

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.

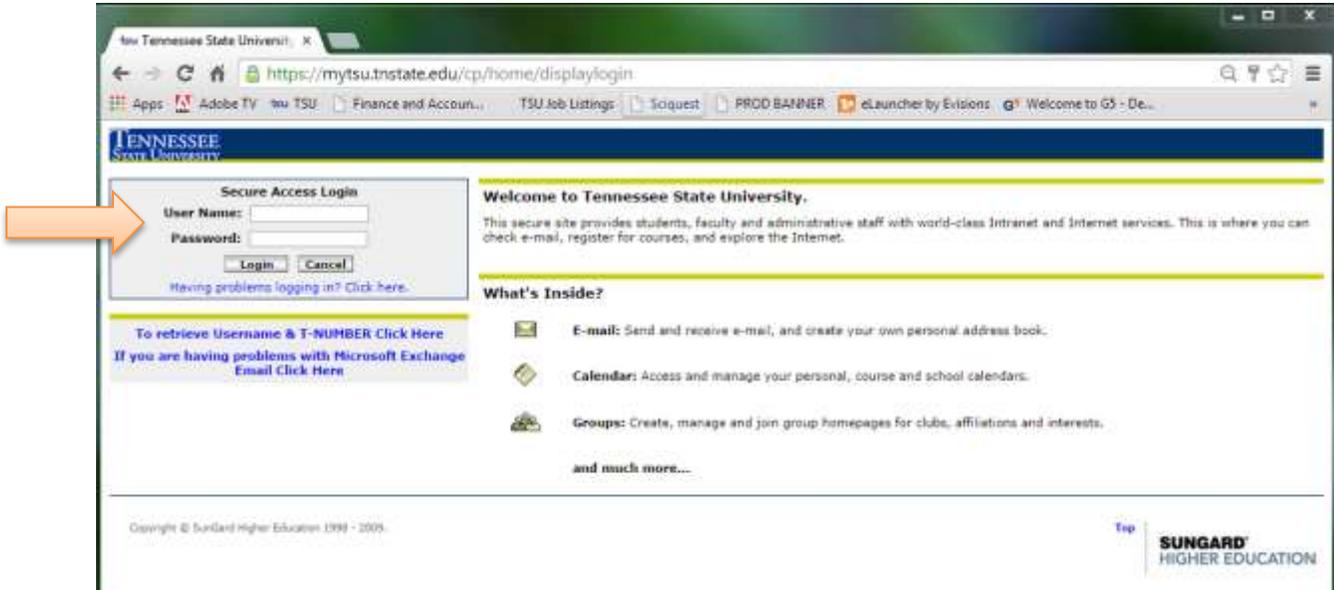
Everyone will be assigned to one or more of the following roles for this process:

- **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.

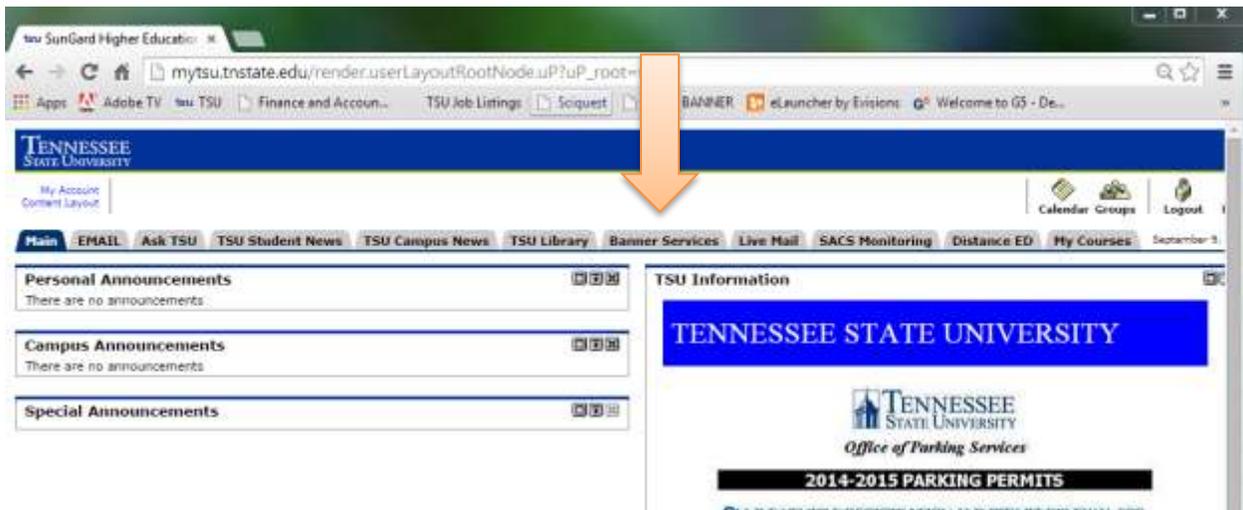
- **Alternate Certifier:** Someone other than the employee who is allowed to certify the employee's effort. This person must have direct knowledge of the work performed. Currently, the principal investigator has the ability to certify the effort of each person working on his/her grant. The principal 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**.

