TENNESSEE STATE UNIVERSITY

Banner Electronic Effort Certification Module User’s Guide
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Introduction

The purpose of this training manual is to provide a step-by-step guide to using the Banner electronic effort certification process.

Everyone will be assigned to one or more of the following roles for this process:

- **Certifier**: The person who certifies the effort reports. Each employee (faculty, professional, non-professional, and graduate student) working on a federally funded or federal flow-through grant/contract would certify his/her own effort.

- **Alternate Certifier**: Someone other than the employee who is allowed to certify the employee’s effort. This person must have direct knowledge of the work performed. Currently, the principal investigator has the ability to certify the effort of each person working on his/her grant. The principal investigator is responsible for alternately certifying graduate students, and any employee no longer employed at the university.
Logging into myTSU and Accessing the Effort Certification Report

1. Log-in to myTSU, using your username and password.

2. At the myTSU Web page, click on Banner Services.
3. At the Banner Services Main Menu, click on **Employee**.

4. Next, click on **Effort Certification**
The Effort Certification homepage will be displayed.

5. Select the report period that you wish to certify by double-clicking the correct reporting period line. The status will be **Awaiting Certification** and the Unlocked/Locked column will be **Unlocked**.
The Effort Report

The Effort Report consists of two sections: **Sponsored** and **Non-Sponsored activity**.

- **Sponsored** – For the purposes of the Effort Certification process, sponsored activity is activity supported by federal funding.

- **Non-sponsor**ed – For the purposes of the Effort Certification process, non-sponsored activity is activity supported by non-federal funding.

**The Effort Report Overview** section (to the right of the screen) provides a summary of the effort reporting details and process.

- The Report Status tab:
  - Provides certification period information and the current report status.
  - Provides a pictorial view of the effort for the period in the form of a funding chart. The chart displays your time and effort distribution on a cumulative basis for the entire semester. If grant funding was only for a portion of the semester, this graph and the percent effort may appear to be distorted. For example, if you were 100% department funded for the first half of the semester but 50% department and 50% grant funded for the second half of the semester, the effort for the grant would be 25% for the full semester.
Pay Period Summary

To view specific payroll activity, click on the Pay Period Summary tab.

This menu provides details on each pay period included in the certification period.

- **Organization, Grant, and Fund** columns are provided for all funding sources.

- **Payroll Percent** is the percentage of each individual’s payroll charged to the sponsored and/or non-sponsored fund. The payroll percentage will always total 100% for each payroll period.

- **Effort Period Percent** is the percentage of effort for each payroll period that is allocated to the semester or entire certification period. The sum total of the Effort Period Percent for all payroll periods in the summary will always equal 100%. (If your effort has been consistent throughout the certification period, then the payroll percentage will equal the effort period percentage.)
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.

NOTE: Your comment will be saved and available to be viewed by anyone in the Routing Queue. Once comments are added, they cannot be updated or deleted. They will be displayed in reverse chronological order, with the most recent appearing first on the list.
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 update automatically after each person completes his/her task. Principal investigators will be displayed as the Alternate Certifier.

• If you want to send an e-mail to someone in the routing queue, simply click on E-mail and an email window will open up for you to send an email to that person.
Certifying Your Effort

After you have reviewed all the tabs in the Effort Certification module and find the allocation of effort to be acceptable, you are ready to certify your effort for the period.

1. If you agree with the percentages of effort and corresponding fund numbers indicated, click the **Certify** button in the bottom right corner of the page.
   - The Certify statement window opens, which will allow you to complete your effort certification.
   - If you do not agree with the percentages of effort and/or corresponding fund numbers indicated, see page 11 for **Request Changes**.

2. Click **I Agree** to finalize your effort certification.
Once the report is certified, the **Certify** button will disappear and the status of the report will change to **Certified – Locked**.

3. If you would like to print a copy of your effort report, click **More Actions** at the top of the screen, then click **Print**.

4. To close out of the Effort Certification module:
   - Click on the **Close** button at the top right of the screen.
   - Then click on the **Sign Out** button.
Requesting Changes

If you do not agree with the percent of effort stated on the Effort Certification:

1. Select the Request Changes button.

2. This will open an email window for you to request your changes.
   1. Send an email to your departmental representative responsible for initiating an Account Change Form. Provide details of the changes to be made.
   2. Copy the Grants Accounting Office at grantsaccounting@tnstate.edu.
      - Even if the email function does not work with your computer, please still select the Request Changes button since this will change the status of the report to Awaiting Certification – Changes Submitted.

