ECRT

Effort Certification and Reporting Technology

Guide for Effort Coordinators

ECRT Guide

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Introduction to ECRT

Duke University deployed the ECRT system to serve as the official institutional tool to facilitate compliance with effort reporting and certification requirements. The ECRT system is designed to comply with the provisions of Duke's effort reporting policies, Federal regulations (as cited in 2 CFR 200.430), and other Sponsor policies that require certification of 100% of an individual's effort. The ECRT system uses a guided process for both Certifiers and Effort Coordinators toward completion of all required Effort Certification Statements.

Effort Certification Statements are created/updated in ECRT when the exempt employee's payroll data that posted to Duke's General Ledger is loaded to the **ECRT** tool. The payroll data is loaded every month.

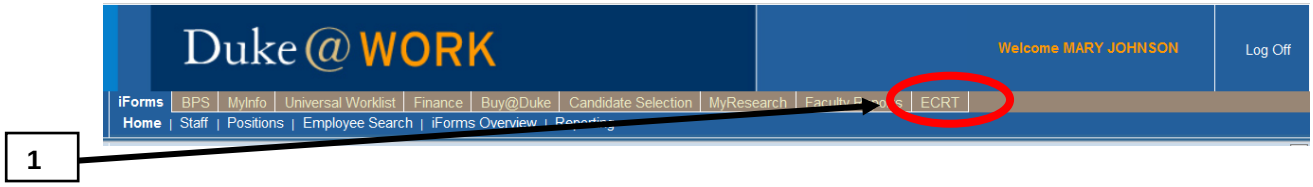
The **ECRT** tool is used at Duke University to certify, approve, and track/report the effort exerted by Faculty and Exempt Staff that meet the criteria of a "Certifier". This tool is used by the Certifier to certify how their effort is allocated. This tool is also used by Effort Coordinators to track and approve the effort certification for their responsible areas.

Duke Auditors, Federal agencies, Department Chairs, Deans and other oversight units utilize **ECRT** reports for a variety of reasons – compliance monitoring, planning, assessment, etc. Most specifically, auditors review these documents/records to determine if Duke University is billing sponsored projects according to prescribed rules and regulations.

Introduction (cont.)

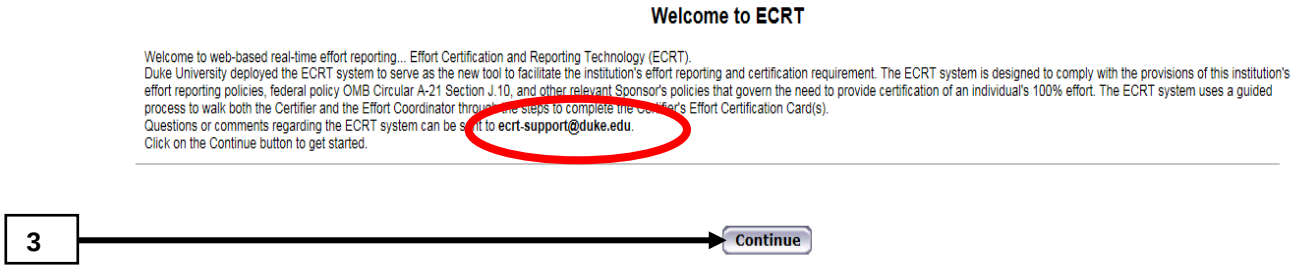
To access ECRT via Duke@Work

On the Duke@Work web portal screen:



1. Select the ECRT tab to open the ECRT tool in the window below.

2. If your browser pops up a security dialog box, select the "**Yes**" button.

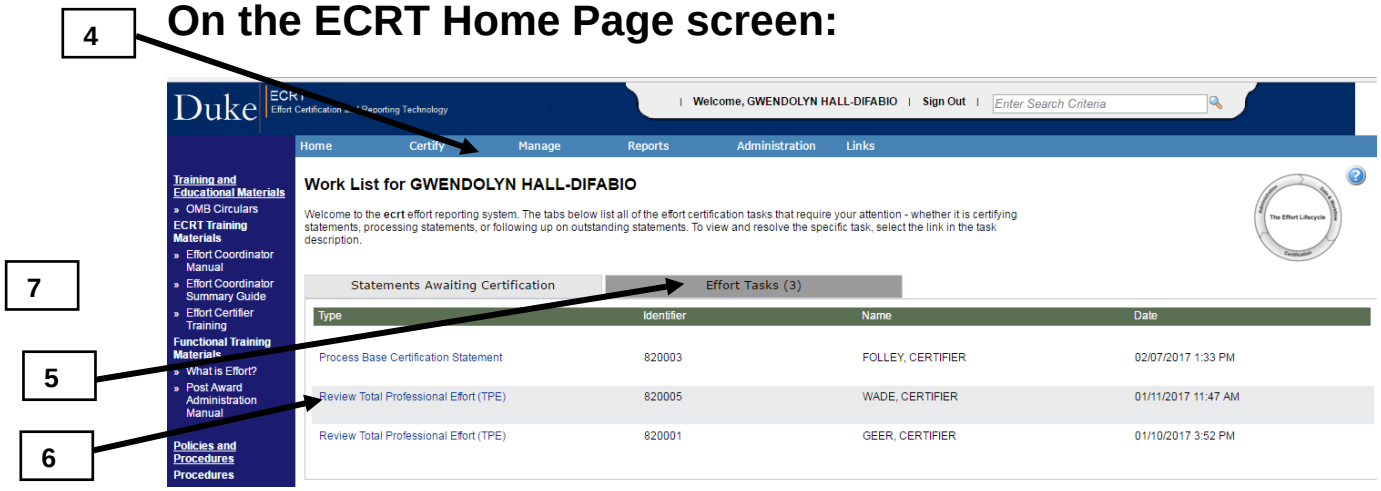


3. On the **Welcome to ECRT** screen, select the **Continue** button.

Note: *If you have questions regarding ECRT that are not addressed in this Guide, please send an email to ecrt-support@duke.edu .*

Introduction (cont.)

On the ECRT Home Page screen:



4. Notice the navigation tabs across the top of the screen.

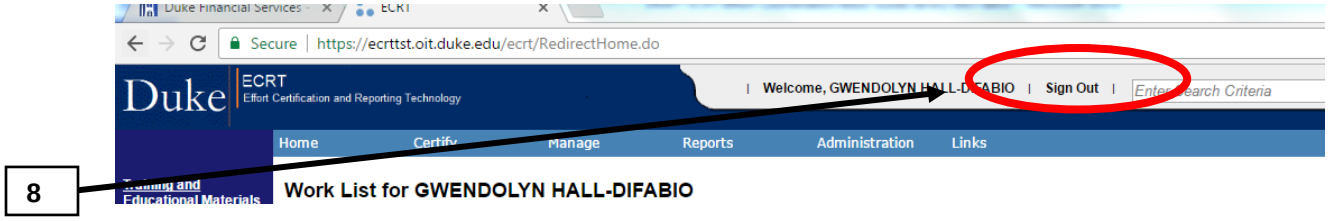
5. Notice the **Effort Tasks List** highlighted in gray. This displays the list of tasks awaiting action. Coordinators can change the view to **Statements Awaiting Certification** to work with their effort statement.

   Note: The task list will only display if tasks require action.

6. Notice each type of action is in blue. These are hyperlinks that can be used to open the information to process the specific action.

7. Refer to the rest of the Guide for how to perform functions from this Home Page. Use the **Certifier Quick Reference Guide** as a resource for Certifiers.

To exit ECRT and Logout:



8. Select the **Sign Out** button.

Certification Overview

In ECRT, the Certifiers are the Faculty and Monthly Staff that provide effort on Sponsored Projects and/or meet the criteria of a Certifier, and need to certify how their effort is allocated. The ECRT Effort Statement provides for a certification on how the Certifier allocated their effort, while the ECRT system serves as Duke's internal control to provide reasonable assurance that the payroll expenses charged to sponsored projects are accurate, allowable and properly allocated, per regulations codified in the Federal Uniform Guidance at 2 CFR 200.430(i).

The steps below provide an overview to the Effort Coordinator of the steps that your Certifiers will follow to certify their effort. This information is also included in the **Certifier Quick Reference Guide** that can be shared with Certifiers who need assistance.

When the Certification Period begins, the Certifier:

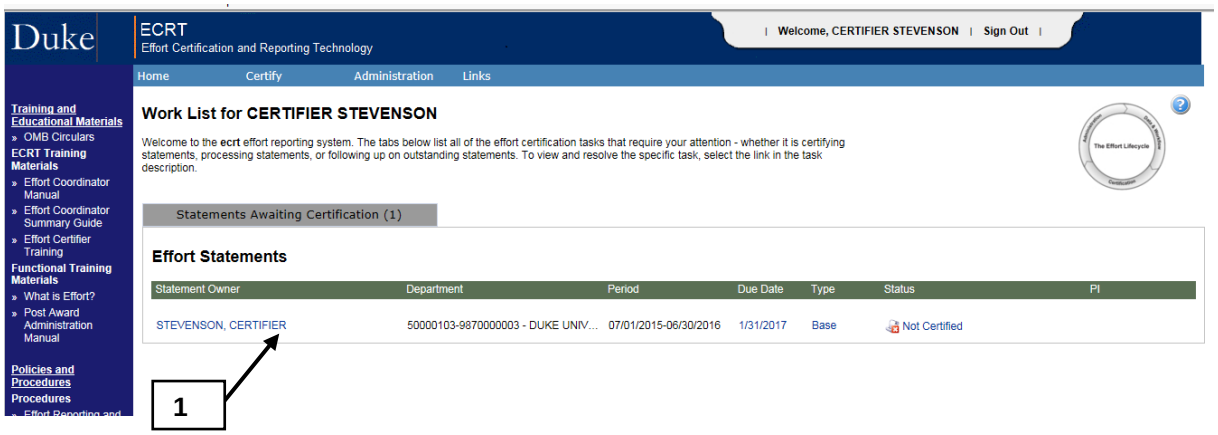
- Receives an email providing a direct link to their effort statement(s).

Or

- Logs into ECRT via **Duke@Work.** This takes them to their home page.

Note: If the Certifier is required to confirm Total Professional Effort, the email link will take the Certifier to their TPE statement prior to their effort statement.

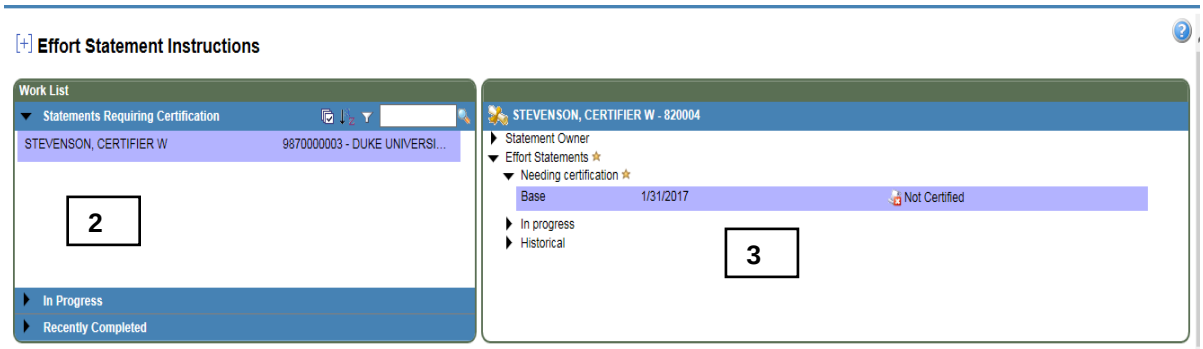
Certification Overview – Base Effort



1. When logging in via Duke@Work, Certifiers are taken to the home screen. Any of the items in blue is a hyperlink to open the effort statement. Notice the **Status** indicator which changes throughout the certification process.

   *Note: ECRT requires the employee to be assigned the role of **Certifier.** If you encounter a problem with the role of a Certifier in your area, please send an email to ecrt-support@duke.edu*

   *Note: If accessing via an email, the **Effort Statement** displays.*

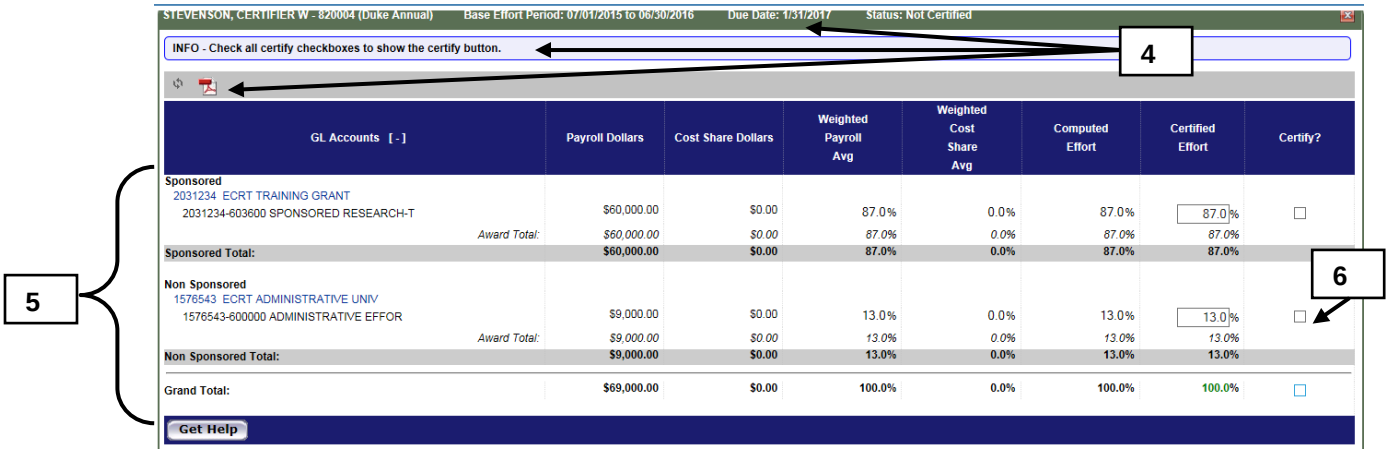


2. The top left section of the statement displays information about the Certifier.

   Note: If the Certifier is a proxy for other Certifiers, all names will be listed here and the name highlighted in purple is the Certifier whose statement is displayed.

Certification Overview – Base Effort (cont.)

3. The top right section provides information about the statement owner (Certifier), the Effort Statement status as well as access to previous certified statements.



4. Along the top, notice information about the certification and the status. A message box will display informational messages. The PDF icon accesses a PDF of the Effort Statement displayed below.

5. The **GL Accounts** lists all the **Cost Objects and G/L Accounts** from which the Certifier has been paid an Institutional Base Salary. The Sponsored Effort distribution will be listed first followed by Non Sponsored sources. Some Certifiers may also have a section for Other sources following the Non Sponsored group. Select the blue text to view contact information for the PI or person responsible for each source.

6. To certify the base effort statement, the Certifier:

   - **Confirms** the effort percentage in the outlined input fields in the **Certified Effort** column are correct. This field is pre-populated with the data in the **Weighted Payroll Avg** column.

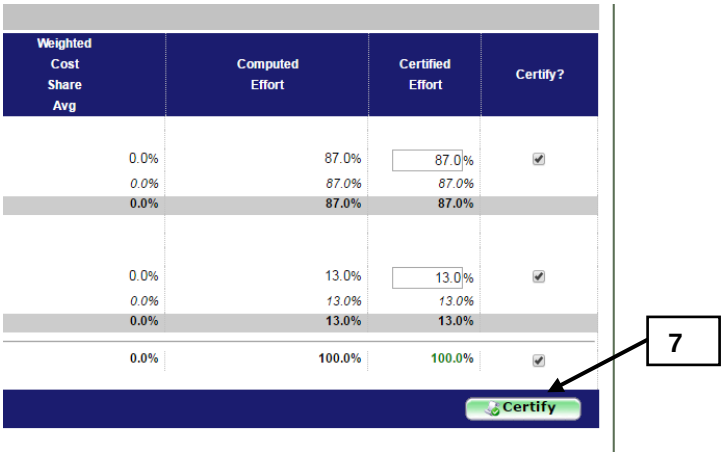
Note: Certifiers must contact their Effort Coordinators before making any changes to the values in the Certified Effort column.

Note: ECRT will allow a variance of +/- 0.9%. Thus you can certify from 99.1% through 100.9%

Certification Overview – Base Effort (cont.)

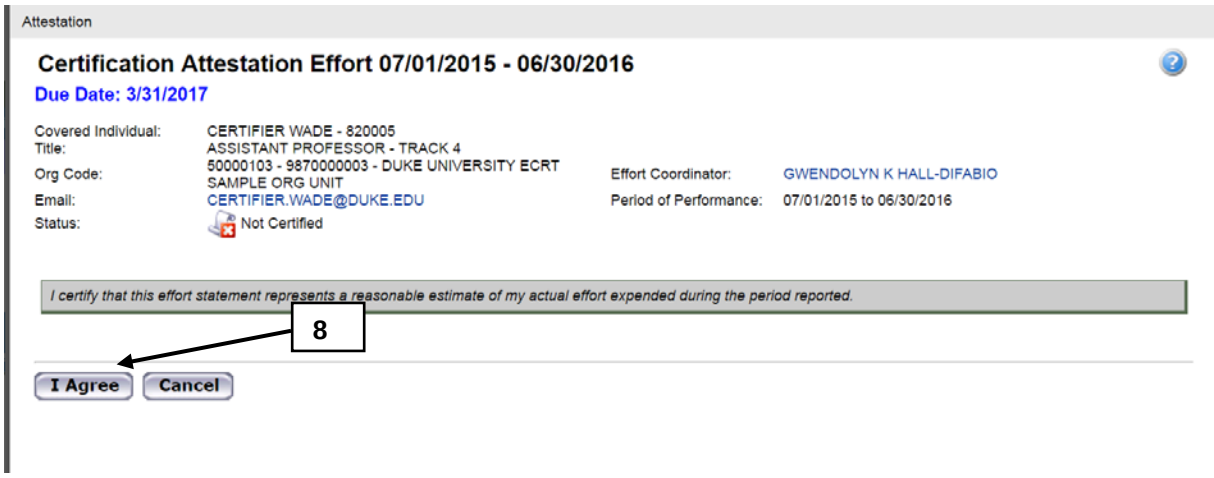
- Select the **Certify** checkboxes.

  *Note: Select the individual line **Certify** boxes or the **Certify** box in the **Grand Total** row at the bottom of the Effort Statement.*



7. Once all rows have been reviewed and confirmed, the **Certify** button appears. Select **Certify**.

   *Note: ECRT requires a Primary Effort Coordinator be assigned to the BFR/department before ECRT will allow the **Certify** button to appear. If The Certify button does not appear, please send an email to ecrt-support@duke.edu*



8. The Certifier reviews the messages and selects the **I Agree** button to legally attest to their Certification.

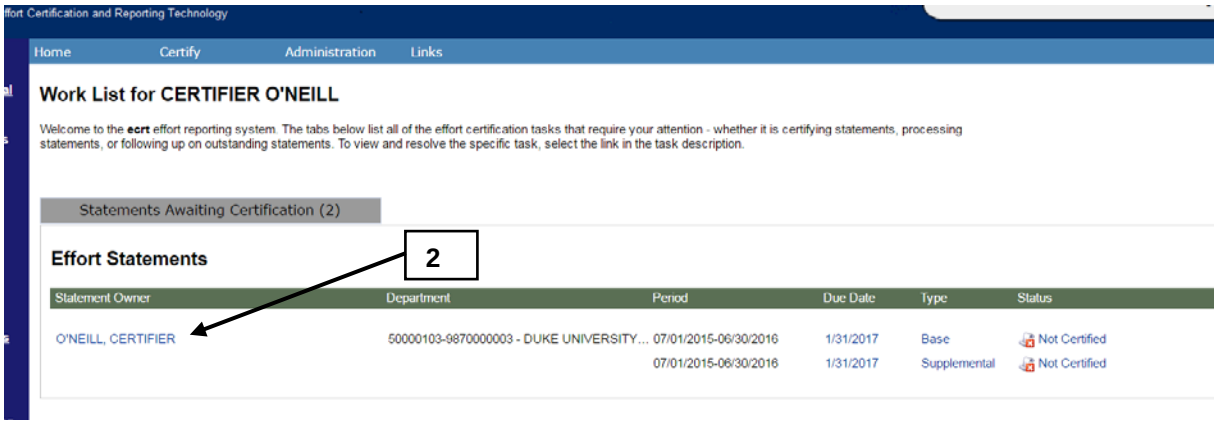
Certification Overview – Base Effort (cont.)

9. Once the **I Agree** button is selected:
   - The certification process for that Statement is complete for the Certifier and the Effort Statement displays. The status of the statement has changed to **Certified, Not Reviewed/Processed.**

     Certified, Not Reviewed/Processed

   - The Certifier's statement now appears in the Effort Coordinator's Effort Tasks list as a statement ready for processing.

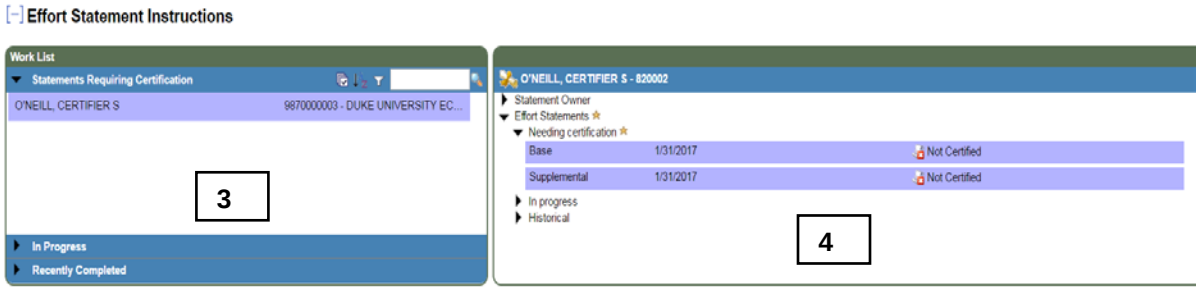
Certification Overview – Base and Supplemental Effort



1. From the home screen, Certifiers will see two statements awaiting action if the Certifier has base and supplemental effort statements. Notice the **Status** indicator which changes throughout the certification process.