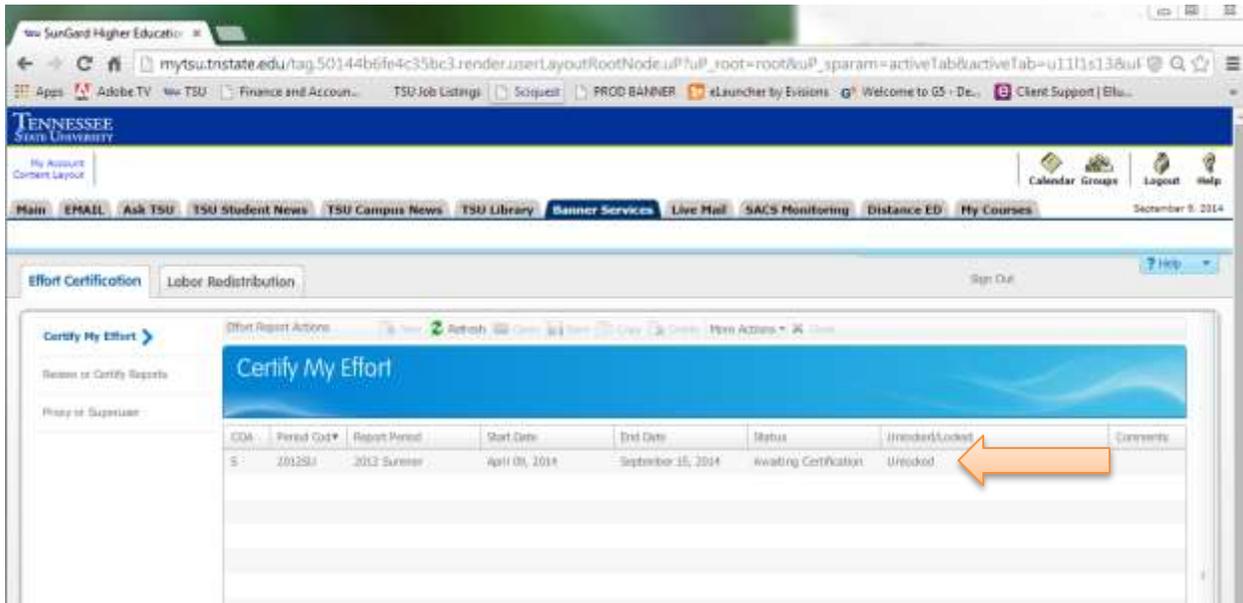
The screenshot shows the Tennessee State University Banner Services Main Menu. At the top, there is a navigation bar with links for 'Main', 'EMAIL', 'Ask TSU', 'Student News', 'TSU Campus News', 'TSU Library', 'Banner Services', 'Live Mail', 'SACS Monitoring', 'Distance ED', and 'My Courses'. Below this is a secondary menu with 'Student', 'Financial Aid', 'Employee', and 'Finance'. A search bar is located below the secondary menu. The main menu items are listed below: 'Student' (Apply for Admission, Register, View your academic records), 'Financial Aid' (Apply for Financial Aid, View financial aid status and eligibility, accept award offers, and view loan applications), 'Employee' (Time sheets, time off, benefits, leave or job data, paystubs, W2 forms, W4 data), 'WebTailor Administration' (Customize the Web pages for your institution, Update user roles), 'Finance' (Create or review financial documents, budget information, approvals), and 'TSU Parking System' (Pay Parking Citations, Buy Parking Decals/Permits). An orange arrow points to the 'Employee' link. At the bottom, it says 'RELEASE: 8.5.2' and '© 2014 Ellucian Company L.P. and its affiliates.'

4. Next, click on **Effort Certification**

The screenshot shows the Tennessee State University Banner Services Employee menu. The browser address bar shows '10.48.128.230:9010/plsEL08/twbkwbis.P_GenMenu?name=pmenu.P_MainMnu'. The navigation bar includes 'Student', 'Financial Aid', 'Employee', 'WebTailor Administration', and 'Finance'. A search bar is present. The main menu items are: 'Time Sheet', 'Leave Report', 'Electronic Pay', 'Pay Information' (Direct deposit allocation, earnings and deductions history, or pay stubs), 'Tax Forms' (W4 information, W2 Form or T4 Form), 'Leave Balances', and 'Effort Certification'. An orange arrow points to the 'Effort Certification' link. At the bottom, it says 'RELEASE: 8.9' and '© 2014 Ellucian Company L.P. and its affiliates.'

