SOUTH DAKOTA MINES
An engineering, science and technology university

EFFORT CERTIFICATION GUIDE

1/1/2011 **WEB-BASED EFFORT CERTIFICATION**

Version 6

What is Effort Certification?

Effort Certification is the institution's process for reviewing, validating, and certifying the work effort performed by its faculty and staff in support of sponsored projects (grants). A systematic certification process and formal effort report is essential to ensure that we are always prepared to respond to sponsors with the required information. This guide provides the basic steps to access and use the web-based system.

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General Information

Effort reporting is a critical compliance issue. Signed effort reports are considered legal documents in which an individual attests to the accuracy of the effort spent on sponsored projects (grants). Effort reporting is a federally mandated process by which the salary charged to a grant is certified as being reasonable in relation to the effort expended on that grant. Sponsors use these reports to confirm that effort expended by an individual working on the grant supported what the sponsor paid.

One of the most common audit findings is that effort reports are certified by individuals with insufficient knowledge of the work performed. Both the Pre-Reviewers (with mandatory review authority) and Certifiers must have direct knowledge and a suitable means of verifying the work performed on the grant.

The employees closest to the effort should certify their own effort reports. However, students may not always be aware of what grant they are working on and from what fund source they are being paid. Therefore, the Principal Investigator (PI) will have the option to act as an alternate certifier in place of the student working on a grant.

Effort Certification has three stages known as Periods: Pre-Review Period, Certify Period, and Post-Review Period. You will be working with effort reports mostly during the first two periods. As the PI you will need to "approve" the effort reports by completing a mandatory action called "review" for employees and students paid on grants for which you are responsible. Also, you may act as an Alternate Certifier with the optional action of certifying effort reports in place of the students. Time sheets suffice for hourly students' effort reports. Finally, you will need to certify your own effort reports if you were paid or cost sharing on grants.

It is not recommended that a PI, or anyone else, act as an Alternate Certifier for other faculty or professional staff members working on their grants. Faculty or professional staff members should always make every effort to certify their own effort reports.

As a Pre-Reviewer or Alternate Certifier you will not only have your own effort reports to certify (if paid or cost sharing on grants), but you will also act as the pre-reviewer for all individuals paid or cost sharing on your grants and as alternate certifier of effort reports for students paid on grants for which you are responsible.

Routing Queue Roles

Roles (Actions) in the Effort Reporting Process

Roles (also referred to as Actions) in the effort reporting process will be assigned by grant (MAXXXXXXX) rather than by fund. Many grants have multiple funds with multiple PIs and Co-PIs, but the roles will be assigned for the entire grant rather than by the individual funds within the grant. All relevant personnel will be assigned to one or more of the following roles:

- **Pre-Reviewer/(FYI)-Acknowledge:** This role is to view the effort report, but no action is required. An acknowledge button will be available. The user may optionally click the **Acknowledge** button to indicate that they have looked at the report, but only if they do so before all the required review actions have been completed by the Pre-Reviewers. This role will be assigned as needed but generally to an administrative support staff member.

- **Pre-Reviewer/Review:** This role is assigned to a person designated to review generated effort reports prior to the report being certified. This role will generally be assigned to the PI on each grant. An employee may be paid on multiple grants which may then have multiple pre-reviewers. All Pre-Reviewers are required to complete the review process before certification can take place. To complete the process, after reviewing the employee's effort report, each Pre-Reviewer will click the **Review** button on the employee's or student's individual effort report.

- **Certifier/Certify:** This role is automatically assigned by the system to the employee or student named on the effort report, because the responsible employee closest to the effort should certify his or her own effort. Faculty and professional staff are encouraged to certify their own effort reports. The certify action cannot be completed until all Pre-Reviewers have completed their Review action. The certification is then complete when one person, either the employee or one of the Alternate Certifiers (as defined below), clicks the **Certify** button on the employee's or student's individual effort report.

- **Alternate Certifier/Certify:** This role is assigned to someone who will certify the effort report in place of the student. Students may not always be aware of the fund sources from which they are paid. Therefore, the PI, Co-PI, or other responsible official, using suitable means of verification that the work was performed, can certify the student's effort in place of the student. The certification is completed by the first person to click the **Certify** button.

- **Post-Reviewer/(FYI)-Acknowledge:** This role is to view the effort report, but no action is required. The users may optionally click the **Acknowledge** button to indicate that they have looked at the report, but only if they do so before the Post-Reviewer has locked the effort report.

- **Post-Reviewer/Review:** This role is assigned to an individual in the Sponsored Programs Office for the purpose of viewing effort reports and for locking effort reports after they have been certified. Once an effort report is locked, no further updates or changes can be made to the report. The Post-Review action is completed when the Post-Reviewer clicks on the **Review** button.

Overview of Roles and Actions

PRE-REVIEW Period	
Roles	**Actions**
Pre-Reviewer	FYI-Acknowledge (optional)
Pre-Reviewer	Review (mandatory for all)
All	Request Changes PHAREDS (optional)

CERTIFY Period	
Roles	**Actions**
Employee	Certify (mandatory for one)
Alternate Certifier	Certify (mandatory for one)
All	Request Changes PHAREDS (optional)

POST-REVIEW Period	
Roles	**Actions**
Post-Reviewer	FYI-Acknowledge (optional)
Post-Reviewer	Review (mandatory for all)
All	Request Changes PHAREDS (optional)

Instruction Overview

This page contains brief instructions. Continue to the following pages for screenshots and details.

The web-based effort certification process may appear to be quite involved at first. As you become familiar with navigating the system and you know everything is correct on the effort reports, there are only a few steps to get in and organized, and then only a few additional clicks per employee.

Log In:

1. Log into the effort certification system by clicking on the below link: https://experience.sdsmt.edu, then click on 'Employee Dashboard', and then click on 'Effort Certification'.
   If clicking on the link does not execute then copy and paste the link into your browser and click enter.

