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Effort Reporting is a federally mandated process, which requires institutions to certify the salary charged to sponsored projects is reasonable to the effort expended. The Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance) require faculty and staff involved in federally sponsored research to report activities for which they are compensated each academic term or at least every six months. Sponsors use these reports to confirm that the effort expended by individual(s), matched what the sponsor paid.

Housed within Employee Self Service (ESS), Effort Certification allows faculty and staff to review, validate and certify work effort performed. Effort Certification provides institutions with the ability to respond to sponsors with required information. The Effort Certification extract process generates effort reports based on employee Banner pay history, which can be reviewed, adjusted and certified.

EFFORT CERTIFICATION ROLES

- Pre-reviewer
 - Optional user designated to review effort report prior to certification completion date
- Certifier
 - Employee – default primary certifier
 - Alternate Certifier – designated user who can certify on behalf of employee (when designated, alternate and employee are both included in routing queue, so either can certify)
 - Graduate Student Certifier – designated user who certifies graduate student effort
- Post-reviewer
 - Optional user designated to review effort report after certification
- Proxy – user established individual to act in the absence of designated user
 - NTVPRXM (Proxy Module Code Validation) must have a Proxy Module Code of “EFFORT”
 - Proxies can be user established on NTRPROX (Electronic Approval Proxy Rule) Banner page or on ESS “Proxy or Superuser” page
- Superuser
 - Select Grants/Finance/HR/PR users who can act on any effort report, including the ability to unlock a completed report

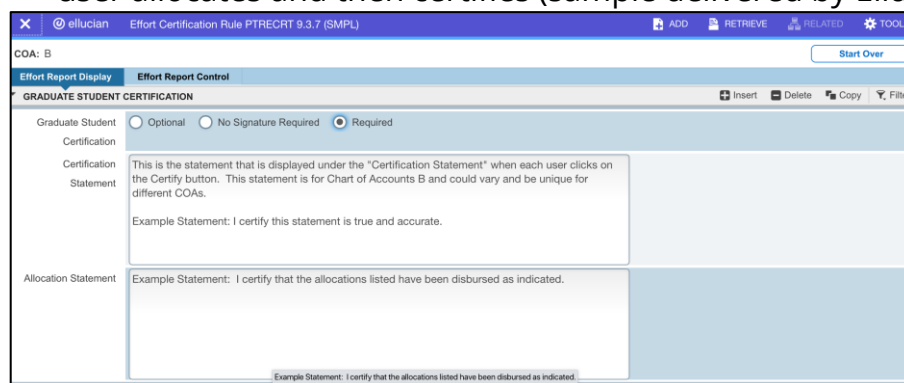
EFFORT CERTIFICATION STATUS

- Awaiting Review – effort report has been created and available for review
- Awaiting Certification – all mandatory pre-review actions have been completed
 - If pre-review is not required, effort report is generated in Awaiting Certification status
- Certified – all certification actions have been completed
- Unlocked – effort report is available to be acted on by routing queue
- Locked – effort report can no longer be acted on by routing queue members (Superuser can unlock for adjustments to be made)
- Completed – effort report has been certified and is complete
- Awaiting Refresh – a payroll action or labor redistribution has been completed and is at Disposition 70
 - To refresh
 - In ESS, click on Refresh Report in the Effort Report Overview sidebar
 - In Banner, run PHPECEX (Effort Certification Extract Process) in Update mode

EFFORT CERTIFICATION BANNER ADMINISTRATIVE SET-UP

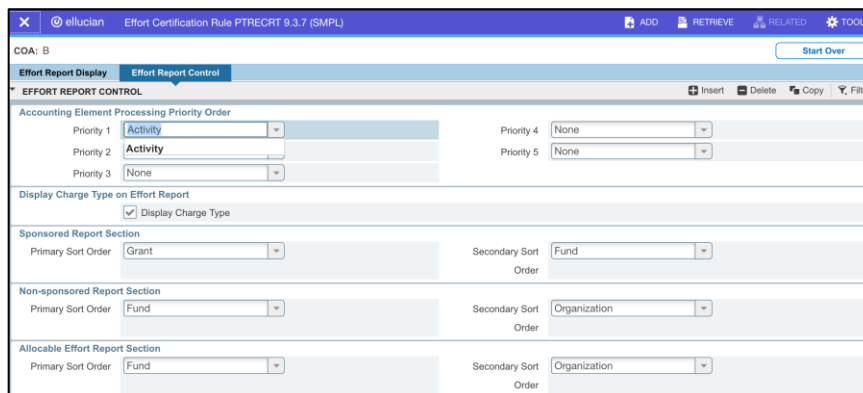
- [NTRINST \(Position Control Installation\)](#) Base Rule – Effort Certification
 - Use Effort Reporting on Self Service – check to activate effort certification in ESS
 - Proxy Assumes Superuser Capabilities – check only if want proxy for superuser to be able to act as superuser
 - Email Type – enter/select email type for the default email address for change request notification to be sent
 - If applicable employee does not have the designated email type, email opens with blank “To” address
 - If Type is left blank, employees “preferred” active address is utilized
 - If applicable employee does not have an active “preferred” address, email opens with blank “To” address
 - Effort Certification Web Service – URL where Effort Reporting module is hosted on-site
 - Password – password to access the Effort Certification Web Service
- [GOAEACC \(Enterprise Access Controls\)](#) – all Effort Certification users must have a GOAEACC record (usually maintained by IT staff)

- PTRUSER (User Code Rules) - Establish select Grant/Finance/HR/PR users as Effort Certification Superusers
 - Superusers can monitor and act on any effort report in ESS
 - Complete a mandatory pre-review
 - Certify
 - Complete a mandatory post-review
 - Unlock completed and locked reports – if a locked report is unlocked and adjusted (including completion of a labor redistribution) the report goes through the routing process again to be completed and relocked
- PTRECR (Effort Certification Rule) – by COA – defines rules for Effort Report display and rules to control Effort Report
 - Effort Report Display
 - Graduate Student Certification
 - Optional – may optionally sign, will be included in routing, but signature not required
 - No Signature Required – not included in routing and not have access
 - Required – included in routing and must sign
 - Certification Statement – displays when user clicks “Certify” button (sample delivered by Ellucian)
 - Allocation Statement – displays in Allocate Effort pop-up window when user allocates and then certifies (sample delivered by Ellucian)



- Effort Report Control
 - Accounting Element Processing Priority Order (options 1-5) – used to track information for effort reporting – Accounting element in Priority 1 is mandatory – be cautious of creating possible conflict
 - Display Charge Type on Effort Report

- Check if want to display
- Sponsored Report Section (Primary & Secondary Sort Order)
 - Effort Category – PHPECEX (Effort Certification Extract Process) checks for Group code
 - If no Effort Categories associated with Group code, Effort Category is printed on report
 - If Effort Category is associated with Group code, transactions are grouped by Group code and Effort Category is printed
 - Fund
 - Organization
 - Grant
 - None (default)
- Non-sponsored Report Section
 - Fund
 - Organization
 - None
- Allocable Effort Report Section
 - Fund
 - Organization
 - None



- [PTVECPD \(Effort Certification Code Validation\)](#) – defines certification period codes – can be used in multiple COA with differing rule sets
 - Used on PTRECPD to establish code rules
 - Code max = 8 characters
 - Description max = 30 characters