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 screenshot displays the Effort Report interface. On the left, there is a navigation pane with 'Effort Report' and 'Open Items' sections. The main area is divided into 'Sponsored' and 'Non-Sponsored' activity sections, each with a table of data. The 'Sponsored' section shows a table with columns for Effort Category, Fund, Grant, Charge Type, and Effort. The 'Non-Sponsored' section shows a table with columns for Fund, Organization, Effort Category, Charge Type, and Effort. To the right, there is an 'Effort Report Overview' sidebar containing a 'Status' tab, 'Effort Dates', 'Pay Dates', and a 'Funding Chart' pie chart. An orange arrow points to the 'Effort Report Overview' sidebar, and another orange arrow points to the 'Sponsored' section.

Effort Category	Fund	Grant	Charge Type	Effort
POST RPT Institutional Supp	20000 T3-(I) Finance & A	20000 T3-(I) Finance & Accounting Rpt 11-11	Direct	25

Fund	Organization	Effort Category	Charge Type	Effort
110001 Unallocated E & A	20000 Finance and Acctg		Direct	75

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-sponsored** – 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

The screenshot shows the 'Effort Certification' software interface. On the left, a navigation menu has 'Pay Period Summary' highlighted with an orange arrow. The main area displays three tables for monthly payroll periods:

Monthly 9 2012 September 01, 2012 - September 06, 2012					
Organization	Grant	Fund	Effort Type	Payroll Percent	Effort Period Percent
20005 Finance and Ac	226030 T3-U Finance	226030 T3-U Finance	INST SUP Instruction	100	25

Monthly 10 2012 October 01, 2012 - October 31, 2012					
Organization	Grant	Fund	Effort Type	Payroll Percent	Effort Period Percent
22000 Finance and Ac		110001 Undesignated		100	25

Monthly 11 2012 November 01, 2012 - November 30, 2012					
Organization	Grant	Fund	Effort Type	Payroll Percent	Effort Period Percent
22000 Finance and Ac		110001 Undesignated		100	25

The right sidebar includes an 'Effort Report Overview' section with status and dates, a 'Funding Chart' pie chart showing 70% and 30% allocations, and a 'Progress or Assessment' section.

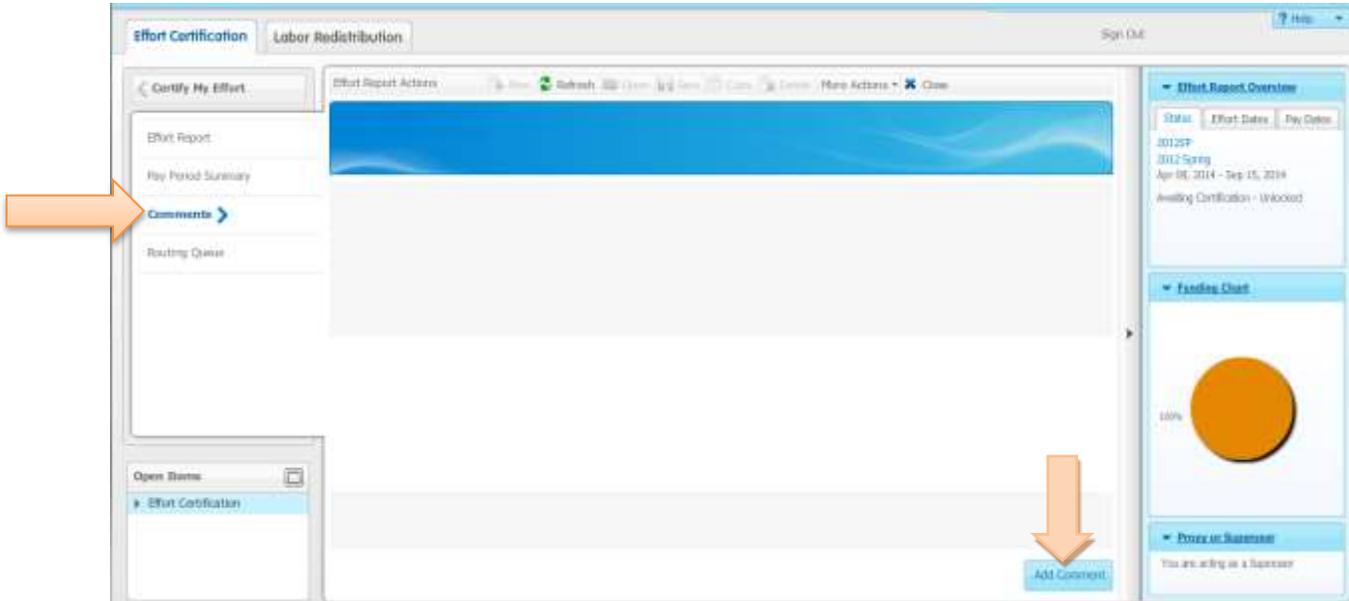
To view specific payroll activity, click on the **Pay Period Summary** tab.