Reviewing or Certifying Your Own Effort Reports:

2. The **Certify My Effort** screen will be displayed listing only your Effort Reports.
3. If no effort reports are displayed this indicates that you were not paid or cost sharing on any sponsored project.
4. Double-click on the Effort Report you wish to Review and/or Certify.
5. Review your Effort Report and click the **Review** button if no changes are needed.
6. If changes are needed, click on the **Request Changes** button.
7. Click the **Certify** button to display the Certification Statement if no changes are needed.
8. Click on the **I Agree** button to certify.
9. Click the **Close** icon (X) to exit the report or go back to Certify My Effort list.

Searching for Other Effort Reports in Your Routing Queue:

10. To review or certify other effort reports under your projects click on **Review or Certify Reports**.
11. Click on **Advanced Search, Select Clear.** and then select **Chart of Accounts Code**.
12. Click the pulldown arrow and select **"S, South Dakota Board of Regents".**
13. Search by Effort Period Code (MNXXXX), or ID (Number assigned by HR/Payroll), or Name (First or Last), or Grant (MAXXXXXXX) to obtain on-line effort reports that you need to review and/or certify. The "State and Status" search is not working properly. Then click **Go**.
    a. According to the search requested this displays all effort reports in your routing queue, except your own. On-line effort reports must be reviewed by all individuals as shown on the routing queue before the effort report can be certified by the employee or by the PI if the effort report is for a student.
14. Double-click the employee line to view the Effort Report of that employee or student.
15. Review the employee's or student's Effort Report.
16. Click the **Review** button if no changes are needed.
17. If changes are needed, click on the **Request Changes** button.
18. Click the **Certify** and then **I Agree** button, if for a student. Employees should certify their own effort reports.
19. Click the **Close** icon (X) to exit the report or go back to Review or Certify Reports list and repeat steps 14, 15, 16, 17, and 18 for the remaining employees.

Close out of the Effort Certification system when done.

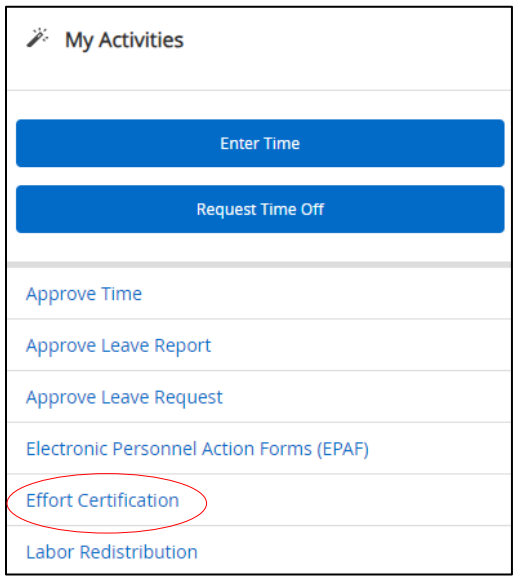
Access Banner Effort Certification

Login

Following is a link to get into the on-line effort certification system:

https://experience.sdsmt.edu, then click on ‘Employee Dashboard’, and then click on ‘Effort Certification’.

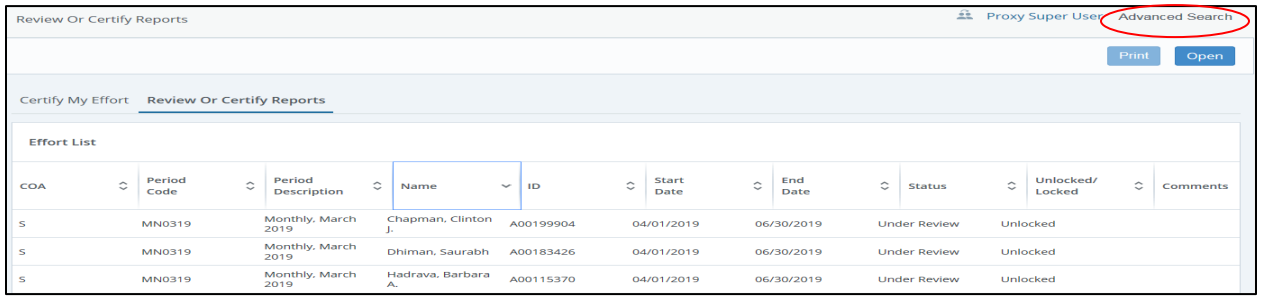
If clicking on the link does not execute then copy and paste the link into your browser and click enter.



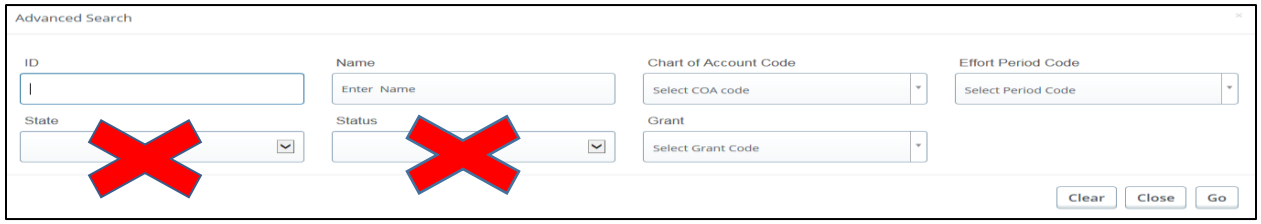
Effort Certification System

Opens to ‘Certify My Effort’ – This is where only your own on-line effort reports will be displayed.
To review and/or certify on-line effort reports for anyone paid and/or cost sharing for your project click on ‘Review Or Certify Reports’.

