ecrt® System Guide

Version 4.5

for

The University of Texas System
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Overview

In 2003, Huron Consulting Group partnered with a top research university to develop its initial version of the ecrt® effort reporting solution. The ecrt system was developed to help institutions achieve significant improvements in effort reporting compliance management, reduce the administrative burden, and provide better financial information for academic units. It was built as a completely web-based solution intended to be integrated with an institution’s financial, payroll, and sponsored project administration systems. Since the initial version, the ecrt application has been updated and enhanced to improve functionality and usability, often in response to specific client requests. This guide was updated in September 2012 for v4.5 of the ecrt technology.

The ecrt system is intended to be used as an effort certification and, in some cases, committed effort management system. It is used to help institutions meet specific federal requirements related to salary and wage confirmation, as outlined in the Office of Management and Budget Circular A-21, Section J.10, and other applicable regulations. The specific federal regulations that were used to guide the design of the ecrt solution and a discussion on the general requirements related to effort reporting are available in Appendix D.

Training will be conducted during the implementation of the ecrt system at each institution to educate end users on how the system will be used at the institution. This manual is intended to serve as an accompaniment to the training. Although a combination of this manual and the training program should serve to answer a majority of the questions surrounding the use of the system, we recognize that additional questions may surface. Should these arise, please contact your institution’s central effort administrator first. If the central effort administrator cannot answer the question, then the central effort administrator will contact Huron’s ecrt Help Line for a resolution.

This guide is organized based on the functionality of the ecrt system. The first section explains basic features about how to use the system successfully – navigating within the system, searching, and communication tools. Then the five primary components of the system are discussed, each in its own section of the manual. Appendix A includes a glossary of the terms used in the system, documentation, and in the effort reporting process generally while Appendix B includes a summary of the Federal regulations and other rules governing effort reporting.

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I. Using ecrt

The ecrt solution was designed to simplify certifying and reporting effort. One key to its simplicity is the ease with which a user can navigate within the system. There are consistent elements that appear on every screen that make for easy navigation and access to additional effort reporting related resources. This section describes those elements and other common features found throughout the system.

A. Navigation

There are two ways to navigate within ecrt. The primary method of navigating within the system is using the navigation menu bar along the top of the screen. The navigation menu bar is on every screen of the application, allowing users to move from one page to another quickly.

The Home menu on the far left returns the user to the Work List from anywhere in the application. The other labels – Certify, Manage, Reports, and Administration – will display when the user has the right to view pages within that menu. The Links label appears for all users.

When the user places the cursor on a label in the navigation menu bar the available pages to which the user can navigate appear in the menu drop-down list (Figure 1.A.0.1). The available pages are determined by the rights that are assigned to the user’s role.
In Figure 1.A.0.1, the drop-down menu for the Manage menu box shows the options of ‘Department Dashboard,’ ‘Add Cost Sharing,’ ‘Effort Statements on Hold,’ and ‘Look-up.’ These options are the same as those that are listed next to the ‘Data & Workflow’ section on the ‘Site Map’ page.

The second way to navigate through the system is to use the Site Map under the ‘Home’ section of the navigation bar (Figure 1.A.0.2).
Figure 1.A.0.2 – Accessing the Site Map

The Site Map contains on one screen the list of pages that are available to the user under each menu on the navigation bar (Figure 1.A.0.3).
The links that are visible around the Effort Lifecycle are the same links that are available from the navigation bar drop-down menu, which are controlled by the rights assigned to the user's role. As with the navigation menu bar, the user can navigate to a page by selecting the page name link on the Site Map page. The page names are hyperlinks that will take the user to the selected page. Throughout the application blue text means that the label is a hyperlink to another screen.

On the left side of the Work List and Site Map pages are additional links and information available to users that can be configured by the institution (Figure 1.A.0.4).

This information can be links to additional resources, such as sponsor pages, the institution's policies and procedures, and the institution's Help Desk. These links are also displayed in the 'Links' drop-down menu in the navigation menu bar. For more information about creating these links, please refer to section VI-E-2 of this document.
B. Searching

At the top of every screen is a search box that allows users to search for data within the system. This feature allows users to search for an employee, department, or award or account (Figure 1.B.0.1).

![Search box](image)

Figure 1.B.0.1 – Search box

The user enters the text to search and when the results are narrowed to one the user is directed to the appropriate page – the effort statement page for a person, the Department Dashboard page for a department, or a new browser window opens with the Award/Account Summary page for an account.

If there are multiple possible results based on the text entered, a message appears below the search box displaying the number of possible results (Figure 1.B.0.2).

![Search box with multiple results](image)

Figure 1.B.0.2 – Search box with multiple results

The user can continue to enter text to narrow the results or the user can select the magnifying glass icon, which directs the user to the Look-up page with the results from the search (Figure 1.B.0.3).
From there the user can select the correct element or can continue entering information to yield a single result, at which point the user is directed to the appropriate page for the data element. For more information about the Look-up page, please refer to section IV-A of this document.

On other pages, such as the Department Dashboard page, for example, a user may be required to search for one piece of data – an employee, a department, or an award or account. The search functionality within the ecrt system returns suggestions from which the user can select based on information that the user enters in the search box.

To search for a piece of information, the user is required to enter at least three (3) letters or numbers in the search box. The system uses these letters or numbers to begin to filter possible suggestions based on the information entered. In the example below (Figure 1.B.0.4), the user is searching for the Modern Rock department, starting with the word Rock.