EFFORT CERTIFICATION CODE VALIDATION	
Effort Certification Period Code *	Description *
2013Q4	October - December 2013
2014Q1	January - March 2014
2014Q2	April - June 2014
2014Q3	July - September 2014
2014Q4	October - December 2014
2015Q1	January - March 2015
2015Q2	April - June 2015
2015Q3	July - September 2015
2015Q4	October - December 2015
APR	April
AUG	August
DEC	December
FEB	February
JAN	January
JUL	July
JUN	June
MAR	March
MAY	May
NOV	November
OCT	October

- **PTRECPD (Effort Certification Period Rule)** – by COA and Effort Certification Period code
 - Establishes Effort Certification period dates and rules for effort reports
 - Controls how PHPECEX selects data from labor distribution and pay history for inclusion in Effort Certification report
 - Controls when Effort Certification report is available for display in ESS and when pre-review, certification and post-review actions can be completed
 - Can copy existing rule from one period to another
 - Enter period to copy to in Effort Certification Period and click on Copy Rules button for Copy Rules From window to display
 - Enter COA, period to copy from and click on Process Copy
 - New period is copied from selected period
 - Update new period, as appropriate (to update Payroll event insert new record and delete old record)
 - Period Rules section
 - Review Begin Date – if including, date effort report review can begin (review must be completed before Certification Completion Date)
 - Certification Begin Date – begin date effort report can be certified
 - Certification Completion Date – date effort report must be certified by
 - Post Review End Date – if including, date effort report post review must be completed (must be on or after Certification Completion Date)
 - Access on Self Service Date – date until effort report will be available on ESS
 - Make Available on Self Service – check to make Effort Certification Period available on Self Service

- Payroll section – identifies Pay ID's and range of payrolls to be included in effort report
 - At least one Pay ID and Pay Number must be included
 - Each Pay ID can have own range of pay numbers
 - Enter Pay ID, Start Pay Event Year and Pay Event Number
 - Enter End Pay Event Year and Pay Number
 - Start and End are auto populated based on previously entered Start and End values
 - Continue, if additional Pay ID and range of payrolls are needed
- Employee Class and Position Class sections – identifies Employee or Position class(es) to be included in effort reporting
 - Enter either employee class(es) or position class(es) to be included
 - At least one employee class or position class must be entered
- Earnings section – establishes earnings to be included in effort report
 - Enter earn code(s) to be included
 - At least one earnings code must be entered

COA: B Effort Certification Period: APR April Start Over

*** EFFORT CERTIFICATION PERIOD RULES** Insert Delete Copy Filter

Review Begin Date	05/01/2020	Certification	07/31/2020	<input checked="" type="checkbox"/> Make Available in Self-Service
Certification Begin Date	05/01/2020	Completion Date		
Post Review End Date		Access on Self-Service Date	12/31/2020	

Payroll Employee Class Position Class Earnings

*** PAYROLL** Settings Insert Delete Copy Filter

Payroll ID *	Start Pay Event Year *	Start Pay Event Number *	End Pay Event Year *	End Pay Event Number *	Start Date	End Date
MN	2020	4	2020	4	04/01/2020	04/30/2020

Record 1 of 1

Payroll	Employee Class	Position Class	Earnings
* EMPLOYEE CLASS			
Employee Class	Employee Class Description		
01	FT Administrative		
02	FT Professional		
03	DNU FT Secretarial/Clerical		
04	FT Maintenance		
05	Secretarial/Clerical - Union		
06	FT Security		
07	Contracted Full-time Faculty		
08	Permanent Full-time Faculty		
09	Adjunct/Instructor		
10	FT Grants		

Payroll	Employee Class	Position Class	Earnings
* POSITION CLASS			
Position Class	Position Class Description		
0023	Accountant IV		
04-32	Research/Student Data Analyst		
RA200	Research Assistant		
GR020	Research Assistant		
RES03	Research Assistant III		

Record 1 of 5

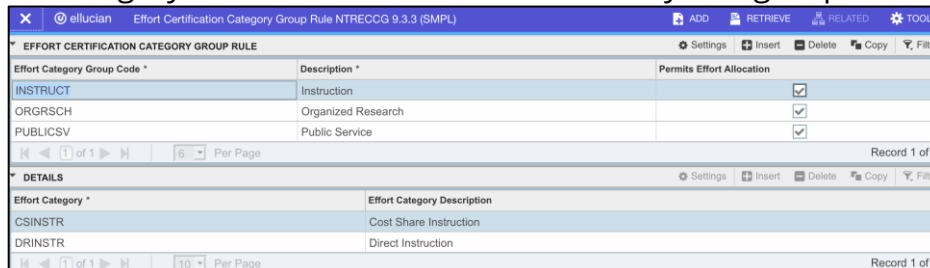
Payroll	Employee Class	Position Class	Earnings
EARNINGS			
Settings Insert Delete Copy Filter			
Earnings *		Earnings Desc Earnings	
REG		Regular Pay	
1 of 1		10 Per Page	
		Record 1 of	

- **NTVECCG (Effort Certification Category Code)** – defines institutional effort categories, based on the four major categories of faculty effort identified in the Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Awards (Uniform Guidance)
 - Used on FRAGRNT (Grant Maintenance – Effort Reporting tab) to associate an effort category code with an accounting element
 - Identifies which effort categories permit uncommitted cost share allocations
 - Used for display and printing of effort reports
 - Code max = 8 characters
 - Description max = 30 characters
 - Select Permits Effort Allocation to display effort category in Allocate Effort pop-up window on ESS and allow effort allocations to be entered by user – if not checked, users cannot allocate effort (do not check, if including category in group category rule on NTRECCG)
 - If checked, the category cannot be used on NTRECCG

EFFORT CERTIFICATION CATEGORY CODE		
Settings Insert Delete Copy Filter		
Effort Certification Category Code *	Description *	Permits Effort Allocation
ADMIN	Administrative Activities	<input checked="" type="checkbox"/>
CSINSTR	Cost Share Instruction	<input type="checkbox"/>
CSORGRSH	Cost Share Organized Resea...	<input type="checkbox"/>
CSOTHER	Cost Share Other Sponsd Re...	<input type="checkbox"/>
CSPUBLIC	Cost Share Public Service	<input type="checkbox"/>
DRINSTR	Direct Instruction	<input type="checkbox"/>
DRORGRSH	Direct Organized Research	<input type="checkbox"/>
DROTHER	Direct Other Sponsor Research	<input type="checkbox"/>
DRPUBLIC	Direct Public Service	<input type="checkbox"/>
Record 1 of 9		

- **NTRECCG (Effort Certification Category Group Rules)** – optional rule to group effort certification categories
 - Used to report effort as part of a larger group, instead of individual categories
 - If PTRECRT sort option is set to Effort Type, PHPECEX checks if group is established to display on effort report, to group transactions under the group code and print the effort category
 - Create Effort Category Group – max limit = 8
 - Enter Description - max limit = 30
 - Select Permits Effort Allocation to display effort category in Allocate Effort pop-up window on ESS and allow effort allocations to be entered by user

- To associate one or more effort categories with effort category group, select Category Group Code under Effort Certification Category Group Rule and enter applicable Effort Category(ies) under Details
- Multiple categories can be associated with category group, but each category code can be associated with only one group