   Note: If accessing via an email, the Effort Statements display.

2. Select the hyperlink in the **Statement Owner** column to open both the base and supplemental effort statements.



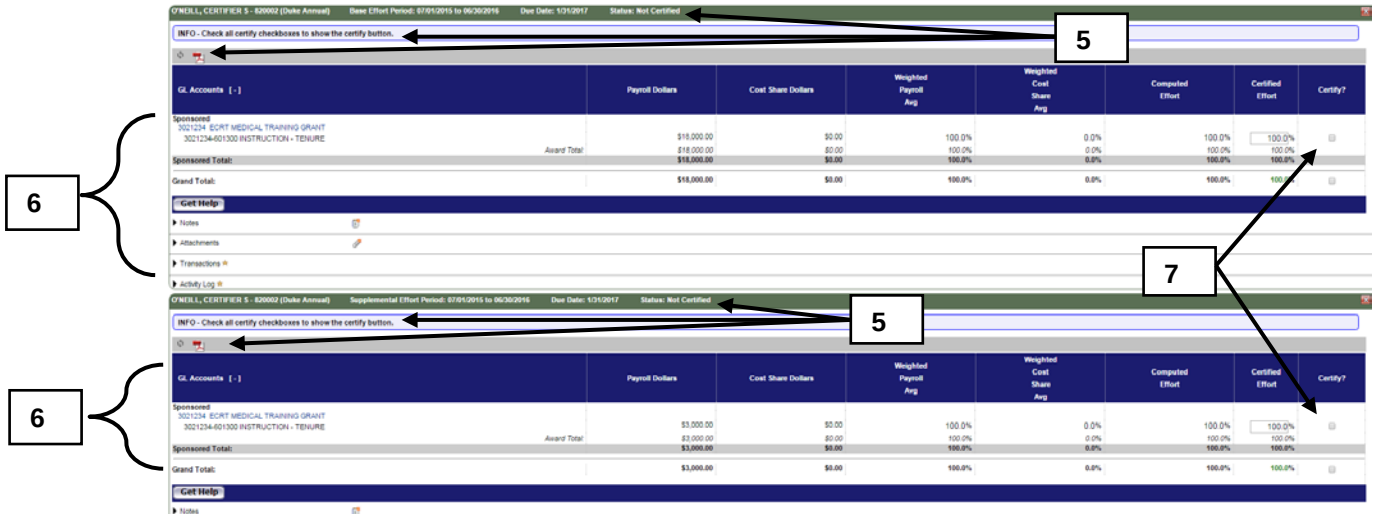
3. The top left section of the statement displays information about the Certifier.

   Note: If the Certifier is a proxy for other Certifiers, all names will be listed here and the name highlighted in purple will be the name displayed.

   Note: If both statements are not "purple", select the "Shift" key and click on the statement that should be highlighted.

Certification Overview – Base and Supplemental Effort (cont.)

4. The top right section provides information about the statement owner (Certifier), the Effort Statement status as well as access to previous certified statements. Notice how both the base and supplemental statements are highlighted in purple.



5. Notice, both effort statements display. The top is base effort and the bottom is supplemental effort. Along the top of each statement, notice information about the certification and the status. A message box will display informational messages. The PDF icon accesses a PDF of the Effort Statement displayed below.

6. The **GL Accounts** lists all the **Cost Objects and G/L Accounts** from which the Certifier has been paid an Institutional Base Salary or a Supplemental Payment. The Sponsored Effort distribution will be listed first followed by Non Sponsored sources. Some Certifiers may also have a section for Other sources following the Non Sponsored group. Select the blue text to view contact information for the PI or person responsible for each source.

Certification Overview – Base and Supplemental Effort (cont.)

7. To certify each Effort Statement, the Certifier:

   - **Confirms** the effort percentages in the outlined input fields in the **Certified Effort** column are correct. This field is pre-populated with the data in the **Weighted Payroll Avg** column.

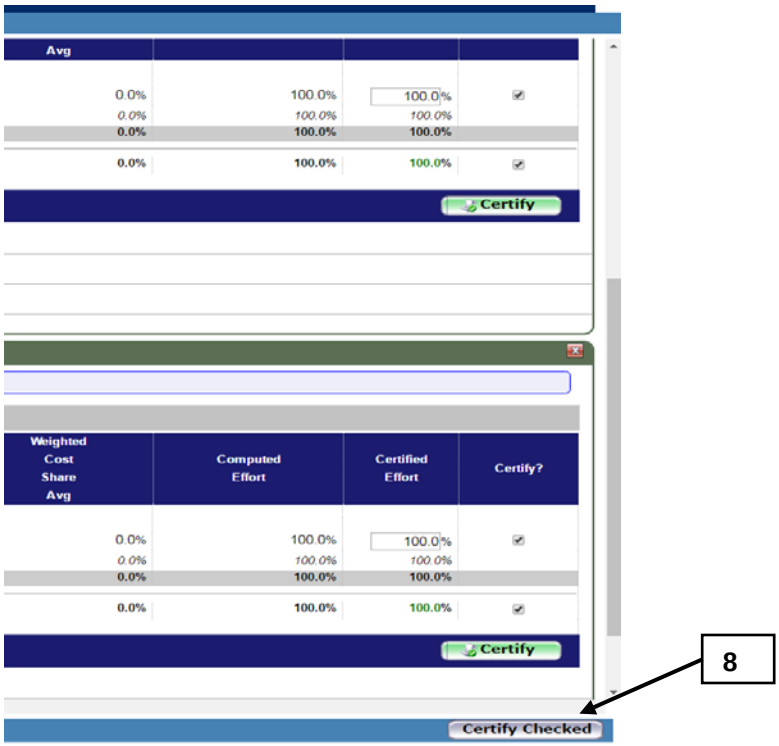
     Note: Certifiers must contact their Effort Coordinators before making any changes to the values in the Certified Effort column.

     Note: ECRT will allow a variance of +/- 0.9%. Thus you can certify from 99.1% through 100.9%

   - Selects the **Certify** checkboxes for each statement.

     *Note: Select the individual line **Certify** boxes or the **Certify** box in the **Grand Total** row on both base and supplemental effort statements.*

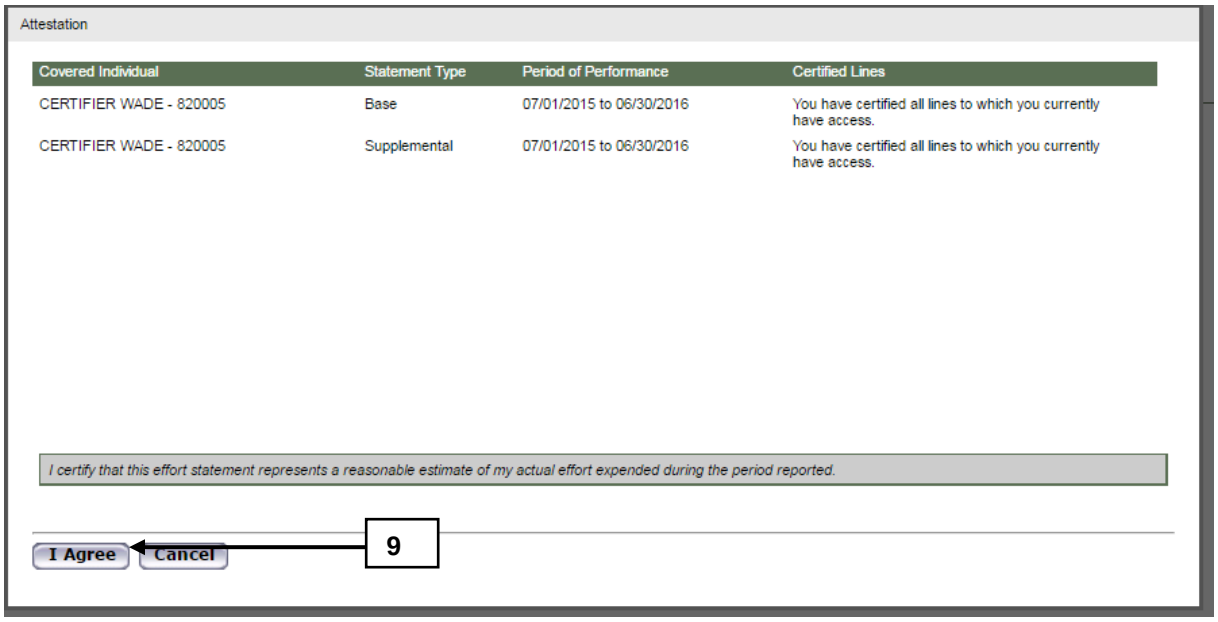
Certification Overview – Base and Supplemental Effort (cont.)



8. Once all rows have been reviewed and confirmed, the Certify button appears on both statements. Additionally Certify Checked appears below both statements. Select Certify Checked to certify both the base and the supplemental effort statements.

Note: ECRT requires a Primary Effort Coordinator be assigned to the BFR/department before allowing a statement to be certified. If a message indicating an Effort Coordinator is missing appears in the INFO section of the effort statement, please send an email to ecrt-support@duke.edu.

Certification Overview – Base and Supplemental Effort (cont.)



9. The Certifier reviews the messages and selects the I Agree button to legally attest to the certification.

10. Once the **I Agree** button is selected:

    - The certification process is complete for the Certifier and the Effort Statement displays. The status of both statements has changed to **Certified, Not Reviewed/Processed.**

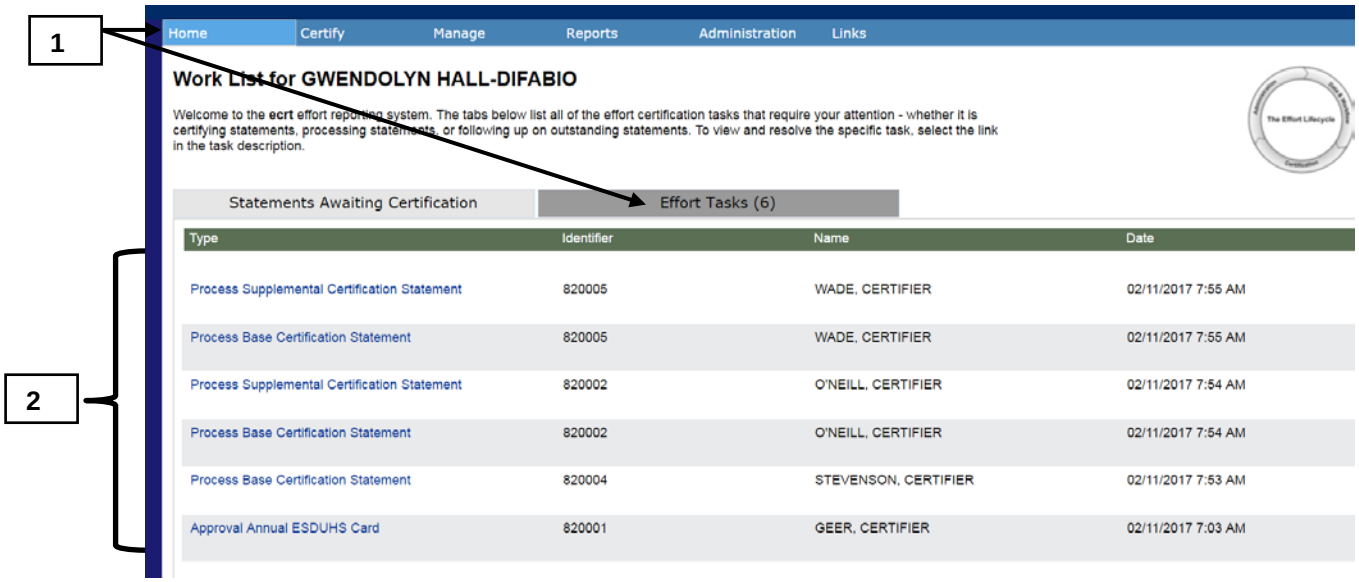
      Certified, Not Reviewed/Processed

    - The Certifier's base and supplemental statements now appear in the Effort Coordinator's **Effort Tasks** list as statements ready for processing.

Note: *Reference the Total Professional Effort (TPE) Guide for Effort Coordinators and the Effort Supporting DUHS (ES-DUHS) Guide for Effort Coordinators for information on processing those types of Effort Statements.*

Processing the Effort Statement

To access the Effort Statement via ECRT Home Page:



Note: As a reminder, the options listed are based on your security roles assigned in ECRT as an Effort Coordinator. Therefore, only the options available for the roles assigned will display. These options are not available to the Certifier.

1. To access Effort Statements of Certifiers, review the **Effort Task** list and select the hyperlink associated with the task to process.

   Note: When a Primary Effort Coordinator (PEC) leaves and another employee is hired into the same position (Position Management #), the tasks are automatically moved to the new Primary Effort Coordinator's Manage Effort Tasks page . If the PEC role is assigned to a different position, the change must be managed by the org unit's SAP Security Administrator.

   Note: Tasks are listed by statement and must be processed separately; therefore, Certifiers may display multiple times.

Processing Effort Statement (cont.)

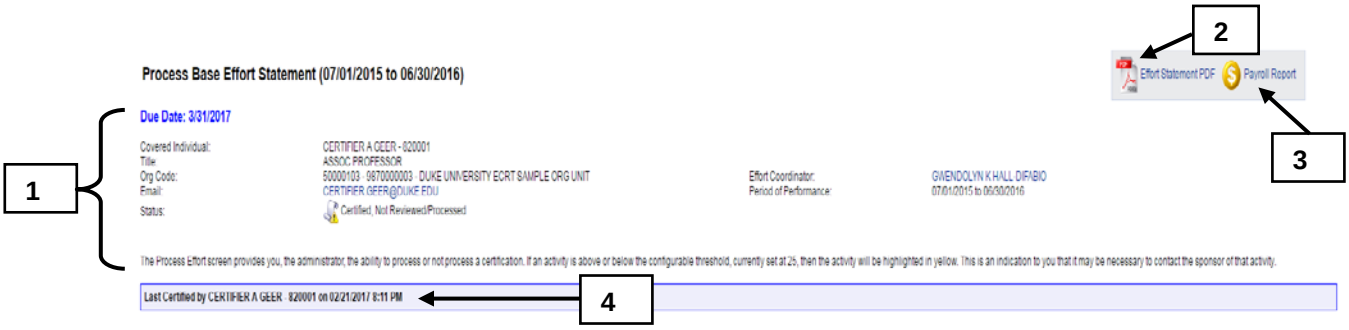
*Note: If no **Effort Tasks** need to be processed, this page does not appear.*

2. Depending on the Certifiers in the unit, Effort Coordinators could find a variety of actions. Effort Coordinators must follow the sequence below when processing tasks:
   1. Approve/Review Total Professional Effort (TPE).
   2. Process Base Certification Statement.
   3. Process Supplemental Certification Statement.
   4. Approve/Review Annual ES-DUHS.

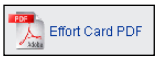
*Note: The above sequence **MUST** be followed when processing Statements. **TPE Statements MUST** be processed **BEFORE any other Statements** (Base or Supplemental) are processed. If this sequence is not followed, the TPE Statement will become locked and unable to be processed if it is not completed first.*

Processing Effort Statement (cont.)

To review and process a Base Effort Statement:



1. Review the Base Effort master data at the top of the page for accuracy as outlined below:
   - **Due Date** = the due date for the Effort Statement to be processed.
   - **Covered Individual** = the Certifier's name whose effort is being processed.
   - **Title** = the Certifier's title.
   - **Org Code** = the Certifier's owning Organizational Unit, the corresponding BFR (Org Code) and the name of the BFR.
   - **Email** = the Certifier's email address.
   - **Status** = the status of the effort process. Will display as "**Certified, Not Reviewed/Processed**" in the beginning of the process.
   - **Effort Coordinator** = the assigned PEC's name.
   - **Period of Performance** = the beginning and ending dates of the Fiscal Year being processed.

2. If desired, select the 

Effort Statement PDF button to display and/or print the PDF file.

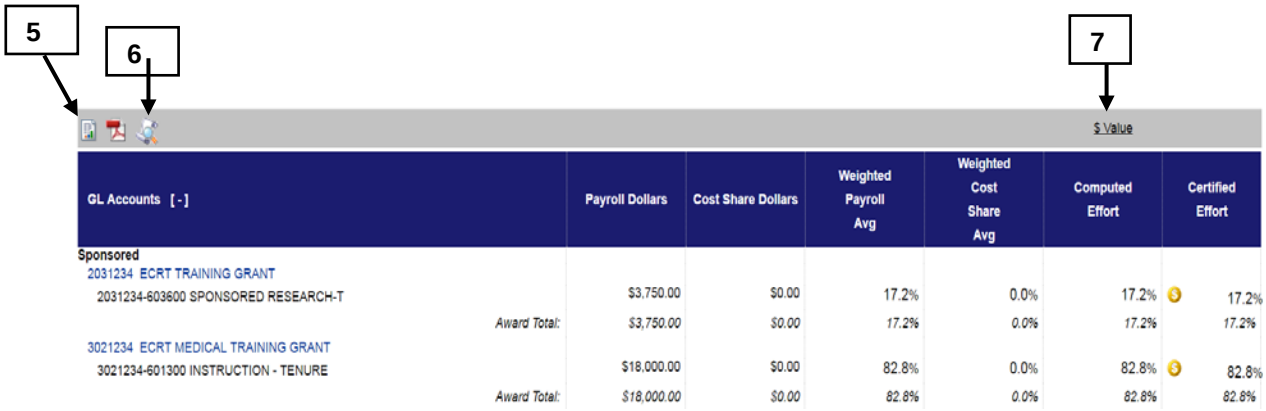
Processing Effort Statement (cont.)

3. Select 

to open a new browser page and access ECRT's Payroll Report, if needed.

4. The name of Certifier, DUID, Date and Time the Effort Statement was certified is displayed.

In the bar above the Effort Statement:



5. Use the **Related Reports** icon to view and select the following reports available for the Certifier (report details are covered in the Reporting section of the Guide).

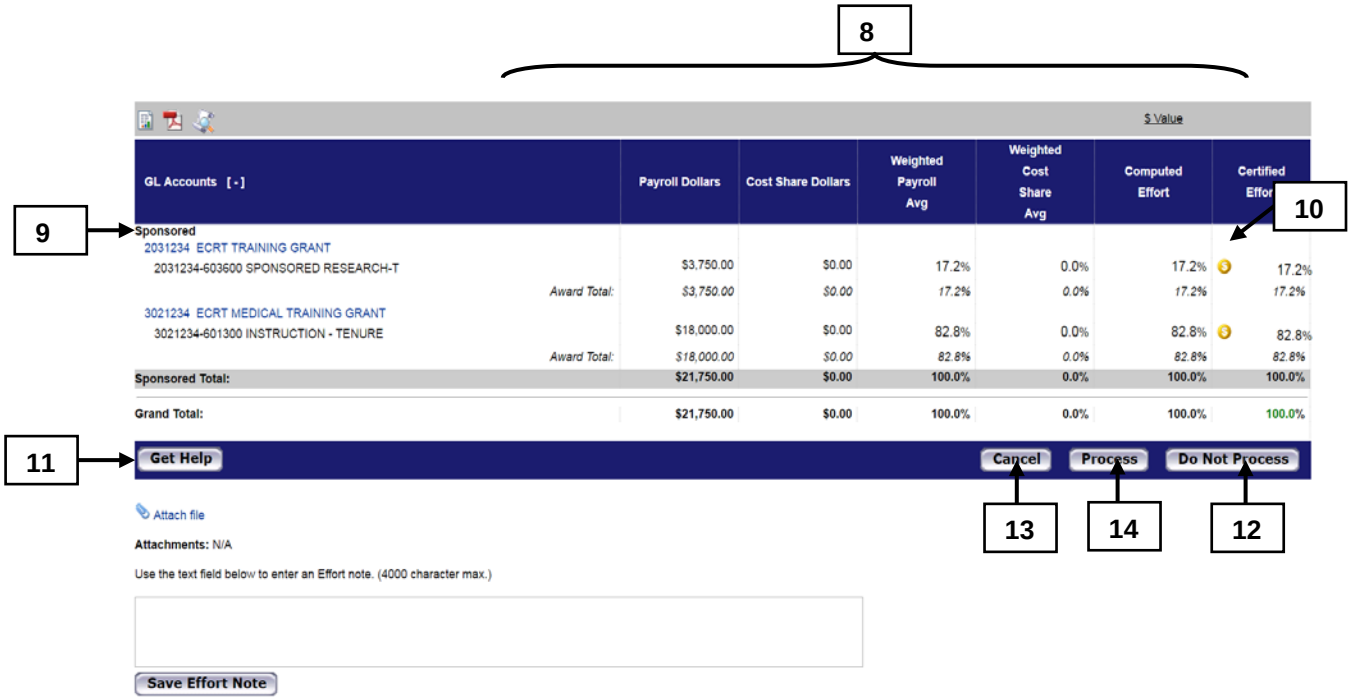
   - **Certification Payroll Report**
   - **Certifier Payroll Summary Report**

6. Use the **Related Statements** link (this link will display only if related statements are available) to view additional statements that may be available for the Certifier, such as:
   - **View Total Professional Effort** - available if applicable (covered in TPE Guide).
   - **View Effort Supporting DUHS Reporting Statement** – available if applicable (covered in ES-DUHS Guide).

7. Select the **Value** link to hide the **Payroll Dollars** and **Cost Share Dollars** column which display as a default. Select the link again to return to default.

Processing Effort Statement (cont.)