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.)

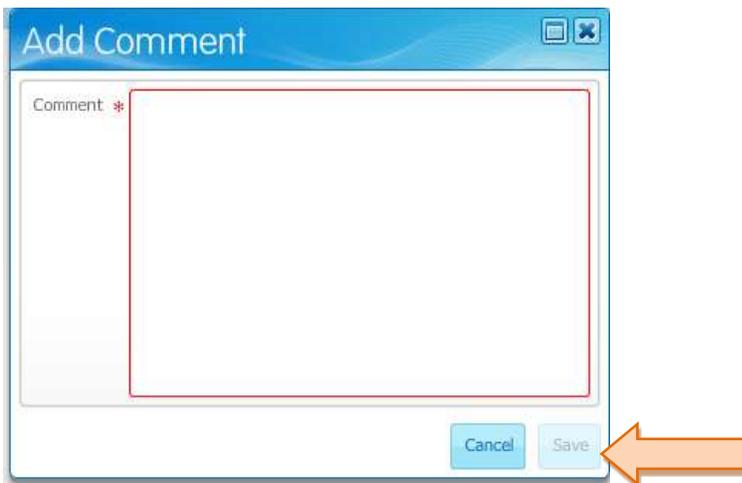
Comments

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



To add a Comment:

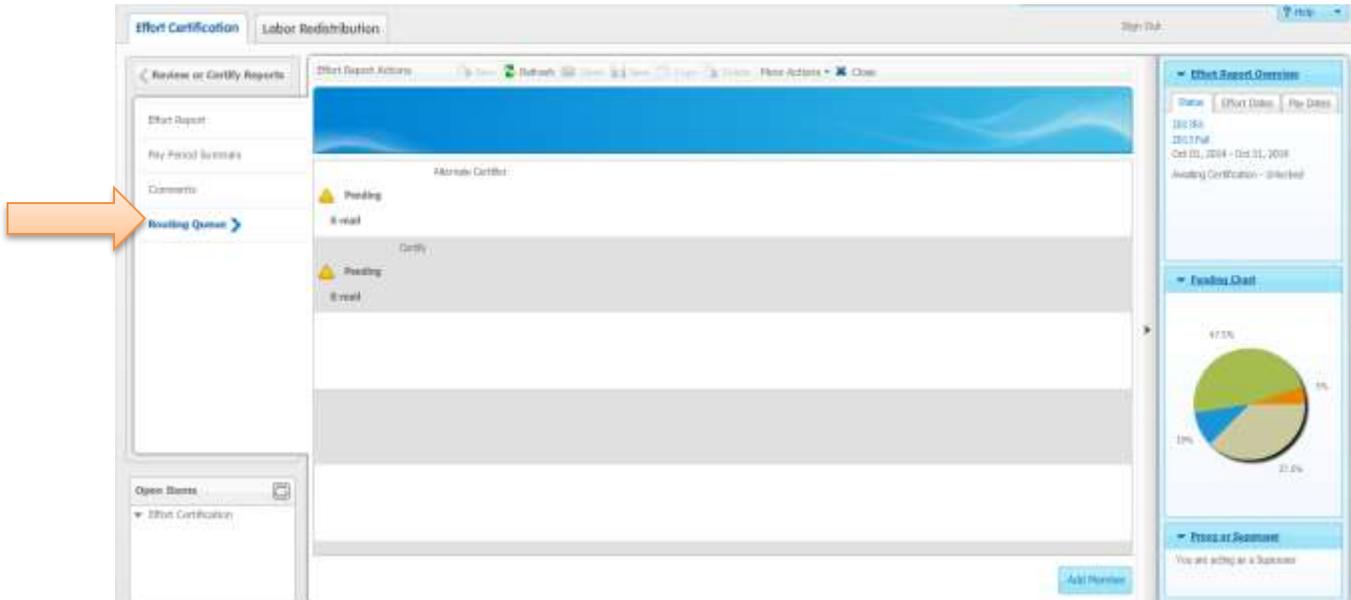
1. Click the **Add Comment** button.