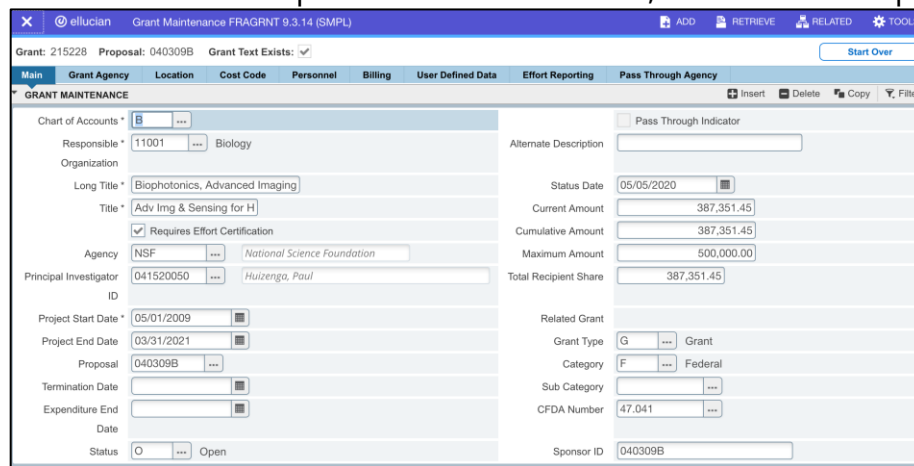
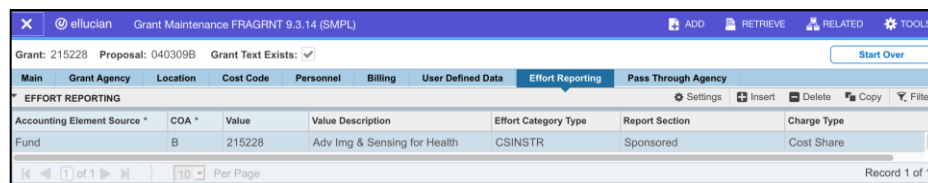


Effort Category Group Code *	Description *	Permits Effort Allocation
INSTRUCT	Instruction	<input checked="" type="checkbox"/>
ORGRSCH	Organized Research	<input checked="" type="checkbox"/>
PUBLICSV	Public Service	<input checked="" type="checkbox"/>

Effort Category *	Effort Category Description
CSINSTR	Cost Share Instruction
DRINSTR	Direct Instruction

- **FRAGRNT (Grant Maintenance)** – used to identify grants to be associated with effort reporting
 - User must be set-up on FOMPROF (User Profile Maintenance) to access FRAGRNT
 - Main tab
 - Requires Effort Certification should be checked – is typically set on creation of grant record
 - All funds associated with grant on FTMFUND (Fund Maintenance) require effort certification
 - Individuals meeting extract criteria and paid from funds associated with grant have effort reports generated
 - Effort Reporting tab (optional)
 - Defines the accounting elements, value and effort category for PHPECEX extract process to use to identify direct and cost share charges
 - If not populated, all charges are reported as direct in non-sponsored section of effort report – except for funds marked as Requires Effort Allocation, which are reported in allocable section of report
 - Select Accounting Element Source (Fund, Organization, Program, Activity or Location)
 - PHPECEX looks at entries – if designated fund, organization, activity, program or location appears in employee's pay history and the other process selection criteria are met, employee is selected, and effort report is created
 - Every entered accounting element must be defined as a processing priority on PTRECR

- Multiple funds, organizations, programs, activities and locations can be linked to same grant
- Enter applicable COA
- Enter Account Element Value to be utilized
- Select Effort Category Type, as defined on NTVECCG – required for Sponsored section of effort report
- Select Report Section (Sponsored, Non-Sponsored or Allocable) for the value to be reported in
- Select Charge Type (Cost Share or Direct) for value to be assigned to
 - If selected report section is Allocable, field cannot be populated

Accounting Element Source *	COA *	Value	Value Description	Effort Category Type	Report Section	Charge Type
Fund	B	215228	Adv Img & Sensing for Health	CSINSTR	Sponsored	Cost Share

• FTMFUND (Fund Code Maintenance)

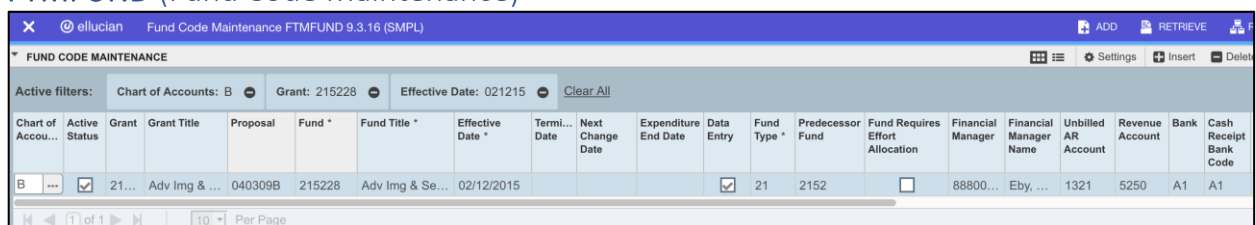


Chart of Accou...	Active Status	Grant	Grant Title	Proposal	Fund *	Fund Title *	Effective Date *	Term Date	Next Change Date	Expenditure End Date	Data Entry	Fund Type *	Predecessor Fund	Fund Requires Effort Allocation	Financial Manager	Financial Manager Name	Unbilled AR Account	Revenue Account	Bank Account	Cash Receipt Bank Code
B	[checked]	21...	Adv Img & ...	040309B	215228	Adv Img & Se...	02/12/2015				[checked]	21	2152	[checked]	88800...	Eby, ...	1321	5250	A1	A1

ADD RETRIEVE RELATED TOOLS								
Settings Insert Delete Copy Filter								
Filter Again								
Capitalization Fund Indicator	Capitalization Equity Account	Capitalization Fund	Multiple Fund Balance Indicator	Restriction Indicator	Default Organiza...	Default Program	Default Activity	Default Location
Cap Differen...	3085	9400	(None)	Perma...	11001	20		
Record 1 of 1								

- **NTVQPRT (Routing Queue Participant Validation)** – defines routing queue participant codes
 - Used on NTRQPRT to define rules per participant code

Routing Queue Participant Validation Form NTVQPRT 9.3.3 (SMP)		ADD RETRIEVE RELATED TOOLS	
Settings Insert Delete Copy Filter			
ROUTING QUEUE PARTICIPANT VALIDATION			
Routing Queue Participant Code *	Description *		
BUDGET	Budget Office		
BUSMGR	Business Manager		
FINMGR	Financial Manager		
PAYROLL	Payroll Office		
PI	Principal Investigator		
SPONRSCH	Sponsored Research		
TEST	TEST		
TIMLV	Time and Leave Reporting		
Record 1 of 8			

- **NTRQPRT (Queue Participant Rule)** – establishes routing queue rules per participant code defined on NTVQPRT
 - Established by COA
 - Also used for Labor Redistribution and alternate time entry routing
 - Participant section
 - Enter participant code previously defined on NTVQPRT
 - Select Participant Data Source - determines source participants will be drawn from to auto populate Group Members section
 - Fund – Financial Manager field on FTMFUND
 - Grant – Indicator on Personnel section on FRAGRNT
 - Under Personnel Indicator, click on ellipse and select applicable indicator from System Data List (FOQSDLV)
 - If multiple personnel Indicators need to be defined for routing, a different participant rule should be established for each indicator
 - Organization – Financial Manager field on FTMORGN
 - Group – can add members as needed
 - Select Catch All Group for Banner to use as default Data Source when no roles or data source is defined for Fund, Organization or Grant
 - Add group member(s) User ID (ID and Name should auto populate – must have GOAEACC record)

ellucian Queue Participant Rule NTRQPRT 9.3.6 (SMPL)

