

Effort Certification and Reporting in Banner for Project Investigators and Staff

Fall 2012

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Office of Research & Sponsored Programs
Ext. 6606

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?

- The **proportion** of a work term (academic term or month) spent on teaching, research, service projects, and other assignments (*what you do to earn your base pay*).
*Effort is expressed as **percent** of **TOTAL** activity and is not based on a 40-hour work week.*
- Effort reporting is the **method** to account for the proportion of work time devoted to these professional activities as a **percentage** of total activities including work on sponsored agreements, *both grant paid and cost-shared (not paid from grant but paid from the university).*



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 (OMB circular A-21)
 - State of Texas (Grants Management Guide)
 - SFA Policy A-68
- **Ensures** that SFA is eligible for reimbursement of salary and benefits charged to grants

Accountability

- Effort reports are considered **legal documents** in which a person 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 lose 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

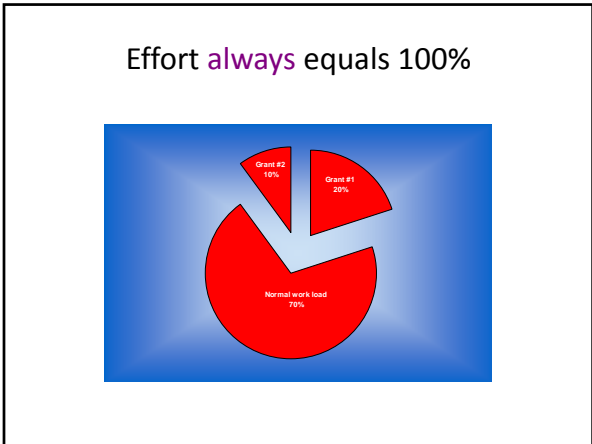
- An individual who is found to have violated this Act can be subjected to civil penalties of *not less than \$5,000 nor more than \$10,000 for each violation; to criminal sanctions*, if the violation was willful, of imprisonment for up to **five years** and fines of up to **\$25,000**; and an order to reimburse the government for *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, allocable, and allowable*)
- Reasonable estimate of the *percent* of total time (base pay)
- Does not include effort expended for Additional Compensation



Situation #1

During the fall semester, Administrative Assistant Donald Ducks 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.)

What is his effort?

- 50% grant (pay allocation = 50%)
- 50% regular department (pay allocation = 50%)

=100% effort for the report period

Situation #2

During the fall semester, PI Suzie Worksalot 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.)

What is her effort?

- 50% grant (pay allocation = 50%)
- 50% regular department (pay allocation = 50%)

=100% effort for the report period

Situation #3

During the fall semester, PD Dan Worksmore spends 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.)

What is Dan's effort?

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 Jessica Needsmoretime 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**

- For example, an application states an employee will spend 50% effort on the project over the fall and spring semesters.
 - Fall semester: staff works 65% on the project and pay allocation is 65% from project.
Effort reported for semester = 65%
 - Spring semester: staff 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

- 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?

According to regulations, 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 shouldn't certify*


Life Cycle of Effort

- 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**

- Upon award**
 - ORSP provides orientation to PI/PD.
 - PI/PD reviews approved budget; determines what needs to be done and who to coordinate.
 - 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 is **ultimately accountable** to sponsor and SFA (as the permanent SFA employee).



- ORSP** enters Effort and Cost-Share information into Banner and coordinates with the Controller's Office to create separate Cost-Share Banner fund (*matching University funds are transferred to and paid from the Cost-Share Banner fund*).
- 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*
- PI/employee/other responsible party** reviews and certifies effort via Self-Service Banner.

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. *As PI, you can designate the co-PI if that person directly oversees the work or your chair/dean if you will be unavailable and chair/dean is knowledgeable of the work performed*

Important Statuses during Effort Certification

- **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.

How an individual certifies his/her effort in Banner

- Log in to Self-Service
- Choose "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 PI certifies effort in Banner for other grant/cost share staff

- Log in to Self-Service
- Choose "Employee" tab
- Choose "Effort certification" link
- "Certify My Effort" page should be next screen
- Choose "Review or Certify Reports"
- Search for appropriate term
 - Chart of Accounts = S
 - Can also do other searches as needed
- Review each person and certify if correct – *ANYTHING in error, contact ORSP and do NOT certify*
- You're done !!