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

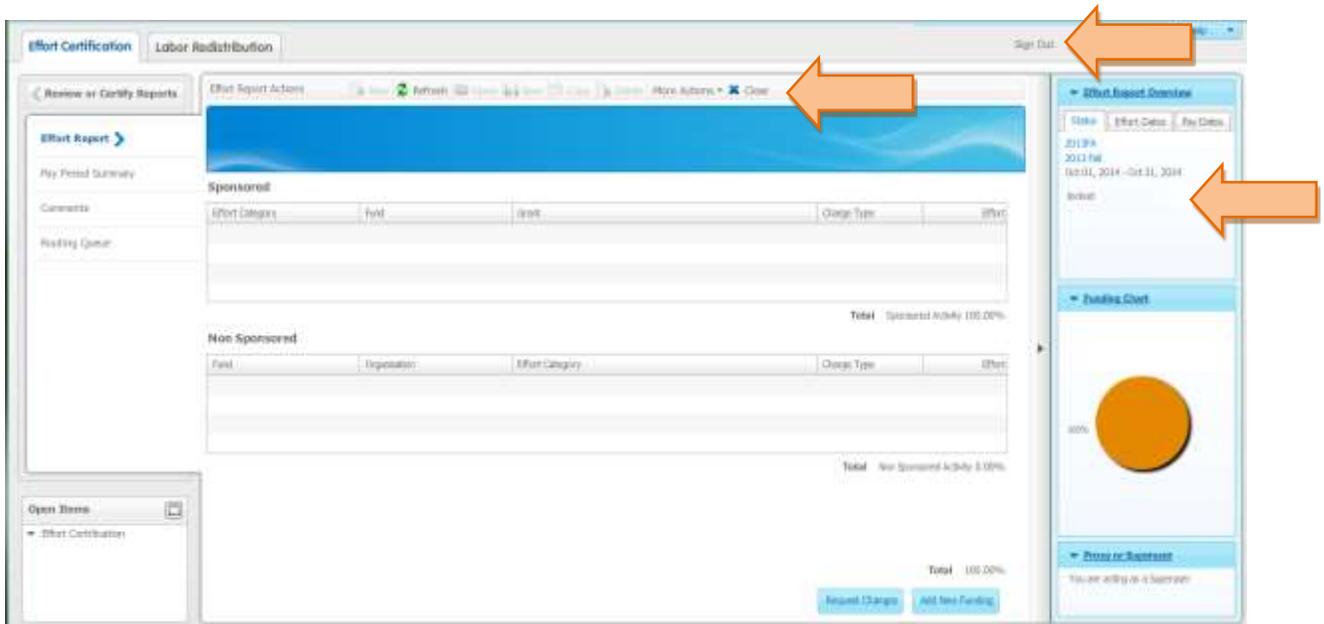
The screenshot displays the 'Effort Certification' module for user James Meert. The main area contains a table of effort categories under the 'Sponsored' section. The table has columns for Effort Category, Fund, Grant, Charge Type, and Effort. One row is visible with the following data: Effort Category: 267 267 Indirect Supp, Fund: 22600 TD-U/France & A, Grant: 22600 TD-U/France & Accounting Hgt 11-12, Charge Type: Direct, Effort: 100. Below the table, it shows 'Total Sponsored Activity 100.00%'. There is also a 'Non Sponsored' section which is currently empty. At the bottom right, there are three buttons: 'Request Changes', 'Certify', and 'Add New Funding'. An orange arrow points to the 'Certify' button. On the right side, there is a sidebar with 'Effort Report Overview' and a 'Funding Chart' showing a pie chart with a single orange slice representing 100%.

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.
 - o The Certify statement window opens, which will allow you to complete your effort certification.
 - o 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.

The 'Certify' dialog box is a light blue window with a question mark icon in the top left corner. It contains a text area with the following text: "I certify that the fund number(s) and percentage of effort shown above reflects a reasonable estimate of the work performed, except as noted." Below the text area are two buttons: 'Cancel' and 'I Agree'. An orange arrow points to the 'I Agree' button.

Once the report is certified, the **Certify** button will disappear and the status of the report will change to **Certified – Locked**.



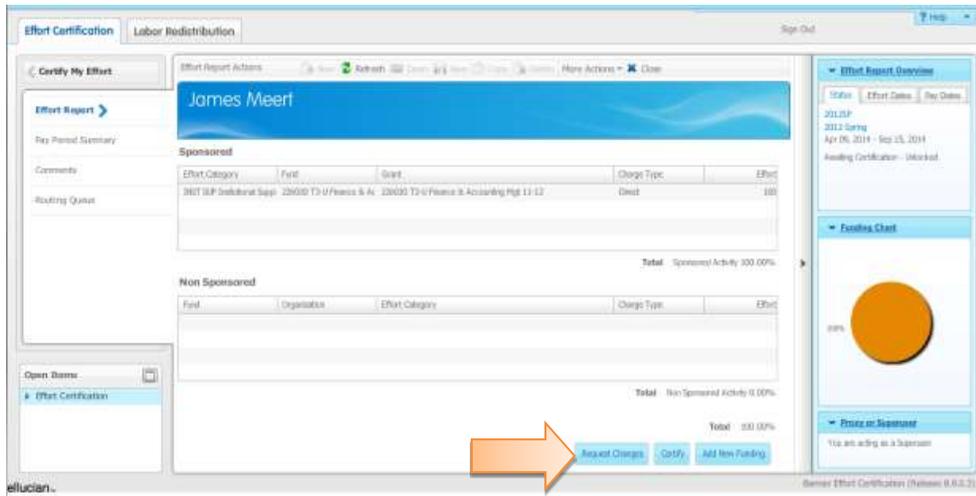
3. If you would like to print a copy of your effort report, click **More Actions** at the top of the screen, then click **Print**.

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

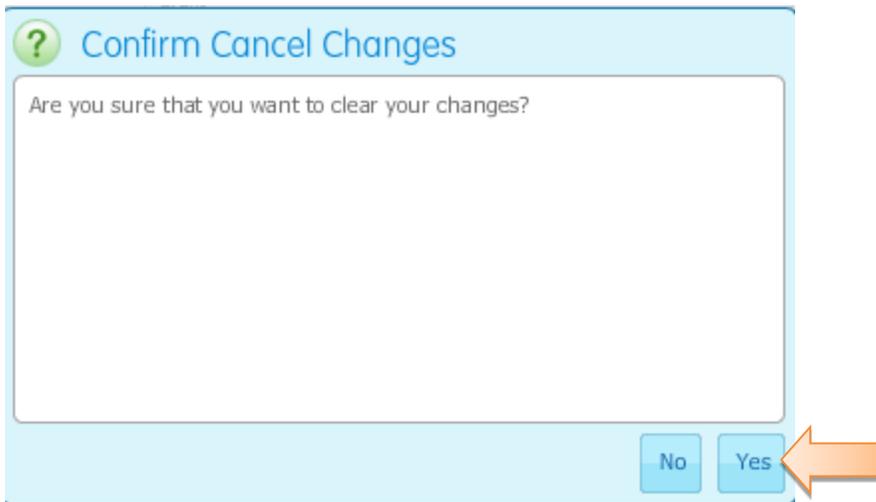
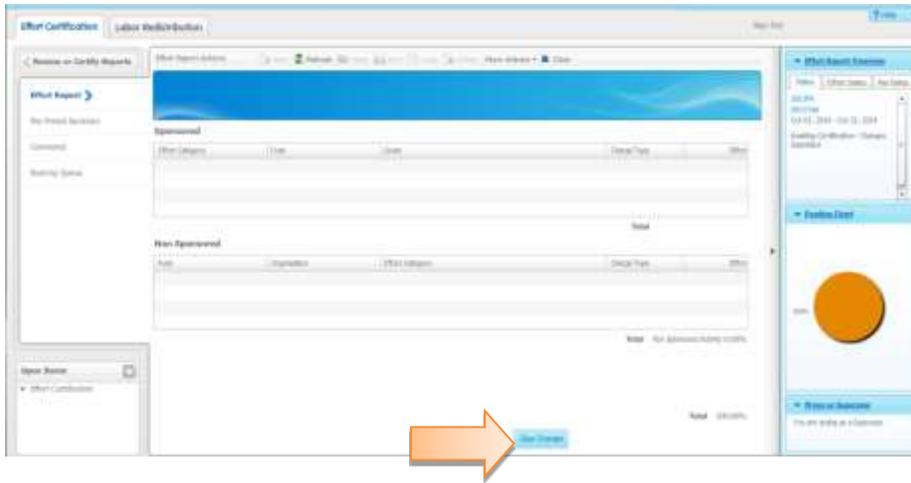
If you do not agree with the percent of effort stated on the Effort Certification:

