

Electronic Time & Effort Certification User Guide

Missouri State.

FINANCIAL SERVICES
GRANTS AND CONTRACTS



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Effort Reporting

Salaries constitute the largest component of the expenses charged to sponsored projects. It is essential that Missouri State University administrators, Principal Investigators, and support staff understand the basic principles underlying the allocation of effort, and the corresponding charging of salaries, to those projects.

The Office of Management and Budget (OMB) 2 C.F.R. 200 titled Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance), requires charges to Federal awards for salaries and wages must be based on records that accurately reflect the work performed. These records must be supported by a system of internal control which provides reasonable assurance that the charges are accurate, allowable, and properly allocated.

The purpose of an effort reporting system is to provide a reasonable basis for verifying the distribution of salary charges among direct activities (sponsored research and match) and indirect activities (administration and instruction). Effort directly related to sponsored projects must be identified in the effort distribution and reporting process. Charges for work performed on Federal awards are allowable at the Institutional Base Salary (IBS) rate. Amounts in excess of IBS may be permitted for “Incidental Activities” and “Extra Service Pay” as defined in 2 CFR 200.430. In an academic setting, teaching, research, service and administration are often inextricably intermingled; therefore, a precise assessment of factors that contribute to costs is not always feasible. Effort is not defined as a single standard number of hours or days per week, since it will likely be different for each employee and may vary during the year. The federal government recognizes that measuring effort is not an exact science. The University's threshold for complying with the requirements while allowing for the approximation involved is 5%. Actual effort, therefore, can differ from that on the effort certification by up to 5% without necessitating a correction. Effort certification serves as an after-the-fact confirmation that the individual expended the promised effort budgeted to the project.

An electronic Semester Effort Report should be certified for each individual (faculty, professional staff or graduate assistant) who has been involved with an externally sponsored program (grant/contract) and should account for 100% of a person's effort. Reports are not required for employees paid on an hourly basis.

Following the end of the semester, a report based on actual payroll will be made available for each individual who was paid with funds either directly from or match for externally sponsored programs. Principal Investigators will be responsible to review all reports for their projects and certify that each employee did in fact put forth the effort indicated by the report.

Semester reports will use reporting periods which coincide with pay periods and are due by the dates listed below:

Semester	Period	Due Date
Fall	08/01 – 12/31	January 31
Spring	1/01 - 04/30	June 30
Summer	5/01 - 07/31	September 30

For additional information, please refer to “Electronic Time & Effort Certification User Guide” for instructions & terminology.

Introduction

The purpose of this training manual is to provide a step-by-step guide to using the Banner Electronic Time & Effort Certification process. All Principal Investigators will be assigned the following role:

- **Certifier:** Certifies the effort report. The PI is responsible for certifying any and all persons being paid out of the grant.

Log-in to Access the Effort Certification Module

1. Log-in to <http://my.missouristate.edu> using your BearPass number and password.
2. Navigate to the Work Resources tab and to the Effort Reporting Channel. Click on the link “Approve Effort Reports.”

The screenshot displays the My Missouri State portal interface. At the top, the navigation bar includes Home, Profile, Academics, Teaching & Advising, Work Resources (highlighted), Workflow, and Campus Services. Below the navigation bar, there are several content panels:

- Self-Service Options:** Contains a link for Banner Self-Service.
- Internet Native Banner:** Contains a link for Internet Native Banner.
- Other Resources:** Contains a list of links: Curricular Proposals, Graduate Admissions System Dashboard, How to Enter and Approve Time, My Work, Part-Time 1,000-Hour Report, and General Ledger Report Control.
- Time Reporting:** Contains a section for Leave Report with details for Financial Reporting & Tech Spc, P98996-00 - TS-CHIEF FIN OFFICER ADMIN GP 013, TS0659, including Monthly Exempt - 2 (Due Date: Mar 15, 2016) and Monthly Exempt - 1 (Due Date: Feb 15, 2016).
- Leave Reporting:** Contains a section for Leave Reporting (Exempt employees only) with links for Access your Leave Report and Leave Reporting Calendars.
- Effort Reporting:** This panel is highlighted with a red box and contains a link for Approve Effort Reports.
- Time Approval:** Contains a section for Time Approval with details for U, TS0660, TS-CHIEF FIN OFFICER ADMIN GP 014, including Monthly Non Exempt - 2 (Period Ending: Feb 15, 2016, Time Sheet), Monthly Non Exempt - 1 (Period Ending: Jan 15, 2016, Time Sheet), Monthly Non Exempt - 12 (Period Ending: Dec 15, 2015, Time Sheet), Monthly Non Exempt - 11 (Period Ending: Nov 15, 2015, Time Sheet), and Monthly Non Exempt - 10 (Period Ending: Oct 15, 2015, Time Sheet).

