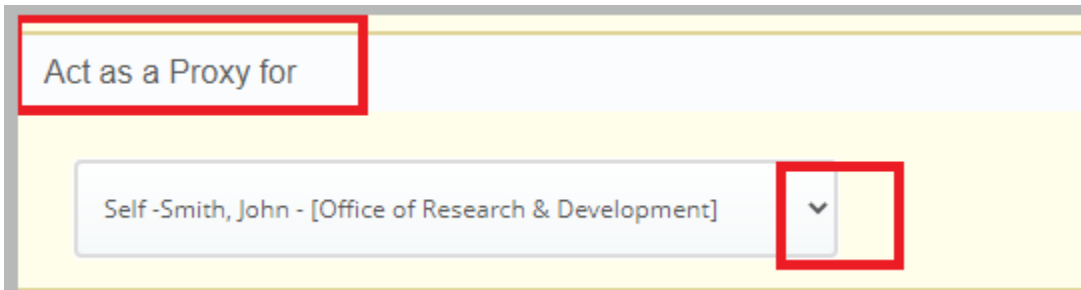
Employee Dashboard • Effort Certification • Review Or Certify Reports

Review Or Certify Reports

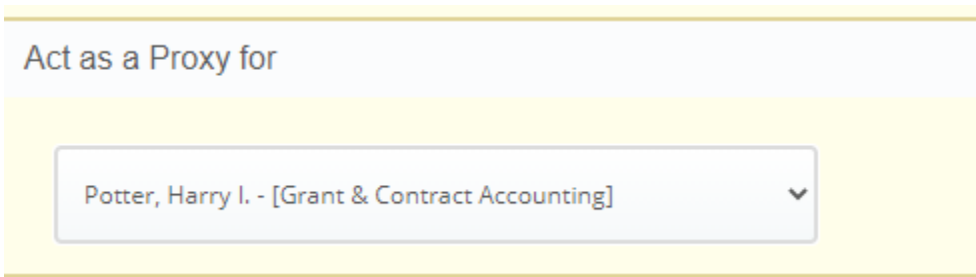
Certify My Effort Review Or Certify Reports

Proxy Super User Advanced Search

Then, go to “Act as a Proxy for” area, and select the PI name from the drop down box:

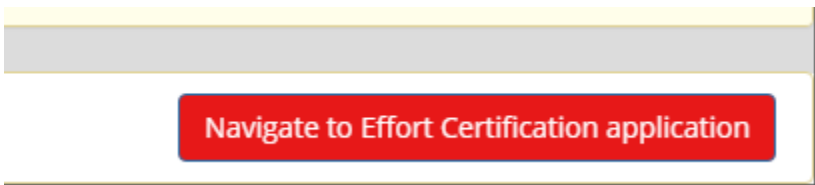


The screenshot shows a web interface with a header bar. Below the header, there is a section titled "Act as a Proxy for" which is highlighted with a red rectangular box. Below this title, there is a dropdown menu. The selected option in the dropdown is "Self -Smith, John - [Office of Research & Development]". The dropdown arrow and the text of the selected option are also highlighted with a red rectangular box.



The screenshot shows a web interface with a header bar. Below the header, there is a section titled "Act as a Proxy for". Below this title, there is a dropdown menu. The selected option in the dropdown is "Potter, Harry I. - [Grant & Contract Accounting]".

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



The screenshot shows a web interface with a header bar. Below the header, there is a section titled "Act as a Proxy for". Below this title, there is a dropdown menu. The selected option in the dropdown is "Potter, Harry I. - [Grant & Contract Accounting]". Below the dropdown menu, there is a red button with the text "Navigate to Effort Certification application".

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*****