Effort Certification and Reporting in Banner

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All About Effort

- What is Effort?
- Why do we track effort?
- What is Effort Certification?
- When do we track effort?
- Who is responsible for tracking effort?
- How do we track effort?
What is Effort?

• What you do to earn your base pay. Specifically,
  - Effort is the proportion of a work term (academic term or month) spent on your institutional commitment (teaching, research, creative and service projects, and other assignments)
  - Your effort is expressed as percentages of TOTAL university activity - university paid, grant paid, and cost shared
  - Your effort is a reasonable estimate of the percent of total time and is not based on a 40-hour work week.
Why do we track effort?

- **Mandated** by the federal government

- **Required** to be tracked just as any other item included in the proposal by:
  - Federal Agencies (Uniform Guidance, 2 CFR 200)
  - State of Texas (Grants Management Guide)
  - SFA Policy 8.1 Effort Reporting and Certification for Sponsored Activities

- **Ensures** that SFA is eligible for reimbursement of salary and benefits charged to grants
Accountability

• Effort reports are considered legal documents as the person certifying attests to the accuracy of the effort spent on activities. Therefore, don’t certify unless the document is correct.

• Effort reports are auditable.

• Federal regulations allow us to use reasonable estimates to verify expended effort.
What if I don’t want to???

*Risks of non-compliance*

- Sponsor may not reimburse for funds expended
- Sponsor may require repayment of grant funds
- Institution may suffer damaged reputation
- Institution may loose future awards
- Federal lawsuits
- False Claims Act – individual liability
  *(criminal charges can be brought against an individual who certifies a falsified report)*
False Claims Act

Possible penalties for an individual who is found to have violated this Act:

- **civil penalties of not less than **$5,000** nor more than **$10,000 for each violation**

- **criminal sanctions**, if the violation was willful, of imprisonment for up to **five years** and fines of up to **$25,000**;

- pay **treble the damages** sustained by the government because of the individual’s act.
Federal lawsuits

• Florida International University - $11.5 million settlement *(allegations include improperly billed for scientist time, travel and administrative expenses; faculty time promised but not properly documented and didn’t equate to actual effort).*

• Northwestern University - $5.5 million settlement under False Claims Act *(allegations include researchers spent less time on sponsored projects than reported)*

• Johns Hopkins University - $2.6 million settlement *(allegations include faculty time and effort devoted to grants was overstated; charged more than 100% of salary)*
What is Effort Certification?

• **Verifies** that personnel costs are **reasonable**, reflect actual work performed, and are charged/cost shared to the **proper project**

• **Reasonable estimate** of the **percent** of **total** time (base pay)

• Does not include Additional Compensation assignments
Effort always equals 100%
Situation #1

During the fall semester, Administrative Assistant Janine Melnitz works 40 hours each week on the following:

– 20 hours each week on a grant project
– 20 hours each week on other University commitments (department, advising, etc.)

How is her effort calculated?

50%  grant (pay allocation = 50%)
50%  regular department (pay allocation = 50%)
=100% effort for the report period
Situation #2

During the fall semester, Dr. Peter Venkman (PI) spends 60 hours each week on the following:

– 30 hours each week on a grant project
– 30 hours each week on other University commitments (teaching, service, committees, etc.)

How is his effort calculated?

50% grant (pay allocation = 50%)
50% regular department (pay allocation = 50%)
=100% effort for the report period
Situation #3

During the fall semester, faculty member Dr. Egon Spengler works 60 hours each week on the following:

– 15 weekly hours on grant A
– 10 weekly hours on grant B
– 5 weekly hours on grant C
– 30 hours each week on other University commitments (teaching, service, committees, etc.)

How is his effort calculated?
25%  grant A (pay allocation = 25%)
16.67% grant B (pay allocation = 16.67%)
8.33%  grant C (pay allocation = 8.33%)
50% regular department (pay allocation= 50%)
=100% effort for the report period
Situation #4:

During the spring semester, Project Director Jillian Holtzmann works part-time (a 0.5 FTE position) and works 20 hours each week on grant A.

What is her effort?

100% Grant A (pay allocation 100% from grant)
Effort may vary from one term/month to another

• The PI/PD states in the proposal that an employee will spend 50% effort on the project over the fall and spring semesters.
  – Fall semester: employee works 65% on the project and pay allocation is 65% from project.
    