The Effort Report

1. Click on “Certify My Effort” to view your effort report that needs to be certified.
2. You will then see the effort report that needs to be certified. Double click on the row that you want to view.



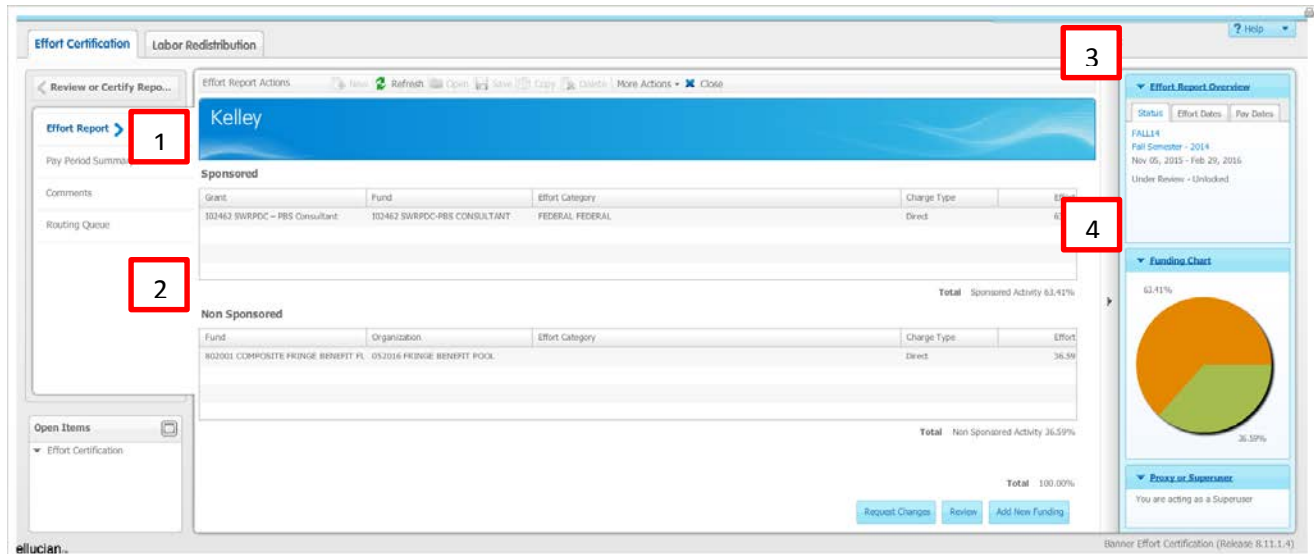
3. Double Click the item that needs certification for the appropriate reporting period.

COA	Period Code	Report Period	Last Name	First Name	ID	Start Date	End Date	Status	Unlocked/Locked	Comments
U	FALL14	Fall Semester - 2014				November 05, 2015	February 29, 2016	Under Review	Unlocked	

4. The navigation links on the left allow you to view additional information.



5. After you have double clicked the row, you will be taken to the review and certify page.



6. The effort report consists of two sections: Sponsored and Non-Sponsored activity:
 1. Sponsored Activity: For the purposes of the Effort Certification process, sponsored activity is activity supported by outside agency funding.
 2. Non-Sponsored: For the purposes of the Effort Certification process, non-sponsored activity is activity supported by University funding.
 3. The “Effort Report Overview” section shows the reporting period, the dates of review and a statement of the status of your report.
 4. The “Funding Chart” is a simple pie chart showing the percentage of effort allocated to different funding sources.