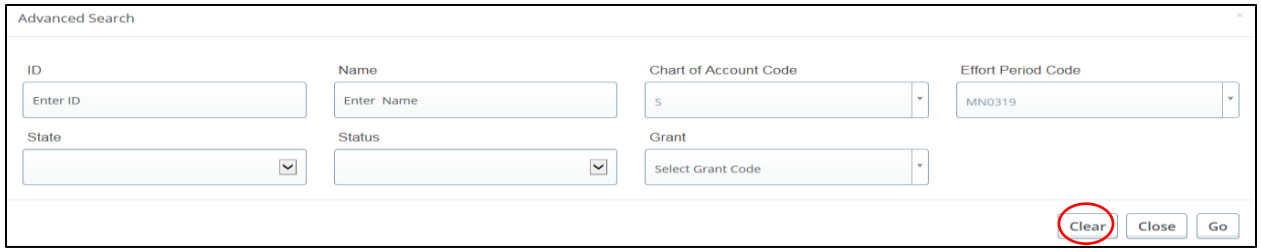
After clicking on ‘Review Or Certify Reports’ then click on ‘Advanced Search’.



After clicking on ‘Advanced Search’ the following screen will appear to make search selection: At this time the ‘State’ and ‘Status’ search selections are not working properly and will put your computer into a loop and there is nothing to do until it completes the step. Therefore, please search by Chart of Account Code and then Effort Period Code (MNXXXX), or ID (Number assigned by HR/Payroll), or Name (First or Last), or Grant (MAXXXXXXX) to obtain on-line effort reports that you need to review and/or certify.

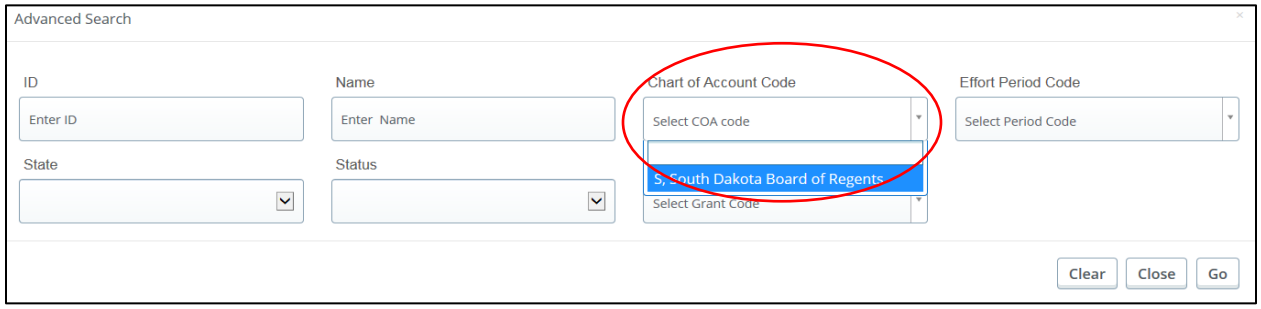


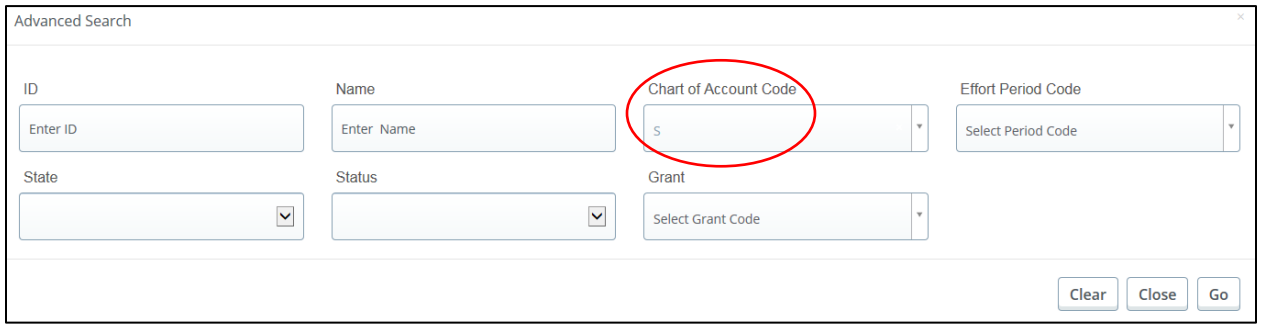
Make sure to click on ‘Clear’ prior to doing your next search.



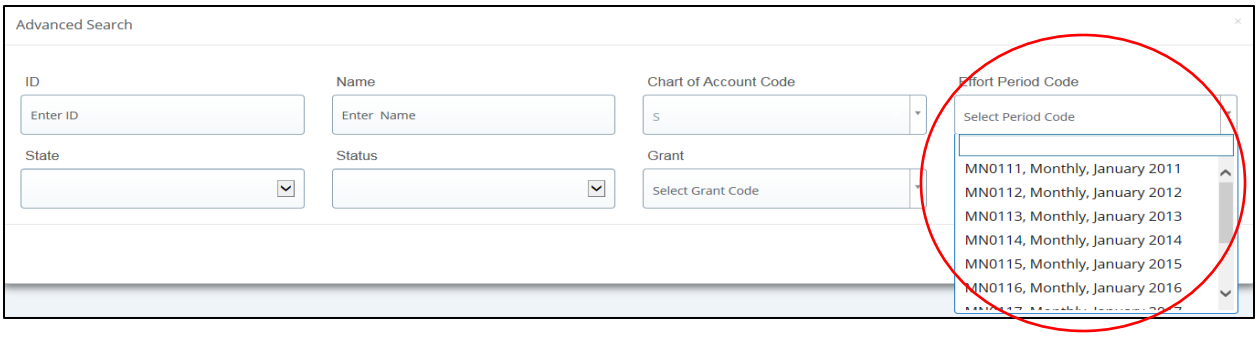
To search by the monthly pay-period you must select ‘Chart of Account Code’ and ‘Effort Period Code’ as follows:

Do pull down by ‘Select COA code’ and then click on ‘S, South Dakota Board of Regents’.

