Effort Reporting Overview

Required in accordance with Part 200 Section 200.430 (Uniform Administrative Requirements, Cost Principles, And Audit Requirements For Federal Awards– Compensation for Personal Services)

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.

Types of Effort

• Funded Research under sponsored program
• Unfunded Research
• Teaching
• Service (University, department/college related duties)
• Administration (e.g. department chair, associate dean)
• Sabbatical or leave of absence
Who must certify?

PIs (or other key personnel) that are charging salary directly to a sponsored program and/or faculty who have committed effort on a sponsored program (cost share) must certify their own effort.

PIs are required to certify the effort of postdocs, other students, and staff funded by their grants.

When are these completed?

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

The Effort Report deadlines will be:

Spring – July 2 (Due to fiscal year end process and recast deadlines)
Summer – October 31
Fall – March 31

NOTE: Labor Redistributions (Recasts) related to these period will need to be completed before the certification deadline.
Banner Effort Report Module
NJIT Pipeline – Research Services Section

The effort reporting link will be provided in the Research Services Section.
Monthly Payroll Report Distribution

Payroll reports are sent monthly to PI’s by email for all of 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 provide:

- Payroll amounts: The payroll report will contain the $ value of the individual’s charges on the grant.
- Index ← → Fund: The payroll reports provide a cross walk of the index to the fund.
- Identification of Employee: The payroll reports describes the type of employee (e.g. full time, graduate student, hourly student, hourly staff or any other type).
## Monthly Payroll Report Sample

**New Jersey Institute of Technology**

**Labor Distribution for Funds 15, 27 & 28**

**Data as of Pay Period December 24, 2020**

<table>
<thead>
<tr>
<th>Principal Investigator PI Email</th>
<th>Index # Fund Code</th>
<th>Grant Fund Desc</th>
<th>NAME</th>
<th>ID</th>
<th>POSITION TITLE</th>
<th>ACCOUNT ACCOUNT DESC</th>
<th>July</th>
<th>August</th>
<th>September</th>
<th>October</th>
<th>November</th>
<th>December</th>
<th>Grand Total</th>
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<tbody>
<tr>
<td>Ed <a href="mailto:stark@westeros.edu">stark@westeros.edu</a></td>
<td>991234 271.123</td>
<td>PPE AFR - TT: A Men Snow, Jon</td>
<td>12345678 Research Associate</td>
<td>610004</td>
<td>Hourly Staff</td>
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<td>1,405.30</td>
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<td>991245 271.345</td>
<td>Internet of Things Pt: Targaryen, Daenerys Drogo, Khal</td>
<td>23456789 Summer Researcher</td>
<td>614024</td>
<td>Faculty Summer Research</td>
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<td>-</td>
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<td></td>
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<td></td>
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<td></td>
<td>991256 271.456</td>
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<td>84,497.27</td>
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</table>

**New Jersey Institute of Technology**
Effort Certification – Certifying Reports

PIs will have two areas to review.

- **Certify My Effort** – Lists the individual’s own effort report to review and certify
- **Review or Certify Reports** – Lists all other staff that are charged to the PI’s grant which require PI review and approval.
Effort Certification – Certifying Reports

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To Access your own report:
1. Click on “Certify My Reports”
2. Double click on the listed item (Please be sure to select the correct Certification Period) **OR**
3. Highlight and click “Open”
PIs will have two areas to review.

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

To Access Staff/Student reports:
1. Click on “Review or Certify Reports” tab
2. In the Advance Search Engine, Enter “1” for Chart of Account Code
3. Enter Certification Period you are reviewing. i.e SPR2021 from drop down.
4. Click “Go”
Effort Certification – Report Status

- **Start and End date** – This is the open review period by when the certification must be completed. Any reports not completed by end date will be escalated to upper management.

- **Report Status** –
  - Awaiting Certification – Pending review and approval
  - Completed – Report has been certified
  - Awaiting Refresh – Labor Redistribution was submitted and processed. Effort report must be refreshed.
  - Unlocked/Locked – Once a report is in locked status, no labor redistributions (recasts) will be able to be initiated.

  Proper justification will need to be submitted and approved by the Office of Research leadership for the certification to be unlocked so a labor redistribution can go through.
Effort Certification – Effort Distribution

Once you open a report, you will see the following screen.

The “Effort Report” Tab will provide the percentage breakdown by fund for the semester being certified. This is based on the pay periods that fall within the certification period.

Reminder: The monthly payroll report provides a crosswalk between the fund and the index.
Effort Certification – Pay Period Summary

The “Pay Period Summary” tab, allows you to see each pay period distribution within the certification period. The percentages are allocated based on the total distribution during the certification period that encompasses all these pay periods. (Spring 2021 Pay periods: December 27, 2020-May 15, 2021)
“Comments” tab is optional and is not routed to anyone. However, Grants office will use it to document justification for reopening of certified reports.