COA: B

Start Over

Participant *	Participant Description	Participant Data Source *	Personnel Indicator	Personnel Indicator Description	Catch All Group
BUSMGR	Business Manager	Fund			<input type="checkbox"/>
PAYROLL	Payroll Office	Group			<input type="checkbox"/>
PI	Principal Investigator	Grant	001	Principal Investigator	<input type="checkbox"/>
SPONRSCH	Sponsored Research	Group			<input checked="" type="checkbox"/>
TEST	TEST	Group			<input type="checkbox"/>
TIMLV	Time and Leave Reporting	Group			<input type="checkbox"/>

Record 2 of 6

User ID *	ID	Name
SOLOFSON	N00047722	Suz-Ann Selma Olofson
VRAPUAN1	N00047788	Viola L. Rapuano

Record 1 of 2

- **NTRELRQ (Effort Certification and Labor Redistribution Routing Que)** – establishes default routing queue
 - Established by COA
 - Also used for Labor Redistribution
 - Default Queue (cannot be defined for Participant codes established with Group data source)
 - Enter/Select Participant code from NTRQPRT
 - Participant Data Source auto populates from NTRQPRT
 - Pre-Reviewer - select action to be taken by queue participant as pre-reviewer of effort report
 - None
 - FYI
 - Review
 - Alternate Certifier – check if participant is to be an alternate certifier in the absence of the employee
 - Required Certification for Graduate Students – check if participant's signature is required for Graduate Student Effort Certification reports
 - Post-Reviewer - select action to be taken by queue participant as post-reviewer of effort report
 - None
 - FYI
 - Review

ellucian Effort Certification and Labor Redistribution Routing Queue Rule NTRELRAQ 9.3.6 (SMPL)

COA: B

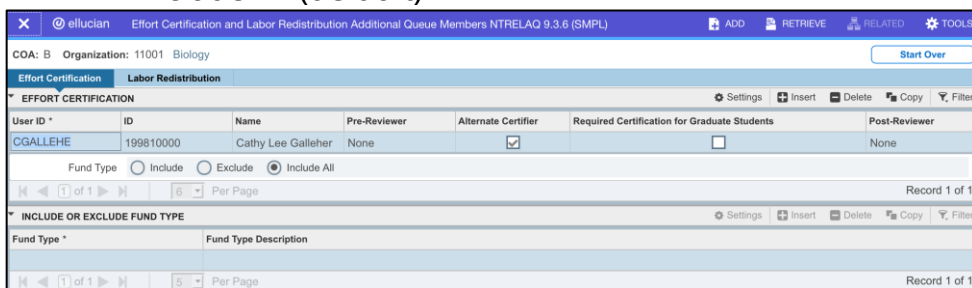
Start Over

Participant *	Participant Description	Participant Data Source	Pre-Reviewer	Alternate Certifier	Required Certification for Graduate Students	Post-Reviewer
BUSMGR	Business Manager	Fund	Review	<input type="checkbox"/>	<input type="checkbox"/>	None
PI	Principal Investigator	Grant	None	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Review

Record 1 of 2

- **NTRELAQ (Effort Certification and Labor Redistribution Additional Queue Members)** – optional set-up to define additional pre-reviewers, certifiers and/or post-reviewers

- Established by COA and Organization
- Also used for Labor Redistribution
- Note: Users can also be added to routing queue on ad hoc basis on ESS Routing Queue page of effort report
- Additional queue members
 - Enter User ID (must have GOAEACC record)
 - Designate actions to be allowed by additional participant, as appropriate
 - Pre-reviewer – (None, FYI or Review)
 - Alternate Certifier – able to certify for employee
 - Required Certification for Graduate Students – signature is required on graduate student effort reports
 - Post-reviewer – (None, FYI or Review)
 - Fund Type Options
 - Include – can list only those to include under Fund Type
 - Exclude – can list only those to exclude under Fund Type
 - Include All (default)



User ID *	ID	Name	Pre-Reviewer	Alternate Certifier	Required Certification for Graduate Students	Post-Reviewer
CGALLEHE	199810000	Cathy Lee Galleher	None	<input checked="" type="checkbox"/>	<input type="checkbox"/>	None

Fund Type ☐ Include ☐ Exclude ☒ Include All

Record 1 of 1

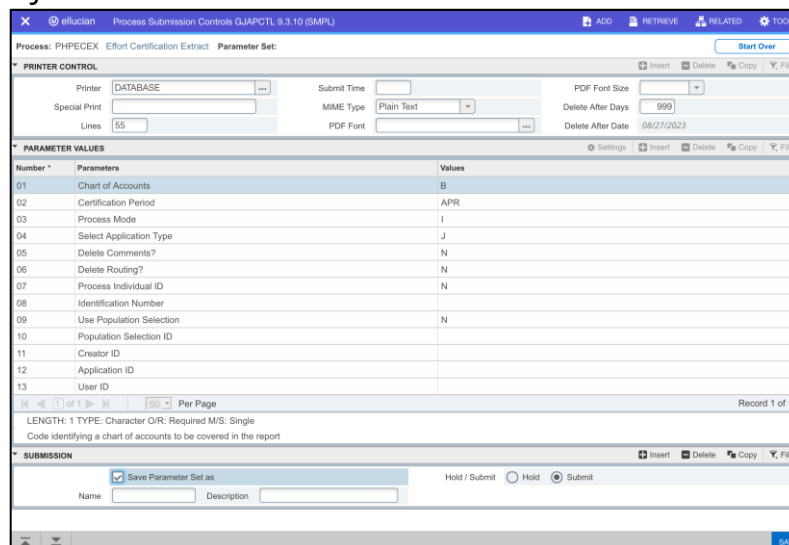
Fund Type *	Fund Type Description
-------------	-----------------------

Record 1 of 1

- **NTRPROX (Electronic Approval Proxy Rule)**
 - Allows approvers to name proxies, authorized to take action in absence of effort reporting user
 - Most Effort Reporting users will assign proxies in ESS
 - Specific for User ID as logged into Banner
 - If needed, multiple proxies can be assigned
 - NTVPRXM (Proxy Module Code Validation) must have a Proxy Module Code of "EFFORT"
 - Proxy user does not assume HR Security of user acting for
 - Select "Other Modules" tab
 - Under Proxy ID section, Enter ID of person to be proxy and Save
 - Navigate to Proxy Modules section, enter "LABOR" and Save



- **PHPECEX (Effort Certification Extract Process)**
 - Extracts data from payroll history tables consistent with certification periods, employee/position class and earning codes established on PTRECPD to build effort reports and routing queues, as applicable
 - Pay data is extracted for employees whose positions were paid from grants or funds with the Required for Effort Certification indicator checked on FRAGRNT or FTMFUND
 - Process generates effort reports for applicable employees to pre-review, certify and post-review as required
 - Access by entering PHPECEX in Search field on Banner Welcome page or enter PHPECEX in Process field of Process Submission controls page GJAPCTL and click on Go