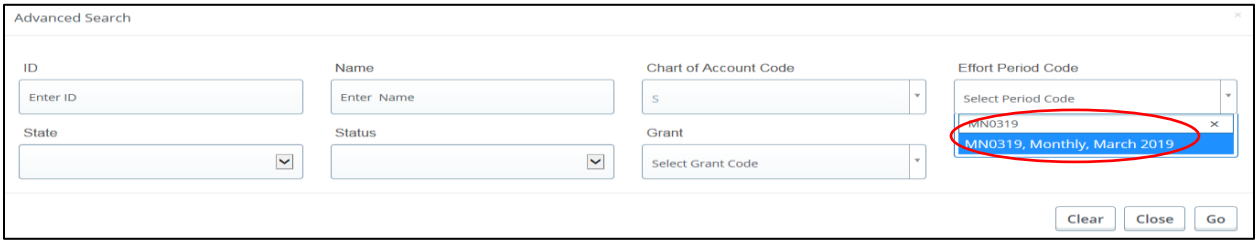




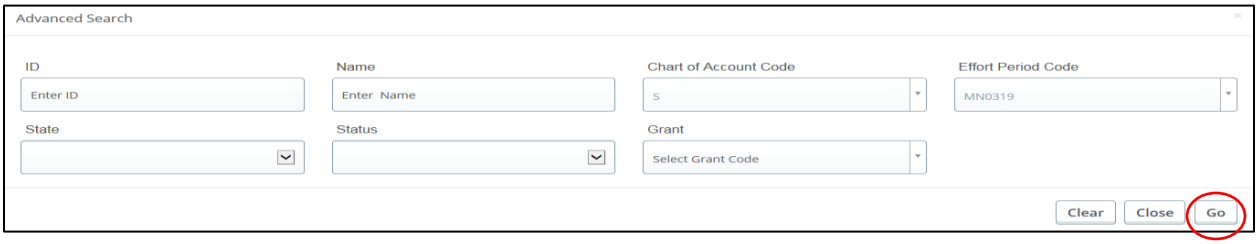
Do pull down by ‘Select Period Code’ then type in period you are looking for ‘MN0319’ – MN = Month, 03 = March, 19 = Calendar Year.



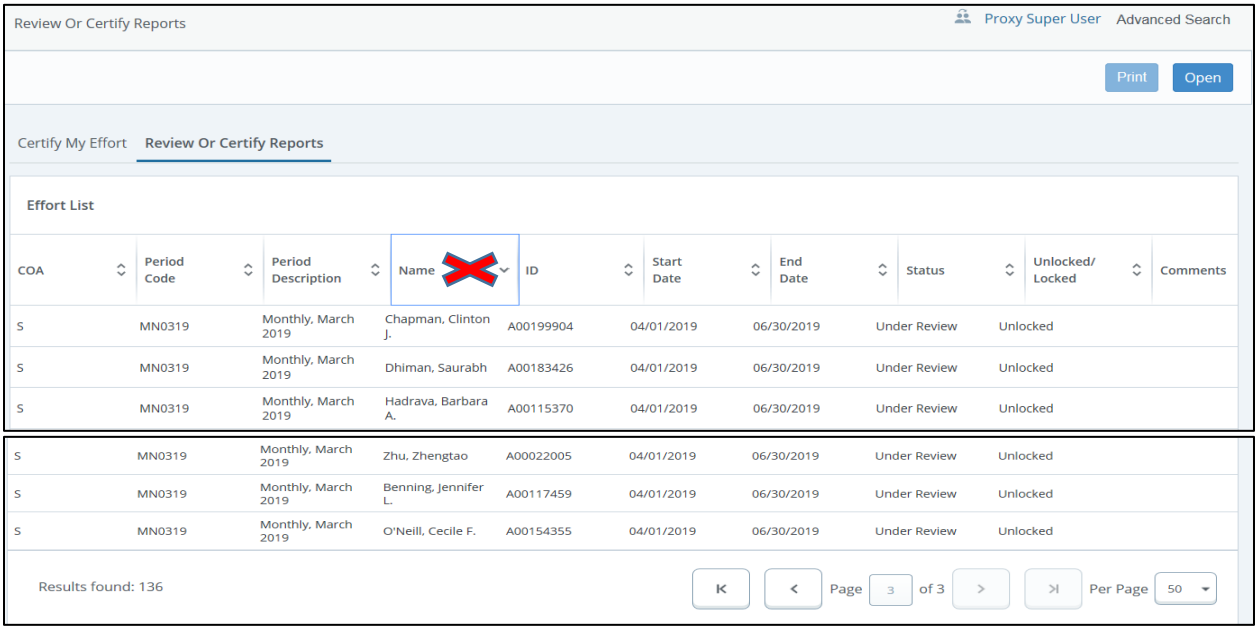
Then click on month selected.



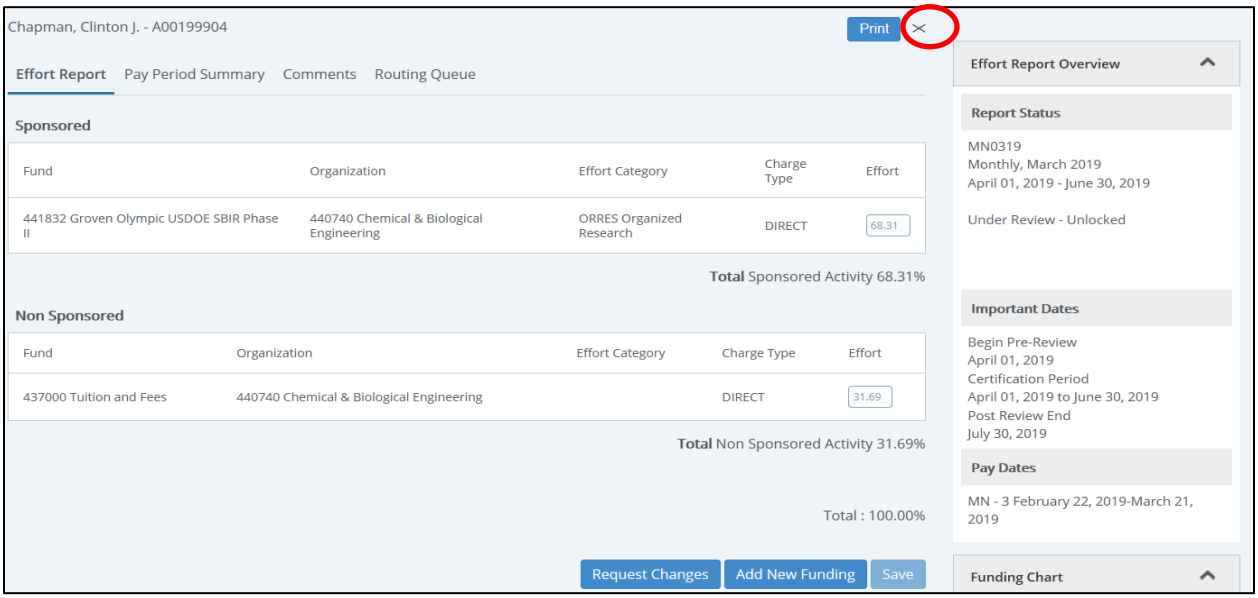
The click ‘Go’.