3. When the changes have been made, you will receive another email notification stating that you can now certify the corrected effort.
If, after clicking the **Request Changes** button, you decide that changes do not need to be made, select the **Clear Changes** button, confirm that you want to cancel your changes and then you will have access to certify your effort.

If an email was sent to request the change, please contact those individuals indicating that the request for a change was an error.
Alternate Certifiers

To access reports to participate as the Alternate Certifier:

1. Click on the **Review** or **Certify Reports** tab.
2. Next, click on **Advanced Search**.
Searching for Effort Reports in Your Queue

3. Click on the drop down button next to **Select Attribute**.

4. Select both of the following two attributes:
   - **Chart of Account Code**
   - **Effort Period Code**

5. Click on the drop down button to show your options.
   - Select “S” for Chart of Accounts
   - Select the current Effort Period that needs certification.

6. After the attributes are selected, click on the **Go** button.
Alternately Certifying an Effort Report

A complete list of reports for which you can serve as the Alternate Certifier will appear in the **Review or Certify Reports** window.

1. Double-click on the person’s name that you wish to view.

2. Follow the steps listed on pages 09 and 10 of the **Certifying Your Effort** section of this manual to certify an employee’s effort.

3. If you are serving as the Alternate Certifier, the **Certify** button will be available at the bottom of the effort report.

4. Complete the above for each employee on the list.
Locked Records

Once an effort report is in the status of **Completed – Locked**, all action buttons are removed and changes cannot be made. This will affect the ability of any payroll redistribution being done for an employee who has any portion of his/her salary paid from federal funds. If a payroll redistribution is needed for the federal or non-federal funding portion, the Grants Accounting office will need to be contacted in order for the record to be unlocked.

- Note: Even if the payroll redistribution did not change the effort percentage paid from federal funds, recertification will need to be done for all payroll periods affected.
Effort Certification Terminology

**Alternate Certifier** – Someone other than the employee who is allowed to certify the employee’s effort. Currently, the principal investigator has the ability to certify the effort of each person working on his/her grant.

**Certification Period** – The period that the effort certification process is available for the Certifier and Alternate Certifier.

**Certifier** – The person who certifies the effort reports. Each employee (faculty, professional, non-professional, and graduate student) working on a federally funded or federal flow-through grant/contract would certify his/her own effort. However, the principal investigator, as the Alternate-Certifier, can certify effort reports for employees working on his/her grant.

**Effort Period Percent** – The percentage of effort for each payroll period, that is allocated to the semester or entire 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 the Effort Certifications are due.

**Non-sponsored Activity** – For the purposes of the Effort Certification process, non-sponsored activity is an activity supported by non-federal funding.

**Payroll Percent** – The percentage of each individual’s payroll charged to the sponsored and/or non-sponsored activity. The payroll percentage will always total 100% for each payroll period.

**Period Code** – A Banner reference for the Report Period (i.e. 2014SU, 2014SP, etc.).

**Sponsored Activity** – For the purposes of the Effort Certification process, sponsored activity is an activity supported by federal funding.

**Start Date** – The date that the certification period begins.

**Status** – Information on the current stage of the effort certification process. Status codes are: Awaiting Certification, Certified, and Completed.
Frequently Asked Questions

Q: What determines the percent of effort?
A: The percent of effort is tied to your payroll record and is originally set up in Banner by what is indicated on your Personnel Action Request Form (PARF).

Q: Why would changes be needed if the percent of effort was already determined by my Personnel Action Request Form?
A: Effort reporting is done using an “after-the-fact” method and your Personnel Action Request Form is an estimation of the allocation that was predicted for each project. If, after-the-fact, it is determined that you worked more or less on the grant than what was stated on your PARF, then a change needs to be requested. You are allowed ± 5% variance.

Q: How often will effort be certified?
A: Effort reporting will be done three (3) times per year:

- 20xxSP  Spring Semester  January 1 through May 31
- 20xxSU  Summer Semester  June 1 through August 31
- 20xxFA  Fall Semester  September 1 through December 31