

# STOCKTON UNIVERSITY

## PROCEDURE



## C. Procedure

### 1. Individuals Who Must Review and Certify Effort Reports

Individuals with faculty or staff appointments (including parttime and temporary status) must complete an effort report if they:

- a) Are paid from a sponsored project account; or
- b) Have committed effort (contribute time to a sponsored project as cost share or match).

### 2. Effort Report

The report must account for all activities included in the institutional base salary for which the University compensates the individual and that a sponsored project (T)8.2 (he)3.5

5. The following procedure applies to individuals paid from a sponsored program account:

- (a) The Grants Office will run an extract process within (10) business days of the end of a reporting period (spring, summer, fall) to populate the Banner Effort Certification system.
- (b) Within five (5) business days of the extract, a Grants Office representative will review populated effort reports and send an email notification to all individuals required to complete an effort report to remind them to certify their effort.
- (c) The employee, principal investigator (PI), or responsible official(s) having direct knowledge or other suitable means of verification that the work was performed will certify the report within thirty (30) days of receiving the Grants Office's email notification as indicated in 5.(b). Specific effort reporting guidance and instructions for accessing the online system and certifying the report are provided on [the Grants Office website](#)
- (d) If an individual's effort on any sponsored project is 5% or more percentage points less than the salary charged to the sponsored project fund, the individual must email the Grants Office ([grants@stockton.edu](mailto:grants@stockton.edu)) at least ten (10) business days before the end of the effort reporting period to report the difference and request a redistribution of labor charges where applicable.
- (e) Once the principal investigator (PI) has reviewed and certified the effort reports for his or her respective sponsored projects, the Banner Effort Reporting system, will lock the electronic record and prevent unauthorized changes to the distribution of funds.
- (f) The accounting analyst in Fiscal Affairs will acknowledge receipt of certified effort reports within five (5) business days.

Note: The certified and locked reports are accessible to employees, PIs and effort certification administrators (in the Grants Office and Fiscal Affairs) for viewing in Banner SelfService after the certification period is over

## D. Training

All PIs, co-PIs, senior/key personnel, and the deans/directors must attend training on effort reporting and certification. If an individual is unable to attend one of the workshops, he/she must meet with the Grants Office to review the workshop materials. The Grants Office is responsible for maintaining attendance records from all training sessions.

## E. Consequences for non-Compliance

Following each reporting period, the Grants Office will provide to the Provost and Controller a list of faculty and staff who are not in compliance with training and certification requirements. If it is determined that an individual is not in compliance with training and certification requirements, the following actions may be taken:

1. The Controller's Office may suspend activity of current sponsored project funds managed by the PI who is not in compliance
2. Sponsored project services may be withdrawn and not provided by the institution including, but not limited to, the submission of new proposals, the execution of award agreements, and general administrative services.
3. Further disciplinary actions may be taken in accordance with university policy.

## F. Labor Redistributions

1. If the total effort in a given performance period has any variance from salary charged to the sponsored project fund, the individuals certifying their effort must inform the Grants Office at least 10 business days before the end of the reporting period.
2. The Grants Office is responsible for notifying the principal investigator/project director and the A&F accounting buorw

Resources:

[Grants Office website](#)

[OMB Circular A-21](#)

[OMB Circular A-110](#)

Approval History: