Effort Certification at KU

University of Kansas
Summer 2016
Agenda

1. Effort Reporting Overview
2. Effort Workflow and Basic Information
3. Certification Process
4. Resources
5. Questions
Effort Reporting
Overview
Background on Effort Certification

2 CFR 200 (Uniform Guidance) requires that KU have internal controls in place to ensure time expended on sponsored projects is certified.

KU applies Uniform Guidance requirements to all sponsored projects, regardless of the funding source. Therefore, effort must be certified for all individuals who receive salary support from a sponsored project or who expend effort on a sponsored project (even if they do not receive salary support from the sponsor).

Effort certification is the primary means of verifying that:
- Effort supported (paid) by the project has been performed as promised, and
- Effort expended in support of a project but not paid by the project (cost sharing) has been performed as promised.
What is Effort?
Effort is the portion of time spent on a given professional activity and expressed as a percentage of the total 100% professional activity for which an individual is employed by KU.

Important points:

- The government recognizes that it is a “reasonable estimate.”
- Total effort must equal 100% per effort card.
- Effort is not based on a standard (e.g., 40-hour) work week, instead based on whatever was worked.
- “100% Effort” considers all professional activities related to the individual’s appointment (teaching, research, service). Effort is expressed as a percentage distribution of total effort, and each percentage must reasonably agree with actual effort devoted to each activity in relation to the employee’s total effort.
- Effort does not include outside activities (e.g., external consulting, additional pay) or voluntary uncommitted cost share (work done on project that was not committed to sponsor)
- Encompassing both federally-assisted and all other compensated activities.
Why Is Compliance Important?

• A University recently paid $20M in fines because of improper certification from DHHS
• Determinations at KU
  • Paper system is unwieldy for investigators and administrators, low compliance
  • Moving to electronic system for ease of certification completion as well as tracking of compliance for certifications
    • Certifiers will be able to see exactly what is needed and what is outstanding
    • Reports for Deans, Chairs, and Center Directors, as well as Effort Coordinators and Central Office
Effort Certification at KU

All individuals with effort committed to a sponsored project (both paid with sponsor funding and committed cost share) are required to have a completed effort report, per federal regulations and university policy.

KU is implementing ecrt® to ensure all certification can be completed electronically and that records of effort certification is available.
Effort Certification at KU

Electronic Certification Go-Live for Faculty, Staff and Graduate Student certifications for the effort period:

- December 20, 2015-June 4, 2016 for Faculty and Staff
- January 3, 2016-June 4, 2016 for Graduate Students

Effort Certification period will start July 3, 2016

System Capabilities

- Log in with KU Online ID anywhere you have internet access
- Certification reports will look similar to previous forms, for ease of use
- Ecrt will indicate any report that needs the certifier’s review and approval
Changes in Effort Certification at KU

Who Certifies?

Effort reports must be certified by the employee that performed the work or the award/project PI for graduate students.

PIs are responsible for certifying their own effort and the effort of graduate students on their projects, as well as ensuring that faculty and staff appointed to their awards have certified during the certification period.

Faculty, Staff, and Graduate Students will all have twice annual certification periods of 60 calendar days.
Changes in Effort Certification at KU

What is Recertification?

After effort is certified, if an RFA is processed that exceeds 5% change (and $100) per line, the changed effort will need to be recertification.

Certifiers will have 30 calendar days from the time the effort card is reopened by the Effort Coordinator to recertify effort.
Changes in Effort Certification at KU

What Happens if I Don’t Certify During Certification/Recertification Period?

- Failure to certify in the 60 calendar-day effort certification period or recertify during the 30 calendar-day recertification period can result in:
  - Pre-Award not submitting proposals for those who have not certified
  - Post Award not setting up awards (new, NCEs, continuations, etc.) for those who have not certified

- Emails will be sent to remind certifiers that they have outstanding effort tasks during the certification period

- SSC/Research Center Effort Coordinators and KU Office of Research will be monitoring certification and will reach out to those who are at risk of noncompliance
Effort Certification Responsibilities

Faculty and Staff Responsibilities

- Certify effort statement to accurately reflect effort during effort period
- Communicate significant effort changes over 5% (and $100 or more) to their effort coordinator(s)
- Recertify if effort changes over 5% (and $100 or more) are made after a statement has been certified