Log in to My SFA



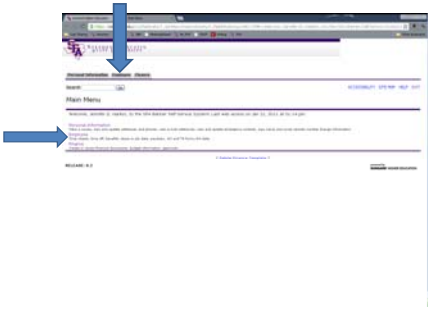
Enter user name and password



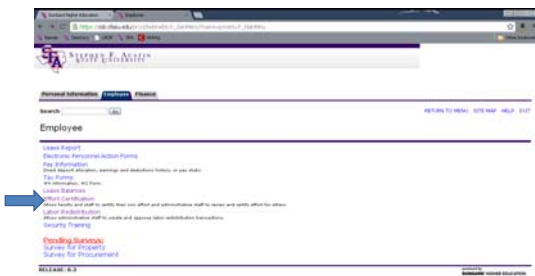
Select "my services" tab then "Self-Service Banner"



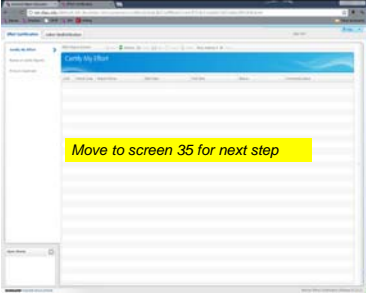
Select "Employee" tab



Select "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.

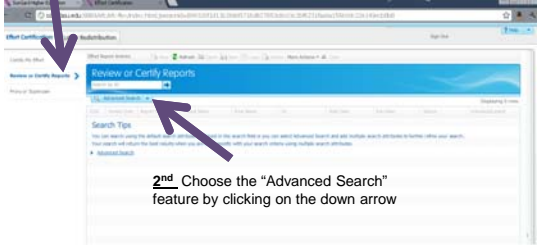
To select - highlight term and double click

Contact ORSP if nothing is here and should be.

Effort Certification Module – For **PI** Choose "Review or Certify Page"

Perform Search for relevant term

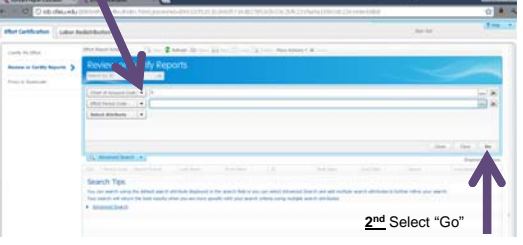
1st Choose "Review or Certify Reports"



2nd Choose the "Advanced Search" feature by clicking on the down arrow

Select Search Criteria

1st Select 'Chart of Account Code' – Always "S"

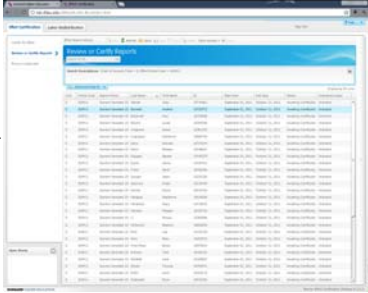


2nd Select "Go"

List of all individuals paid/
cost sharing on your projects

To select -
highlight
person and
double click.

Contact
ORSP if
nothing is
here and
should be.




Verify

Review or Certify Reports

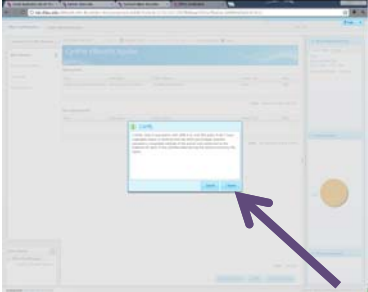
Step 1:
Review
Information

Informational
Items

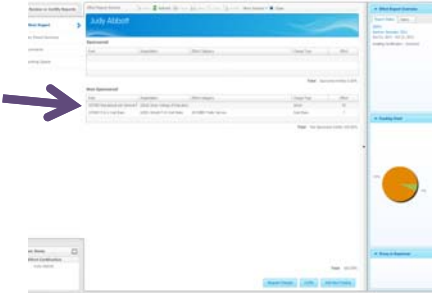
Step 2: Certify if correct. If not,
do NOT certify and contact
ORSP.