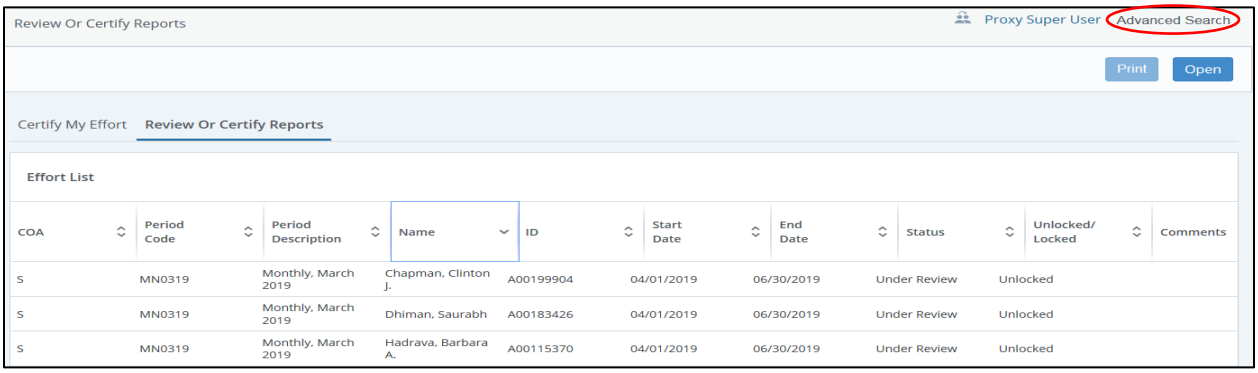
Following will be your list of on-line effort reports in your routing queue for the month selected.
You can sort by all headings except by ‘Name’. The ‘Name’ sort is not currently working. If your list exceeds one page it will only sort items on each page.



Following is an example of what the on-line effort report would look like. To exit the on-line effort report and return to the list click on the x.



To do another search click on 'Advanced Search' and start the process over.



Effort Certification Tab

Searching for Other Effort Reports in Your Queue

The status of each effort report will be displayed in the List Queue and are defined below. During any Period, any authorized user may click on the **Request Changes** button if corrections are needed, unless the report is Completed/Locked. Each time the **Request Changes** button is clicked, the effort report will be on hold, preventing any further action until the corrections have been processed, or the request has been cancelled. Clicking the **Request Changes** button creates a pop-up email in Outlook.

STATUS:

- **Under Review:** The effort report is awaiting review by all assigned Pre-Reviewers before certification can take place. One or more individuals may be assigned this role for those who are paid or cost sharing on multiple grants. After all Pre-Reviewers have completed their mandatory review actions, the status will change to Awaiting Certification.

- **Awaiting Refresh:** A payroll action, such as a fund source change (PHAREDS), has been processed. An authorized user must then click the **Update Report** button displayed on the Effort Report Overview sidebar to refresh the report. This brings in the changes, and the effort report will no longer display the original incorrect information. The status will then return to Under Review, so the Pre-Reviewers can complete their actions.

- **Awaiting Certification:** All mandatory review actions have been completed by all the Pre-Reviewers and the report is ready to be certified by the Employee or Alternate Certifier. The status will change to Certified after the effort report has been certified.

- **Certified:** All mandatory review and certify actions have been completed, but the effort report has not been locked.

- **Completed:** When the certified effort report is locked, the status changes to Completed. Locking the report prevents any future changes from being made.

- **Returned for Correction:** N/A – this Status item is used only with the Labor Redistribution Module, which is not being implemented at this time.

UNLOCKED/LOCKED:

- **Unlocked:** All actions take place while the effort report is Unlocked. Changes can be made to the effort report at any time while Unlocked and the effort report can be in any status.

