Introduction

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

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

- **Certifier**: Certifies the effort reports. Professional and Classified staff working on a federally funded or federal flow through grant/contract would certify their own effort.

- **Alternate Certifier**: Someone other than the employee that is allowed to certify the employee’s effort. Currently, the principal investigator has the ability to certify the effort of each person working on his/her grant. The principal investigator is responsible for alternately certifying students, grad-students, and AmeriCorps members.

- **Post-reviewer**: Has the ability to review the certified effort reports and can request changes if the certified effort is not correct. Currently, the principal investigator is assigned as the post-reviewer and is a mandatory action. The effort report will not be locked until the post-review has been completed.
Logging into Web4U and Accessing the Effort Certification Module

1. Log-in to Web4U, using your W# and password.
2. When you arrive at the main menu, click on **Employee**.

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

**Employee Services Menu**

- **Benefits and Deductions**
- **Pay Information**
- **Tax Forms**
- **Time Entry Instructions**
- **Leave Entry in Advance**
- **Effort Certification**
- **Effort Certification for Federal Grants**
The **Certify My Effort** page will be displayed. This is the Effort Certification homepage.

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

**Note**: If you are a PI who is certifying or reviewing your employee records, **Certify My Effort** will only show a record if you personally had payroll that was funded by a Federal or Federal Flow Through grant. For certifying or reviewing your employee’s effort reports, instructions begin on page 14.
The Effort Report

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

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

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

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

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

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

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

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

- **Payroll Percent** is the percentage of each individual payroll allocation. The payroll percentage will always total 100% for each Semi-monthly payroll period.

- **Effort Period Percent** is the percentage of effort for each particular payroll period allotted for the entire certification period. The sum total of the Effort Period Percentages for all payroll periods in the summary will always equal 100%.

<table>
<thead>
<tr>
<th>Organization</th>
<th>Grant</th>
<th>Fund</th>
<th>Effort Type</th>
<th>Payroll Percent</th>
<th>Effort Period Pe</th>
</tr>
</thead>
<tbody>
<tr>
<td>2150 Shannon Point</td>
<td>10200 State Operating</td>
<td>50</td>
<td></td>
<td>24.9999</td>
<td></td>
</tr>
<tr>
<td>2150 Shannon Point</td>
<td>51143 Plankton Food</td>
<td>RSP Grants and</td>
<td></td>
<td>24.9999</td>
<td></td>
</tr>
</tbody>
</table>

You can resize columns by clicking on the right-hand side of any column heading.
Comments

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

To add a Comment:

1. Click the Add Comment button.
2. Type a comment into the Add Comment box.
3. Then click the Save button.

NOTE: Your comment will be saved and available to be viewed by anyone on the Routing Queue. Once comments are added they cannot be updated or deleted. They will be displayed in a reverse chronological order, with the most recent appearing first on the list.
Routing Queue

To view the progress and details of the effort certification process, Click on the **Routing Queue** tab.

The Routing queue shows the status of each stage of the Effort Certification process. The queue will update automatically after each person completes his or her task. Principal Investigators will be displayed as both the Alternate Certifier and Post-Reviewer.

- If you want to send an e-mail to someone in the routing queue, simply click on **E-mail** and an email window will open up for you to send an email to that person.
Assigning a Proxy

If you have been assigned with certain roles such as alternate certifier or post-reviewer, you have the capability of assigning someone to act as your proxy. By doing this, you are assigning someone to have the same capabilities as you do.

✓ The person that you assign needs to have suitable means of verification of those who they are certifying for.

1. On the Proxy or Superuser tab, select the Add Proxy button.
2. Either search (click on the . . . button) or start typing the name of the person you would like to add.
3. Once you have the person you want to assign as proxy selected, click the Save button.
4. This person now will have your capabilities of certifying and/or post-reviewing the effort reports for your employees.

**Your proxy will also need to be given an Effort Certification Administrator Webtailor role. Please contact RSP to make this request.**
Certifying Your Effort

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

1. If you agree with the percentages of effort indicated, click the **Certify** button in the bottom right corner of the page.
   - The Certify statement window opens, which will allow you to complete your effort certification.
   - If you don’t agree with the percentages of effort, see page 12 for **Requesting Changes**.

2. Click **I Agree** to finalize your effort certification.
Once the report is certified, the **Certify** button will disappear and the status of the report will change to **Certified – Unlocked**. It will remain in this status until the post-reviewer has reviewed the effort report.

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

For Professional and Classified Employees, there are no other actions needed.

For Principal Investigators and Program Managers, those who have the delegation to also be the post-reviewer: when certifying your own effort you can also select the **Review** button immediately after you are done certifying. This will lock your effort report completing the process.