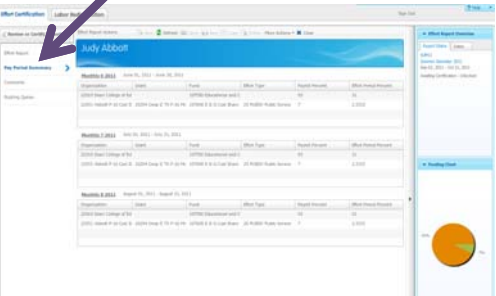
Certify box



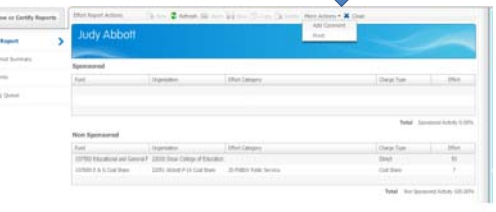
Non Sponsored Section
For regular SFA pay and Cost Share



View each month

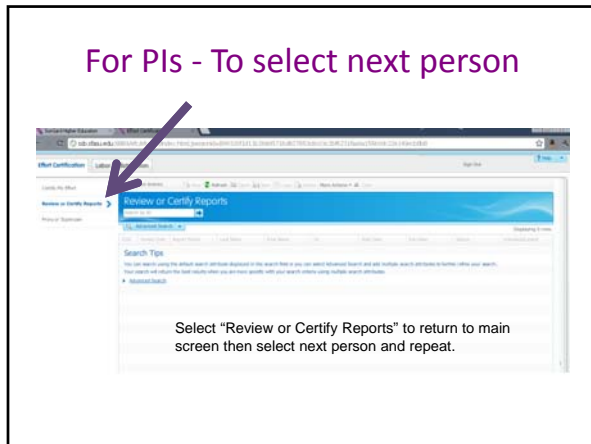


Print Option

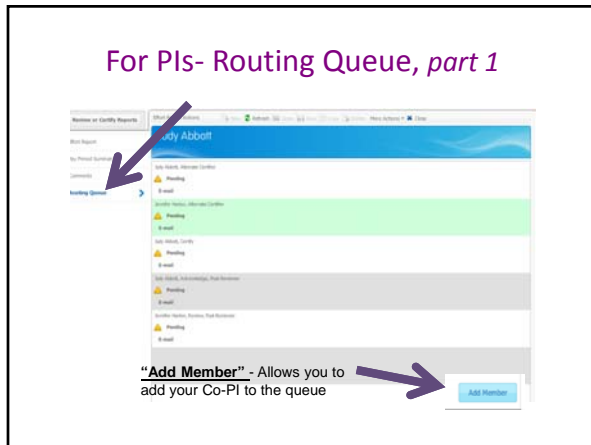


Use the Print option to keep a copy for your records.
Also, if you have missed the reporting window, you can print, sign and return to ORSP.

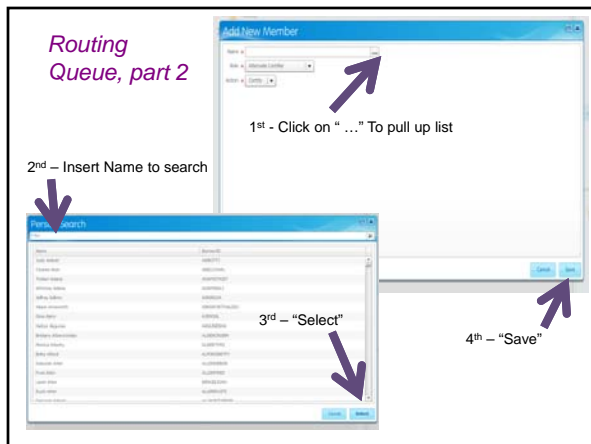
For PIs - To select next person



For PIs- Routing Queue, part 1



Routing Queue, part 2



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

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.
