# Table of Contents

**EFFORT CERTIFICATION ROLES** ........................................................................................................... 2

**EFFORT CERTIFICATION STATUS** ......................................................................................................... 3

**EFFORT CERTIFICATION BANNER ADMINISTRATIVE SET-UP** ............................................................ 3

- NTRINST (Position Control Installation) ................................................................................................. 3
- GOAEACC (Enterprise Access Controls) ................................................................................................. 3
- PTRUSER (User Code Rules) ..................................................................................................................... 4
- PTRECRT (Effort Certification Rule) ......................................................................................................... 4
- PTVECPD (Effort Certification Code Validation) ....................................................................................... 5
- PTRECPD (Effort Certification Period Rule) ............................................................................................. 6
- NTVECCG (Effort Certification Category Code) ........................................................................................ 8
- NTRECCG (Effort Certification Category Group Rules) .......................................................................... 8
- FRAGRNT (Grant Maintenance) ................................................................................................................. 9
- FTMFUND (Fund Code Maintenance) ....................................................................................................... 10
- NTVQPRT (Routing Queue Participant Validation) .................................................................................... 11
- NTRQPRT (Queue Participant Rule) ......................................................................................................... 11
- NTRELRQ (Effort Certification and Labor Redistribution Routing Que) .................................................. 12
- NTRELAQ (Effort Certification and Labor Redistribution Additional Queue Members) .................... 12
- NTRPROX (Electronic Approval Proxy Rule) .......................................................................................... 13
- PHPECEX (Effort Certification Extract Process) ..................................................................................... 14

**EFFORT CERTIFICATION EMPLOYEE SELF SERVICE (ESS)** ................................................................. 14

- Employees ................................................................................................................................................ 15
- Administrators .......................................................................................................................................... 21
- Superusers ................................................................................................................................................. 22
- Proxies .................................................................................................................................................... 23
Effort Certification

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)
Effort Certification

- **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

- **PTRECRT (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
• PTRECPD (Effort Certification Period Rule) – by COA and Effort Certification Period code
  o Establishes Effort Certification period dates and rules for effort reports
  o Controls how PHPECEX selects data from labor distribution and pay history for inclusion in Effort Certification report
  o Controls when Effort Certification report is available for display in ESS and when pre-review, certification and post-review actions can be completed
  o 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)
  o 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
Effort Certification

- 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
• **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)
  o Used on FRAGRNT (Grant Maintenance – Effort Reporting tab) to associate an effort category code with an accounting element
  o Identifies which effort categories permit uncommitted cost share allocations
  o Used for display and printing of effort reports
  o Code max = 8 characters
  o Description max = 30 characters
  o 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)
  o If checked, the category cannot be used on NTRECCG

• **NTRECCG (Effort Certification Category Group Rules)** – optional rule to group effort certification categories
  o Used to report effort as part of a larger group, instead of individual categories
  o 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
  o Create Effort Category Group – max limit = 8
  o Enter Description - max limit = 30
  o 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.

### 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 PTRECRT
- 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

**FTMFUND (Fund Code Maintenance)**
**Effort Certification**

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

- **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)
• **NTRELQ** (Effort Certification and Labor Redistribution Routing Que) – establishes default routing queue
  o Established by COA
  o Also used for Labor Redistribution
  o 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

• **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)

**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
  ▪ NTPRPMX (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.


**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

![Employee Dashboard]

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

- 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
  - 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
  o Report percent(s) of effort can be adjusted or reduced to 0% (the reporting line cannot be deleted)
  o 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

![Add New Funding](image)

  o 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
Effort Certification

- 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

- To view details of the pay period, click the pay period link
  - Comments can be added/viewed by clicking on the Comments tab - when comments have been entered, click on Add Comment to save
- Click on Routing Queue to view the queue assigned to the report

- 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

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

  ![](image)

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

  ![](image)

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

  ![](image)

  o The certifier no longer has any options to take action on the effort report
  o 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
  o 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

  - 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

    - 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
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

- 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
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
o Under Application Selection, select or confirm Effort Certification is selected

o Under Act as a Proxy For, select the user to act on behalf of

o When effort reports are accessed as a proxy, “You are acting as a Proxy” displays on the page

o Proxies are presented with the effort reporting option the same as the user they are acting for and can proceed the same the user

o 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