In the Base Effort Statement section:



Note: *The data displayed in the Base Effort statement and Supplemental Statement is obtained from the SAP HR/Payroll module.*

Note: *The data displayed in the Base Effort statement is organized as follows:*

- ***Sponsored**: 2xx and 3xx WBSEs (except 391, 399 and all cost centers with G/L 600200)*
- ***Non Sponsored**: all cost centers not listed in the Sponsored or Other Activities categories*
- ***Other Activities**: 391 and 399 WBSEs, all cost centers with G/L 600200*

Processing Effort Statement (cont.)

8. Review the columns of data for accuracy as outlined below:

Column Name	Column Description
CC / WBSE	The Cost Center/WBS Element and G/L Account used to pay the effort-related salary during the fiscal year. Includes long text description of the cost object.
Payroll Dollars	Actual dollars paid for the allocated effort.
Cost Share Dollars	Actual dollars for cost share for the weighted cost share average.
Weighted Payroll Avg.	Represents the Base salary paid during the fiscal year from a NON cost-shared GL account. Salary paid from the CC/WBSE/GL divided by the Total salary paid during the fiscal year = percentage displayed.
Weighted Cost Share Avg.	Represents the Base salary paid during the fiscal year from a cost-shared GL account. Salary paid from the CC/WBSE/GL divided by the Total salary paid during the fiscal year = percentage displayed.
Computed Effort	The sum of the percentages in the Weighted Payroll Avg. and Weighted Cost Share Avg. columns.
Certified Effort	Percent certified by Certifier. Field is pre-populated with the data in the Total Weighted Avg. column. This percentage should be changed only by the Effort Coordinator and only when the statement is in “not certified” status. If the pre-populated percentages are changed AND saved, the Certified Annual Effort column will no longer be pre-populated with the data in the Total Weighted Avg column.

Note: Non-effort related payments, such as relocation reimbursements, are NOT loaded to ECRT.

Note: An out-of-cycle salary increase may require a closer review of the Certified Effort percentage pre-populated by ECRT.

Processing Effort Statement (cont.)

9. Use the **blue bolded text** in the CC/WBSE column to view information as follows:
   - Place your mouse cursor over the **blue bolded text** to display the ***PI Contact*** box, which contains the **Principal Investigator's name and email addres**s (this is only provided for Sponsored Projects, i.e., WBSE beginning with 3xx or 2xx).
   - Click anywhere on the blue bolded **Cost Object** or **associated text** links to view the ***CC/WBSE Summary*** page containing information for that cost object.

10. Use the **Certification Payroll Report** button to display this report if desired.

11. Select **Get Help** to email the Primary Effort Coordinator. This button is available to any role reviewing the statement.

12. Select **Do Not Process** to return the unprocessed statement to the Certifier, which sends an ECRT generated email to the Certifier stating that Effort Statement(s) were not processed.

    Note: The Certifier's name is removed from the Effort Coordinator's Manage Effort Task list, and the status of the Effort Statement(s) is changed from "Certified, Not Reviewed/Processed" to "Not Certified".

13. Select **Cancel** to exit and return to the **ECRT Home Page**, and void any action taken.

14. To process the Base Effort Statement:
    - Review the data for accuracy (especially the CC/WBSE and Certified Annual Effort columns).
    - If needed, **attach files** and **add any notes** per the steps on next page.

Processing Effort Statement (cont.)

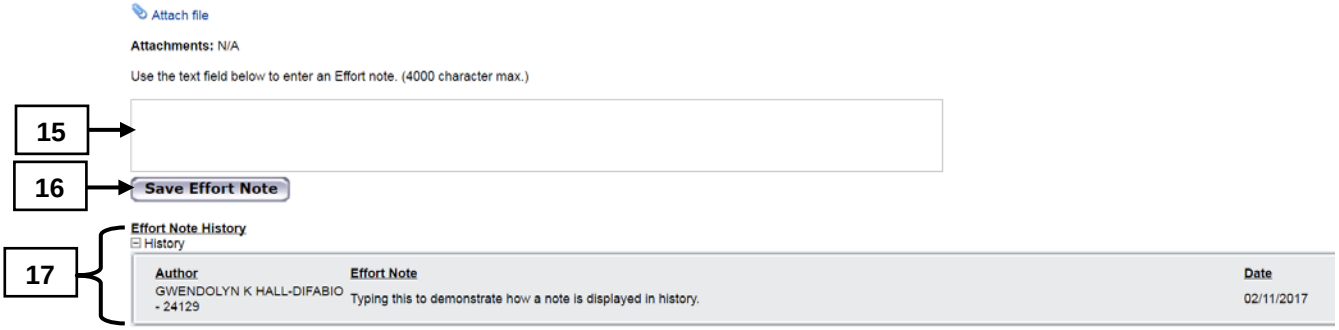
- If the data is correct, select the **Process** button (available only to Effort Coordinators with the rights to process the effort statement). Coordinators will return to the **Effort Tasks** list on the **Home** page.
- Ensure the person certifying and the person processing the Effort Statement(s) are different people.
- If the Certifier is also the Effort Coordinator, either assign another Primary Effort Coordinator (see Managing Effort Certification section of Guide) OR print the Effort Statement, obtain a second signature, attach the fully signed Effort Statement (s), and certify and process the statement.

Note: Processing Supplemental Effort Statements follows the same steps as base effort. The layout and actions on the statement are the same just the data is for supplemental effort vs. base effort.

Note: When attaching a PDF of a manually signed Effort Statement, the Effort Coordinator must add text in the Note field and Save the note explaining the reason for the manual process.

Processing Effort Statement (cont.)

To add a Note to the Effort Statement:



15. Below the **Effort Statement** section, select the text box and enter the note.

16. Select **Save Effort Note** to save the text.

    Note: Each time the **Save Effort Note** *button is used; the* ***text history is saved and cannot be deleted****.*

17. Review the **Effort Note History** section, which lists the Author, Effort Note, and Date of the note, and contains an edit icon.

    -  **Edit Note** – Write new note in the text box to replace a note previously created. After new text is entered select the **Edit Note** icon associated with the note you want to edit. Please note: you cannot edit if the text field is blank.

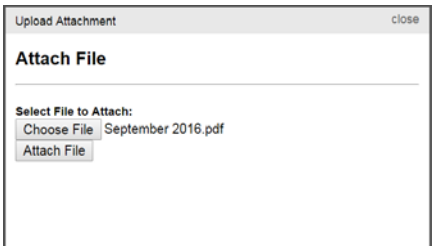
      Note: If you wish to edit the Certifier's note, use the Copy Note icon. As a matter of business practice, an Effort Coordinator should not edit a Certifier's note.

Processing the Effort Statement (cont.)

To attach a file to the Effort Statement:

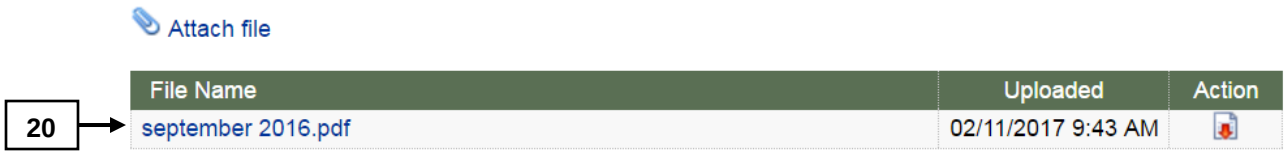
18. Below the effort section, select the Attach file Attach file button.

19. In the resulting Attach File box:
    - Select the file (.**gif, .jpg, .tif, or .pdf**) to be attached using the Choose File **Choose File b**utton. Find the file and select **Open.**



    - Select the Attach File **Attach Fil**e button once the file is displayed.

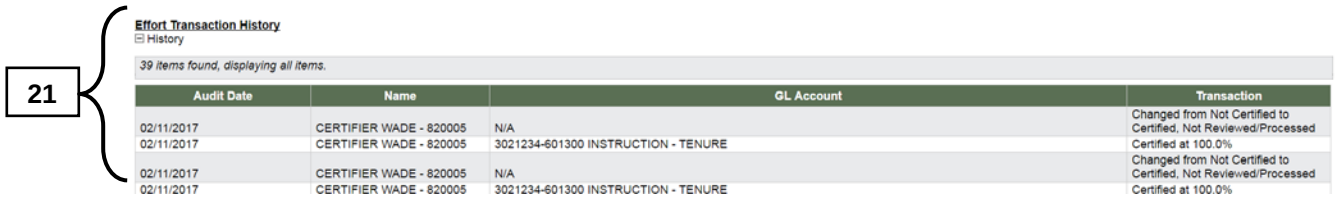
Processing the Effort Statement (cont.)



20. Review the section now displayed, which lists the new file name and the uploaded date and time.

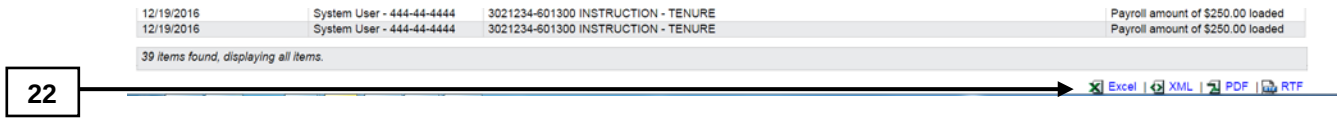
    *Note: The icon link in the **Actions** column may be used to download and then open the attached file. Once a file has been attached, the file cannot be deleted. Only files needed to support the Effort Statement should be attached. Send an email to ecrt-support@duke.edu with questions about whether to attach a file.*

In the section below the Effort Statement, to review the Effort Transaction History:



Note: The Effort Transaction History provides the audit trail for every transaction associated with the Effort Statement, such as certification, processing of statement, and payroll transactions.

21. Review the audit trail.



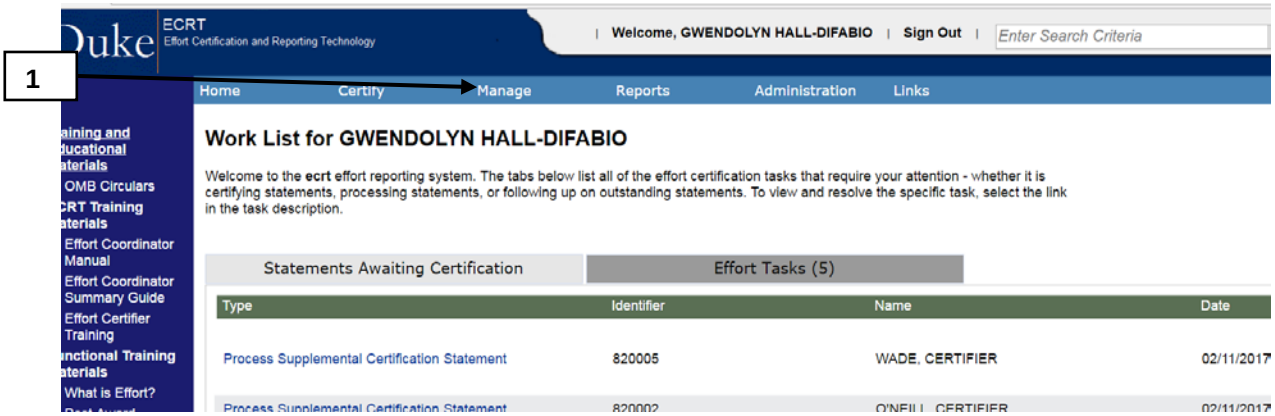
22. At the bottom of the history, use the buttons to export the data to **Excel, XML, PDF**, or **RTF** files.

Processing the Effort Statement (cont.)

To Re-open the Effort Statement for Recertification:

The Effort Coordinator or the Certifier may realize that a processed Effort Statement contains incorrect data. This situation requires that the Effort Statement(s) be opened for recertification (i.e., re-opened, certified and processed again).

On the ECRT Home Page:



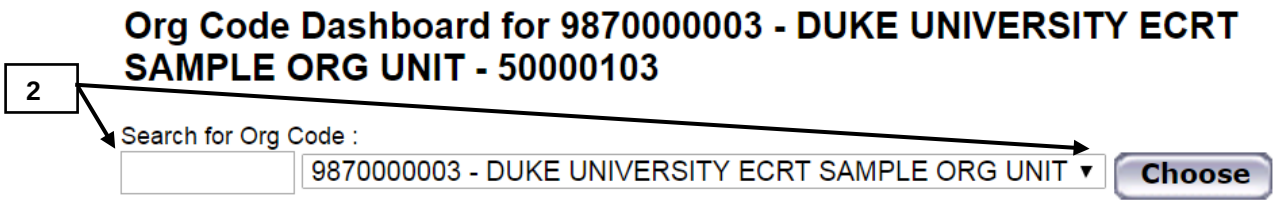
Note: As a reminder, the options listed are based on your security roles assigned in ECRT. Therefore, only the options available for the roles assigned will display.

1. To access the **Org Code Dashboard**, go to the **Manage** page or select **Org Code Dashboard** from the dropdown menu when you hover over **Manage.**

Note: Re-opening an Effort Statement would also be a good time to use the Search Box found in the upper right corner of the Home Page. Search instructions are found in the Searching for Certifiers section of this guide.

Processing the Effort Statement (cont.)

On the Org Code Dashboard page:

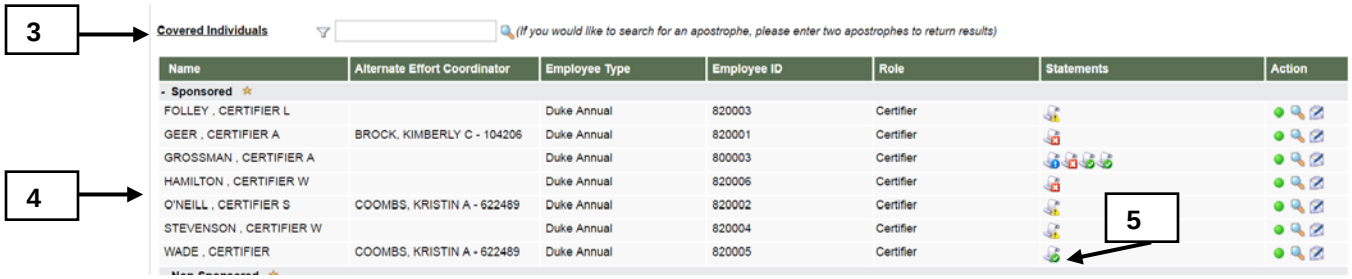


2. If you are the Primary Effort Coordinator with more than one assigned Org. Code, you must select the Org. Code you wish to work with:

   - In the **Search for Org Code** field, Select the **Drop-down** button or enter an Org Code.
   - Select the **desired Org Code** from the list.
   - Select **Choose**.

   Note: If only one Org Code has been assigned, the Org. Code is displayed

   Note: The Org Code Dashboard can also be accessed by typing the Org Code into the Search Box found in the upper right corner of the Home Page. Search instructions are found in the Searching for Certifiers section of this guide.



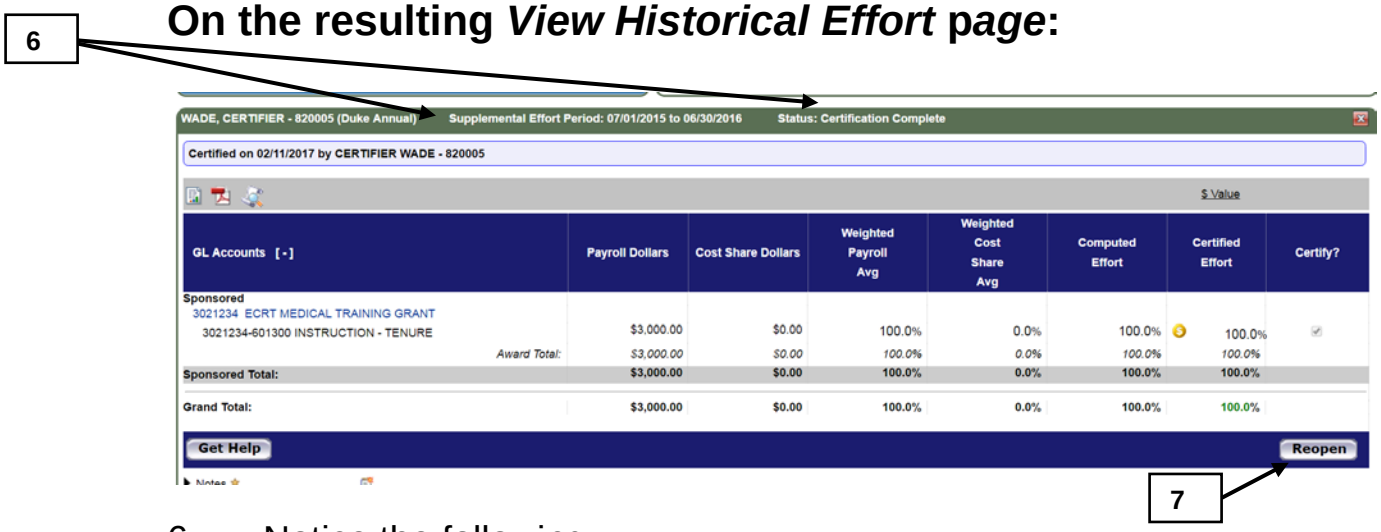
3. On the **People** tab, scroll to the ***Covered Individuals*** section.

4. **Locate the Certifier's name on the list** for the Effort Statement that needs to be re-opened for recertification.

Processing the Effort Statement (cont.)

5. In the **Statements** column for that Certifier, select the **Certification Complete** (green) icon for the Effort Statement's Certification Period that needs to be re-opened.

On the resulting *View Historical Effort* page:



6. Notice the following:
   - The **Certification Period** indicates the Fiscal Year (beginning and ending dates) for the Effort Statement.
   - The **Status** field and icon of the Effort Statement is listed as **Certification Complete.**
   - A new **Reopen** button is displayed in the bottom right corner of the section.

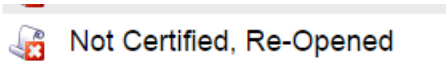
   Note: A comment should be added to the Notes section of the Effort Statement to indicate why the Effort Statement was re-opened for Recertification.

7. Select the **Reopen** button.

   Note: While ECRT will send an auto-generated email to the Certifier notifying them their Statement has been re-opened, the Effort Coordinator must communicate directly with the Certifier to ensure they understand the reason for the re-opening and the necessary next steps.

Processing the Effort Statement (cont.)

8. On both the **Covered Individuals** section of the **Org Dashboard** and on the Effort Statement, the status will display as



Not Certified, Re-Opened.

Note: Certifiers receive an email from the Effort Coordinator in the event their statement is re-opened. While there is default text available for the email, Effort Coordinators can change the text before the email is sent.

Searching for Certifiers

ECRT has a powerful search box which allows Effort Coordinators to search for Certifiers using their last name, DUID, or org code. What makes this search so powerful is if the search identifies a unique piece of data, Effort Coordinators are immediately taken to the screen that most closely matches their data search. For example, an exact match on Org Code will take Effort Coordinators to the Org Dashboard while an exact match on DUID or last name will open that Certifier's Effort Statement.

A soft match, where multiple results are returned, takes Effort Coordinators to the Look-up Page where they can future refine their search.

1. The search box is located in the upper right corner of all pages except the **Look-up Page** where it displays lower on the page. Type the search criteria directly into the box.

   Note: The search is not case sensitive and requires at least three characters to perform the search.

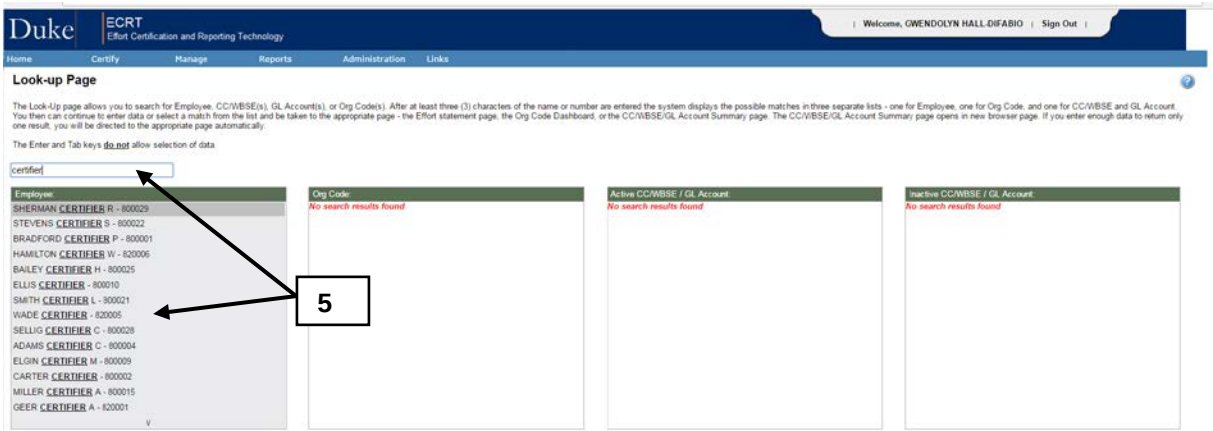
Searching for Certifiers (cont.)

2. In the event an exact match is found (this example is an Org Code), ECRT will automatically redirect Effort Coordinators to the page that is the best match based upon the data entered. **Transferring to page…** will display.

3. In the event an exact match is not found, the number of results found will display under the search box.

4. Select the  **Search** icon to review the results.

Searching for Certifiers (cont.)



5. On the **Look-up Page,** review the data returned based on the search criteria or enter a new search.

   *Note: Any of the results returned on the **Look-up Page** are hyperlinks. Selecting the hyperlink will take users directly to the page most closely linked to that data.*

   Note: Details about how to effectively use the search feature are included on this page above the search box.