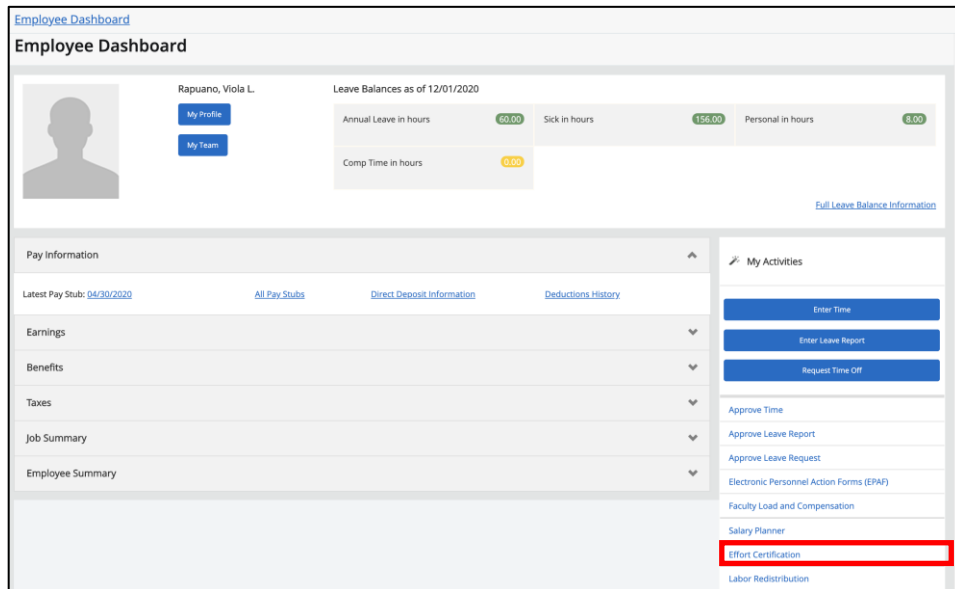


- See PHPECEX User Guide for detailed instructions

EFFORT CERTIFICATION EMPLOYEE SELF SERVICE (ESS)

- Effort Certification users must be granted Effort Certification Administrator role to access ESS Effort Certification menus

- Access Effort Certification menu from ESS Employee Dashboard, under My Activities



- Effort Reports are available to
 - Employees to certify their own reports
 - Pre and/or post report reviewers
 - Alternate certifiers
 - Certifiers for Graduate Students
 - Superusers
- [Employees](#) certify their own work effort from the Certify My Effort page, which should display available reports when accessed
 - The Status column indicates the status of each available report
 - Under Review – pending required reviewer action
 - Awaiting Certification – pending certifier action
 - Awaiting Refresh – a labor redistribution has been completed and the report needs to be refreshed to start over and reflect the redistributed labor
 - Completed – report is certified, and all required review has been completed
 - Multiple reports may display depending on the extracted effort certification periods
 - If no reports display, confirm the employee's applicable payroll history for the extracted certification period

Employee Dashboard » Effort Certification » Certify My Effort

Certify My Effort Proxy Super User

[Print](#) [Open](#)

Certify My Effort Review Or Certify Reports

Certify My Effort

COA	Period Code	Report Period	Start Date	End Date	Status	Unlocked/Locked	Comments
II	APR	April	05/01/2020	12/31/2020	Awaiting Certification	Unlocked	

Results found: 1

Page 1 of 1 Per Page 50

- Double-click on the report to be certified or highlight the report and click on Open, to display the Effort Report page

Employee Dashboard » Effort Certification » Effort Report

Effort Report Pay Period Summary Comments Routing Queue

Sponsored

Grant	Fund	Effort Category	Charge Type	Effort
215228 Biophotonics, Advanced Imaging, and Sensing for Human Health	215228 Adv Img & Sensing for Health	DRORGSH	DIRECT	100

Total Sponsored Activity 100%

Total : 100.00%

[Request Changes](#) [Certify](#) [Add New Funding](#) [Save](#)

[Print](#)

Effort Report Overview

Report Status

APR
April
May 01, 2020 - December 31, 2020
Awaiting Certification - Unlocked

Important Dates

Begin Pre-Review
May 01, 2020
Certification Period
May 01, 2020 to December 31, 2020
Post Review End
December 31, 2020

Pay Dates

MN - 4 April 01, 2020-April 30, 2020

Funding Chart

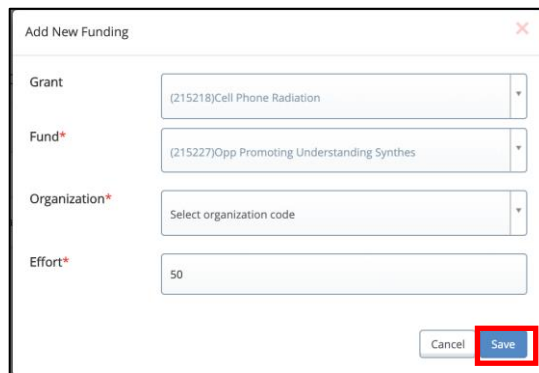
100%
215228
Biophotonics, Advanced

- Effort Report details are displayed, by Grant ID and Fund Number
 - The effort report overview can be printed by clicking on the Print button to open up a printable PDF

SMPL				
Viola Rapuano, N00047788				
April				
Awaiting Certification, Unlocked				
Sponsored				
Grant	Fund	Effort Category		Effort
215228, Biophotonics, Advanced Imaging, and Sensing for Human Health	215228, Adv Img & Sensing for Health	DRORGSH, Direct Organized Research		100.00%
				Total Sponsored Activity 100.00%
Non-Sponsored				
Fund	Organization	Effort Category		Effort
				Total Non-Sponsored Activity 0.00%
				Total 100%

- Configuration on PTRECRT Effort Report Control dictates data reported and how reports are displayed

- If Effort Categories have been grouped on NTRECCG, categories will be grouped in the display
- A side panel is displayed on the right highlighting the report status, dates for required action, the pay date associated with the report and graphic representation of the effort funding
- If Effort has been designated to Permit Effort Allocation on NTVECCG or NTRECCG, effort percent can be adjusted
- If reported percent effort needs to be changed, it can be updated and then a request can be submitted for the change
 - Report percent(s) of effort can be adjusted or reduced to 0% (the reporting line cannot be deleted)
 - If new funding needs to be added, click on Add New Funding, to display the Funding pop-up box and complete, as appropriate, and click on Save



- The added funding will be displayed
 - Originally reported effort percent(s) should be adjusted - total reported effort must equal 100%
 - Click on Save to store the changes
- Note: The Certify button is grayed out and not available to the user

Employee Dashboard » Effort Certification » Effort Report

Rapuno, Viola L. - N00047788 Print

Effort Report Pay Period Summary Comments Routing Queue

Grant	Fund	Effort Category	Charge Type	Effort
215228 Biophotonics, Advanced Imaging, and Sensing for Human Health	215228 Adv Img & Sensing for Health	DRORGRSH	DIRECT	50

Total Sponsored Activity 50%

New Funding

Organization	Fund	Grant	Effort
11001 Biology	215227 Opp Promoting Understanding Synthes	215218 Cell Phone Radiation	50

Total New Funding 50%
Total : 100.00%

Request Changes Certify Add New Funding Save

- Once saved, click on the Request Changes button to initiate an email request template to route the change request to the appropriate individual(s) to process a labor redistribution
- Pay period details associated with the selected effort report can be viewed by clicking on the Pay Period Summary tab

Employee Dashboard » Effort Certification » Effort Report

Rapuno, Viola L. - N00047788 Print

Effort Report Pay Period Summary Comments Routing Queue

Monthly 4 2020 April 01, 2020 - April 30, 2020

Organization	Grant	Fund	Effort Type	Payroll Percent	Effort Period Percent
11001 Biology	215228 Adv Img & Sensing for Health	215228 Adv Img & Sensing for Health	DRORGRSH Direct Organized Research	100.0000	100.0000

- To view details of the pay period, click the pay period link

Pay Period Monthly 4 2020 April 01, 2020 - April 30, 2020

Sequence Number	Position and Suffix	Effective Date	Earning Code	Shift	COA	Index	Fund	Organization	Account	Program	Activity	Location	Percent
9	GRN101-00	April 01, 2020	REG Regular	1	B		215228 Adv Img & Sensing for Health	11001 Biology	6111 Salaries-Faculty	20	Research		100

Close

- Comments can be added/viewed by clicking on the Comments tab – when comments have been entered, click on Add Comment to save

Employee Dashboard » Effort Certification » Effort Report

Effort Report Pay Period Summary Comments Routing Queue

Hope this is the last change!