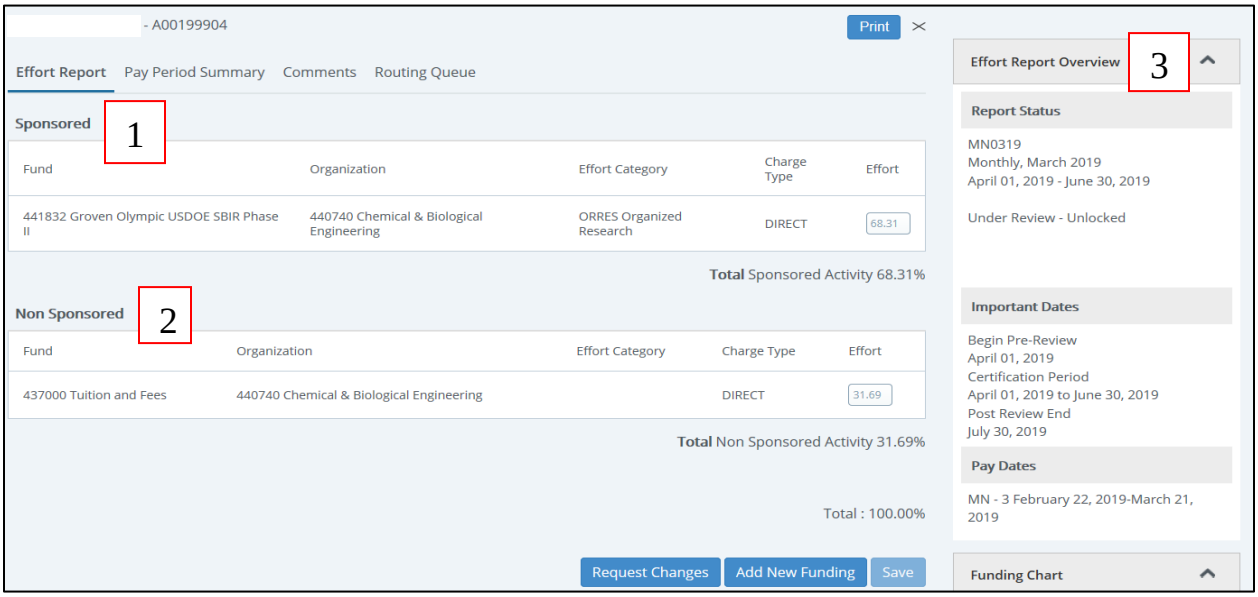
- **Locked:** The effort report must be in Certified status before it can be Locked, indicating that all required actions have been completed. After locking the report, the status will change to Completed, and no more changes can be made to the effort report, unless it is first unlocked by a Superuser.

- **Changes Submitted:** The Request Changes button has been selected, and the effort report is on hold until the changes have been processed, or the Clear Changes button has been selected.

- **Changes Saved:** N/A – this Unlocked/Locked item is used only with the Labor Redistribution Module, which is not being implemented at this time.

View Effort Report – General Information

If there is a report listed, double-click on one of the elements to open the report. After you have double-clicked on one of the elements in the appropriate period, you should see a screen that looks like this (a guide to the numbered items is included below):



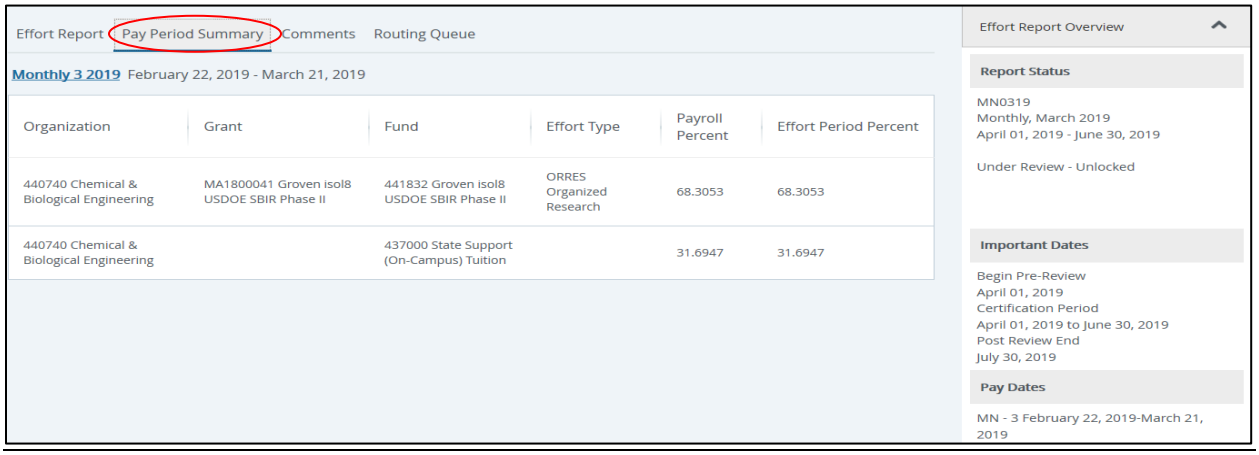
1. The **Sponsored** section shows the Fund, Organization, Effort Category, Charge Type, and percent Effort you expended on the grant-funded project. If you worked on multiple grants, there will be multiple lines.

2. The **Non-Sponsored** section shows any other Funds from which you have been paid including cost sharing related to a grant. Example: Tuition, General, or Self Support for instruction. The percent effort should equal the amount of time you expended on non-sponsored (non-grant-funded) activities. If your non sponsored activity is paid from multiple funds, you will see multiple lines.

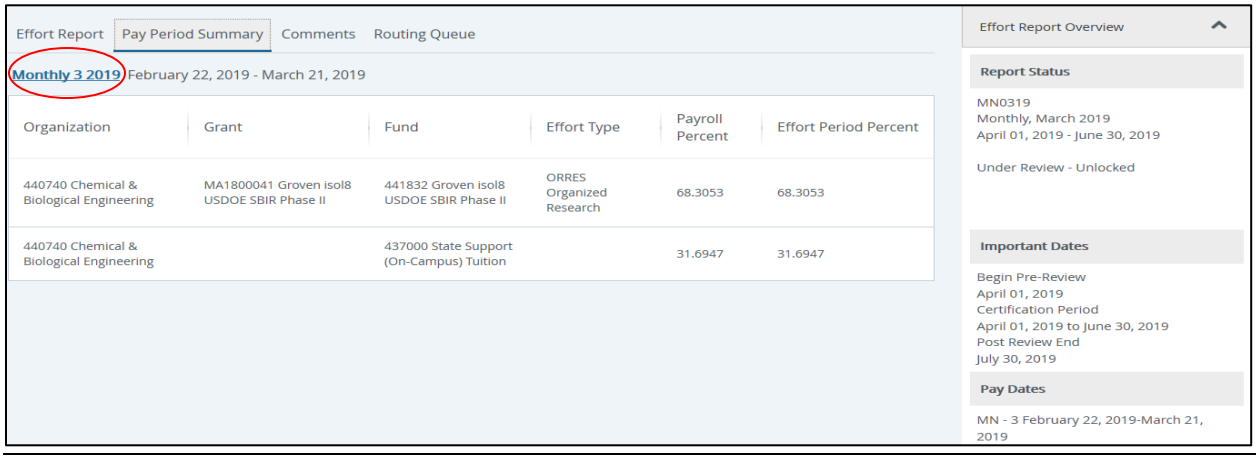
3. The **Effort Report Overview** section includes the **Report Status** tab that shows the reporting period, the dates of review, and the status of your report. If a change has been requested, the display will show the name of the person who made the request. If the change has been processed, the status will display Awaiting Refresh, and an Update Report button will be displayed. Clicking on the Update Report button will update the report to include the processed changes. The **Important Dates** tab displays the dates for the three reporting periods of the current effort report. The most important concept regarding dates is that the effort certification be completed within one month as shown under the Certification Period.