6. To exit the search, use the top navigation bar to select a different ECRT page or **Sign Out**.

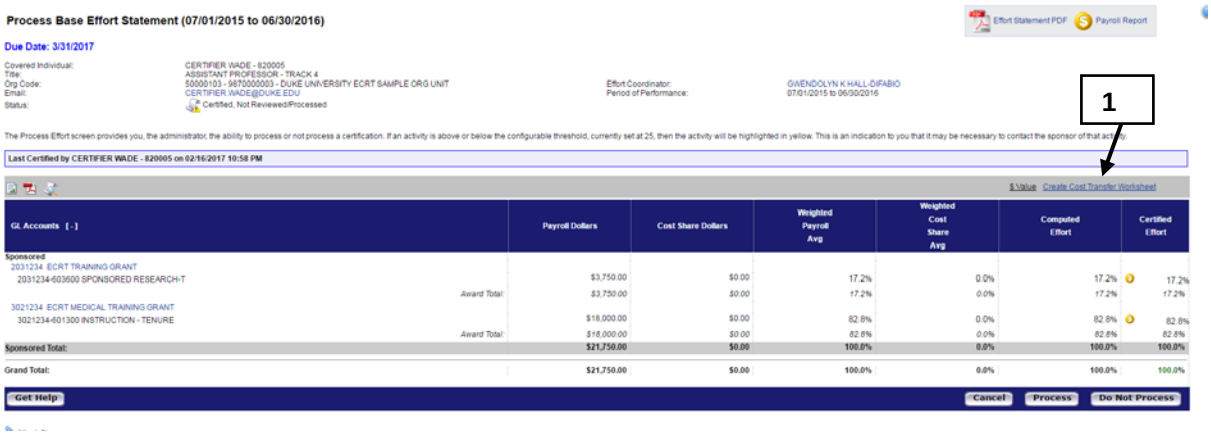
Processing Salary Cost Transfers via iForms

As part of processing the Effort Statements in the **ECRT** tool, a salary cost transfer (iForm) may be needed for a Certifier. From the Effort Statement in ECRT, use the **Create Cost Transfer Worksheet** link to process the iForm. The ECRT Worksheet is for **retroactive changes only** and cannot be used for prospective changes.

Note: Create Cost Transfer is only available in ECRT during the annual certification period. At other times, this process can be done for either the Prior or Current Fiscal Year (but still only retroactively) via the iForms tab in the Duke@Work portal.

Note: This tool can only change effort distributions for an entire month (or months); if the required effort change needs to be effective starting or ending during a month, this tool cannot be used and the change needs to be submitted as a Cost Distribution Change iForm via the Duke@Work portal.

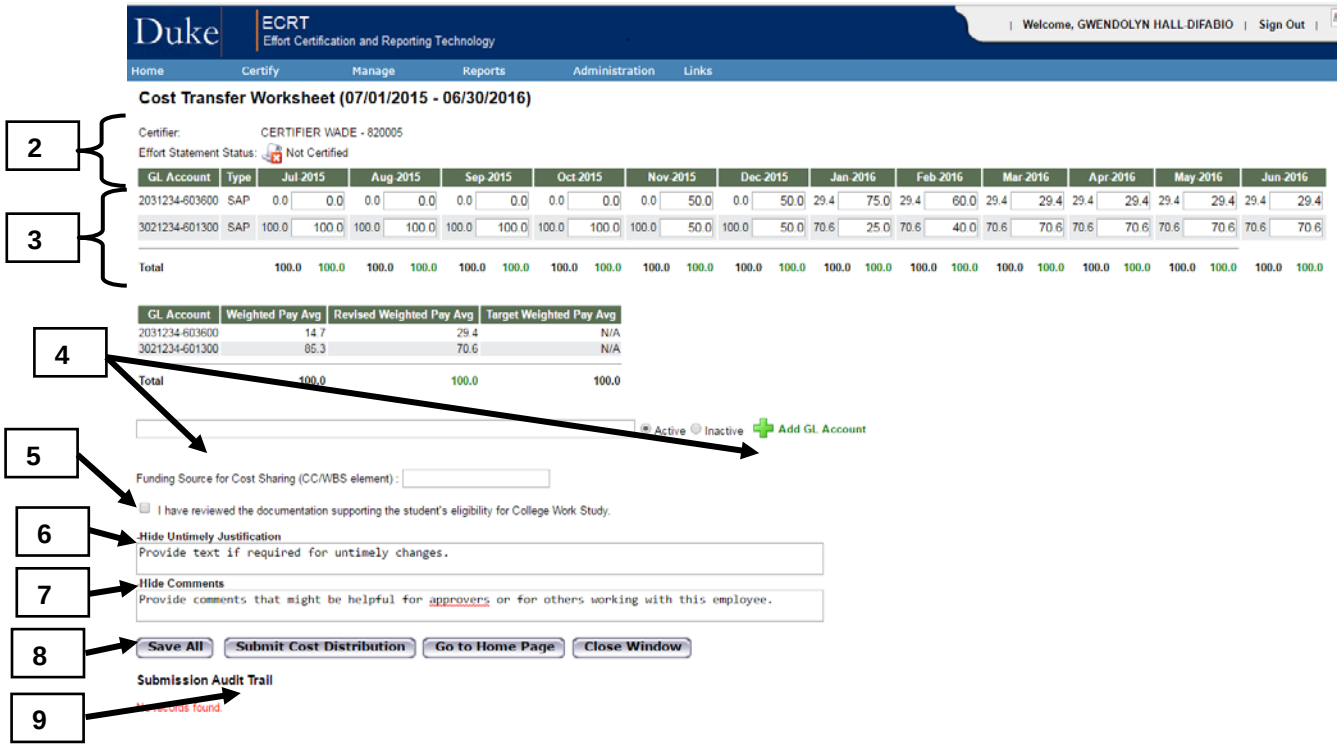
To Create a Cost Transfer Worksheet



1. From the Certifier's Effort Statement, select the **Create Cost Transfer Worksheet.**

Salary Cost Transfer via iForms (cont.)

In the resulting Cost Transfer Worksheet:



2. Verify that the appropriate Cost Transfer Worksheet **Fiscal Year** and **name of person** is displayed at the top.

3. Click in the **outlined input boxes** for the months and enter the **new percentages for the Cost Object / G/L Accounts** (***percentages entered must total to 100.0% for each month***).

   Note: The Type column contains either the value of SAP or MAN to indicate the source of the data. The SAP indicates the data populated from the SAP Payroll system. The MAN indicates the department submitted a Manual Salary Cost Transfer (MSCT) iForm. If MAN displays, changes cannot be made through the Cost Transfer Worksheet and another MSCT iForm should be submitted.

Salary Cost Transfer via iForms (cont.)

4. To add another line to the spreadsheet for a Cost Object and G/L Account combination, follow these steps:
   - Click in the input field and enter a **Cost Object** (fund).
   - Review the list of Cost Object and G/L Account combinations that have been used in the past for salaries.
   - Choose the desired item from the list.
   - Select the 

Add GL Account button.

   Note: Only Cost Object and G/L Account combinations that have already had payroll charges may be added. If a Cost Object and G/L account combination has never had Payroll charges to any Duke employee, the combination cannot be added in ECRT and must be processed through iForms.

5. If applicable, complete the **Funding Source for Cost Sharing (CC/WBS element)** field.

   *Note: This field must be completed if using the **G/L Accounts 600300, 600400, 603300, 603400, 600700, 600800, or 600900** (i.e., Cost Sharing Service Categories 03, 04, 33, 34, 07, 08, or 09).*

6. If applicable, **select the check box** to indicate that you have reviewed the documentation supporting the student's eligibility for College Work Study.

7. If the salary cost transfer is considered "untimely" follow guidance provided in GAP: 200.150 and enter the reason in the **Untimely Justification** field.

8. Provide any necessary additional comments in the **Comments** field.

9. Once all changes are done, select the **Submit Cost Distribution** button at bottom of the form.

   *Note: If preferred, use the **Save All** button to save the changes but not submit the form, or use the **Go to Home Page or Close Window** button to ignore the changes.*

Salary Cost Transfer via iForms (cont.)

10

iForms Submission Summary

(11/01/2015 - 12/31/2015)

	2031234-603600	3021234-601300
% Distribution	50.0	50.0

(01/01/2016 - 01/31/2016)

	2031234-603600	3021234-601300
% Distribution	75.0	25.0

(02/01/2016 - 02/29/2016)

	2031234-603600	3021234-601300
% Distribution	60.0	40.0

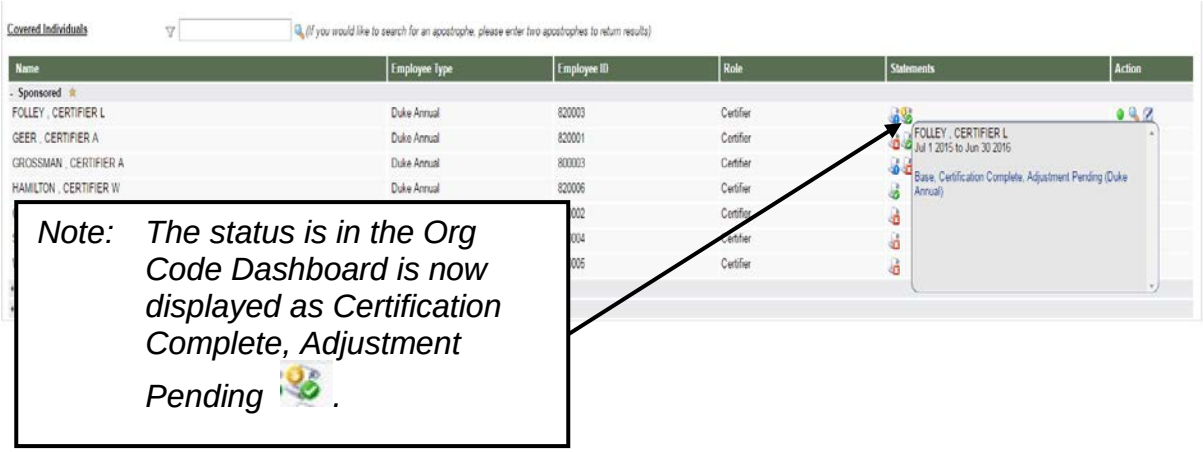
10. After the changes are submitted, review the updated display of the **iForms Submission Summary** found at the top of the **Cost Transfer Worksheet** with a list of all submitted iForms.

Note: *The Cost Distribution form created from these steps will route simultaneously through the normal iForms approval process.*

If there is an error with the Cost Distribution iForm, a draft will be saved in the iForms Universal Worklist, and the Effort Coordinator will need to make necessary corrections to the iForm and submit the iForm to restart the approval process.

Processing Payroll Reconciliation Tasks

After the close of the Certification Period, the Effort Coordinator or the Certifier may realize that the processed Effort Statements were certified and processed with incorrect data. **Only the Primary Effort Coordinator can perform this task.** The steps below cover the situation where payroll adjustment entries have been processed after the Effort Statement(s) were certified and processed.

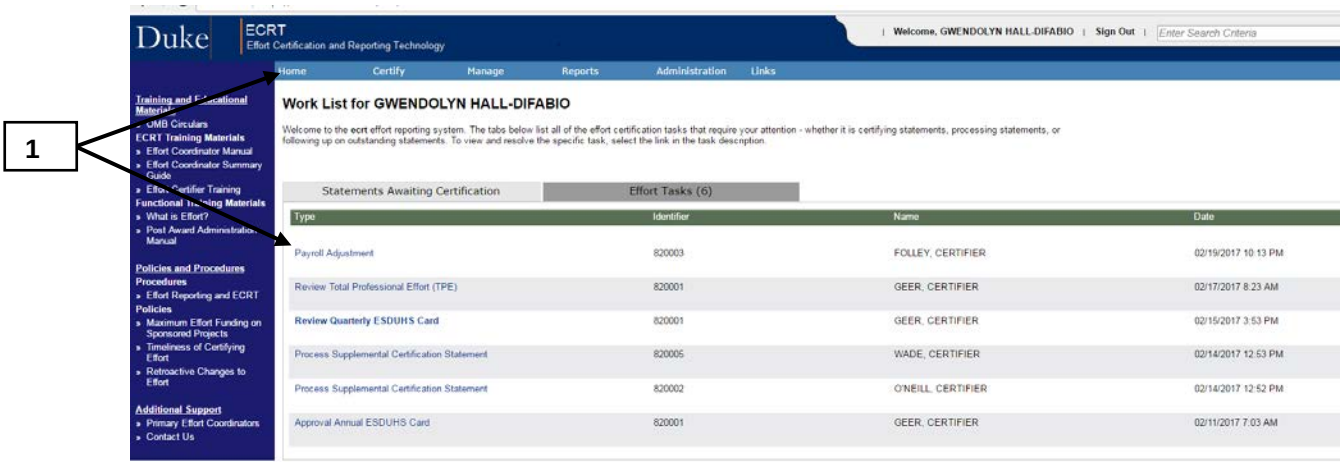


Note: The status is in the Org Code Dashboard is now displayed as Certification Complete, Adjustment Pending .

Processing Payroll Reconciliation (cont.)

To access the Payroll Adjustment via Manage Effort Tasks:

On the *ECRT Home Page*:



Note: *As a reminder, the options listed are based on your security roles assigned in ECRT. Therefore, only the options available for the roles assigned will display.*

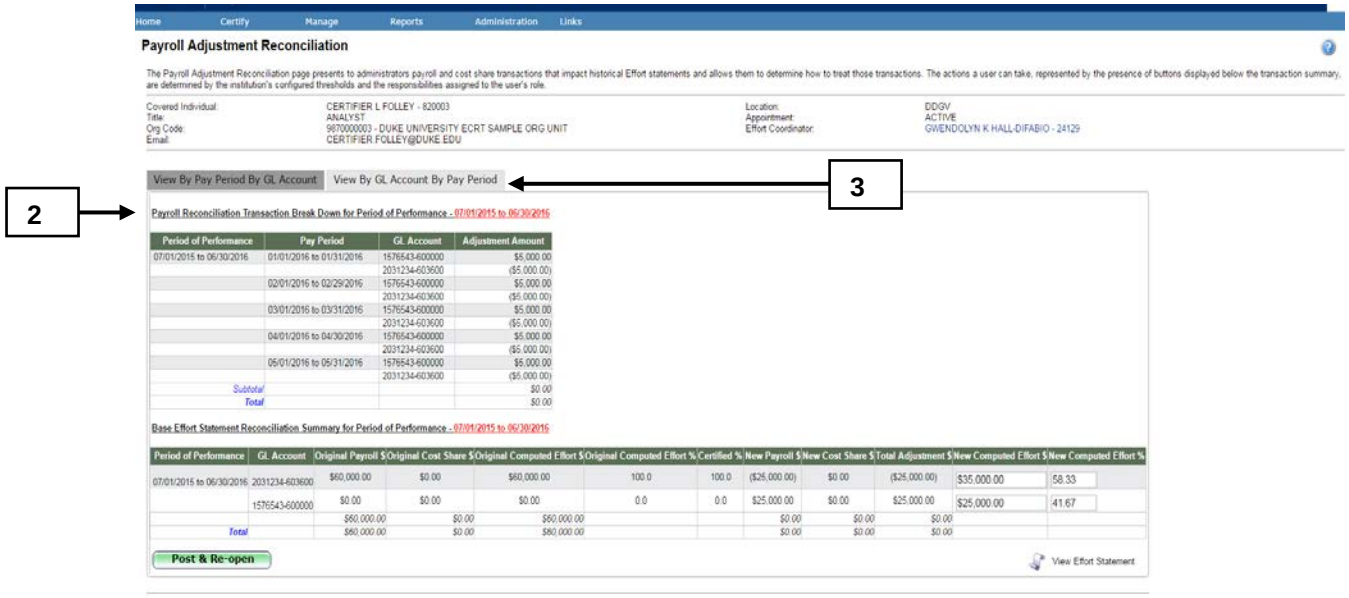
1. To access the Payroll Adjustment, select the appropriate task from the **Effort Task** list.

Note: *No email notifications are sent when the Payroll Adjustment task is created. Check the home page on at least a quarterly basis to see if there are payroll adjustments that need to be resolved.*

Note: *Effort Coordinators should process all Payroll Reconciliation Tasks at least monthly. Outstanding Payroll Reconciliation Tasks will be reviewed by the Effort Support Team in OSP.*

Processing Payroll Reconciliation (cont.)

On the resulting Payroll Adjustment Reconciliation Page:



2. Scroll down to the **Payroll Reconciliation Transaction Break Down for Period of Performance…** section.

3. Notice the **two views available via tabs** for this section as listed below and detailed in the next steps:

   - **View by Pay Period By GL Account.**
   - **View by GL Account By Pay Period.**

4. The **View by Pay Period By GL Account** tab displays as the default. Use this display to see the columns of data sorted **first by the Payroll Period**, and then by Account (CC/WBSE/G/L Account), as shown in example above.

Processing Payroll Reconciliation (cont.)

5

View By Pay Period By GL Account | View By GL Account By Pay Period

Payroll Reconciliation Transaction Break Down for Period of Performance - 07/01/2015 to 06/30/2016

Period of Performance	GL Account	Pay Period	Adjustment Amount
07/01/2015 to 06/30/2016	1576543-600000	01/01/2016 to 01/31/2016	$5,000.00
		02/01/2016 to 02/29/2016	$5,000.00
		03/01/2016 to 03/31/2016	$5,000.00
		04/01/2016 to 04/30/2016	$5,000.00
		05/01/2016 to 05/31/2016	$5,000.00
	2031234-603600	01/01/2016 to 01/31/2016	($5,000.00)
		02/01/2016 to 02/29/2016	($5,000.00)
		03/01/2016 to 03/31/2016	($5,000.00)
		04/01/2016 to 04/30/2016	($5,000.00)
		05/01/2016 to 05/31/2016	($5,000.00)
Subtotal			*$0.00*
Total			*$0.00*

Base Effort Statement Reconciliation Summary for Period of Performance - 07/01/2015 to 06/30/2016

5. Select the **View by GL Account By Pay Period** tab to see the columns of data sorted first by Account (CC/WBSE/GL Account) and then Payroll Period as shown in example above.

6

7

Base Effort Statement Reconciliation Summary for Period of Performance - 07/01/2015 to 06/30/2016

Period of Performance	GL Account	Original Payroll $	Original Cost Share $	Original Computed Effort $	Original Computed Effort %	Certified %	New Payroll $	New Cost Share $	Total Adjustment $	New Computed Effort $	New Computed Effort %
07/01/2015 to 06/30/2016	2031234-603600	$60,000.00	$0.00	$60,000.00	100.0	100.0	($25,000.00)	$0.00	($25,000.00)	$35,000.00	58.33
	1576543-600000	$0.00	$0.00	$0.00	0.0	0.0	$25,000.00	$0.00	$25,000.00	$25,000.00	41.67
		$60,000.00	$0.00	$60,000.00			$0.00	$0.00	$0.00		
Total		$60,000.00	$0.00	$60,000.00			$0.00	$0.00	$0.00		

Post & Re-open

View Effort Statement

6. Scroll down to the **Base Effort Statement Reconciliation Summary for Period of Performance…** section.

7. Review the data and select the **Post & Re-open** button. ECRT reviews the payroll adjustment and could determine that the statement does not require re-opening, thus a **Post Adjustment(s) without re-opening statement** button could display.

Processing Payroll Reconciliation (cont.)

Note: *By clicking on the **View Effort Statement** icon*  *, the Effort Statement will display without the payroll adjustment.*

Note: *Opening the Base Effort Statement only impacts that statement. If applicable, the Supplemental Effort Statement and TPE Statement do not re-open. Contact ecrt-support@duke.edu for assistance with opening the TPE Statement.*

8. Once the **Post & Re-open** button is used, note the following:
   - ECRT automatically sends an email from the Effort Coordinator to the Certifier to inform the Certifier that their Effort Statement(s) has been opened and requires recertification.
   - The **Status** field of both the Effort Statement(s) and the Org Code Dashboard changes to  **Not Certified, Re-Opened Due to Adjustment**.
   - The **Certify** button reappears at the bottom of the Certifier's Effort Statement(s).

Managing Secondary Effort Coordinators

Every School, Department, Division, and Center at Duke University is assigned a ten digit number known as an Org. Code and commonly referenced as the BFR Code. ECRT requires one Primary Effort Coordinator to be assigned to each Org. Code. ECRT will also allow an unlimited number of Secondary Effort Coordinator to be assigned to the Org. Code to assist in the Certification Process.

Effort Coordinators, both Primary and Secondary, are assigned their ECRT security profiles via an SAP Security Request. Requests must list the specific BFR codes and not just the top node of the BFR hierarchy. Therefore, requests to add, delete, or change the security profile of an Effort Coordinator must be submitted to your department's SAP User Administrator.

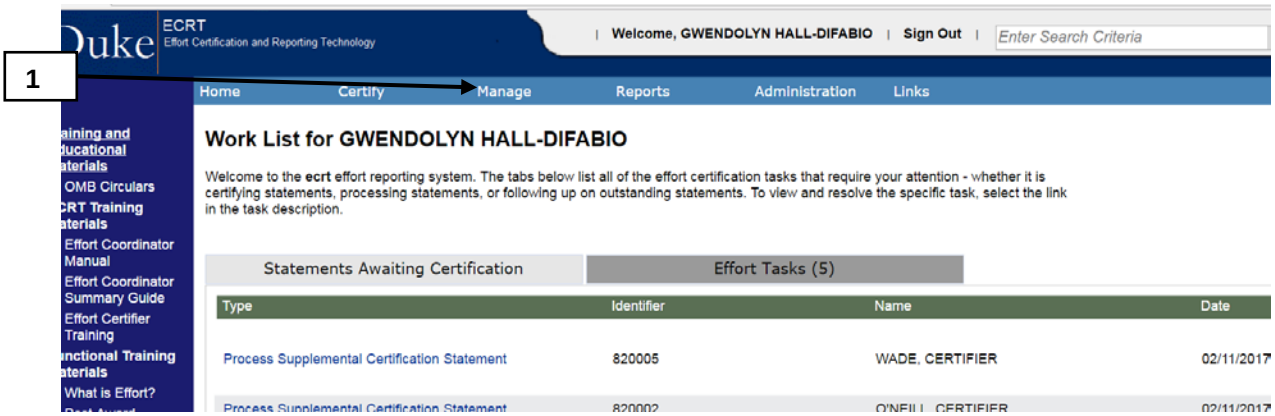
Within ECRT, Secondary Coordinators automatically have access to all Certifiers in their assigned Org Code, but Primary Effort Coordinators can restrict Secondary Effort Coordinators only to specific Certifiers (see Control Secondary Effort Coordinator's Access below). Additionally, the assignment of rights ONLY allows a Secondary Effort Coordinator the right to "Process" the Effort Statement(s) of the named Certifier. No other Primary Effort Coordinator rights are transferred.