Remaining character : 3971 Add Comment

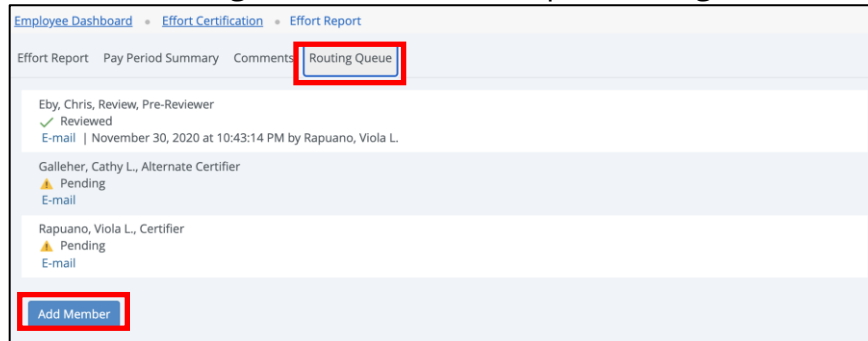
Previous Comments

Rapuno, Viola L.

I had to unexpectedly worked on the Synthesis project

Posted on December 01, 2020 at 11:20:29 PM

- Click on Routing Queue to view the queue assigned to the report



Employee Dashboard » Effort Certification » Effort Report

Effort Report Pay Period Summary Comments **Routing Queue**

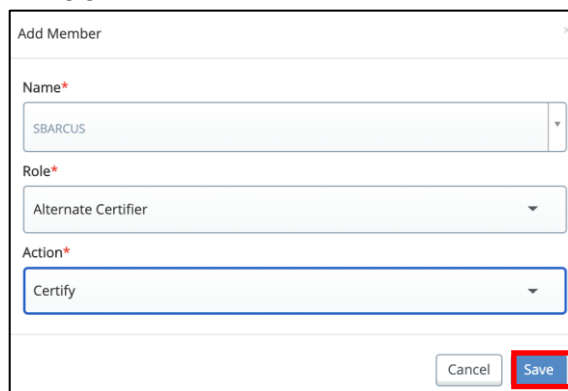
Eby, Chris, Review, Pre-Reviewer
 ✓ Reviewed
 E-mail | November 30, 2020 at 10:43:14 PM by Rapuano, Viola L.

Galleher, Cathy L., Alternate Certifier
 ⚠ Pending
 E-mail

Rapuano, Viola L., Certifier
 ⚠ Pending
 E-mail

Add Member

- Actions assigned to each member in the queue and the status of those actions are displayed
- If needed, an email can be generated to a member of the queue, by clicking on E-mail
- Routing queue members can be added on an ad hoc basis, by clicking on Add Member to display the Add Member pop-up window



Add Member

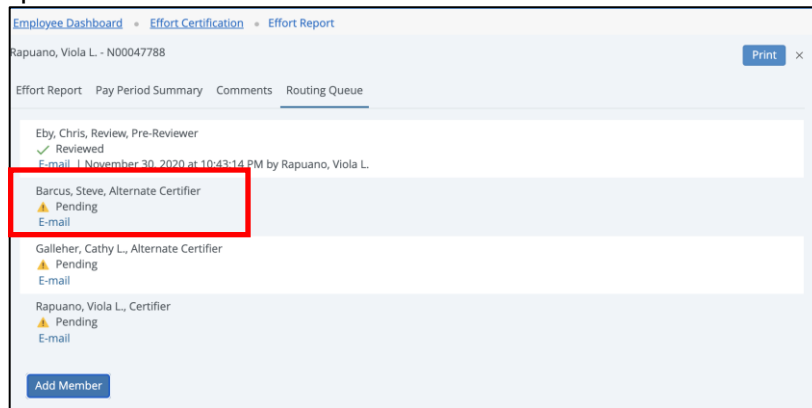
Name*
 SBARCUS

Role*
 Alternate Certifier

Action*
 Certify

Cancel Save

- Select name, role and action from the drop-down menus and click on Save
- The added member, should now be reflected in the revised routing queue



Employee Dashboard » Effort Certification » Effort Report

Rapuano, Viola L. - N00047788 Print

Effort Report Pay Period Summary Comments **Routing Queue**

Eby, Chris, Review, Pre-Reviewer
 ✓ Reviewed
 E-mail | November 30, 2020 at 10:43:14 PM by Rapuano, Viola L.

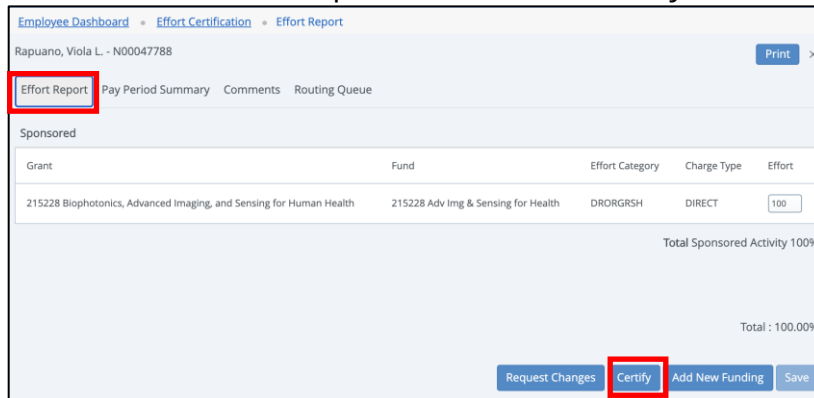
Barcus, Steve, Alternate Certifier
 ⚠ Pending
 E-mail

Galleher, Cathy L., Alternate Certifier
 ⚠ Pending
 E-mail

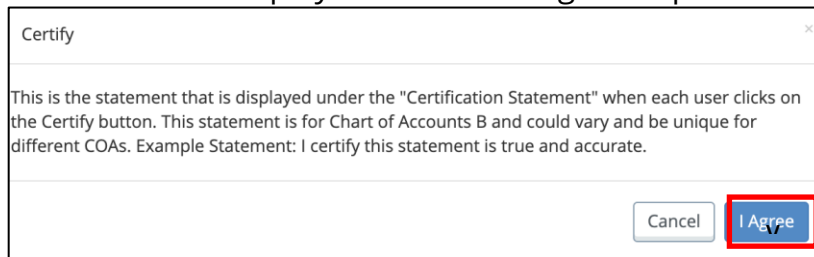
Rapuano, Viola L., Certifier
 ⚠ Pending
 E-mail

Add Member

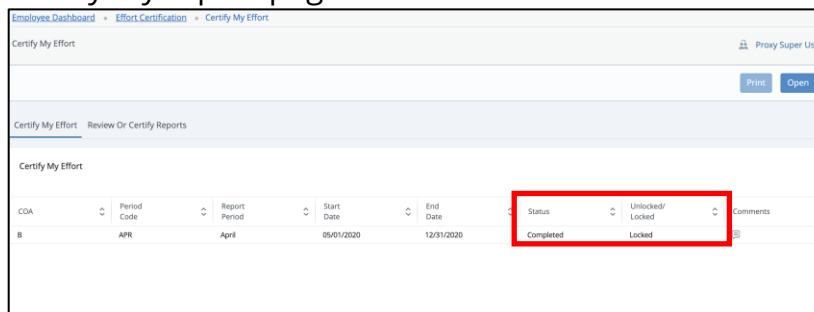
- Once the effort report information has been confirmed, it is ready to be certified
 - While on the Effort Report tab, click on Certify