Tip: If you are a PI who is certifying or reviewing your employee records, **Certify My Effort** will only show a record if you personally had payroll that was funded by a federal grant. Review section on certifying or reviewing your employee’s effort report.

Pay Period Summary

1. Pay Period Summary provides a snapshot of the monthly pay information as a summary. The reports are sorted by Organization, Grant and Fund code. The type of effort is Federal or Non-Federal. The Payroll Percent for that month as well as the Effort Period Percent for that pay period are also displayed.

Review or Certify Repo...

Effort Report Actions: New, Refresh, Open, Save, Copy, Delete, More Actions, Close

Effort Report

Pay Period Summary

Comments

Routing Queue

Open Items

Effort Certification

Organization	Grant	Fund	Effort Type	Payroll Percent	Effort Period Percent
152024 BIOLOGY-OPER		A02000 OPERATING-SPRINGFIE		68	13.6
072007 CTR FOR BIOMEDICAL &		O02322 CBLS-CHICKEN BROTH		5	1
072007 CTR FOR BIOMEDICAL &	I02475 CBLS - Temporomandib	I02475 CBLS-TEMPOROMANDIB	FEDERAL FEDERAL	15	3
072007 CTR FOR BIOMEDICAL &		O02320 CBLS-DIFFER DHE FRO		10.0001	2
072007 CTR FOR BIOMEDICAL &		O02324 CBLS - DIETARY CHICK		2	0.4

Select the "Pay Period Summary" to see more details on your effort for the reporting period.

Monthly Exempt 8 2014 August 01, 2014 - August 31, 2014

Organization	Grant	Fund	Effort Type	Payroll Percent	Effort Period Percent
122023 INSTITUTE FOR SCHOO	I02462 SWRPDC - PBS Consultar	I02462 SWRPDC-PBS CONSULTA	FEDERAL FEDERAL	100	31.7059

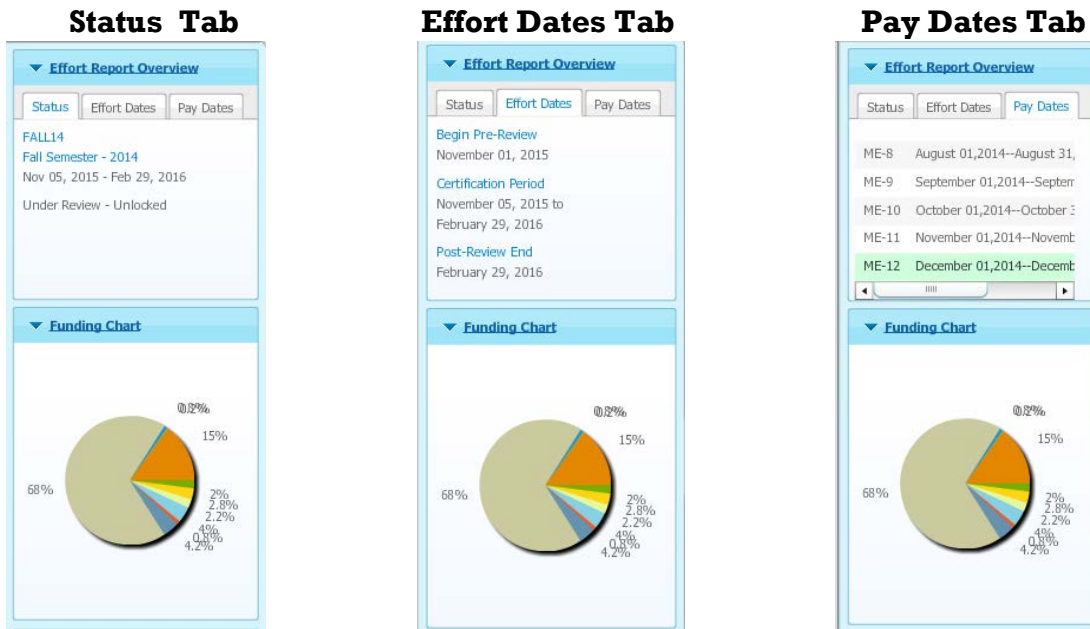
Click on the "Monthly Regular" link to view a detailed monthly report.