Additional PI Responsibilities

- Certify effort statements of graduate students to accurately reflect their effort during effort period
- Ensure other faculty and staff appointed to their sponsored projects certify within the (re)certification period(s)
Effort Certification Responsibilities

**Effort Coordinators**
(staff from SSCs and Research Centers)

- Review certification records before certification period
- Work with certifiers to understand the effort report
- Make changes as necessary, including Retroactive Funding Adjustments and assist with recertification
Effort Certification Responsibilities

Office of Research

- Answer questions from Effort Coordinators and Certifiers
- Develop and implement effort reporting policies and procedures, and educational programs to ensure knowledge of these policies and procedures
- Ensure that the effort system produces accurate effort statements in a timely manner
- Monitor system to ensure compliance
- Monitor the effort process for timely submission and report findings to departments
ecrt Workflow and Basic Information
ecrt System Overview

PeopleSoft Payroll Data
PeopleSoft People Data
PeopleSoft Project Data
PeopleSoft Sponsor Data

Management and Other Reports
Effort Certification Form
Effort Statement Statuses

Process Flow

1. Certifier Reviews Effort Card
2. Is Effort Accurate?
   - Yes: Check all boxes and click certify button
   - No: Certifier should update the Effort Card to reflect the appropriate effort

3. Check all boxes and click certify button
   - Under Threshold: RFA Processed in PeopleSoft
   - Over Threshold: Effort Coordinator Receives a Task & Reviews Card

4. Effort Coordinator Receives a Task & Reviews Card
   - Is change to effort accurate?
     - Yes: Effort Coordinator initiates an RFA
     - No: Certifier should update the Effort Card to reflect the appropriate effort
Effort Statement Statuses
Process Flow- Recertification

ecrt Recertification Workflow

RFA is processed in PeopleSoft

Data is fed from HR/Pay directly to ecrt

Threshold?

Under Threshold

Statement remains certified and processed (no further action needed)

Over Threshold

A new task will be created for the Effort Coordinator

Certifier will need to recertify - refer to Certification workflow

The effort card will reopen for certifier
ECRT Basic Information

System Navigation

Use the following URL to navigate to the Production Environment:

https://ecrt.ku.edu

Use your KU Username and Password to sign into the system.
The **Home Page** serves as an entry point to all system functions and provides links to a variety of resources to assist users with effort reporting.
## ECRT Basic Information

### Links

The list below includes a description of each of the pages that a Certifier is able to access within ecrt.

<table>
<thead>
<tr>
<th>Section</th>
<th>Link</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Manage</td>
<td>Look Up</td>
<td>Allows the user to search for a person, project, or department within ecrt.</td>
</tr>
<tr>
<td>Certify</td>
<td>Certify My Statements</td>
<td>Displays the certification page for the individual logged into the system.</td>
</tr>
<tr>
<td>Reports</td>
<td>Reports</td>
<td>Will display standard reports menu, allowing the running or exporting of built-in reports.</td>
</tr>
<tr>
<td>Administration</td>
<td>Change My Password</td>
<td>Allows you to change your ecrt password—do not use this since we are using standard KU Login</td>
</tr>
<tr>
<td>Links</td>
<td>OMB, NIH, and KU Policy</td>
<td>Links to policies and procedures related to effort certification.</td>
</tr>
</tbody>
</table>
ECRT Basic Information

Online Help
Most screens contain a help icon available in the upper right portion of the page. Clicking this button will bring up a separate window containing help on the portion of the system currently being worked in. This is a general help guide, if the Effort Coordinator has specific KU process questions, contact the Central Administrator at ecrt@ku.edu.
ECRT Basic Information

Left Navigation Bar

The Left Navigation Bar will be populated with links that provide access to Policy and Procedure documents as well as training materials for specific roles.
Certification Process
When a certifier logs into ecrt, the only tab that displays is the Statements Awaiting Certification tab. This is a list of all statements the certifier needs to certify.