View Effort Report – Pay Period Summary

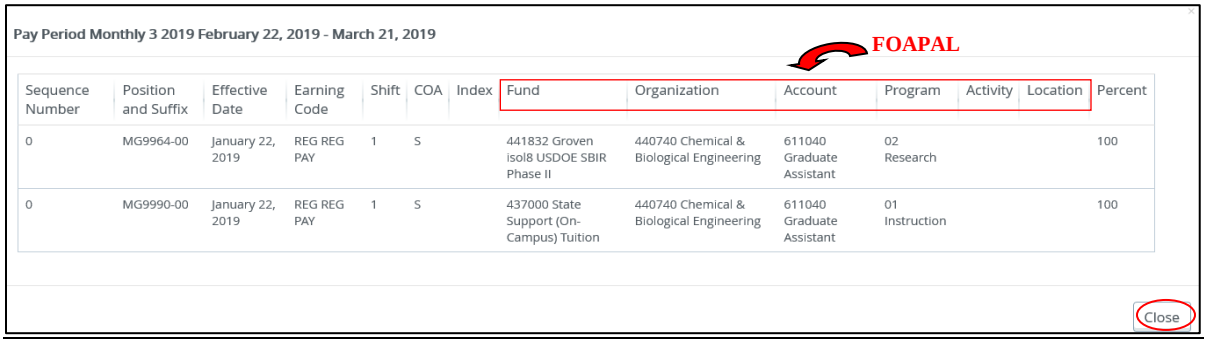
To view additional details on the effort report, click on the **Pay Period Summary** as shown below: The **Pay Period Summary** screen provides the Organization, Grant, Fund, Effort Type, Payroll Percent, and Effort Period Percent.



To view further detail for the pay period, click on the hyperlink titled **Monthly…**:

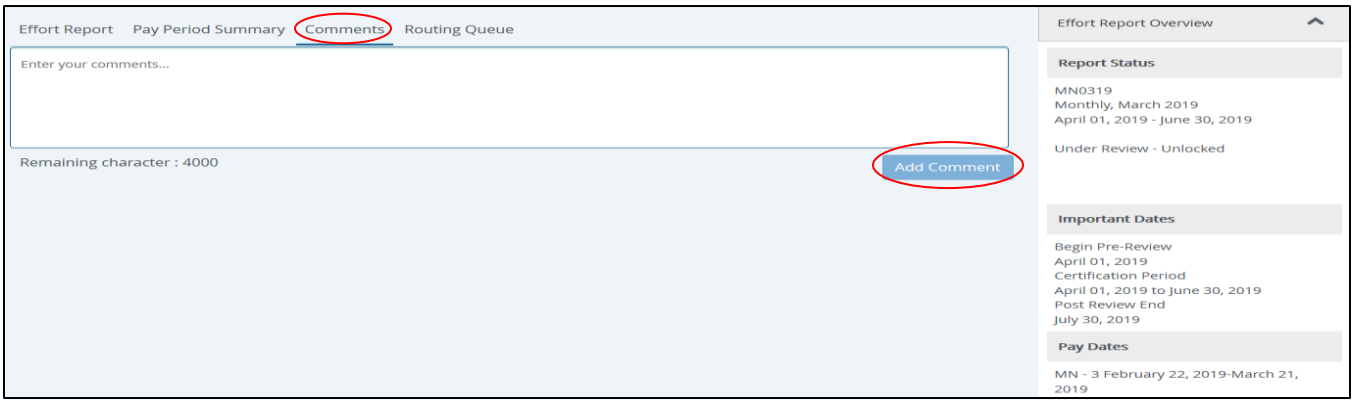


This screen shows the Fund, Organization, Account, Program, Activity, Location (FOAPAL) codes, as well as the Percent pay/effort for each fund from which the employee was paid. **Location Codes are used to track cost share**; therefore, this screen is where you will see the FOAPAL for the cost share as well as the Percent pay/effort associated with the cost share. Once you have reviewed the information for the pay period, click on the **"Close"** button to return to the Pay Period Summary Screen.



Adding Comments

Any member of the effort reporting routing queue can add comments to an effort report by clicking on the **Comments** button. Comments will mostly be used by Budget/Payroll and Sponsored Programs to document changes made to effort and unlocking an effort report. **Note: Once you add and save comments, you cannot delete or update them.** Type your comment in the comment box and click on 'Add Comment'.



View the Routing Queue

To view the routing queue for yourself or for the employee or student you are viewing; click **Routing Queue**. The information displayed includes the queue member's name, his or her role, and current action to be performed. The data is listed by the roles or actions to be performed: Pre-Reviewer/Review, Alternate Certifier, Certify, and Post-Reviewer. These are all mandatory actions that must be performed before an effort report reaches the status of Completed – Locked. There is also an Acknowledge (FYI) role that is optional.