- The institutionally defined effort certification statement configured on PTRECRT is displayed – click on I Agree to proceed



- The effort report is now certified and locked as indicated on the Certify My report page



- The certifier no longer has any options to take action on the effort report
- If a post-review is required, the effort report moves to Completed status once that has been performed - otherwise the report moves to Completed once all mandatory certifications have been completed
- If a report needs to be adjusted, after it is locked, only a designated Effort Certification superuser can unlock the report to start the process over (including initiating a labor redistribution after the report has been locked)

- Administrators perform effort certification responsibilities from the Review or Certify Reports tab

Review Or Certify Reports Proxy Super User Advanced Search

Print Open

Certify My Effort Review Or Certify Reports

Effort List

COA	Period Code	Period Description	Name	ID	Start Date	End Date	Status	Unlocked/ Locked	Comments
B	APR	April	Barcus, Steve	N00047713	05/01/2020	12/31/2020	Under Review	Unlocked	
B	APR	April	Olofson, Isabella	N00047938	05/01/2020	12/31/2020	Under Review	Unlocked	
B	APR	April	Olofson, Suz-Ann S.	N00047722	05/01/2020	12/31/2020	Under Review	Unlocked	

- Double-click on the report to be acted on or highlight the report and click on Open, to display the Effort Report page
- If no reports are listed, click on Advanced Search for the Advanced Search pop-up window to display

Advanced Search

ID Enter ID <input type="text"/>	Name Enter Name <input type="text"/>	Chart of Account Code <input type="text"/>	Effort Period Code <input type="text"/>
State <input type="text"/>	Status Awaiting Certification <input type="text"/>	Grant Select Grant Code <input type="text"/>	

Clear Close Go

- Enter or select search criteria, as needed – typically COA, State and Status are helpful to locate reports to be acted on
- Once an employee's effort report is accessed the employee's name is displayed and it can be acted on
 - Click on review to indicate the information is accurate and a pre- or post-administrative review has been completed

Barcus, Steve - N00047713 Print

Effort Report Pay Period Summary Comments Routing Queue

Sponsored

Grant	Fund	Effort Category	Charge Type	Effort
215228 Biophotonics, Advanced Imaging, and Sensing for Human Health	215228 Adv Img & Sensing for Health	DRORGRSH	DIRECT	100

Total Sponsored Activity 100%

Total : 100.00%

Request Changes Review Add New Funding Save

Effort Report Overview

Report Status

APR
April
May 01, 2020 - December 31, 2020
Under Review - Unlocked

Important Dates

Begin Pre-Review
May 01, 2020
Certification Period
May 01, 2020 to December 31, 2020
Post Review End
December 31, 2020

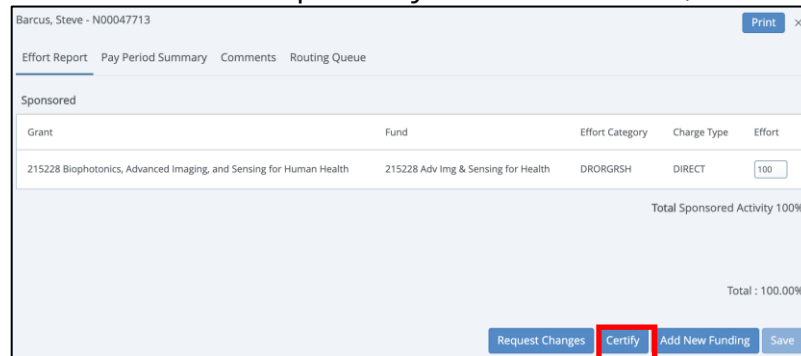
Pay Dates

MN - 4 April 01, 2020-April 30, 2020

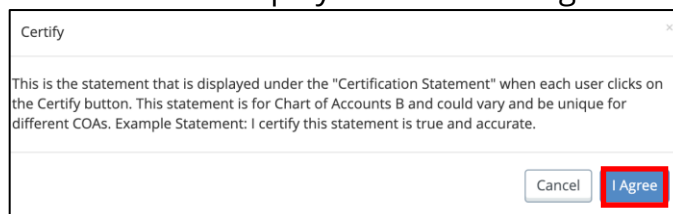
Funding Chart

100%
215228
Biophotonics, Advanced

- Similar to the employee's effort certification view, a side panel is displayed on the right highlighting the report status, dates for required action, the pay date associated with the report and graphic representation of the effort funding
- If certification is required by an administrator, click on Certify



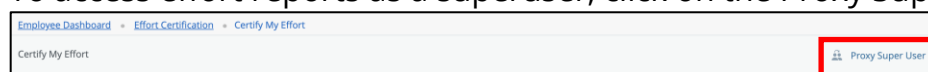
- The institutionally defined effort certification statement configured on PTRECRT is displayed – click on I Agree to proceed



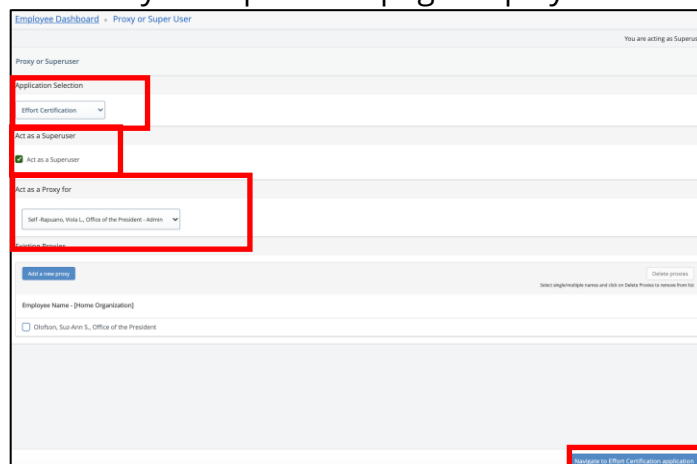
- Administrators can return to the Review or Certify Reports page to continue to act on remaining effort reports

- Superusers can act on any effort report

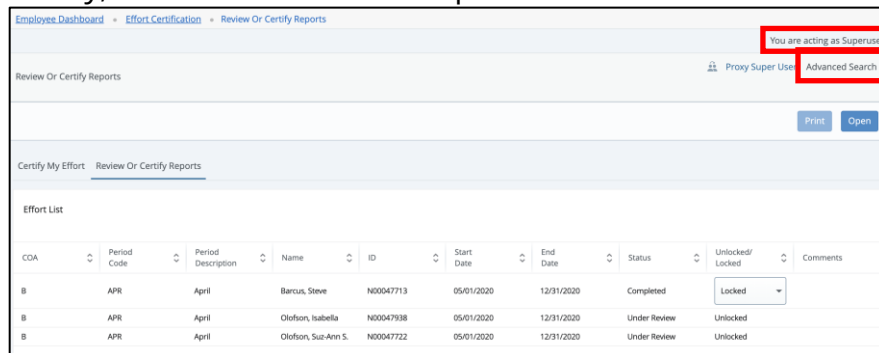
- To access effort reports as a superuser, click on the Proxy Super User link