Pay Period Monthly Exempt 8 2014

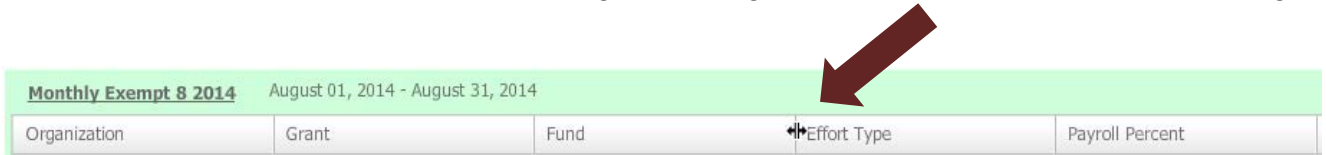
Sequence	Position	Effective D	Earning Co	Shift	COA	Index	Fund	Organizat	Account	Program	Activity	Location	Percent
0	P98459 - 0	July 01, 20	REG Reg	1	U		I02462 SW	122023 IN	62001 OT	021 INSTI			100

You can review the Fund, Organization, Account, Program and Activity codes, as well as the percent pay/effort for each FOAP from which you were paid. Once you have reviewed the information for each pay period, choose the "close" button to return to the pay period summary screen.

2. On the far right of the page is more information on the status of the effort report.



3. You can resize columns by clicking on the right-hand side of any column heading.

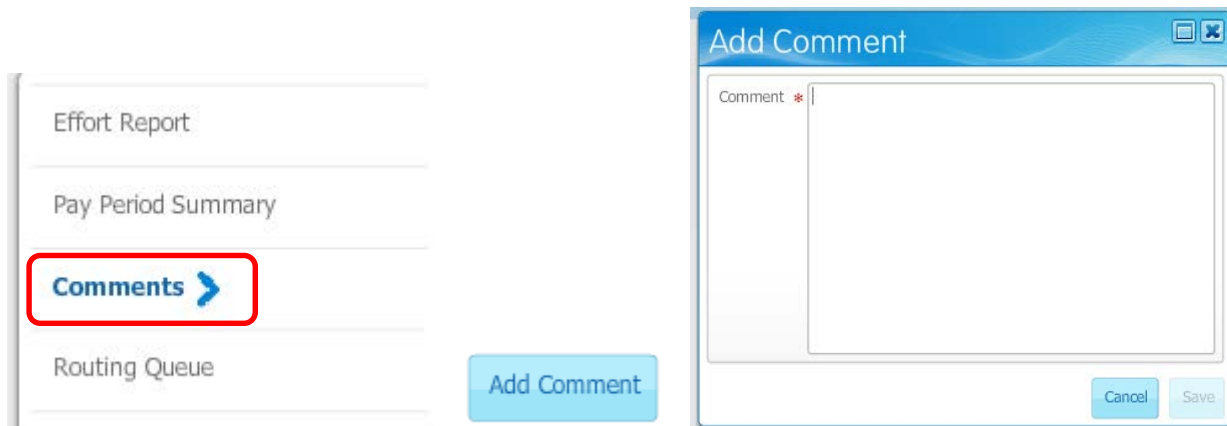


Comments

Click the comments tab to view comments or add any comments that you find necessary.

To add a comment:

1. Click the **Add Comment** button.
2. Type a comment into the add comment box.
3. Then click the **Save** button.

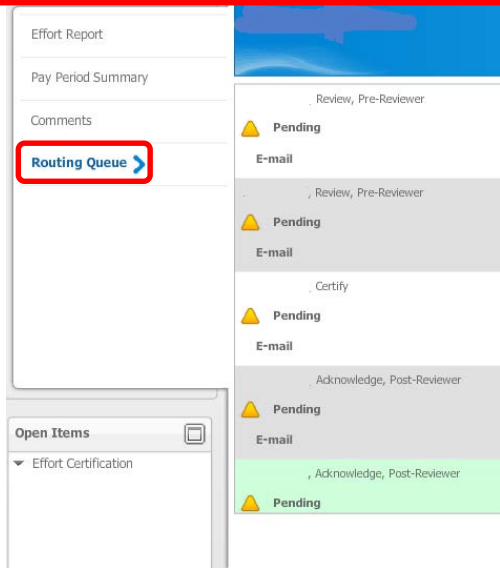


Routing Queue

To view the progress and details of the effort certification process, click on the Routing Queue tab.