As the certifier completes these certifications, the list will update to reflect only outstanding statements.
Effort Certification
Effort Statement Summary

Clicking on any of the links will take the individual to the certification page. The certifier’s outstanding effort statements are displayed below. If the Effort Coordinator has done prep work during Pre-Review, the statement should be set up and ready to certify.
Effort Certification

Effort Statement Summary

- The **Certify** button will only display when at least one of the Certify checkboxes have been checked.
- To complete the certification, the certifier should review the percentages and adjust the **Certified Effort Column** if needed.
- A certifier will receive an error message if they attempt to certify at greater or less than 100% total.
- When the certifier is ready, click **Certify**.
Effort Certification

Effort Statement Summary

- The **Certify** button will only display when at least one of the Certify checkboxes have been checked.
- In the case only a single line is certified, the statement will remain in the state of **Not Certified, Not Processed**.
- Upon clicking the **Certify** button, the attestation statement will appear and display a message in red stating not all lines have been certified.
- The statement will remain open for the certifier to finish up the effort statement.
Effort Certification
Certifying Effort

The certifier is then presented with a pop up that lists the details of the statements they are certifying along with an attestation statement. Once all lines are certified, no warning will appear in the attestation.

After a final review of the information and the attestation statement, the certifier will click the “I Agree” button under the message.

After this, the certifier is returned to the certification page, where the Work List should be refreshed.
Effort Certification

Certifying Effort

The certifier is taken back to the certification page. The statement status has changed to **Certified, Processed**, which means the effort statement was certified with variance below the 5% (per line) threshold.

To confirm that the certifier is done, check the list on the **Home Page**.
Effort Certification
Certifying Effort

There are zero “Not Certified” statements in the statements awaiting certification tab. The only statement that may display is the certifier’s own statement for the future period – this will be certified during the next certification period.

The certifier can log out after confirming all “Not Certified” statements have been removed from the Statements Awaiting Certification tab.
PI: Certification of Students
Certifying for Students

When a PI logs into ecrt, the Statements Awaiting Certification tab will include their own statement(s) as well as the statements of any Students who work on the PI's awards.
Certifying for Students

The PI can navigate to the certification page by clicking on any of the links in the home page. Once on the certification page, the Work List will populate with the names of individuals who have statements the PI can certify.

The PI can review and certify each statement individually by clicking on each name in the Work List. They can also select the View All icon to display and certify ALL of their statements at the same time (please note: “View All” will display up to 25 certifications at a time).
Certifying for Students

When certifying multiple statements at the same time, scroll down on the page to see the next statement. Review each statement and check the checkboxes when the appropriate effort has been entered. When the PI has checked all the boxes on all the statements the PI wishes to certify click the Certify Checked button when certifying,

Clicking the individual Certify button on a particular statement will only certify that statement.
Certifying for Students

The Attestation Statement page will display with a list of all of the users the PI is certifying.

Reference the **Certified Lines** column to confirm the PI has checked all of the lines on each statement. Select **I Agree** to complete the certification.
Certifying for Students

In the case the PI has not certified all lines he/she is responsible for, the attestation page will display a message in the **Certified Lines** column.

If not all lines were certified, the students will remain in the **Work List** and be accessible by the PI for certification at a later date.
Certifying for Students

The Effort Certification page will refresh. Names of individuals who had all lines certified will drop off the Work List. If the PI did not certify all the lines the PI has access to, the name will remain on the PI's Work List. Note a PI will always see his/her own name in the Work List which allows him/her to access all of his/her statements.

To confirm that they are done, check the Statements Awaiting Certification tab on the Home Page. When all student certifications are complete, their names will no longer appear on the Work List, and the PI is done certifying students.
Certifying for Students

There are zero “Not Certified” statements in the statements awaiting certification tab. The only statement that may display is the PI’s own statement for the future period – this will be certified during the next certification period.

The PI can log out after visually confirming all “Not Certified” statements have been removed from the Statements Awaiting Certification tab.
Effort Coordinator: Pre- and Post-Review
What is Pre-Review?

- As an Effort Coordinator, you can access ecrt at ANY TIME to review effort statements that have been updated during the most recent (daily) data loads.

- It is in the Effort Coordinator’s best interest to be proactive in monitoring effort statements as the Effort Coordinator will need to coordinate necessary adjustments in the source system, when corrections are needed.