Also when certifying for undergrad, grad students, and AmeriCorps members, you will also have to select the Review button immediately after certifying.
Requesting Changes

If you don’t agree with the percent of effort stated on the effort report:

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

2. This will open an email window for you to request your changes. Send email to **Effort.Certification@wwu.edu** giving details of the changes that need to be made.
   - If your computer is not currently setup to use Outlook, just send an email from your personal email provider or call the RSP office (650-3220).
   - Even if the email function does not work with your computer, please still select the Request Changes button since this will change the status of the report to **Awaiting Certification – Changes Submitted**.
3. When the changes have been made, you will receive another email notification stating that you can now certify the corrected effort.

If, after clicking the Request Changes button and decide that changes do not need to be made, you can select the **Clear Changes** button, confirm that you want to cancel your changes and then you will have access to **Certify** your effort.

- If an email was sent to request the change, please contact RSP stating that the request was an error.
Alternate Certifiers and Post-Reviewers

To access reports to be post reviewed or to participate as the Alternate Certifier:

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

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

4. Select both of the following two attributes:
   a. Chart of Account Code
   b. Effort Period Code

5. Click on the drop down button to show your options.
   a. Select Code 1 for Chart of Accounts
   b. Select the current Effort Period that needs certification.

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

A complete list of reports, which you can Post-review or serve as the Alternate Certifier will appear in the Review or Certify Reports window.

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

2. Follow the steps listed on page 10 and 11 of the Certifying Your Effort section of this manual to either Certify or Review an employee’s effort.
   - For graduate students, undergrad students, or AmeriCorps employees, the Principal Investigator or Program Manager with both certify and review the effort report for the employee.
   - For professional and classified employees, the Principal Investigator or Program Manager should only be reviewing the employee’s effort report.
     - If the status of the effort report is still Awaiting Certification, please contact the employee to certify their effort so that you can complete the post-review.

3. Complete the above for each employee on the list.
Acting as a Proxy

If you have been assigned the duty to certify or review effort reports for a Principle Investigator (PI), the PI must first assign you as their proxy (see page 9). If this has already been done, go to the **Certify My Effort** page (see page 4 – 5).

1. Select the **Proxy or Superuser** tab.

2. In the Proxy box, select the person you will be acting as a proxy for.

3. Then go to the **Review or Certify Reports** tab and follow the steps on page 12 – 16 to search for the effort reports assigned to the person you are acting as a proxy for.
Locked Records

Once an effort report is in the status of **Completed – Locked**, all action buttons are removed and changes cannot be done. This will affect the ability of any payroll redistribution being done for an employee that has any portion of their payroll tied to federal funding. If a payroll redistribution is needed for the non-federal funding portion, RSP will need to be contacted in order for the record to be unlocked.

 ✓ **Note:** Even if the payroll redistribution did not change the effort percent tied to the federal funding, recertification will need to be done for all payroll periods affected.
Effort Certification Terminology

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

**Certification Period** – The period that the effort certification process is available for Certifiers, Alternate Certifiers, and Post-reviewers.

**Certifier** – The person that certifies the effort report. Professional and Classified staff working on a federally funded grant will certify their own effort. However, the principal investigator, as the alternate-certifier, can certify effort reports for staff working on his/her grant.

**Effort Period Percent** – is the percentage of effort, for each particular payroll period, allotted to the certification period. The sum total of the Effort Period Percentages, for all payroll period in the summary, will always equal 100%.

**End Date** – The date the labor certifications are due.

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

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

**Period Code** – A Banner reference for the Report Period (i.e. JAN12, FEB12, etc.)

**Post-Review End** – The date that the effort certification process must be completed.

**Post-reviewer** – A person that has the ability to review the certified effort reports. This role is currently assigned to the principal investigator.

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

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

**Status** – Provides information on the current stage that the effort certification process is in. Status codes are: Awaiting Certification, Certified, and Completed.
Frequently Asked Questions & Answers

Q: What determines the percent of effort?

A: The percent of effort is tied to your payroll record and is originally setup in Banner by what is stated on your Personal Action Form or Student Employment Form.

Q: Why would changes be needed if the percent of effort was already determined by my Personal Action Form?

A: Effort reporting is done using an “after-the-fact” method and your Personal Action Form is an estimation of the allocation that was predicted for each project. If, after-the-fact, it is determined that you worked more or less on the grant than what was stated on your PA, then a change needs to be requested. You are allowed ± 5% variation.

Q: Why do I need to certify and review the same effort report?

A: A decision was made to have the Principal Investigator post-review all effort reports that are tied to their federally funded projects due to the fact that there are some employees who are funded by multiple grants. The post-review allows for multiple PIs to review one employee’s effort report. Due to this setup, PI’s need to review all effort reports even if they are the one’s certifying the effort.

Q & A section will be updated as needed