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 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)?
   
   \textit{Note:} This question does \textbf{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?

\textit{Note:} Answering “yes” to either the Base OR Supplemental effort, requires that BOTH Base and Supplemental Statements be certified.
To monitor the Certification Status in ECRT:

On the ECRT Home Page:

![ECRT Home Page](image)

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 it 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.
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** - 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:

<table>
<thead>
<tr>
<th>Column Name</th>
<th>Column Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name</td>
<td>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.</td>
</tr>
<tr>
<td>Alternate Effort Coordinator</td>
<td>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).</td>
</tr>
<tr>
<td>Type</td>
<td>All Duke employees are listed as Duke Annual Type.</td>
</tr>
<tr>
<td>Employee ID</td>
<td>The Certifier’s DUID.</td>
</tr>
<tr>
<td>Role</td>
<td>ECRT Security Role – Unimportant for Coordinators.</td>
</tr>
<tr>
<td>Statements</td>
<td>The status of each Effort Statement(s) for each Certifier as identified by the icons, for up to four Certification periods.</td>
</tr>
<tr>
<td>Actions</td>
<td>Allows Effort Coordinators to review messages associated with the Certifier, to Edit the Certifier, or to send an email to the Certifier.</td>
</tr>
</tbody>
</table>

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:

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:

![ECRT Home Page Screenshot]

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

Org Code Dashboard for 9870000003 - DUKE UNIVERSITY ECRT SAMPLE ORG UNIT - 50000103

Search for Org Code: 9870000003 - DUKE UNIVERSITY ECRT SAMPLE ORG UNIT

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.
On the **Org Code Dashboard** page

**Org Code Dashboard for 9870000003 - DUKE UNIVERSITY ECRT SAMPLE ORG UNIT - 50000103**

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.
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.
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.