Note: *After the Effort Statement has been certified, assigning processing rights to the Secondary Effort Coordinator will **NOT** automatically move the Effort Statement to the Secondary Effort Coordinator's Effort Tasks List. Primary Effort Coordinators can reassign tasks to Secondary Effort Coordinators using the Effort Task Listing Report discussed later in this guide.*

Managing Secondary Effort Coord. (cont.)

To access the Org. Code via the Org Code Dashboard:

On the ECRT Home Page:

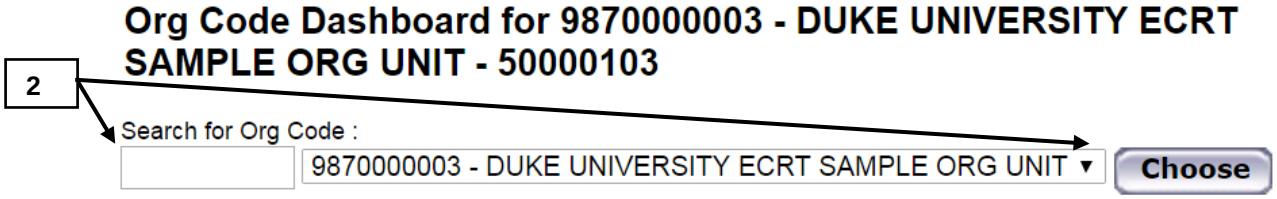


Note: As a reminder, the options listed are based on your security roles assigned in ECRT. Therefore, only the options available for the roles assigned will display.

1. To access the **Org Code Dashboard**, go to the **Manage** page or select **Org Code Dashboard** from the dropdown menu when you hover over **Manage.**

Managing Secondary Effort Coord. (cont.)

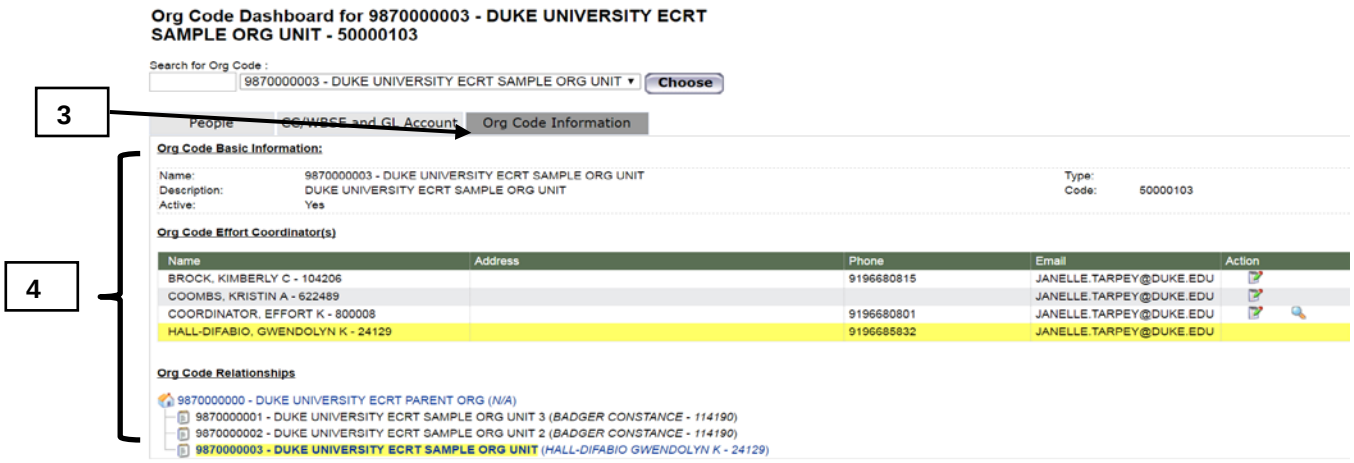
On the Org Code Dashboard page



2. If you are the Primary Effort Coordinator with more than one assigned Org. Code, you must select the Org. Code you wish to work with:

   - In the **Search for Org Code** field, Select the **Drop-down** button or enter an Org Code.
   - Select the **desired Org. Code** from the list.
   - Select **Choose**.

   Note: If only one Org Code has been assigned, the Org. Code is displayed.

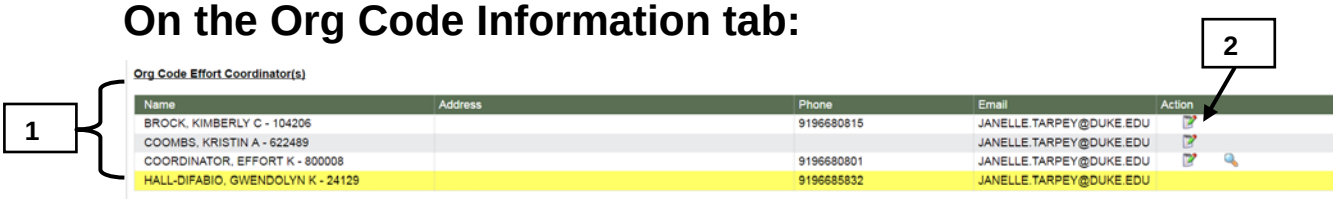


3. Select the **Org Code Information** tab to review information about the Org Code.
4. Scroll down to view information on the Org Code, the Effort Coordinators assigned to the Org Code, and the relationship of the selected Org Code to others.

Managing Secondary Effort Coord. (cont.)

To control Secondary Effort Coordinator's Access:

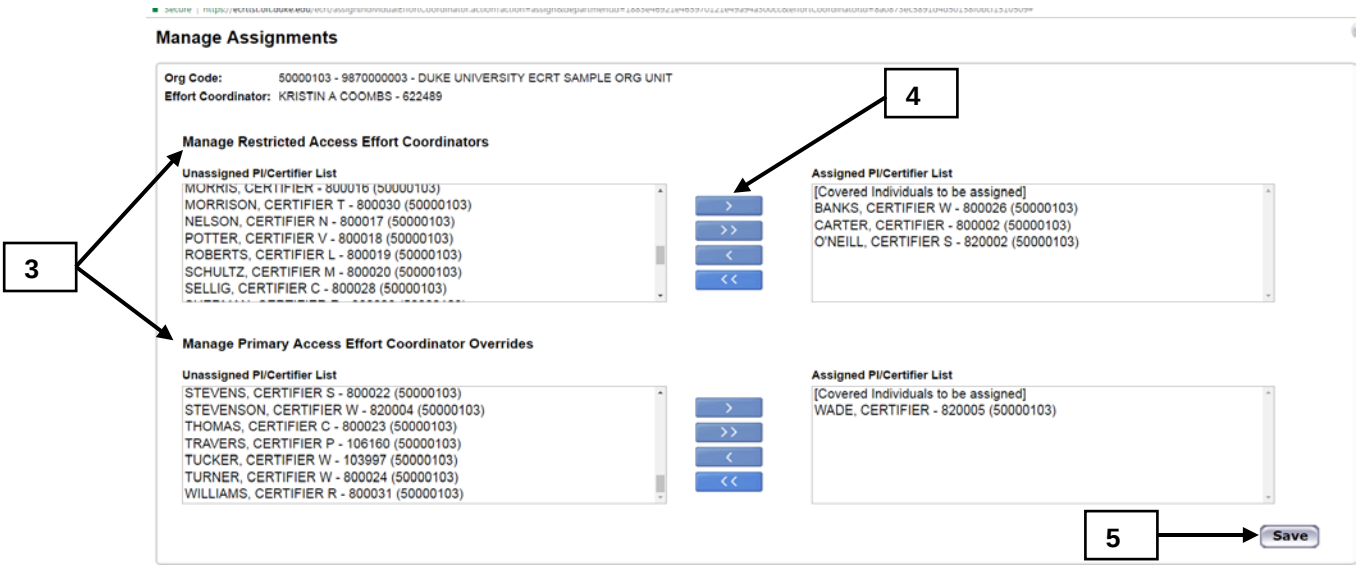
On the Org Code Information tab:



1. Scroll down to view the **Org Code Effort Coordinator(s):** section and note the following:
   - The Effort Coordinator(s) assigned to the Org. Code are displayed per the SAP security profile.
   - The Primary Effort Coordinator's name/row is highlighted in yellow.
2. On the row for the Secondary Effort Coordinator(s), under the Actions column, the Manage Assignments icon allows the Primary Effort Coordinators to restrict the access of Secondary Coordinators. Select that icon to make changes to the Certifiers that the Secondary Coordinator can access.

Managing Secondary Effort Coord. (cont.)

On the resulting Manage Assignments page:



Note: The top section restricts Secondary Effort Coordinator's access to only assigned Certifiers. The bottom section sets the Secondary Effort Coordinator in an "Override" role of the Primary Effort Coordinator for the assigned Certifiers.

3. Review the **Unassigned PI/Certifier List** section containing all employees assigned to the Org. Code that are not assigned to the selected Secondary Effort Coordinator.

*Note: If you are ADDING a new Certifier assignment, names of the Certifiers already assigned to the Secondary Effort Coordinator will be displayed in the **Assigned Certifier List** box.*

4. Use the following buttons to add or remove Certifiers from the Secondary Effort Coordinator's assignment by **selecting one, multiple or all** of the Certifiers listed in the applicable section (*Unassigned PI/Certifier List* or *Assigned PI/Certifier List*) and move those names to the other section as follows:

Managing Secondary Effort Coord. (cont.)

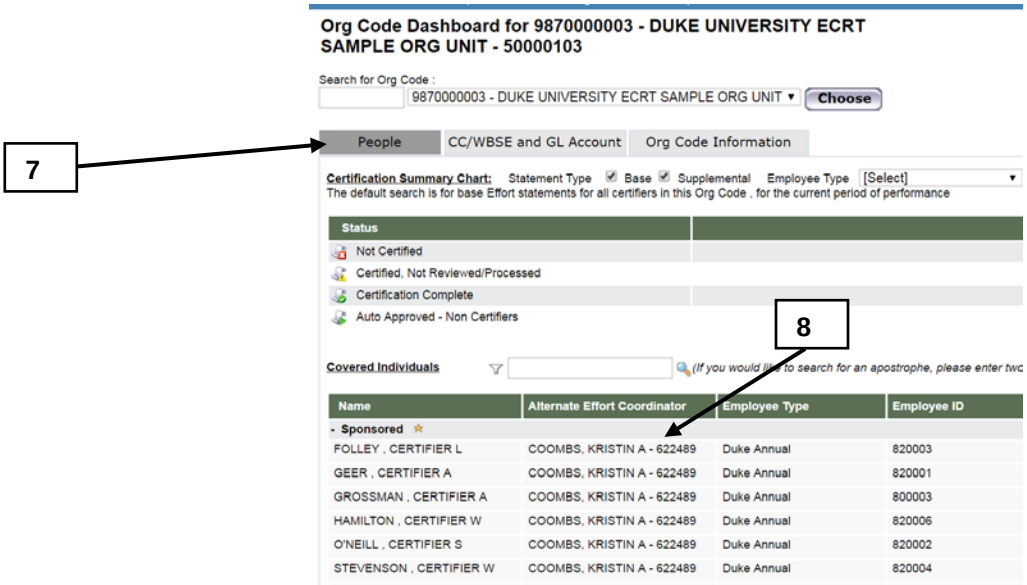
- To move one Certifier from the Unassigned List to the Assigned List, select the name, then select the > **Move selected item in left list to right list** button.
- To move all Certifiers from the Unassigned List to the Assigned List, select the >> **Move all items in left list to right list** button.
- To remove one Certifier from the Assigned List back to the Unassigned List, select the name and select the < **Move selected item in right list to left list** button.
- To remove all Certifiers from the Assigned List back to the Unassigned List, select the << **Move all items in right list to left list** button.

5. Once the Certifiers are selected and moved as needed, select the **Save** button to complete the process. Notice the message at the top of the page confirming the change as successful.

   Note: The selected Certifier's name(s) now appear in the Assigned Department Certifier List.

6. Select the **Close** button to close the page.

Managing Secondary Effort Coord. (cont.)



7. To verify change, return to the **People** tab of the **Org Dashboard** and scroll to the **Covered Individuals** section of the page.

8. Notice the Secondary Effort Coordinators name is listed in the **Alternative Effort Coordinator** column.

Note: The Secondary Effort Coordinator has access ONLY to the Certifier(s) next to the Secondary Effort Coordinator's name.

*Note: This Alternative Effort Coordinator information will also be displayed on the **Certifier's Manage Users** page.*

Managing Effort Certification

All organizations that receive federal funding are required by Federal regulations (as cited in 2 CFR 200.430) to maintain a system of internal control that provides reasonable assurance that payroll charges are accurate, allowable, and properly allocated. The Effort Certification and Reporting Technology (ECRT) system was established to meet this requirement by accumulating payroll data that accounts for 100% of effort for monthly Faculty/Staff.

To determine if Faculty or Exempt Staff qualify as a Certifier:

To determine if Faculty or other Exempt Staff will be required to certify their effort for a fiscal year, use the questions outlined below. If the answer is **"yes"** to EITHER of the following questions, **then the Faculty or Exempt Staff will be required to certify their effort for that fiscal year**:

1. Is effort allocated to a **Restricted Cost Object** (Cost Object beginning with 3xx, or 2xx)?

   *Note: This question does **NOT** include or apply to Restricted Cost Objects beginning with 391 or 399.*

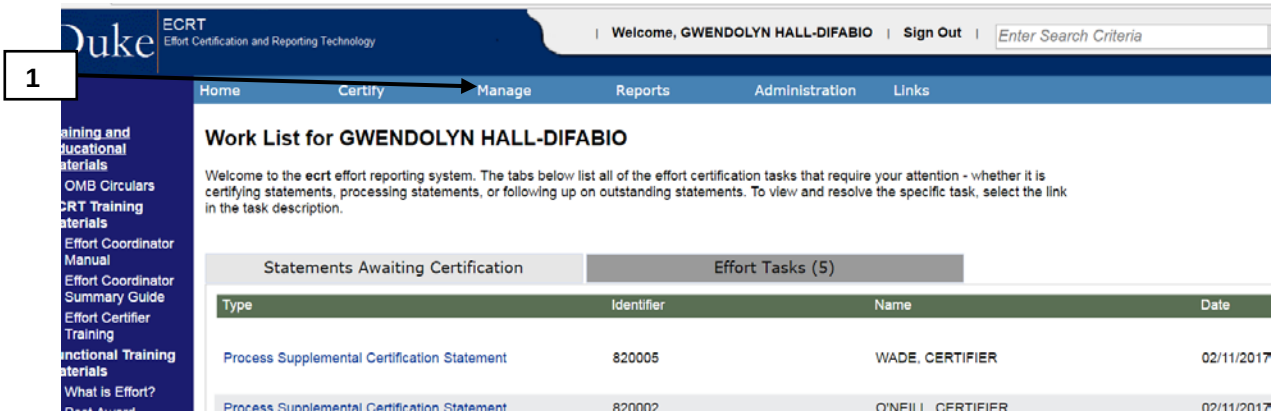
2. Is effort allocated to the 600200 G/L Account on any Cost Center for effort supporting Duke Health System?

Note: Answering "yes" to either the Base OR Supplemental effort, requires that BOTH Base and Supplemental Statements be certified.

Managing Effort Certification (cont.)

To monitor the Certification Status in ECRT:

On the ECRT Home Page:



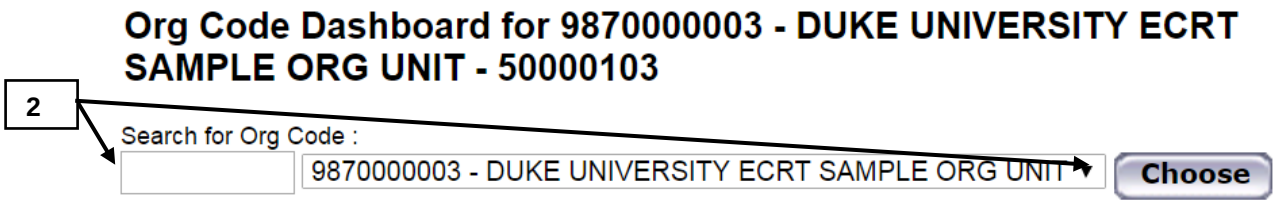
Note: *As a reminder, the options listed are based on your security roles assigned in ECRT. Therefore, only the options available for the roles assigned will display.*

Note: *On the Org Code Dashboard, users will notice a CC/WBSE and GL Account tab. This tab is not discussed in this guide as is does not contain information relevant to Duke's Certification process.*

1. To access the **Org Code Dashboard**, go to the **Manage** page or select **Org Code Dashboard** from the dropdown menu when you hover over **Manage.**

Managing Effort Certification (cont.)

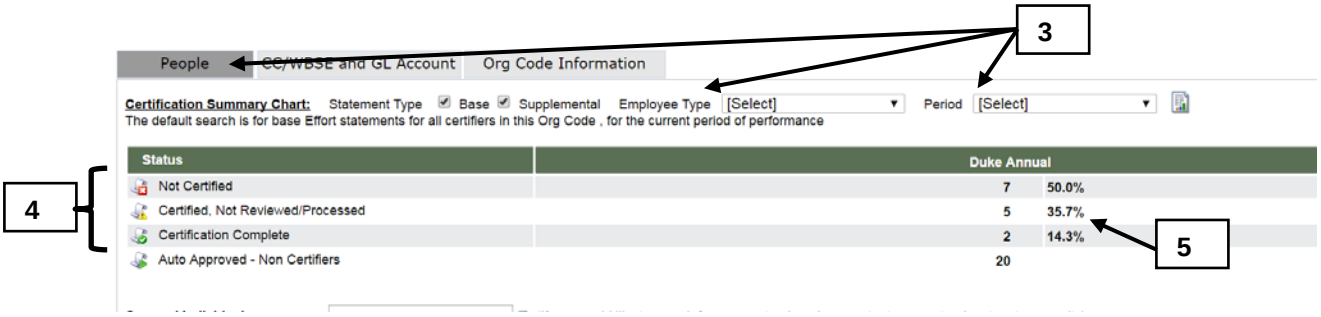
On the Org Code Dashboard page



2. If you are the Primary Effort Coordinator with more than one assigned Org. Code, you must select the Org. Code you wish to work with:

   - In the **Search for Org Code** field, Select the **Drop-down** button or enter an Org Code.
   - Select the **desired Org. Code** from the list.
   - Select **Choose**.

   Note: If only one Org Code has been assigned, the Org. Code is displayed.



3. On the **People** tab, the **Certification Summary Chart** displays for the current certification period. Note that this section:

   - Provides statistics regarding the number of Certifiers whose Effort Statements are in each type of status (outlined in next step).
   - Assists the Effort Coordinator with monitoring the Effort Certification Process for their Org. Code.
   - Defaults to include both base and supplemental effort statements, but can be modified.

Managing Effort Certification (cont.)

- Allows Coordinators to view previous periods through the period selection. The default is current certification period.

4. Review the status types that may be listed as outlined below:

- **Building Effort Statement** – Effort Statements active during the period from July 1 through the start of the Certification Period.
- **Not Certified** – Effort Statements have not yet been Certified by the Certifier or Assigned Proxy. Note that statements cannot be certified until the beginning of the Certification Period.
- **Not Certified, Re-Opened** - Effort Statements were previously completed but then re-opened by the Effort Coordinator, and require certification by Certifier and processing by the Effort Coordinator.
- **Not Certified, Re-Opened due to Adjustment** – Effort Statements were previously completed. A payroll adjustment was processed that caused the certified effort percentages not to equal the payroll percentages by more than 0.9%. The Effort Statements were re-opened by the Effort Coordinator to allow the Certifiers to certify the new percentages, which will then require processing by the Effort Coordinator.
- **Certified, not reviewed/Processed** – Effort Statements were certified by Certifier, and are pending review and processing by Effort Coordinator.
- **Certification Complete** – Effort Statements were certified by Certifier and reviewed/processed by Effort Coordinator. The Certification Process is complete and no further action is required.

Managing Effort Certification (cont.)

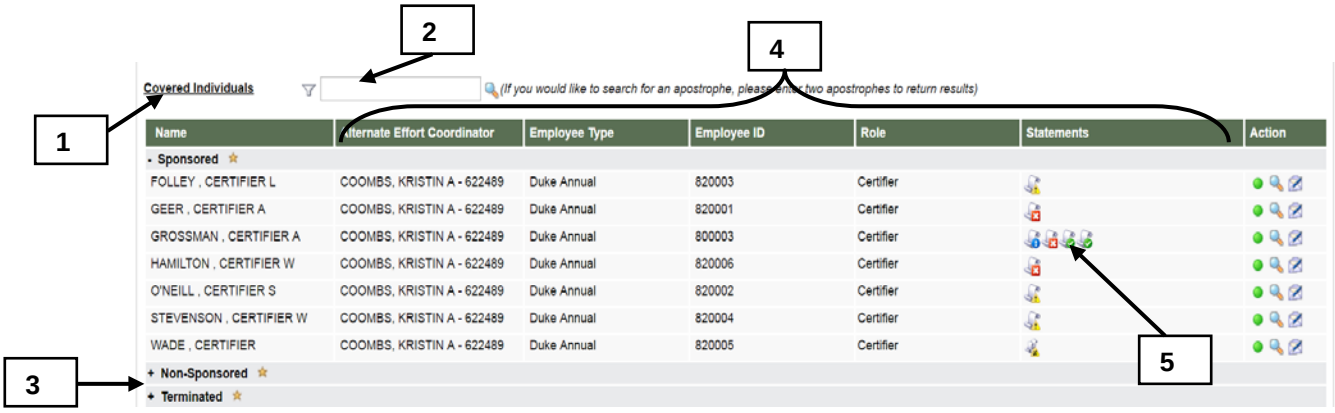
- **Certification Complete, Adjustment Pending** – Effort Statements were previously completed, but a payroll transaction was subsequently processed. This requires that the Effort Coordinator review and post the transaction to the Effort Statement. Based on a 0.9% threshold, ECRT will determine if the Effort Statement will need to be re-opened and certified again.
- **Auto Approved – Non Certifiers** – Employees do NOT meet Certifier criteria. Remember that ECRT contains payroll information for all monthly employees. The Primary Effort Coordinator will receive an email from ECRT at the beginning of the Certification Period listing all employees in their Org Code that have been auto-processed because they are not required to certify their effort.
- **On Hold** or – Effort Statements were put on hold before they were certified. This status "holds" all emails sent by ECRT during the certification period until the Hold is removed. The Hold also prevents a Certifier from certifying the Effort Statements.

5. Review the **Duke Annual** column, which provides the percentage of the total employees for that Org Code in the specified status for the **Selected** Period of Performance.

Managing Effort Certification (cont.)

To review the Certifiers for an Org. Code:

On the *Org Code Dashboard* page:



1. On the **People** tab of the **Org Code Dashboard** page, the **Covered Individuals** section includes a list Effort Statements (current and historical) for all active Certifiers and all historical statements for transferred and terminated Certifiers. Transferred Certifier statements are included in the **Sponsored and Non-sponsored** sections while terminated employees (for prior fiscal year) can be found in the **Terminated** section. Scroll down to view the **Certifiers associated to this Org Code** section.

2. A search box is available to find a specific Certifier. Select the **Filter** to modify the search criteria and select the **Magnifying Glass** to search or to clear the filter.

   Note: The search box in this section is case sensitive and requires all capital letters. Pay particular attention to the note on the screen if working with names that include an apostrophe (for example: O'Neil).

3. In the **Name** column, use the **+/-** symbols to the left of each category of **Sponsored, Non-Sponsored, and Terminated** to expand or collapse the section as needed ("**No Data**" displays if no data exists for the category).

Managing Effort Certification (cont.)

4. Review the columns of data for accuracy as outlined below:

Column Name	Column Description
Name	Lists all exempt employees that are or have been owned by this Org. Code. The names are listed by category – Sponsored, Non-Sponsored, and Terminated.
Alternate Effort Coordinator	Lists the Secondary Effort Coordinator's name that has restricted access to the Certifier's Effort Statement(s) or the Effort Coordinator's name that has "Override" rights to process the Effort Statement(s).
Type	All Duke employees are listed as Duke Annual Type.
Employee ID	The Certifier's DUID.
Role	ECRT Security Role – Unimportant for Coordinators.
Statements	The status of each Effort Statement(s) for each Certifier as identified by the icons, for up to four Certification periods.
Actions	Allows Effort Coordinators to review messages associated with the Certifier, to Edit the Certifier, or to send an email to the Certifier.

5. To review a Certifier's Effort Statement, select the **Status icon** for the desired **Certification Period** under the **Statements** column.

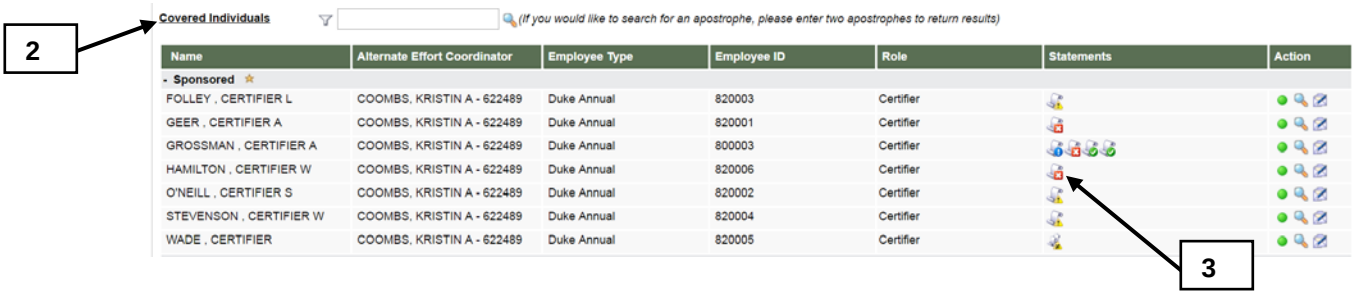
Managing Effort Certification (cont.)

To place a Certifier on hold:

1. Review the information related to placing a Certifier on hold as outlined below:
   - During the review process, the Effort Coordinator may determine that the Certifier's Effort Statement needs to be placed on hold.
   - Base and Supplemental Effort Statements may be placed on hold (if applicable, this option also applies to TPE statements).
   - Placing the Effort Statement on hold stops all emails that are automatically sent by ECRT and prevents the Certifier from certifying the Effort Statement(s).

   Note: Effort Statements can only be placed on hold one at a time.

On the *Org Code Dashboard* page:



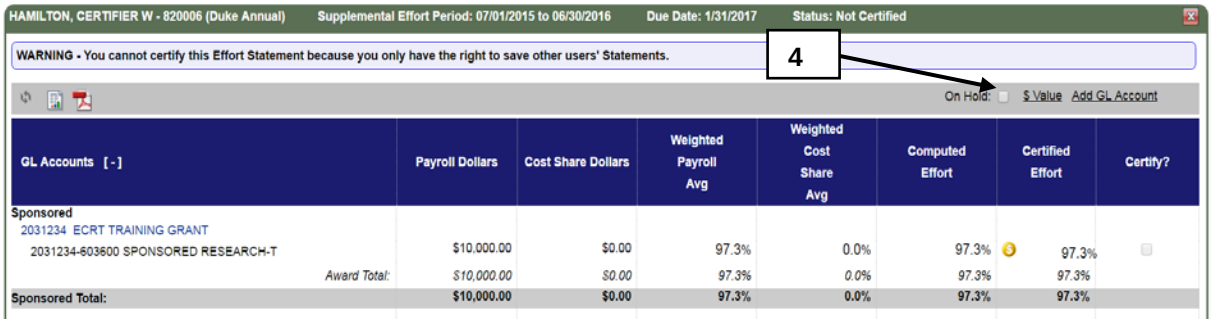
Name	Alternate Effort Coordinator	Employee Type	Employee ID	Role	Statements	Action
- Sponsored						
FOLLEY , CERTIFIER L	COOMBS, KRISTIN A - 622489	Duke Annual	820003	Certifier		
GEER , CERTIFIER A	COOMBS, KRISTIN A - 622489	Duke Annual	820001	Certifier		
GROSSMAN , CERTIFIER A	COOMBS, KRISTIN A - 622489	Duke Annual	800003	Certifier		
HAMILTON , CERTIFIER W	COOMBS, KRISTIN A - 622489	Duke Annual	820006	Certifier		
O'NEILL , CERTIFIER S	COOMBS, KRISTIN A - 622489	Duke Annual	820002	Certifier		
STEVENSON , CERTIFIER W	COOMBS, KRISTIN A - 622489	Duke Annual	820004	Certifier		
WADE , CERTIFIER	COOMBS, KRISTIN A - 622489	Duke Annual	820005	Certifier		

2. From the **People** tab, scroll to view the **Covered Individuals** section.
3. To access the Certifier's Effort Statement, select the **Status** icon for the Fiscal Year being certified under the Statements column.

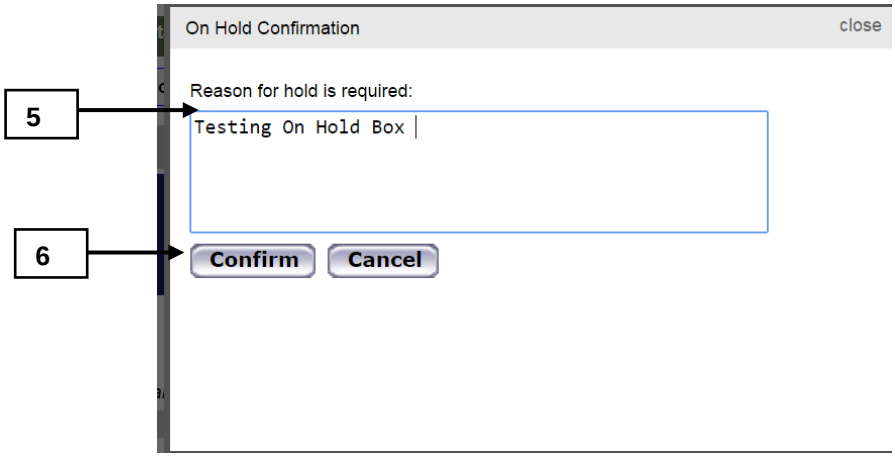
   Note: Once a statement is certified, it cannot be placed on Hold.

Managing Effort Certification (cont.)

On the resulting Effort Statement page:



4. Select **On Hold**...

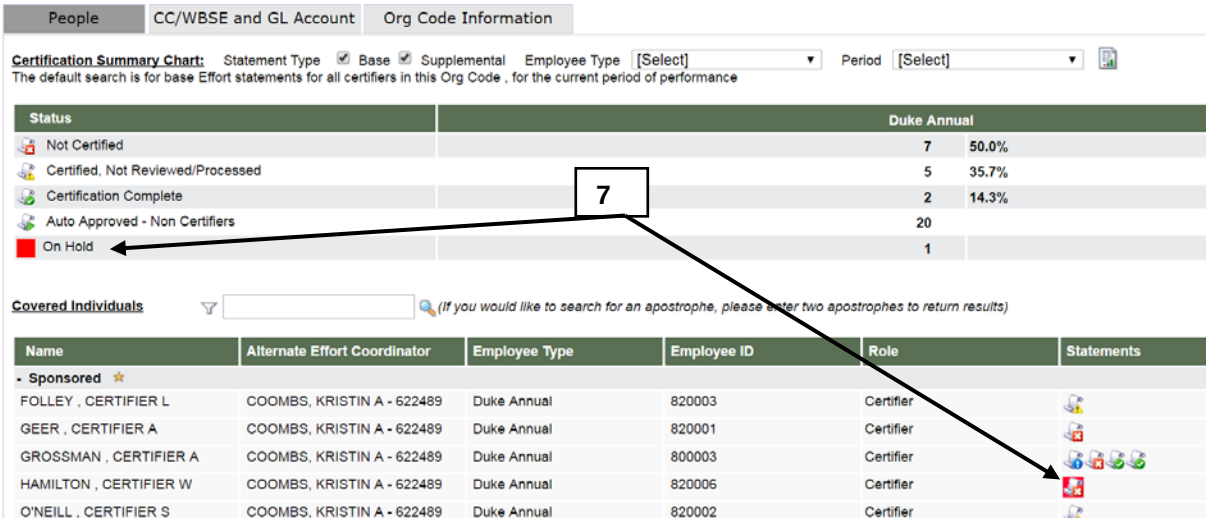


5. In the **On Hold Confirmation** window, enter the **reason for the hold** in the required field. The Reason remains in ECRT even after the Effort Statement has been taken off Hold. OSP monitors the Effort Statements on Hold, including the entry in the Reason for Hold.

6. Select the **Confirm** button. A box-up box will display confirming the Effort Statement was placed on Hold.

Managing Effort Certification (cont.)

On the Org Code Dashboard page



7. A **Status** is added for **Hold** statements and the status icon appears in a red outlined box  or  to indicate the Certifier's Effort Statement is On Hold

8. To remove the On Hold status, open the Effort Statement and remove the check in the **On Hold** box.

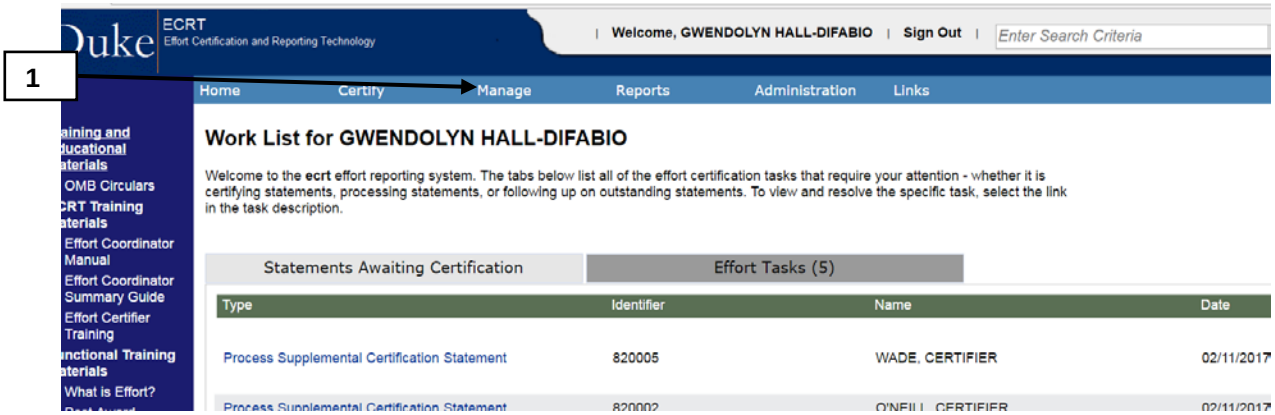
   Note: Once the On Hold status is removed, the ECRT system automatically sends any applicable emails.

Managing Effort Certification (cont.)

To assign a Proxy to a Certifier:

If during the review process, it is determined that the Certifier is not available to certify their effort, a “Proxy Certifier” must be assigned. The Proxy Certifier must have first-hand knowledge of the work performed and the total effort exerted by the Certifier during the Fiscal Year being certified. The Proxy assignment applies to all Effort Statements.

On the ECRT Home Page:

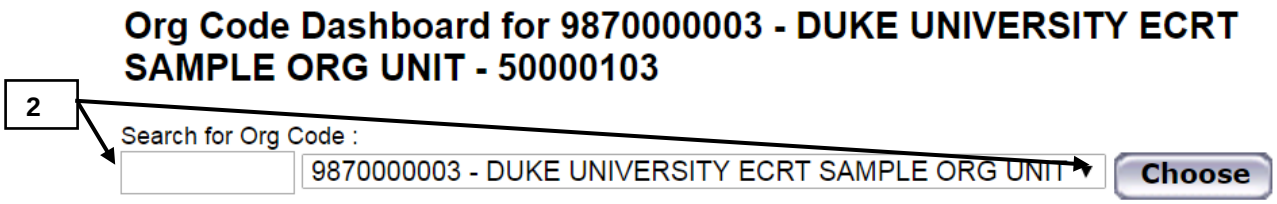


Note: As a reminder, the options listed are based on your security roles assigned in ECRT. Therefore, only the options available for the roles assigned will display.

1. To access the **Org Code Dashboard**, go to the **Manage** page or select **Org Code Dashboard** from the dropdown menu with you hover over **Manage.**

Managing Effort Certification (cont.)

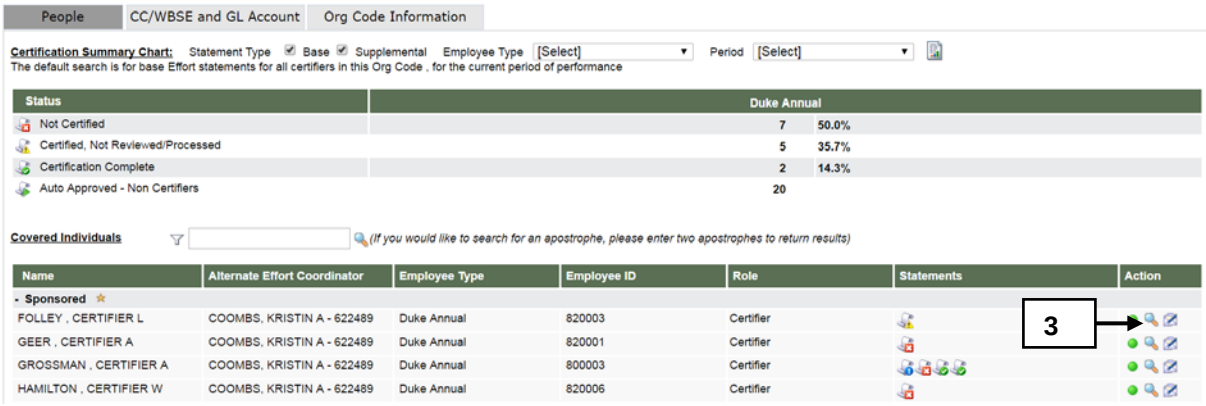
On the *Org Code Dashboard* page



2. If you are the Primary Effort Coordinator with more than one assigned Org. Code, you must select the Org. Code you wish to work with:

   - In the **Search for Org Code** field, Select the **Drop-down** button or enter an Org Code.
   - Select the **desired Org. Code** from the list.
   - Select **Choose**.

   Note: If only one Org Code has been assigned, the Org. Code is displayed.



3. On the **People** Tab, in the **Covered Individuals** section, select the **Edit Certifier** icon found in the **Action** column for the Certifier who needs to have the **Proxy** assigned for them.

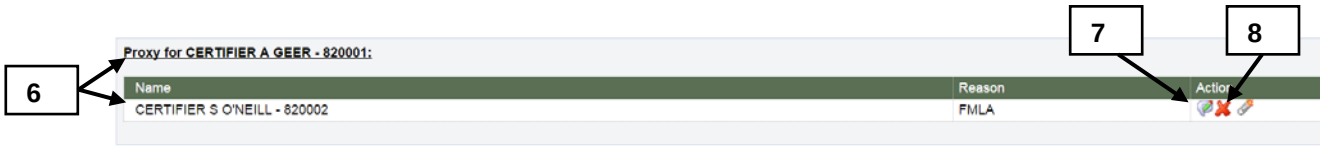
Managing Effort Certification (cont.)

4. From the **Manage User** page, scroll down to the **Proxy** section. Enter the name or DUID of the person who should be this Certifier's proxy and select the appropriate **Reason** from the drop down menu.

5. Once information is entered, **Save Certifier Proxy.**

Note: If the employee selected to be the Proxy already has a Proxy assigned to them, ECRT will NOT allow this employee to be added as a Proxy. Only employees without a Proxy assigned to them can be selected as a Proxy for another Certifier.

Note: The Proxy assignment will remain in effect until it is changed or deleted.



6. The **Certifier just selected as a Proxy is now listed** in the **Proxy for…** section **to indicate this person is now the Proxy for the Certifier**.

Managing Effort Certification (cont.)

*Note: The **Effort Transaction History** found at the bottom of the Effort Statement displays the Proxy Assignment and reason for assigning a Proxy.*

7. **To change the person designated as the Proxy Certifier**, select the **Edit** button in the ***Action*** column.
8. **To remove the Proxy Certifier**, select the **Delete** button in the ***Action*** column.

Note: An email is sent to the Certifier, the Proxy, and the Certifier's Primary Effort Coordinator to inform everyone of the Proxy's appointment, change, or removal.

Note: A Certifier cannot certify an Effort Statement if a Proxy has been assigned. A warning message displays on the Certifier's Effort Statement to indicate the assignment of a Proxy and that the Effort Statement is in a view only mode.

Note: If the Effort Statement is re-opened, an email is sent to the last person that certified the statement – whether they are currently set up as the Proxy or not. ECRT concludes that if they had first-hand knowledge to certify the first time, they still do after the statement was re-opened.

Note: The Proxy will see the Proxy icon on their ECRT Home Page indicating they are responsible for certifying the Effort Statement.

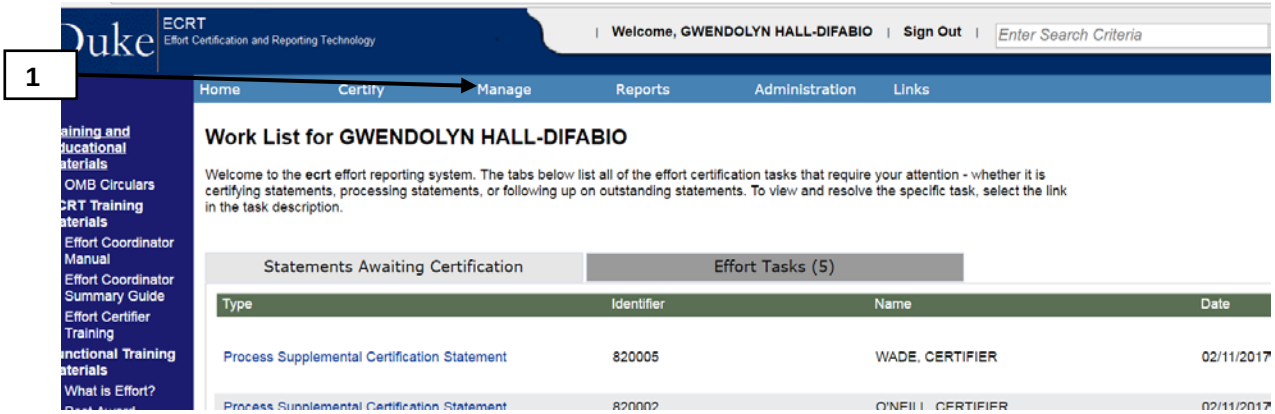
Managing Effort Certification (cont.)

To assign "Override" right to another Org. Code's Primary Effort Coordinator:

If during the review process, it is determined that the Certifier would be better processed by another Org. Code's Effort Coordinator, then an "Override" Primary Effort Coordinator must be assigned. No other Primary Effort Coordinator rights are transferred.

*Note: After the Effort Statement has been certified, assigning processing rights to another Primary Effort Coordinator will **NOT** move the Effort Statement to the other Primary Effort Coordinator's Managed Effort Tasks.*

On the ECRT Home Page:

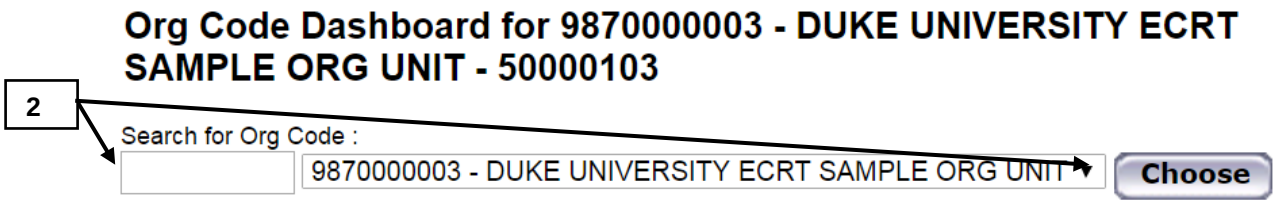


Note: As a reminder, the options listed are based on your security roles assigned in ECRT. Therefore, only the options available for the roles assigned will display.

1. To access the **Org Code Dashboard**, go to the **Manage** page or select **Org Code Dashboard** from the dropdown menu with you hover over **Manage.**

Managing Effort Certification (cont.)

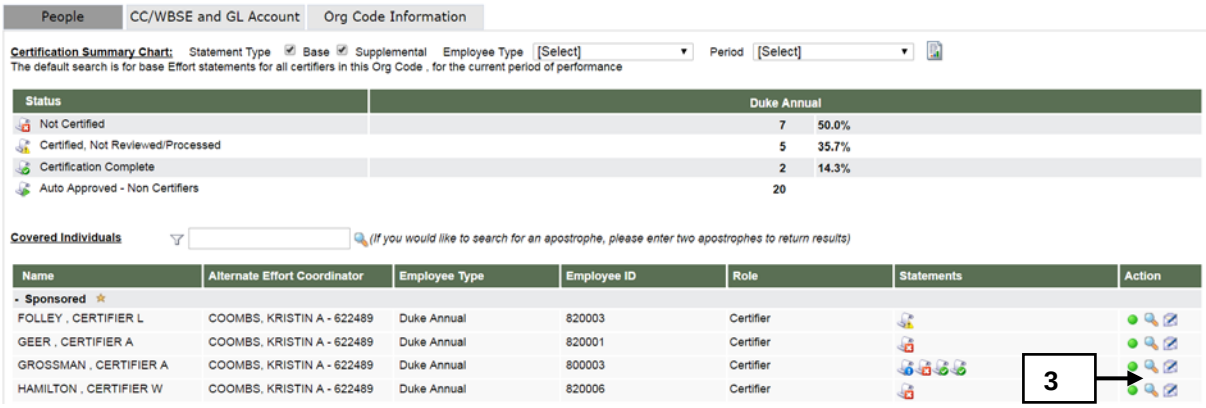
On the *Org Code Dashboard* page



2. If you are the Primary Effort Coordinator with more than one assigned Org. Code, you must select the Org. Code you wish to work with:

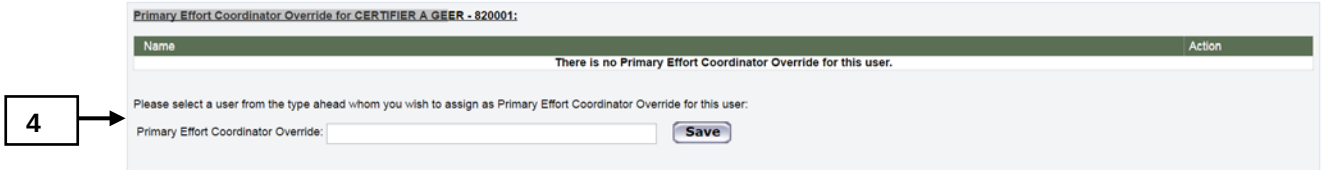
   - In the **Search for Org Code** field, Select the **Drop-down** button or enter an Org Code.
   - Select the **desired Org. Code** from the list.
   - Select **Choose**.

   Note: If only one Org Code has been assigned, the Org. Code is displayed.

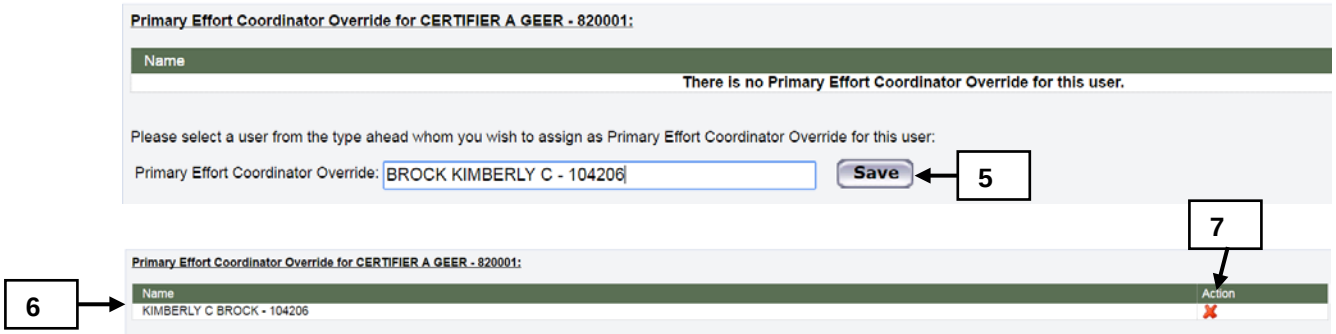


3. On the **People** Tab, in the **Covered Individuals** section, select the **Edit Certifier** icon found in the **Action** column for the Certifier who needs to have the **Override Coordinator** assigned to them.

Managing Effort Certification (cont.)



4. From the **Manage User** page, scroll down to the **Primary Effort Coordinator Override** section. Enter the name or DUID of the person who should be the Effort Coordinator assigned to this Certifier.



5. **Save** the information entered.

6. The **Effort Coordinator** just entered is now listed as the Primary Effort Coordinator Override for the Certifier.

7. **To remove the Primary Effort Coordinator Override**, select the  **Delete** button in the ***Action*** column.

Note: Only Primary or Secondary Effort Coordinators can be selected for this field. A current list of Primary Effort Coordinators is available in ECRT's blue frame on the left side of the screen.

Note: The other Org. Code's Effort Coordinator will retain the right to "Override" or process the Certifier's Effort Statement until the right is changed or deleted.

Managing Effort Certification (cont.)

Note: *Once the Certifier's name appears in the Manage Effort Task page, while the Override Effort Coordinator can be changed, the Managed Effort Task must be moved to the new Override Effort Coordinator.*

Note: *If the Effort Coordinator with the "Override" right is from another Department, the Effort Coordinator with the "Override" right will be listed as a Secondary Effort Coordinator (restricted access) in the Certifier's Org Code Dashboard.*

Reviewing ECRT Reports

ECRT Reports are available on the Reports page. The Reports page is accessed from the home page. Some reports can be accessed via the Reports Icons located on both the Org Dashboard and in Effort Statements.

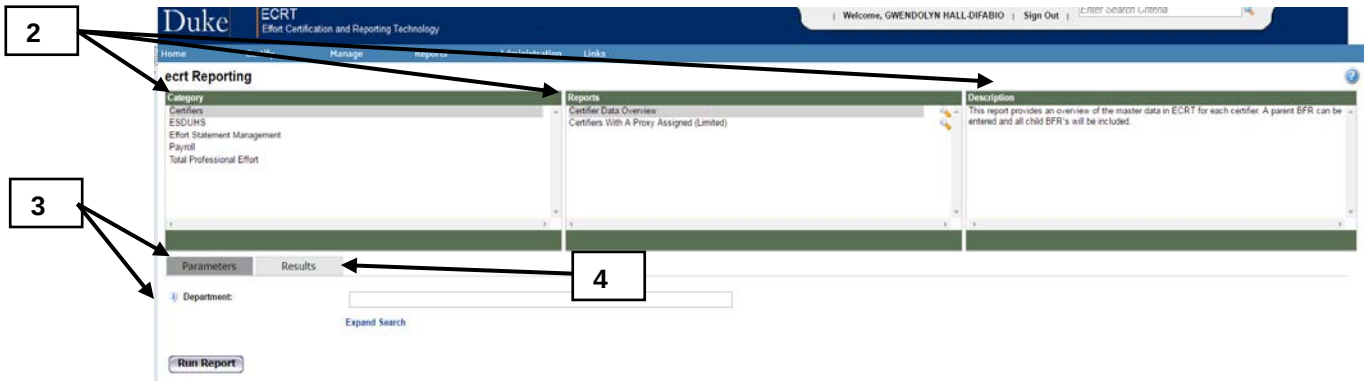
To access the ECRT reports via the Home Screen:

*Note: The steps below show how to access the **Reports Page** through the **Home Page**. Accessing via an icon takes you directly to the **Reports Page**.*

Note: As a reminder, the options listed are based on your security roles assigned in ECRT as an Effort Coordinator. Therefore, only the options available for the roles assigned will display. These options are not available to the Certifier.

1. To access the Reports Page, select the **Reports** along the top of the home screen.

Reviewing ECRT Reports (cont.)



2. On the **Reports Page,** notice the three sections:

   - **Category** provides different categories of reports, organized by topic. The category highlighted in gray, defines the reports that display in the **Reports** section.

   - **Reports** provide the specific reports available based on the **Category** selected.

   - **Description** provides a detailed description of each report and changes as different reports are selected.

3. **Parameters** are entered to pull results for each report. **Parameters** vary based on the report being executed. Additional information about parameter requirements is available by selecting the **information icon**.

4. **Results** display after **Run Report** is selected**.**

Note: This guide will highlight the most frequently used reports. Specific information on ES-DUHS reports and Total Professional Effort reports are covered in the guides for those topics.

Reviewing ECRT Reports (cont.)

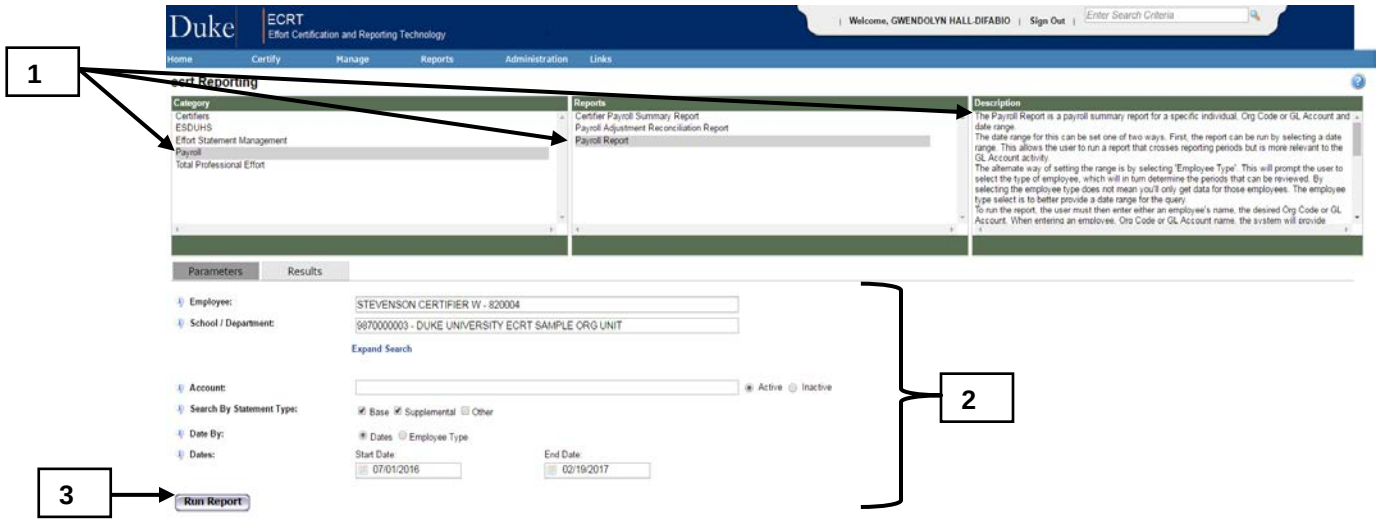
To execute the Payroll Report:

The Payroll Report is a payroll summary report for a specific individual, Org Code or G/L Account and date range. See the description in ECRT for more details.

Note: *This report is available via the* ***Reports icon*** *on the* ***Base Effort Statement*** *and the* ***Org Code Dashboard.***

Note: *This report does NOT include transactions sitting in the Payroll Reconciliation Tasks box.*

On the *ECRT Reports* page:



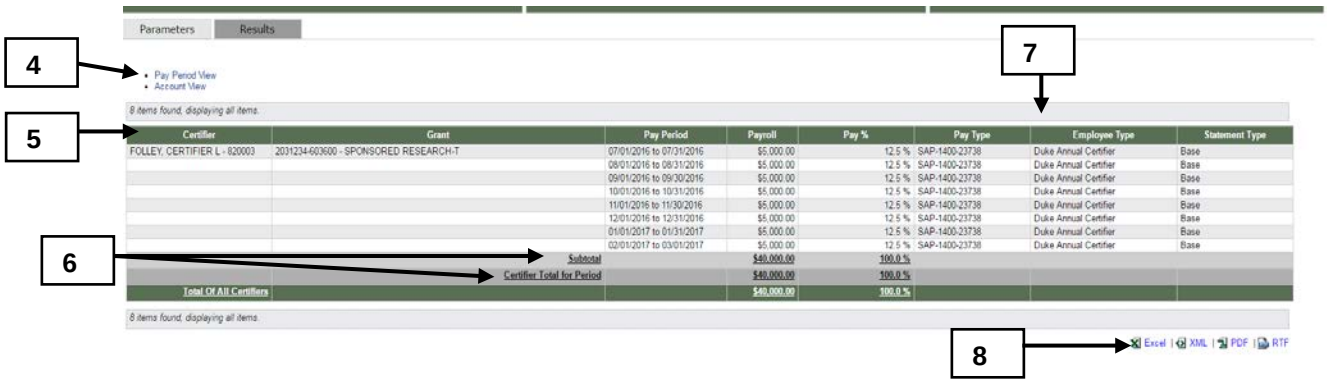
1. Select **Payroll Report** from the **Payroll** category. Make sure to read the **Description** to familiarize yourself with the report.

2. Enter data to execute the report. Hovering over the information icon provides details about the data required for each field.

3. After data is entered, select **Run Report.**

Reviewing ECRT Reports (cont.)

In the resulting Payroll Report based on the selections made in the previous steps:



4. Select the tab to choose one of the report formats as follows:
   - **Account View** = shows the breakdown by CC/WBSE cost object and percentages
   - **Pay Period View (Default)** = shows the breakdown by pay period.

5. Review the columns of data for accuracy as outlined below:

Column Name	Column Description
Certifier	The last name, first name, and Duke Unique ID (DUID) for the Certifiers listed
Pay Period	Beginning and ending dates of the Monthly Pay Period.
Grant	The CC/WBSE Cost Object and G/L Account Code with the G/L Account Code description.
Payroll	Amount charged to CC/WBSE for the respective pay period.
Pay Percentage	The percent of effort.
Pay Type	The source of pay indicated as follows: • SAP = generated through the SAP Payroll system • MAN # = Manual Salary Cost Transfer IForm
Employee Type	Always will display as Duke Annual Certifier
Statement Type	Shows if payment represented base or supplemental effort

Reviewing ECRT Reports (cont.)

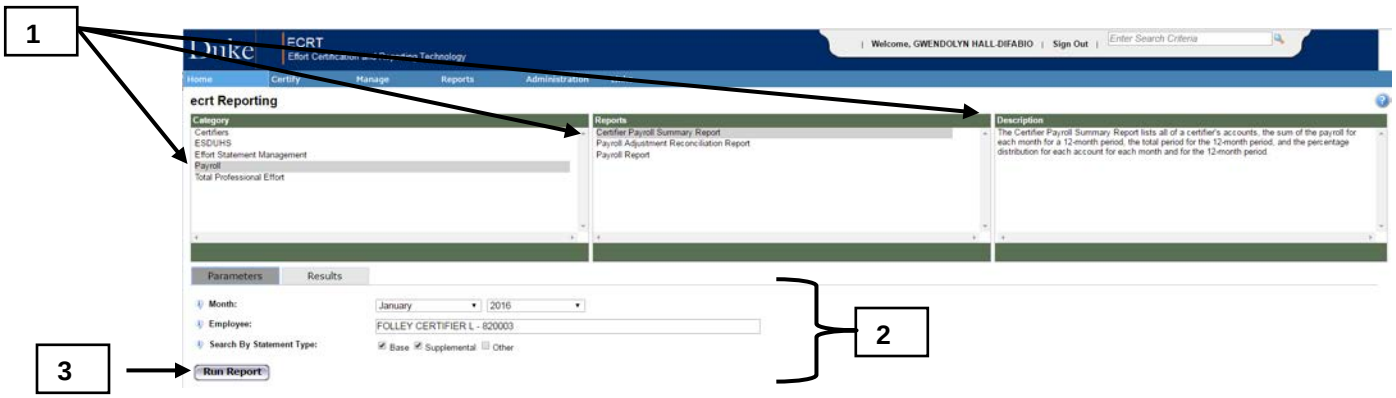
6. Notice the subtotals and totals as follows:
   - **Subtotal (Payroll/Pay % columns)** = a row to subtotal the payroll/ total percent effort on each Cost Object.
   - **Total of All Certifiers (Payroll/Pay % columns)** = a row to total all payroll/total percent effort amounts recorded on all Cost Objects.
7. To **sort** the report, **select on the desired column heading**.
8. If desired, use the buttons at the bottom of the screen to export the data to **Excel, XML, PDF,** or **RTF** files.
9. To exit the report, select a different report from the top of the page, select a different ECRT page to visit, or **Sign Out.**

Reviewing ECRT Reports (cont.)

To execute the Certifier Payroll Summary Report:

The Certifier Payroll Summary Report provides a summary of information by employee. See the description in ECRT for more details.

Note: *This report is available via the* ***Reports icon*** *on the* ***Base Effort Statement*** *and the* ***Org Code Dashboard.***



1. Select **Certifier Payroll Summary Report** from the **Payroll** category. Make sure to read the **Description** to familiarize yourself with the report.
2. Enter data to execute the report. Hovering over the information icon provides details about the data required for each field.
3. After data is entered, select **Run Report.**

Reviewing ECRT Reports (cont.)

In the resulting Certifier Payroll Summary Report:

Name	Org Code	Type	GL Account	Jan($)	Jan(%)	Feb($)	Feb(%)	March($)	March(%)	April($)	April(%)	May($)	May(%)	June($)	June(%)	July($)	July(%)	Aug($)	Aug(%)	Sep($)	Sep(%)	Oct($)	Oct(%)	Nov($)	Nov(%)	Dec($)	Dec(%)	Total
CERTIFIER, FOLLEY - 820003	9870000003 - DUKE UNIVERSITY ECRT SAMPLE ORG UNIT	Base	2031234-603600	$10,000.00	100.0	$10,000.00	100.0	$10,000.00	100.0	$10,000.00	100.0	$10,000.00	100.0	$10,000.00	100.0	$5,000.00	100.0	$5,000.00	100.0	$5,000.00	100.0	$5,000.00	100.0	$5,000.00	100.0	$5,000.00	100.0	$90,000.00
		Base Pay Totals:		$10,000.00	100.0	$10,000.00	100.0	$10,000.00	100.0	$10,000.00	100.0	$10,000.00	100.0	$10,000.00	100.0	$5,000.00	100.0	$5,000.00	100.0	$5,000.00	100.0	$5,000.00	100.0	$5,000.00	100.0	$5,000.00	100.0	$90,000.00
		Grand Totals:		$10,000.00	-	$10,000.00	-	$10,000.00	-	$10,000.00	-	$10,000.00	-	$10,000.00	-	$5,000.00				$5,000.00	-	$5,000.00	-	$5,000.00	-	$5,000.00	-	$90,000.00

4. Review the columns of data for accuracy as outlined below:

Column Name	Column Description
Name	The last name, first name, and Duke Unique ID (DUID) for employees (all or filtered by first letter of last name).
Org. Code	The Org. Code / BFR Code for the Certifier.
Type	The source of pay, either BASE (Base pay) or SUP (Supplemental pay).
G/L Account	The CC/WBSE Cost Object and G/L Account.
Month ($)	Amount paid on CC/WBSE for each month.
Month (%)	Percentage of effort on CC/WBSE for each month.
Total	The total dollar amount of the CC/WBSE across the 12 months. This amount agrees with the Effort Statement.
% of Total	The total percentages of effort for the CC/WBSE across the 12 months. This percentage agrees with the Effort Statement.

5. Subtotals and totals as follows will display as applicable:

- **Base Pay Totals** = a row in the report to total all CC/WBSE Cost Objects for the Pay Type of BASE (Base Pay $ and %) columns for the each month, including the Total and % of Total columns, which display the total for the twelve month period.
- **Supplemental Pay Totals** = a row in the report to total all CC/WBSE Cost Objects for the Pay Type SUP (Supplemental Pay $ and %) columns for the each month, including the Total and % of Total columns, which display the total for the twelve month period.

Reviewing ECRT Reports (cont.)