    Effort reported for semester = 65%
  
  – Spring semester: employee 35% on the project and pay allocation is 35% from project.
    
    Effort reported for semester = 35%

**Average = 50% satisfies grant commitment**
When do we track effort?

SFA uses “After-the-fact” certification (after payroll has run for the term)

- **End-of-Term Reports** - Self-Service Banner
  *Faculty, Professional Staff, GAs*

- **Monthly Reports** - Self-Service Banner
  *Classified employees*

- **TimeClock Plus** — no additional reporting required
  *Hourly employees, Students*
Who is responsible for Effort?

The person certifying must have first-hand knowledge that the effort expended was related to the sponsored project

- **PI/PD are best**
- **Employee is appropriate if professional staff**
- **If both PI and employee unavailable**, Chair/Dean
  - *if* they have knowledge of the work performed
- **Graduate students aren’t allowed to certify**
Life Cycle of Effort

1. **Proposal** states effort to be expended
   - Project funded base pay (*effort certification required*)
   - Cost-shared base pay (*effort certification required*)
   - Additional compensation (*extra payment; no effort cert.*)

*Examples:*
- Two GAs to be paid 100% from grant. **Requires Effort Certification**
- PI will devote one month effort to be paid from SFA. (Cost-sharing). **Requires Effort Certification**
- Staff member X will receive $500 to lead a workshop in an academic discipline outside of his or her content area at the regional Boys and Girls Club on May 15, 2012 *(addl. comp as payment)* **No effort certification required**
Faculty Workload

Policy 12.1 Compensation from Grants, Contracts, and Other Sponsored Agreements states that 80% of a faculty member’s time is spent on teaching and related activities while 20% is spent on other duties.

- For grants (paid from or cost sharing), faculty can work up to 20% of their time on a grant project and be considered performing 100% of their normal university acidities.
- Department chair/dean must agree to release the faculty member from the same percentage of other duties to make room for the grant work.
Faculty Summer Grant Assignment

If a faculty member’s institutional workload in the summer is less than 100%, the faculty member may also be paid from 1 or more grants proportional to the effort expended.

- For a normal full-time teaching load of 6 hours in Summer 1, a faculty member could teach 1 class (3 hours) and then work up to 50% of summer load on a grant.
- For summer grant assignment, a faculty member’s 9-month salary is prorated for the grant duties performed (not paid like summer courses).
Non-Faculty Workload

• Professional staff who are paid 100% from grants are not allowed ‘other duties as assigned’ unless the additional duties pertain to the grant.

• If a professional staff person is split between multiple grants, that person can only work on those projects.
2. Upon award

- ORSP provides orientation to PI/PD.
- PI/PD coordinates and ensures timely completion of appropriate forms (Cost-Share Detail, EPAFs, Addl. Comp, and Banner Access Request).
- EPAFs MUST be completed timely and correctly for accurate Effort Reporting.
- PI/PD is ultimately accountable to sponsor and SFA (as the permanent SFA employee).
3. **ORSP** enters effort/cost-share information into Banner; creates separate cost-share Banner fund as needed (*matching University funds are transferred to* and *paid from the Cost-Share Banner fund* 107600 or 150600).

4. **Banner Effort Reports** run automatically according to SFA’s determined schedule:

   - **Semester basis:** Professional staff, Faculty, GAs – Effort reports should be available the first week following the end of each semester. Reports are due by the end of that month. *Summer semester – Available September 1st and due October 31st*
   - **Monthly basis:** Classified employees – Effort reports should be available the first week of each month for the preceding month. Reports are due by the 15th of that month. *August report – Available September 1st and due September 15th*
5. **ORSP** reviews effort reports then sends emails to faculty/staff informing them that effort reports are ready to be certified and establishes certification deadlines.

6. **PI/employee/other responsible party** reviews and certifies effort via Self-Service Banner.

7. **ORSP** logs certification into tracking spreadsheet.

8. **If reports are not certified in a timely manner:**
   
   One reminder sent after initial deadline to PI/PD and chair.
   
   Two weeks later, reminder sent to PI/PD, chair and dean.
   
   Following week, Provost receives a list of all late effort reports.
Types of Users in Banner Effort

• **Certifier**
  – An employee who certifies his/her own effort report.

• **Superuser**
  – May act on any document that is waiting in the Effort Certification routing queue. *ORSP*

• **Alternate Certifier**
  – May certify effort reports in place of the employee/PI; must have direct knowledge of the work performed.

*PI/PD can designate an alternate if that person directly oversees the work (such as another faculty member, chair or dean)*
Statuses during Certification Process

• **Awaiting Certification**
  Report is ready to be certified.

• **Certified**
  Report is certified and all actions have been completed.

• **Unlocked**
  Report is available for change or to be acted upon by any member in the routing queue.

• **Locked**
  Report is certified; all actions have been completed; report cannot be accessed.
How an individual certifies his/her effort in Banner

- Log in to mySFA
- Choose “Resources” tab
- Click on “Self-Service Banner”
- Select “Employee” tab
- Choose “Effort certification” link
- “Certify My Effort” should be next screen
- Choose appropriate term *(semester, month)*
- Review and certify if correct – *ANYTHING in error, contact ORSP and do NOT certify*
- You’re done !!
How a **PI/PD** certifies effort in Banner for another grant/cost shared staff person

- Log in to mySFA and choose “Resources” tab
- Click on “Self-Service Banner” then select “Employee” tab
- Choose “Effort certification” link and then “Review or Certify Reports”
- Select “Advanced Search” then “Chart of Account Code”
- Enter “S” and click “GO” on the far right
- To select an individual report, highlight the person and double click.
- Review each person and certify if correct – If you see **ANYTHING in error, contact ORSP and do NOT certify**
- If correct, click the “Certify” button and a certify statement window opens
- Click “I agree” to certify or the “cancel” to return
- Select “Review or Certify Reports” to return to main menu
- To exit, just exit screen and then log out of mySFA.
Log in to My SFA
Enter user name and password
Select “Resources” tab then “Self-Service Banner”
Select “Employee” tab then “Effort Certification” link
Effort Certification Module- For Employee “Certify My Effort”

All effort periods assigned to you - if you are being paid from a grant or cost-sharing on a grant.

To select - highlight term and double click

Contact ORSP if nothing is here and should be.

Continue on screen 38
Effort Certification Module - For PI

Search for employees

1st Choose “Review or Certify Reports”

2nd Choose the “Advanced Search” drop down by clicking on the down arrow
Select Search Criteria

1st Select ‘Chart of Account Code’ and insert “S”

2nd Select ‘GO’
List of all employees paid/cost sharing on your projects

To select – highlight person then double click.

Contact ORSP if nothing is here.
Step 1: Review Information

Step 2: Certify if correct. If not, do NOT certify and contact ORSP.

Verify

Review or Certify Reports

Informational Items
Certify box
For regular SFA pay and Cost Share
View each month
Print Option

Use the Print option to keep a copy for your records. Also, if you have missed the reporting window, you can print, sign and return to ORSP.
Search specific periods, part 1

1st Select ‘Chart of Account Code’ – Always “S”

2nd Select ‘Effort Period Code’

To search for Codes, select “…

3rd Select “Go”
Search specific periods, part 2

Select Available Effort Period Code

Naming conventions:

SUM11                  AUG11
FAL11                  SEP11
SPR12                  OCT11
For PI/PDs – To select the next person

Select ‘Review or Certify Reports’ to return to main menu and then select the next person and repeat steps.
For PI/PDs – Routing Queue, part 1

‘Add Member’ allows you to add a Co-PI/PD to the queue.

Useful if someone else supervises the employee or if you will be unavailable for an extended time period.
Routing Queue, part 2

1st Click on the ‘…’ to pull up the list

2nd Scroll to find person

3rd Click on person to highlight then ‘Select’ and ‘Save’
Whew. What now?

- Work with ORSP on **all** proposals
- Complete EPAFs **before** work begins
- Have any staff attend effort training (*SFA policy mandates* effort training for everyone who works on or is associated with an externally-funded project)
- An online review course is planned once every 3 years unless there are major changes (*in development*).

Contact Jennifer Hanlon at ext. 1805 with any questions.