The Routing Queue shows the status of each stage of the Effort Certification Process. The queue will automatically update after each person completes his or her task. Principal Investigators will be displayed as the Alternate Certifier.

TIP: If you want to send an e-mail to someone in the routing queue, simply click on the E-Mail link, and an e-mail window will open up for you to send an e-mail to that person.



Certifying Your Effort

1. If you approve the percent allocations and the “Effort Category” descriptions, you can certify your effort as instructed below. However, if the percent allocations and Effort Category are incorrect, please review section on requesting change below:

The screenshot displays the Effort Certification interface. It includes a table of Effort Categories, a Funding Chart, and a 'Review' button highlighted with a red box. A text box with a red arrow points to the 'Review' button, containing the instruction: "To certify, Click the Review button, and Certify button." The interface also shows a 'Request Changes' button and an 'Add New Funding' button. The total effort is 100.00%.

Effort Category	Charge Type	Effort
	Direct	36.59

Total Non Sponsored Activity 36.59%

Total 100.00%

Request Changes **Review** Add New Funding

Funding Chart

63.41%

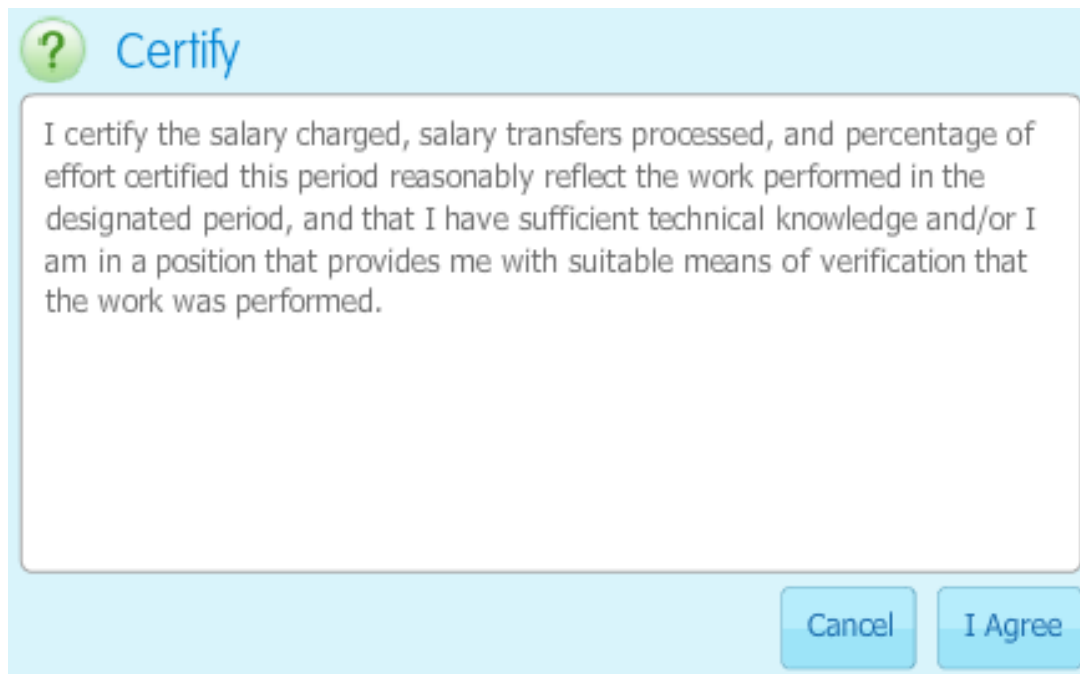
36.59%

Proxy or Superuser

You are acting as a Superuser

Banner Effort Certification (Release 8.11.1.4)

- Once you click the Review button a pop-up message will appear. To complete the certification process, you must agree with the statement provided in the box.