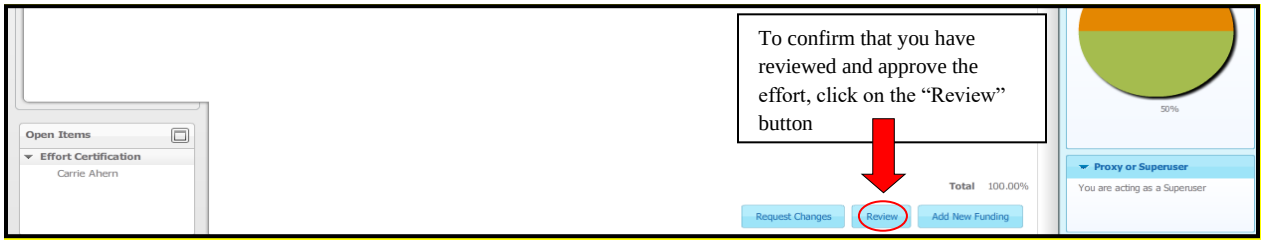
The Routing Queue is updated instantly as roles/actions are completed, noting the date and time and by whom the action was completed. When each member of the routing queue has completed his or her review/certification, a green check mark will appear. Pending reviews/certifications are indicated by a gold-colored triangle.

Send an E-mail from the Routing Queue

To send an e-mail to any member of the routing queue, click the **E-mail** link below the member's name, as shown in the previous screen shot. This will open an e-mail to that person with the subject line "Effort Certification" automatically populated.

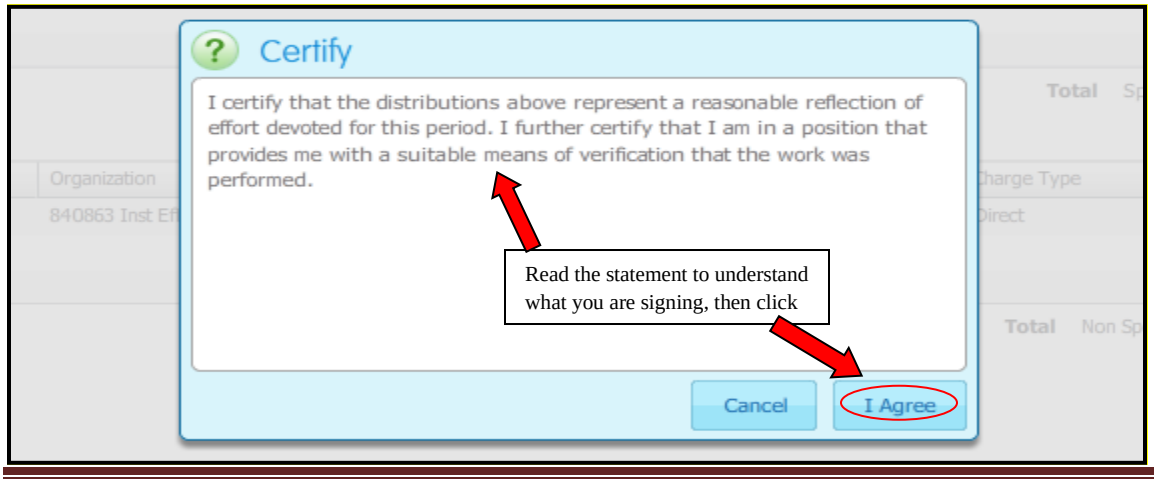
Pre-Review and/or Certify the Effort

If you approve the effort report as viewed, you can click on the **Review** button as instructed below**. However, if the funding or percent allocations are incorrect, do not click the Review button, but rather, click the Request Changes button and continue with the Request Changes instructions that follow in the Addition Information section of this guide.**



Once the **Review** button is clicked the button will change to **Certify**. For those paid on multiple grants, all Pre-Reviewers in the routing queue are required to complete their pre-review action before the **Certify** button will display. Only click on the **Certify** button if it is your own effort report or a student's effort report.

If you act as an Alternate Certifier for the student, click the **Certify** button to read the actual certification. Faculty and professional staff are encouraged to certify their own effort reports. Clicking on the **I Agree** button acknowledges that you certify the effort report per the statement shown.



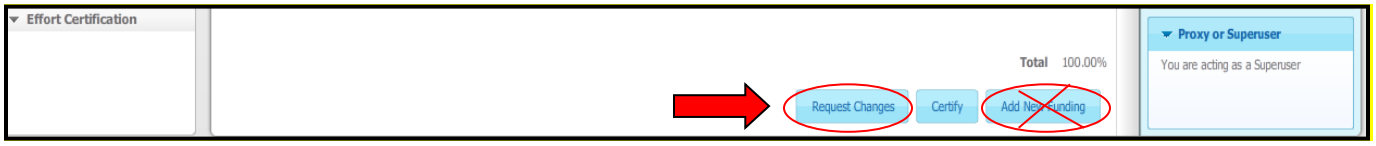
Additional Information

The following contains additional instructions on how to:

- Request Changes (PHAREDS)

Request Changes (PHAREDS)

If the effort report is incorrect, click on the **Request Changes** button to initiate an e-mail. The subject line will automatically populate the name of the person the change is for and the effort report period. Send the email to Tammy Merkwan (Tamara.Merkwan@sdsmt.edu) attaching the completed PHAREDS form with justification for the change. The PHAREDS (payroll correction) form is located at https://experience.sdsmt.edu, then go to the 'Sponsored Programs' section and click on 'OSP Forms'. **The Add New Funding button is not being used at this time.**



Requesting Changes will prevent the effort report from being certified until further action takes place. A **Clear Changes** button becomes available after clicking the **Request Changes** button, and only the person who requested the changes or a superuser can clear the changes. Changes will automatically flow through to the effort report once they are processed through the payroll system. The Report Status will display as Under Review - Changes Submitted and the name of the person requesting the change. If the report does not require changes, click the **Clear Changes** button to resume the routing process.

NOTE: It is a time-consuming process to reallocate salaries and related benefits after the charges have been incurred. Therefore, if you anticipate your effort will change during the reporting period, you should inform the Payroll Office about the change but no later than the 17th of the current pay/effort reporting period.

Contact Information

If you have any questions or concerns about the online effort certification system, contact Sharon Reid by email at Sharon.Reid@sdsmt.edu or email SDSMT Sponsored Programs (Sponsored.Programs@sdsmt.edu).

THANK YOU FOR YOUR TIME AND EFFORT