“Routing Queue” lists the pending approvals. Principal Investigators will be the alternate certifiers for all employees and students charged to their grants. Some people may have more than one PI approval needed if funded on multiple grants.
Effort Certification – Report Status

Once a report is certified, it will be completed and locked. If there are labor redistribution changes that are requested after a report has been locked, these will not be able to go through. These changes will require justification and approval from the Office of Research leadership if they impact grant funds.

Reminder: Effort reports should not be certified unless they have been thoroughly reviewed for accuracy and corrections have been processed.
Effort Certification – Modification Required

• If you are reviewing a report and you notice that a modification is needed. A labor redistribution will need to be requested to correct this prior certifying.
• Labor redistributions will be processed by the labor distribution initiators at the College or the Department / Research Center level

**See next slide for list of Labor Redistribution Initiators**
<table>
<thead>
<tr>
<th>Division - Department/Center</th>
<th>Primary</th>
<th>Secondary</th>
</tr>
</thead>
<tbody>
<tr>
<td>YWCC</td>
<td>Serena Branson</td>
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</tr>
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<td>Institute for Data Science</td>
<td>Selenny Fabre</td>
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<tr>
<td>NCE</td>
<td>Arminta Skipper</td>
<td>Kim Dripchak</td>
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<td>Transportation Center</td>
<td>Darryl Smith</td>
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<tr>
<td>CSLA</td>
<td>Rachel Persaud</td>
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<tr>
<td>Center for Solar Research</td>
<td>Felicia Margolies</td>
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<td>HCAD</td>
<td>Samantha Jones</td>
<td>Tracy MacDonald</td>
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<tr>
<td>NJTPA</td>
<td>Elizabeth Johnson</td>
<td>Angellita Young</td>
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<tr>
<td>Research Office</td>
<td>Sonia Henderson</td>
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<tr>
<td>Center for Building Knowledge</td>
<td>Deane Evans</td>
<td>Victoria Dollon</td>
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<tr>
<td>MTSM</td>
<td>Brenda Herman</td>
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<td>EOP</td>
<td>Yvette Johnson</td>
<td>Crystal Smith</td>
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<tr>
<td>Pre-College</td>
<td>Martha Churchill</td>
<td>Monique Paden-Hutchinson</td>
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<tr>
<td>Center for Community Systems</td>
<td>Sean Vroom</td>
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</table>
**Employee Charged Incorrect Percentage Amount**

**Labor Redistributions**

**Type of Corrections**

**And How to Address**

**Step 1:** Email their initiator. Email subject should read – Correction Fall 20 Certification Period

**Step 2:** PI to provide the below information:
- Issue: Incorrect % in effort certification
- Employee Name:
- Employee ID:
- Pay Year & Pay Periods:
- Current L/D: Fund(s) – Org(s) percentage charged:
- Revised L/D: Fund(s) – Org(s) percentage charged:

**Please also include any supporting documentation to validate revised funding distribution if applicable**

**Step 3:** Initiator will submit a labor redistribution

**Employee charged to grant is unknown**

**Step 1:** Email their initiator & recasts@njit.edu – Email subject should read – Correction Fall 20 Certification Period

**Step 2:** PI to provide the below information:
- Issue: Unknown employee charged to grant
- Employee Name:
- Employee ID:
- Pay Year & Pay Periods:
- Amount Charged:

**Step 3:** Initiator along with Budget and Grants will investigate to determine corrective action. Once determined initiator will complete a labor redistribution to move the labor charged accordingly

**NOTE: Labor redistributions change the past. If a change is also needed prospectively, this must be submitted via PAF form.**
Labor Redistribution Approvals

Once a labor redistribution is submitted it will route through approvals. The routing queue can be seen (as shown below). All approval sequence levels up to the Budget level will need to be approved by the Friday of a pay week. The budget office will be the final approval needed and will approve all correct labor redistributions on the Monday and Tuesday following the Friday payroll.

Approval Levels:
1. Fund Manager
2. Principal Investigator
3. Grants Office
4. Budget Office

*An email notification will be sent for pending labor redistributions*
Effort Report Refresh/Update

• The redistribution changes will not be reflected until the redistribution is fully approved and posted. Thus, updates will be visible on the Wednesday following a pay week. (See previous slide regarding timing and posting)

• After the redistribution is posted, the Effort Report status will indicate, “Awaiting Refresh.”

• Once the effort report is refreshed/updated, the PI will be able to review the new changes and approve accordingly.
Effort Report – Proxy Setup

• 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 must be someone who has documented authority, on behalf of the PI, to review and certify the effort reports.

• The proxy must be an individual that has direct knowledge of the project activities and can certify that the effort is correct or know what changes are needed.

Please Refer to training Manual or Video
Effort Report Questions

For any questions relating to the effort reports, please email:

Timeandeffort-group@njit.edu

Thank you!