? Certify

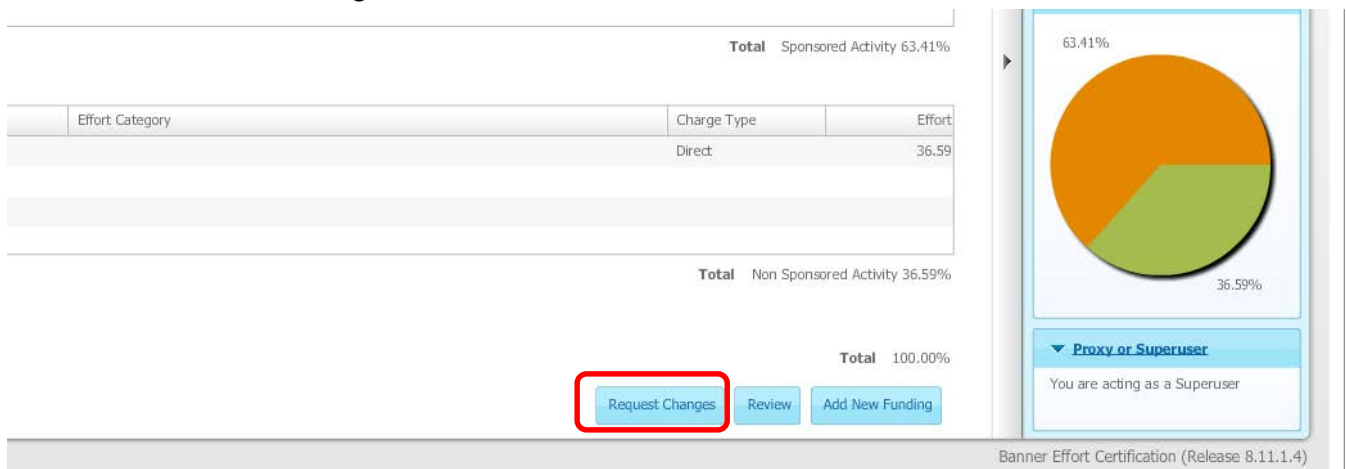
I certify the salary charged, salary transfers processed, and percentage of effort certified this period reasonably reflect the work performed in the designated period, and that I have sufficient technical knowledge and/or I am in a position that provides me with suitable means of verification that the work was performed.

Cancel I Agree

NOTE: This certification statement is the equivalent of your physical signature on this document. Certification of effort rates other than those performed may lead to allegations/charges of fraud under the Federal False Claims Act.

Requesting Changes

- To request changes, click on the “Request Changes” button at the bottom of the Effort Reporting Screen. This will cause your default e-mail application to open to a new mail message.



Total Sponsored Activity 63.41%

Effort Category	Charge Type	Effort
	Direct	36.59

Total Non Sponsored Activity 36.59%

Total 100.00%

Request Changes Review Add New Funding

63.41%

36.59%

Proxy or Superuser
You are acting as a Superuser

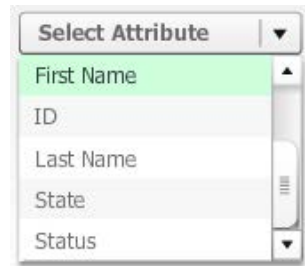
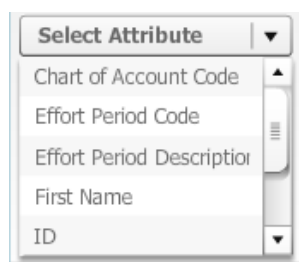
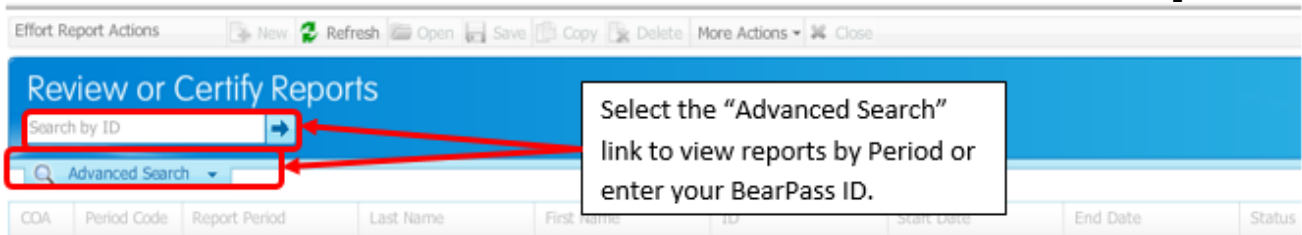
Banner Effort Certification (Release 8.11.1.4)