- **Pre-Review** is a designated period for the Effort Coordinator to review the biannual effort statements AFTER the designated effort period has ended but BEFORE they are released for certification.
Post-Review: Processing Tasks

Home Page

- The Primary Effort Coordinator will receive Processing Tasks when effort statements certified with a variance of 5% or greater (and more than $100) on any single line of the statement.

- The Effort Task column will display on the Effort Coordinator’s Home Page. An email will be sent to the Effort Coordinator on days where an Effort Task has been created for the Effort Coordinator’s review. To review a task, click the link in the email.

When reviewing a task, the Effort Coordinator must determine the appropriate next step by selecting one of the buttons presented:

1. Cancel – this takes the EC out of the task and leaves it for a later time.
2. RFA Needed – if the EC agrees with the certification an RFA must be processed to align certified effort and computed effort within 5%. Selecting this button means the certification is correct an that the EC will be processing an RFA as a result.
3. Do Not Process – this rejected the certification and sends it back to the individual to recertify. The EC will have the ability to send an email and customize the text in order to provide instructions/details.
Resources
**Effort Certification**

**Show Dollar Value**

The **$ Value** link on the effort statement will switch the view of the effort statement to show the total dollars associated with each account.

<table>
<thead>
<tr>
<th>Accounts</th>
<th>Payroll - Direct Cost</th>
<th>Payroll - Cost Share</th>
<th>Computed Effort</th>
<th>Certified Effort</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sponsored</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>10000-0000</td>
<td>$1,000.00</td>
<td>$0.00</td>
<td>$1,000.00</td>
<td>66.67%</td>
</tr>
<tr>
<td>Sponsored Total</td>
<td>$1,000.00</td>
<td>$0.00</td>
<td>$1,000.00</td>
<td>66.67%</td>
</tr>
<tr>
<td>Non Sponsored</td>
<td>$500.00</td>
<td>$0.00</td>
<td>$500.00</td>
<td>33.33%</td>
</tr>
<tr>
<td>Non Sponsored Total</td>
<td>$500.00</td>
<td>$0.00</td>
<td>$500.00</td>
<td>33.33%</td>
</tr>
<tr>
<td>Grand Total</td>
<td>$1,500.00</td>
<td>$0.00</td>
<td>$1,500.00</td>
<td>100.00%</td>
</tr>
</tbody>
</table>
**Effort Certification**

**Run Payroll Report**

Clicking the yellow dollar button will run a payroll report and open up a new tab to display the report.

This report can be run for any account line in an effort statement.

<table>
<thead>
<tr>
<th>Accounts</th>
<th>Payroll - Direct</th>
<th>Payroll - Cost</th>
<th>Computed Effort</th>
<th>Certified Effort</th>
<th>Certify?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sponsored</td>
<td>150003-0003-UNIO01111 ecrt Sponsored Grant 4</td>
<td>27.59%</td>
<td>0.00%</td>
<td>27.59%</td>
<td>☑️</td>
</tr>
<tr>
<td></td>
<td>150009-0009-ND001111 ecrt Sponsored Grant 10</td>
<td>44.81%</td>
<td>0.00%</td>
<td>44.81%</td>
<td>☑️</td>
</tr>
<tr>
<td>Sponsored Total:</td>
<td></td>
<td>72.40%</td>
<td>0.00%</td>
<td>72.40%</td>
<td>☑️</td>
</tr>
<tr>
<td>Non Sponsored</td>
<td>100009-0009 ecrt Non-Sponsored Grant 10</td>
<td>27.59%</td>
<td>0.00%</td>
<td>27.59%</td>
<td>☑️</td>
</tr>
<tr>
<td>Non Sponsored Total:</td>
<td></td>
<td>27.59%</td>
<td>0.00%</td>
<td>27.59%</td>
<td>☑️</td>
</tr>
<tr>
<td>Grand Total:</td>
<td></td>
<td>99.99%</td>
<td>0.00%</td>
<td>99.99%</td>
<td>☑️</td>
</tr>
</tbody>
</table>
Resources and Training

Certifiers will be alerted to available electronic training materials, through KU’s Learning Management system, including 2 short videos on self-certifying & certifying student time

Periodically, Office of Research will offer in-person open labs.

If you need assistance navigating, please contact your effort coordinator or ecrt@ku.edu.
Questions?

Email:  
ecrt@ku.edu

Website:  
http://research.ku.edu/effort-reporting