1. Select the **Request Changes** button.



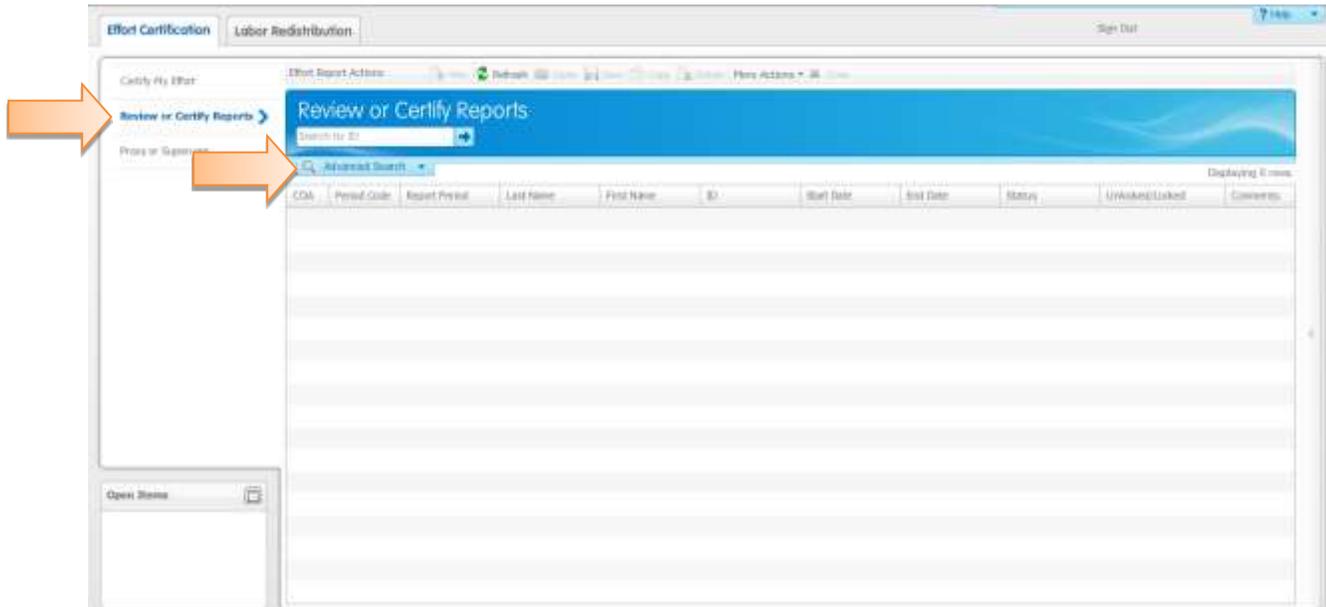
2. This will open an email window for you to request your changes.
 1. Send an email to your departmental representative responsible for initiating an Account Change Form. Provide details of the changes to be made.
 2. Copy the Grants Accounting Office at grantsaccounting@tnstate.edu.
 - Even if the 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.