- Send an e-mail to GrantsAccounting@Missouristate.edu. If you are not the PI or the Department Head, please copy the PI on this e-mail message as well. If you are the PI and you are requesting a change to your own report, please copy your department head also. An approval from the department head or dean will be necessary for any changes to effort percentages for the PI.

3. Include which percentages, effort categories, and/or other categories are incorrect and provide the corrections in your message. When recalculating the percent of effort (if it is incorrect)*, make sure your combined effort equals 100%. You cannot report effort in excess of 100%.
4. Send the e-mail message, and you will receive a response within 5-7 business days.

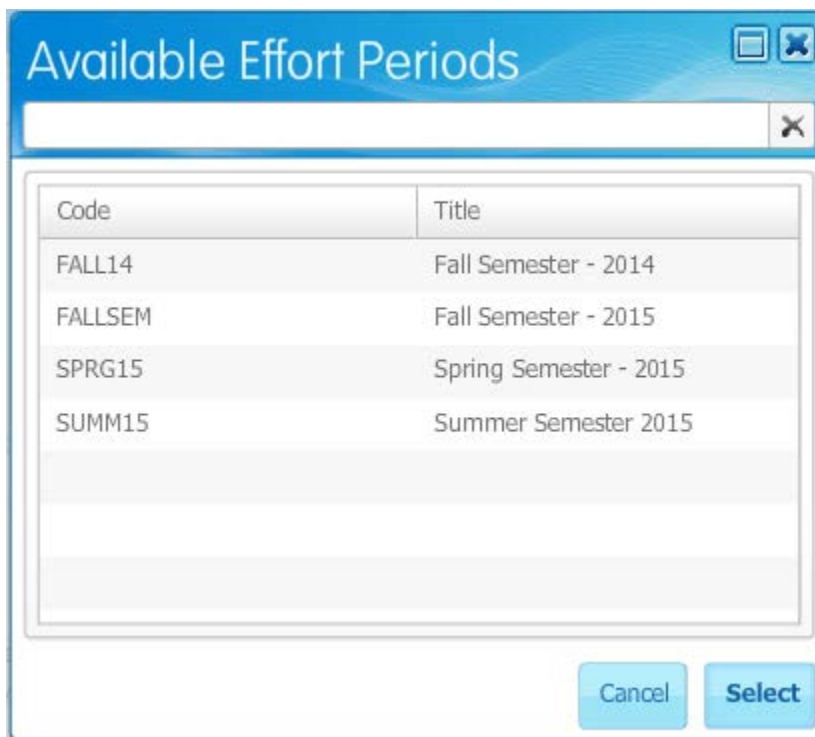
Search for Effort Reports in Your Queue:

1. Advanced Search will open a new subsection with a drop-down menu titled “Select Attribute.” Click on the arrow beside Select Attribute to choose from options.



Enter information based on choice and click the “GO” button or press Enter.

2. To see available fields, click on the to see list. Select appropriate effort period and click Select.



Locked Records

Once a record is in a locked status, please e-mail GrantsAccounting@Missouristate.edu for further information.

Reports

To create a system-generated report for reporting purposes, navigate to the report detail. Select More Actions and Print. This will open a new webpage with a report of the employee and the breakdown in pay structure by Sponsored and Non-Sponsored activity.

Please see page below for screenshots.

The screenshot shows the 'Effort Certification' interface. The main content area has a blue header bar. Below it, there are two tables: 'Sponsored' and 'Non Sponsored'. The 'Sponsored' table lists three grants with their respective fund numbers, effort categories, charge types, and effort values. The 'Non Sponsored' table lists two funds with their organization names, effort categories, charge types, and effort values. At the bottom right, there are buttons for 'Request Changes', 'Certify', and 'Add New Funding'.