- The Proxy or Super User page displays

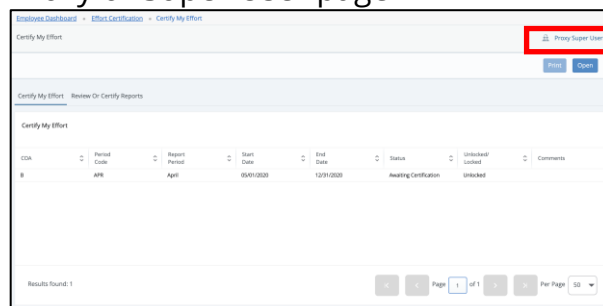


- Under Application Selection, select or confirm Effort Certification is selected
- Under Act as a Superuser, check Act as a Superuser
- Under Act as Proxy for, select or confirm Self is selected
- Click on Navigate to Effort Certification Application to return to the effort report page as a superuser
- When effort reports are accessed as a superuser, "You are acting as a Superuser" displays on the page
- From the Review or Certify Reports page, perform an Advanced Search, to display effort reports to act on as a Superuser
- Superusers can review, allocate effort, add funding, request a change, certify, lock or unlock effort reports

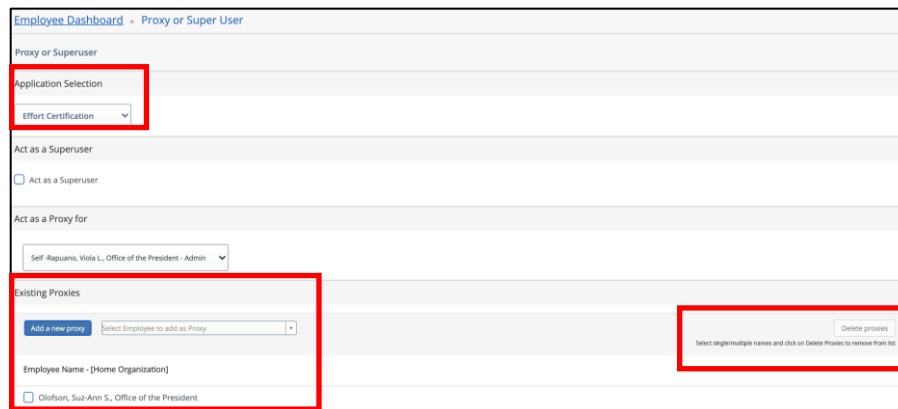


COA	Period Code	Period Description	Name	ID	Start Date	End Date	Status	Unlocked/Locked	Comments
B	APR	April	Barcus, Steve	N00047713	05/01/2020	12/31/2020	Completed	Locked	
B	APR	April	Olofson, Isabella	N00047938	05/01/2020	12/31/2020	Under Review	Unlocked	
B	APR	April	Olofson, Suz-Ann S.	N00047722	05/01/2020	12/31/2020	Under Review	Unlocked	

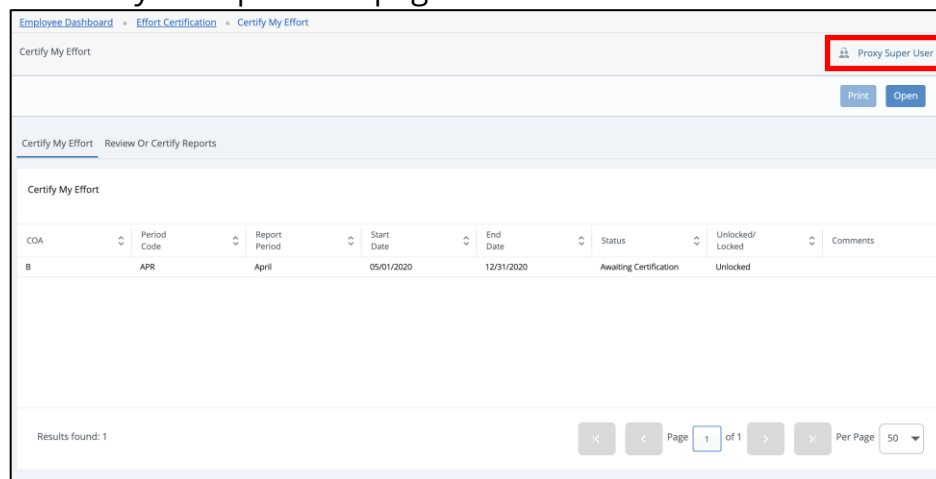
- To stop acting as a superuser, click on Proxy Super User, uncheck Act as a Superuser and click on Navigate to Effort Certification Application to return to the effort report page not as a superuser
- **Proxies** - effort certification users should be encouraged to designate a proxy to act in the absence of the user
 - To be assigned as a proxy, users must have a GOAEACC record and assigned Effort Certification access
 - Proxies do not inherit the security established for the user they are proxying for
 - To assign a proxy in ESS click on Proxy Super User link to display the Proxy or Super User page

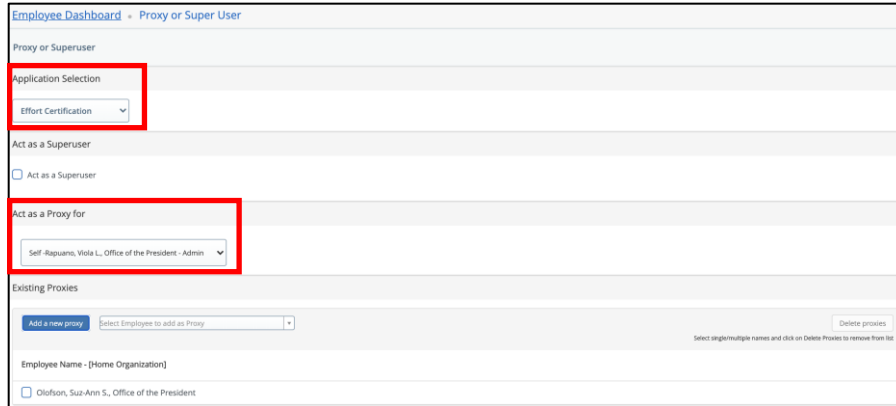


COA	Period Code	Period Description	Start Date	End Date	Status	Unlocked/Locked	Comments
B	APR	April	05/01/2020	12/31/2020	Awaiting Certification	Unlocked	



- Under Application Selection, select or confirm Effort Certification is selected
 - Under Existing Proxies, click on Add a New Proxy and select from the list of users
 - Once selected, the proxy's name and organization displays
 - To remove a proxy, click the checkbox next to the proxy's name and click on Delete Proxies – a prompt is presented asking “Are you sure you want to remove the proxy?” – click on Yes
- Proxies access effort reporting the same as other users to act on behalf of the user
 - From the effort reports page, click on the Proxy Super User link to display the Proxy or Super User page





Employee Dashboard - Proxy or Super User

Proxy or Superuser

Application Selection

Effort Certification

Act as a Superuser

☐ Act as a Superuser

Act as a Proxy for

Self - Ragunni, Viola L., Office of the President - Admin

Existing Proxies

Add a new proxy Select Employee to add as Proxy

Delete proxies

Select single/multiple names and click on Delete Proxies to remove from list

Employee Name - [Home Organization]

☐ Olofson, Suz-Ann S., Office of the President

- Under Application Selection, select or confirm Effort Certification is selected
- Under Act as a Proxy For, select the user to act on behalf of
- When effort reports are accessed as a proxy, "You are acting as a Proxy" displays on the page
- Proxies are presented with the effort reporting option the same as the user they are acting for and can proceed the same the user
- To stop acting as a proxy, click on Proxy Super User, unselect the user previously selected and click on Navigate to Effort Certification Application, to return to the effort report page not as a proxy