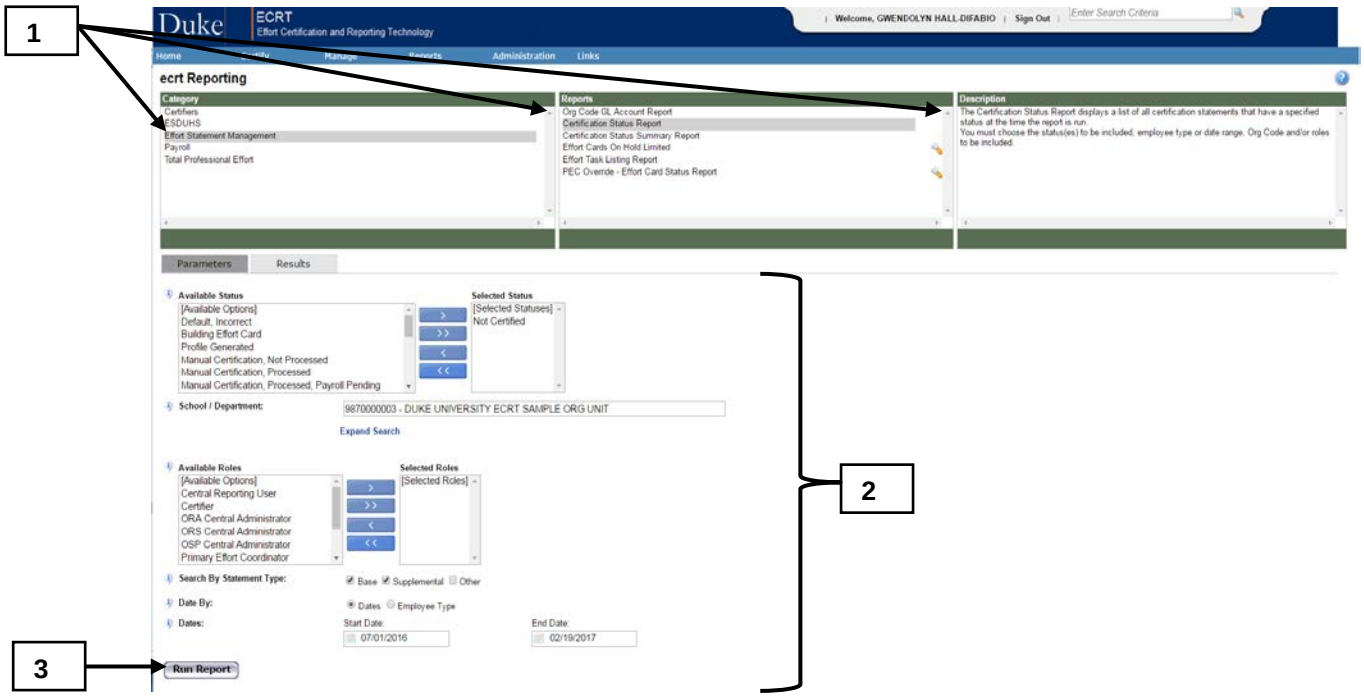
- **Grand Totals** = Combined total of both BASE (Base Pay $ and %) and SUP (Supplemental Pay $ and %) columns for the each month, including the Total and % of Total columns, which display the grand totals for the twelve month period.

6. If desired, use the buttons at the bottom of the screen to export the data to **Excel, XML, PDF,** or **RTF** files.
7. To exit the report, select a different report from the top of the page, select a different ECRT page to visit, or **Sign Out.**

Reviewing ECRT Reports (cont.)

To execute the Certification Status Report:

The Certification Status Report displays a list of all certification statements that have a specified status at the time the report is run. See the description in ECRT for more details.



1. Select **Certification Status Report** from the **Effort Statement Management** category. Make sure to read the **Description** to familiarize yourself with the report.

2. Enter data to execute the report. Hovering over the information icon provides details about the data required for each field.

3. After data is entered, select **Run Report.**

Reviewing ECRT Reports (cont.)

4. Review the columns of data for accuracy as outlined below:

Column Name	Column Description
Name	The last name, first name, and Duke Unique ID (DUID) for employees (all or filtered by first letter of last name).
Org. Code	The Org. Code / BFR Code for the Certifier.
Effort Coordinator	The name and Duke Unique ID (DUID) for that Certifier's Effort Coordinator.
Effort Coordinator Email	The email address for Certifier's Effort Coordinator.
Proxy Assignment	The name of the proxy assignment if applicable (N/A if not applicable).
Certifier's Email	The email address for the Certifier.
Certification Period	The certification period beginning and ending dates.
Current Status	Icons used to indicate the current status for that Certifier's Effort Statement.

5. To sort the report, **select on the desired column heading**.

6. Select the 

Effort Statement Icon (in this example) in the **Current Status** column to open the effort statement.

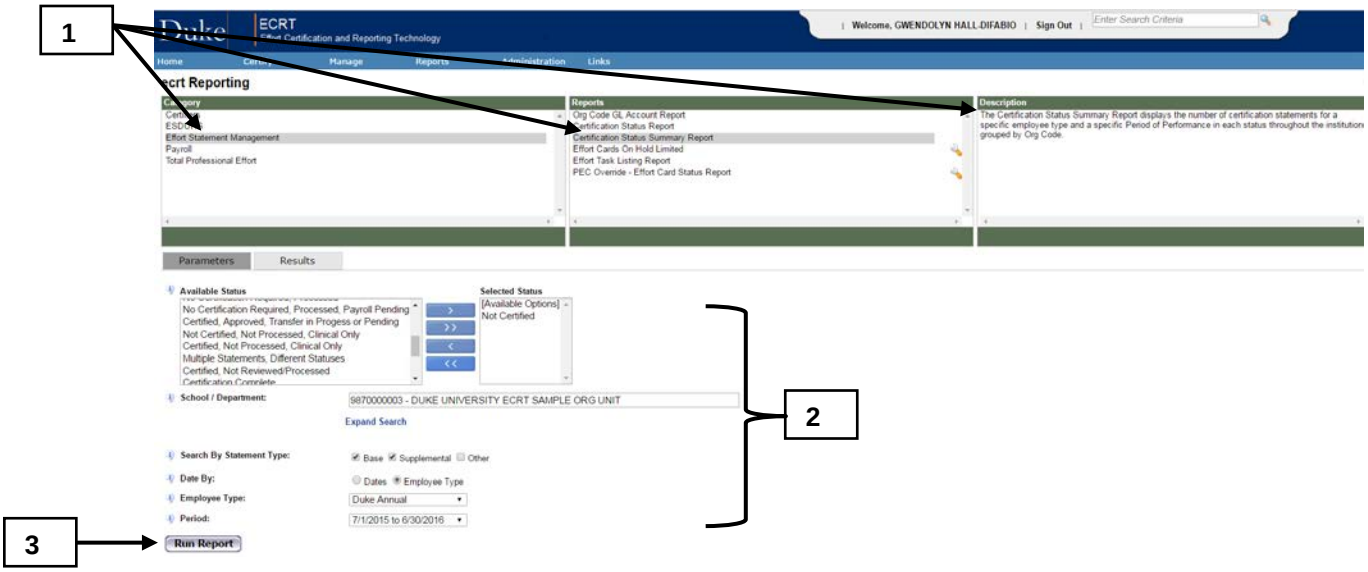
7. If desired, use the buttons at the bottom of the screen to export the data to **Excel, XML, PDF**, or **RTF** files.

8. To exit the report, select a different report from the top of the page, select a different ECRT page to visit, or **Sign Out.**

Reviewing ECRT Reports (cont.)

To execute the Certification Status Summary Report:

The Certification Status Summary Report displays the number of certification statements for a specific employee type and a specific period of performance in each status. See the description in ECRT for more details.



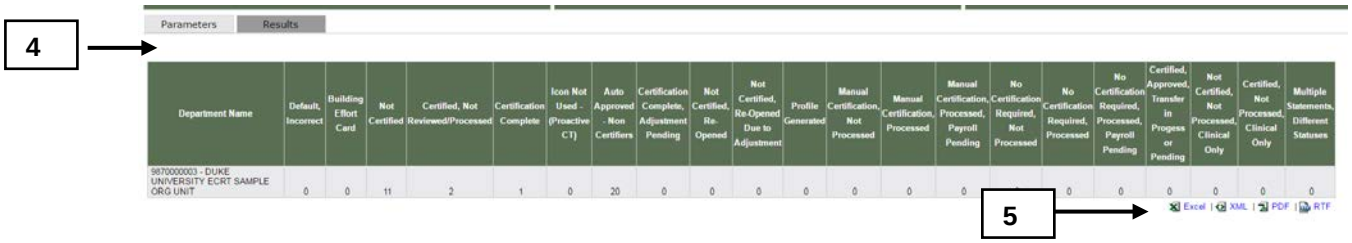
1. Select **Certification Status Summary Report** from the **Effort Statement Management** category. Make sure to read the **Description** to familiarize yourself with the report.

2. Enter data to execute the report. Hovering over the information icon provides details about the data required for each field.

3. After data is entered, select **Run Report.**

Reviewing ECRT Reports (cont.)

In the resulting Certification Status Summary Report:



Department Name	Default, Incorrect	Building Effort Card	Not Certified	Certified, Not Reviewed/Processed	Certification Complete	Icon Not Used - (Proactive CT)	Auto Approved - Non Certifiers	Certification Complete, Adjustment Pending	Not Certified, Re-Opened	Not Certified, Re-Opened Due to Adjustment	Profile Generated	Manual Certification, Not Processed	Manual Certification, Processed	Manual Certification, Processed, Payroll Pending	No Certification Required, Not Processed	No Certification Required, Processed	No Certification Required, Processed, Payroll Pending	Certified, Approved, Transfer in Progess or Pending	Not Certified, Not Processed, Clinical Only	Certified, Not Processed, Clinical Only	Multiple Statements, Different Statuses
9870000003 - DUKE UNIVERSITY ECRT SAMPLE ORG UNIT	0	0	11	2	1	0	20	0	0	0	0	0	0	0	[illegible]	0	0	0	0	0	0

4. Review the columns of data for accuracy as outlined below:

Column Name	Column Description
Department Name	The Org. Code / BFR Code for the department.
Status and Number	Based on the selection parameters, the number of Certifiers whose statements are in each status.

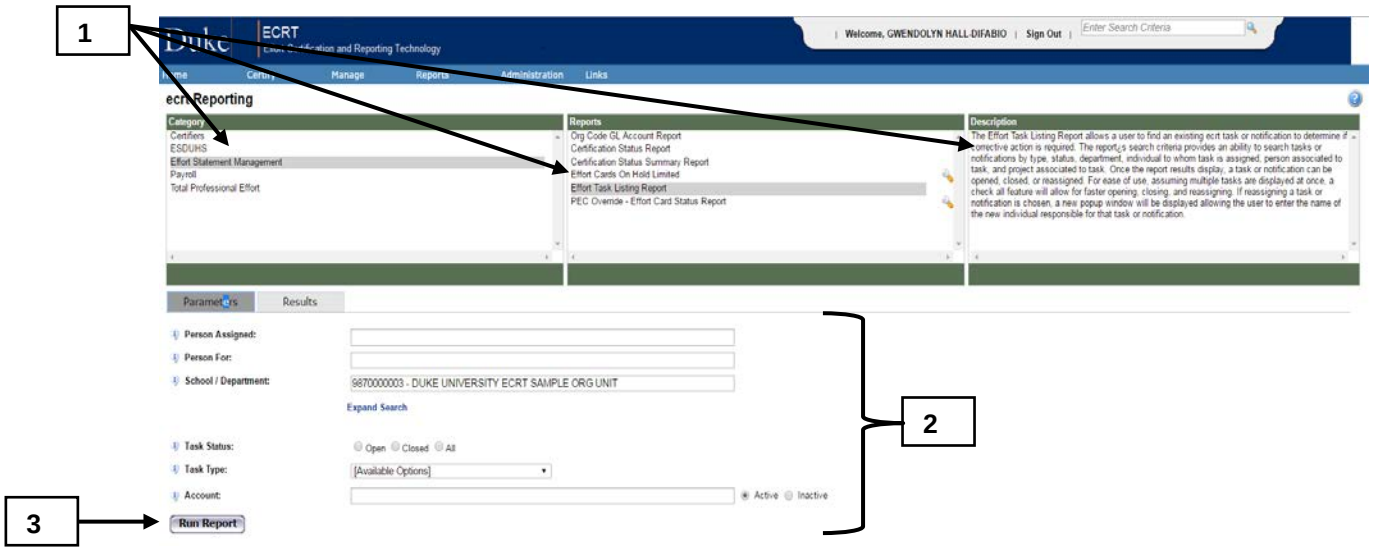
5. If desired, use the buttons at the bottom of the screen to export the data to **Excel, XML, PDF**, or **RTF** files.

6. To exit the report, select a different report from the top of the page, select a different ECRT page to visit, or **Sign Out.**

Reviewing ECRT Reports (cont.)

To execute the Effort Task Listing Report:

The Effort Task Listing Report allows a user to find an existing ECRT task or notification to determine if corrective action is required. This report can be executed to see tasks assigned to an Effort Coordinator or tasks generated by a Certifier. See the description in ECRT for more details.



1. Select **Effort Task Listing Report** from the **Effort Statement Management** category. Make sure to read the **Description** to familiarize yourself with the report.

2. Enter data to execute the report. Hovering over the information icon provides details about the data required for each field.

3. After data is entered, select **Run Report.**

Reviewing ECRT Reports (cont.)

4. Review the columns of data for accuracy as outlined below:

Column Name	Column Description
Task Type	The type of task required.
Date Created	Creation date of the task.
Department	The Certifier's department.
Person Assigned	The name of the person who currently has the task.
Role	The role of the person who currently has the task.
Project For	*This field will display blank as it is not relevant to Duke.*
Person For	The Certifier associated with the task.
Action	Action buttons allowing tasks to be  Opened,  Closed, or  Reassigned directly from the report. All Effort Coordinators can open or close tasks. Only Primary Effort Coordinators have the ability to reassign tasks. Note: The  check box in the heading can be selected to perform the same action for all items in the list.

5. To sort the report, **select on the desired column heading**.

Reviewing ECRT Reports (cont.)

6. If desired, use the buttons at the bottom of the screen to export the data to **Excel, XML, PDF**, or **RTF** files.

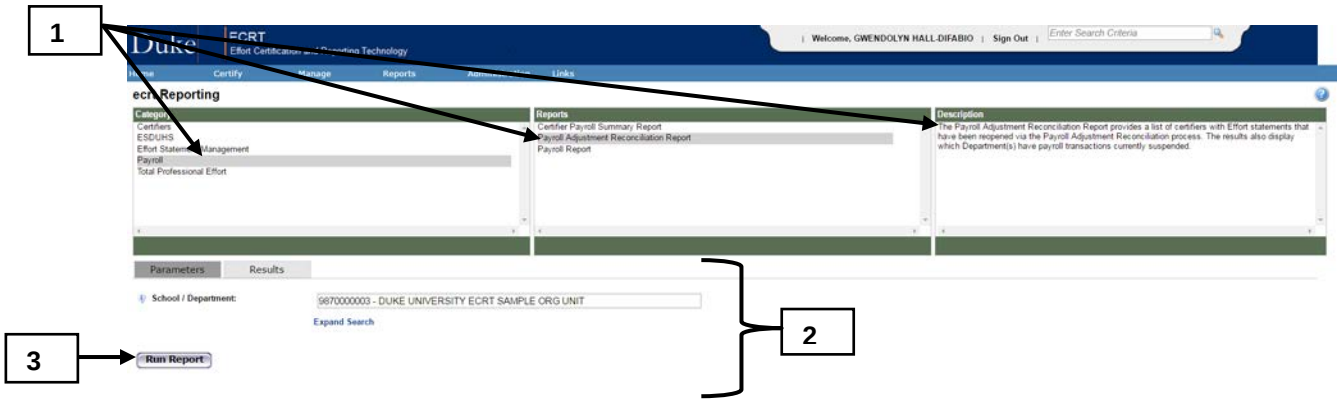
7. To exit the report, select a different report from the top of the page, select a different ECRT page to visit, or **Sign Out.**

Reviewing ECRT Reports (cont.)

To execute the Payroll Adjustment Reconciliation Report:

The Payroll Adjustment Reconciliation Report provides a list of Certifiers with Effort Statements that have been reopened via the Payroll Adjustment Reconciliation Process.

On the *ECRT Reports* page:



1. Select **Payroll Adjustment Reconciliation Report** from the **Payroll** category. Make sure to read the **Description** to familiarize yourself with the report.

2. Enter data to execute the report. Hovering over the information icon provides details about the data required for each field.

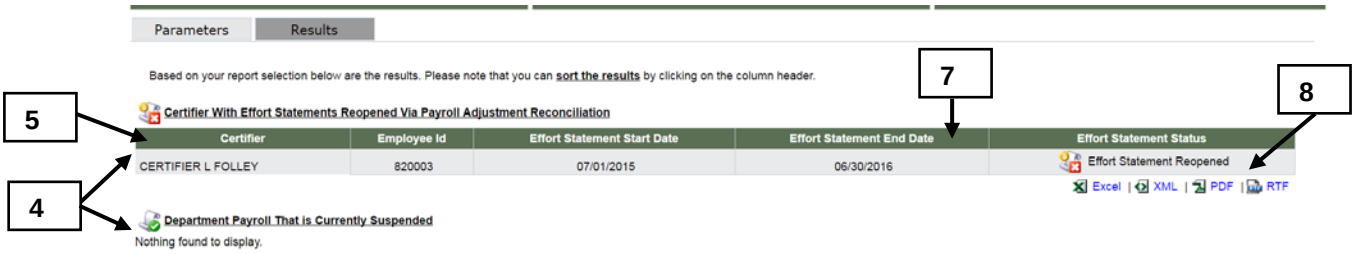
   Note: Optional: Use the Expanded Search fields as outlined:

   - *Select the Expanded Search link.*
   - *Wait for ECRT to open the fields and load the sub-departments, if applicable (if not applicable, no departments found displays).*
   - *Select the desired sub-department from the Drop-down list to populate the field.*

3. After data is entered, select **Run Report.**

Reviewing ECRT Reports (cont.)

In the resulting Payroll Adjustment Reconciliation Report:



4. Review the **Payroll Adjustment Reconciliation Report,** which contains two sections as follows:
   - **Certifier With Effort Statements Reopened Via Payroll Adjustment Reconciliation** = a list of Certifiers with Effort Statements that have been reopened via the Payroll Reconciliation Adjustment process.
   - **Department Payroll That Is Currently Suspended** (no results in the example above) = a list of payroll transactions that have been prepared but not posted in ECRT to impact the status of the Effort Statement.

5. Review the columns of data under **Certifier With Effort Statements Reopened Via Payroll Adjustment Reconciliation,** as outlined:

Column Name	Column Description
Certifier	The name of the Certifier.
Employee ID	The Duke Unique ID (DUID) of the Certifier.
Effort Statement Start and End Dates	The Certification Period to which the payroll adjustment is applicable.
Effort Statement Status	The Effort Statement status as identified by icons.

Note: The Effort Statement cannot be accessed from this report page.

Reviewing ECRT Reports (cont.)

6. Review the columns of data under **Department Payroll That Is Currently Suspended,** as outlined:

Column Name	Column Description
Certifier	The name of the Certifier.
Employee ID	The Duke Unique ID (DUID) of the Certifier.
Payroll Start and End Dates	The Pay Period to which the payroll adjustment is applicable.
Date Created	The date the transaction was entered.
Amount	The dollar value of the payroll transaction.

Note: The Effort Statement cannot be accessed from this report page. ***When the payroll transaction has been posted in ECRT and the Effort Statement has been re-certified, then the transaction is removed from the Department Payroll That Is Currently Suspended section****.*

7. To **sort either section of the report**, **select the desired column heading**.

8. If desired, use the buttons at the bottom of the screen to export the data to **Excel, XML, PDF**, or **RTF** files.

9. To exit the report, select a different report from the top of the page, select a different ECRT page to visit, or **Sign Out.**

Reviewing the Email Notifications

To understand Quarterly Notices and Email Notifications:

1. Review the steps related to Quarterly Notices as outlined below:
   - During the Fiscal Year, at the end of each calendar quarter a Quarterly Notice email is sent to the Certifier.
   - A Quarterly Notice is also sent to the Primary Effort Coordinator listing all the Certifiers that received the Quarterly Notice email for their department.
   - The Certifier and Effort Coordinator are asked to log into ECRT and review the Effort Statements for accuracy.
   - Corrections to the effort are made by preparing and submitting the appropriate payroll form.
   - Quarterly Notices do not require Effort Statements to be certified.

   Note: Failure to review the Effort Statement(s) on a quarterly basis can cause untimely retroactive salary cost transfers.

2. After the Fiscal Year-End is closed, the following email notices are automatically distributed by ECRT:
   - **ECRT Pre-Review Period** - this email is sent July 1 of each year to all Effort Coordinators. This email informs the Effort Coordinator that the Fiscal Year has ended and requests that they review their Certifiers' Effort Statements to ensure accuracy.
   - **Start of Certification Period** - this email is sent August 1 of each year to all Certifiers requesting that they review and certify their Effort Statement(s). **An email is also sent to the Primary Effort Coordinator listing all the Certifiers that received the Start of Certification Period email** for their department.
   - If a person does not meet the criteria that requires certification of effort, ECRT will "auto process" the Effort Statement for that person. This means that no certification is required by the Certifier and no processing by the Effort Coordinator. Effort Coordinators receive an email notification for these Certifiers, but these Certifiers do not receive an email from ECRT.

Reviewing the Email Notifications (cont.)

- **Reminder Emails –** These emails are sent to Certifiers that have not completed the certification **process** at the following times:
    - **Five (5) days prior to the due date**
    - **One (1) Day after the due date (Overdue)**
    - **Five (5) days after the due date (Overdue)**

3. Email notifications are also sent for a variety of activities that occur in ECRT:

    - Certifiers receive an email when Coordinators return an Effort Statement.
    - Certifiers receive an email when an Effort Statement is Reopened.