Grant	Fund	Effort Category	Charge Type	Effort
I02276 AHEC-FY11 FEDERAL	I02276 AHEC-FY11 FEDERAL	FEDERAL FEDERAL	Direct	7.4
I02541 FY16 Federal Program	I02541 AHEC-FY16 FEDERAL PROGRAM	FEDERAL FEDERAL	Direct	28
O02288 AHEC Joplin Expansion	O02288 AHEC - JOPLIN EXPANSION	NON-FED NON-FEDERAL	Direct	5
Total				Sponsored Activity 40.40%

Fund	Organization	Effort Category	Charge Type	Effort
B02386 AHEC-STUDENT PLACEMENT	072019 AHEC		Direct	51.6
G02110 AHEC - FY16 FEDERAL PROGRAM-MATCH	072019 AHEC		Direct	8
Total				Non Sponsored Activity 59.60%

Total 100.00%

This screenshot is identical to the one above, but with a green 'Print' button highlighted in the top right corner of the main content area, indicating the user's action to generate a report.

Print generates a report that can be used for your documentation purposes.

Missouri State University

Fall Semester - 2015
 Awaiting Certification, Unlocked

Sponsored

Grant	Fund	Effort Category	Effort
I02276, AHEC-FY11 FEDERAL	I02276, AHEC-FY11 FEDERAL	FEDERAL, FEDERAL	7.4%
I02541, FY16 Federal Program	I02541, AHEC-FY16 FEDERAL PROGRAM	FEDERAL, FEDERAL	28%
O02288, AHEC Joplin Expansion	O02288, AHEC - JOPLIN EXPANSION	NON-FED, NON-FEDERAL	5%
Total Sponsored Activity			40.4%

Non-Sponsored

Fund	Organization	Effort Category	Effort
B02386, AHEC-STUDENT PLACEMENT	072019, AHEC		51.6%
G02110, AHEC - FY16 FEDERAL PROGRAM-MATCH	072019, AHEC		8%
Total Non-Sponsored Activity			59.6%

Allocable

Fund	Organization	Effort
Total Allocable Activity		0%

Total 100%

Effort Certification Terminology

Certify/Certification – Certification statement states that the person certifying “the salary charged, salary transfers processed, and percentage of effort certified this period reasonably reflect the work performed in the designated period, and that the certifier has sufficient technical knowledge and/or is in the position that provides them with suitable means of verification that the work was performed”.

Certification Period - The period that the Effort Certification process is available for certifiers.

Certifier - The person that certifies the effort report. The Principal Investigator is the certifier and will be responsible for certifying effort reports for staff working on his/her grant.

Effort Period Percent - is the percentage of effort, for each particular payroll period, allotted to the semester or certification period. The sum total of the effort period percentages, for all payroll periods in the summary, will always equal 100%.

End Date - The date that certifications are due. After this date, the effort report will be locked and cannot be certified.

Non-Sponsored - For the purposes of the Effort Certification process, non-sponsored activity is activity supported by University funding.

Sponsored Activity – For the purposes of the Effort Certification process, sponsored activity is activity supported by outside agency funding.

Payroll Percent - The percentage of each individual payroll charged to the sponsored and/or non-sponsored activity. The payroll percentage will always total 100%. If your effort has been consistent throughout the semester, then the payroll percentage will equal the percentage of effort to be certified

Period Code - A Banner reference for the report period (i.e. Fall 2014, Spring 2014, etc.).

Post-Review End – The date that the Effort Certification process must be completed.

Start Date - The date that the Certification Period begins

Status – Provides information on the current stage that the Effort Certification process is in. Status codes are: Under Review, Awaiting Certification (this is the status that users will see upon entering the module), and Complete (status after the effort report has been certified).

Frequently Asked Questions (FAQ's)

Q. When I log into the Effort Certification module, I do not see an effort report on the homepage. Where is it?

A. In order to access the effort report, your name and grant number must be assigned a special role. Contact your grant accountant immediately.

Q. How many times a year do I need to certify my effort and my employees' effort reports?

A. Effort reports will need to be certified 3 times a year for each of the semesters—Spring, Summer and Fall.