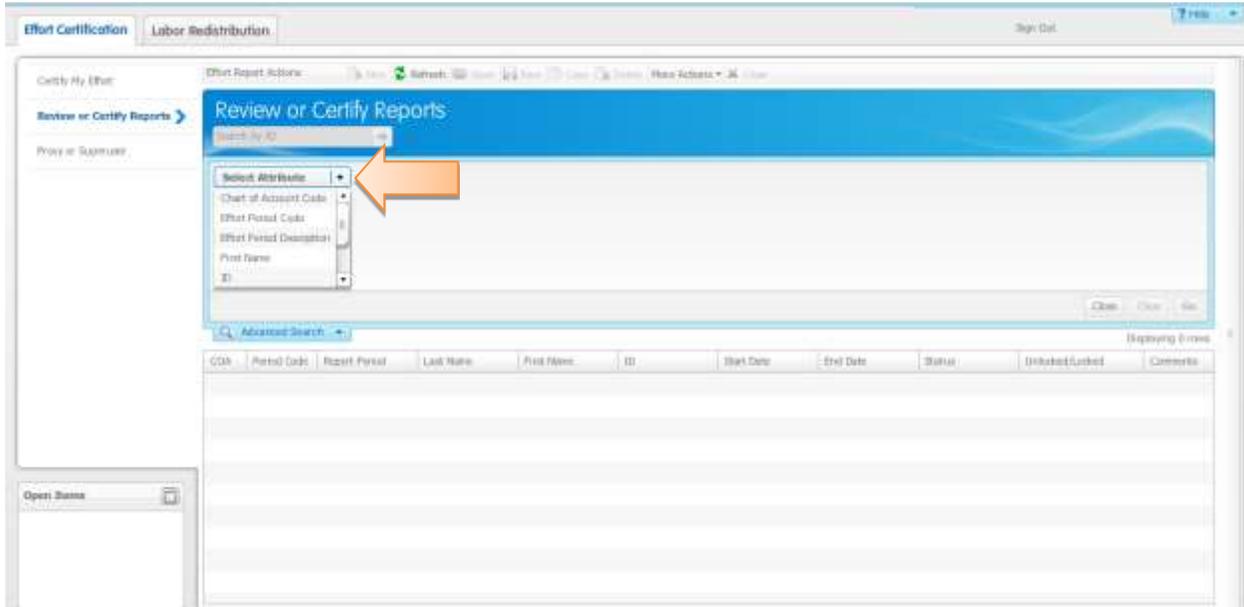
Alternate Certifiers



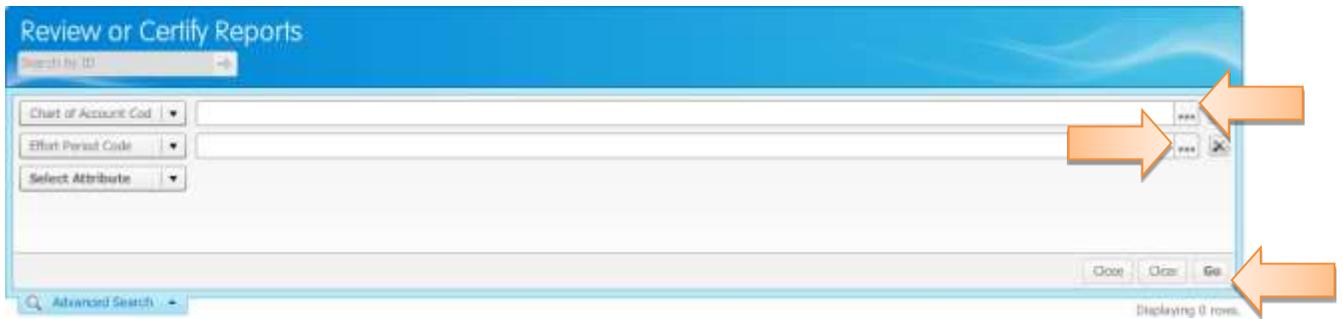
To access reports to participate as the Alternate Certifier:

1. Click on the **Review** or **Certify Reports** tab.
2. Next, click on **Advanced Search**.

Searching for Effort Reports in Your Queue



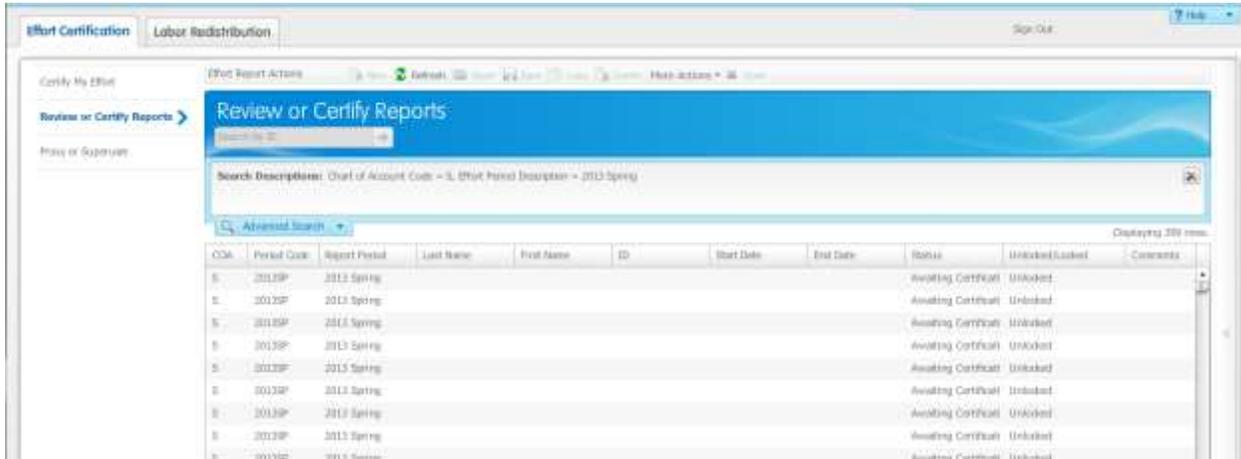
3. Click on the drop down button next to **Select Attribute**.
4. Select both of the following two attributes:
 - **Chart of Account Code**
 - **Effort Period Code**
5. Click on the drop down button to show your options.
 - Select **"S"** for Chart of Accounts
 - Select the current Effort Period that 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.



ODA	Period Code	Report Period	Last Name	First Name	ID	Start Date	End Date	Status	Unlocked/Locked	Comments
0	2013SP	2013 Spring						Awaiting Certification	Unlocked	
0	2013SP	2013 Spring						Awaiting Certification	Unlocked	
0	2013SP	2013 Spring						Awaiting Certification	Unlocked	
0	2013SP	2013 Spring						Awaiting Certification	Unlocked	
0	2013SP	2013 Spring						Awaiting Certification	Unlocked	
0	2013SP	2013 Spring						Awaiting Certification	Unlocked	
0	2013SP	2013 Spring						Awaiting Certification	Unlocked	
0	2013SP	2013 Spring						Awaiting Certification	Unlocked	
0	2013SP	2013 Spring						Awaiting Certification	Unlocked	
0	2013SP	2013 Spring						Awaiting Certification	Unlocked	

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 $\pm 5\%$ 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