![Figure 1.B.0.4 – Entering search criteria](image)
To narrow the suggestions the system generates, the user should enter as much information as possible. In the screen shot below, the user switched to search by the word Modern to get a single result. (Figure 1.B.0.5).

Once the correct search item is returned, the user will select the item from the list. The system will populate the name in the search box, at which point the user can click on Submit and proceed with the next step in the task (Figure 1.B.0.6).

When searching for individuals within the system, the user can search by last name, first name, employee ID, and/or the ‘Alternate User ID’ data field in the Certifier XML data file if the institution has populated that field (Figure 1.B.0.7).

Searching by first name then last name will not produce results. If the user is going to search by multiple elements, the order of display must be followed – last name, first name, middle name (or initial, whatever the institution is loading in the Certifier file), employee ID, and alternate user ID. An institution can populate the ‘Alternate User ID’ field with a unique id, user name, or some other unique identifier that may make it easier to search for individuals within that institution.
C. Communicating through Group Emails

Throughout the ecrt system the user is able to send emails to different groups of individuals based on their roles, effort statement statuses, or other groupings.

The ‘Envelope and Pen Icon’ allows a user to click on the icon to generate an email to be sent to all individuals in the associated grouping. For example, on the Department Dashboard Page, an Effort Coordinator can email everyone in the department whose current statement is in the “In Progress for Certification” status by clicking on the icon as shown in Figure 1.C.1.1 below.

These group emails do not account for the “Key Personnel” flag that is set on the ‘Manage Users’ page. If a certifier qualifies for the group, the certifier will receive any message that is sent using the group email feature. For more information about the “Key Personnel” flag, please refer to section VI-C-1 of this manual.

These emails now provide users the ability to format all these email messages. Users can format the messages in a variety of ways, including features like bold, underline, and italics; font alignment; and styles, font type, size, and so on (Figure 1.C.1.2).
Figure 1.C.1.2 – Email formatting options

The message will be sent from the email of the user that is logged into the system and sending the message. It is important to note that this icon will only be displayed next to groupings that currently have individuals in them. The ‘Subject’ lines and the bodies of these emails are blank by default; the user sending the message must enter this information.

Users will also see this feature available on the Roles and Rights page, the Period Administration Page, and the Executive Dashboard page. Figure 1.C.1.3 shows an example of the Roles and Rights page.
Manage Roles and Rights Instructions

As an administrator, you can manage the roles and rights of the system. By default, the system is populated with a basic set of roles and rights. However, an institution can choose to add additional roles as needed.

Easily change a right on an existing role by selecting the role. However, it is important to note that once a right change is made to a role, then any user associated to that role loses or gains that right. Certain rights may be administrative in nature, so make sure the rights are associated to the correct roles.

Roles can be deleted from ECRT by pressing the red X icon in the Action column for that role. A role description can be edited by clicking on the role description. To save the changed description, press the green circle icon. To clear your changes, press the blue Undo Change button.

Emails can be sent to a specific ECRT role by pressing the Envelope icon in the Action column for that Role. You'll need to enter an email subject and a message, and that email will be sent to everyone in that role.

Roles and Rights Settings

<table>
<thead>
<tr>
<th>Role</th>
<th>Role Code</th>
<th>Description</th>
<th>Effort Coordinator Role</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Central Administrator</td>
<td>CA</td>
<td>Central Administrator</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Executive Management</td>
<td>EXEC</td>
<td>Executive Management</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Non-Self-Certifer</td>
<td>Staff</td>
<td>Staff and other non-self-certifiers</td>
<td></td>
<td></td>
</tr>
<tr>
<td>PEC</td>
<td>PEC</td>
<td>Primary Effort Coordinator</td>
<td></td>
<td></td>
</tr>
<tr>
<td>PI</td>
<td>PI</td>
<td>PI, Faculty, and other self-certifiers</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Figure 1.C.1.3 – Group emails for roles
II. Home

A. The Work List

The Work List is displayed immediately after a user has logged into the system. This screen lists for the user the tasks that require the user’s attention. There are a maximum of three tabs that may be displayed on the Work List page depending on the user’s role. The example below (Figure 2.A.0.1) shows the Work List for a Principal Investigator (PI) that has researchers for whom he has certification responsibility.

**Work List for Stevie Wonder**

Welcome to the ecrt effort reporting system. The tabs below list all of the effort certification tasks that require your attention – whether it is certifying statements, processing statements, or following up on outstanding statements. To view and resolve the specific task, select the link in the task description.

<table>
<thead>
<tr>
<th>Statements Awaiting Certification (1+)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Statement Owner</strong></td>
</tr>
<tr>
<td>Wonder, Stevie - stelevwonder</td>
</tr>
<tr>
<td>Aaron, Hank - hankaharon</td>
</tr>
<tr>
<td>Cobain, Kurt - kurtcobain</td>
</tr>
<tr>
<td>Crosby, Bing - bingcrosby</td>
</tr>
<tr>
<td>Jackson, Michael - michaeljackson</td>
</tr>
<tr>
<td>John, Elton - eltonjohn</td>
</tr>
<tr>
<td>Lopez, Jennifer - jenniferlopez</td>
</tr>
<tr>
<td>Martin, Ricky - rickmartin</td>
</tr>
<tr>
<td>Matthews, Dave - davematthews</td>
</tr>
<tr>
<td>Vedder, Eddie - eddievedder</td>
</tr>
</tbody>
</table>

**Figure 2.A.0.1 - PI Work List**

1. **Statements Awaiting Certification tab**

The sample Work List shown in Figure 2.A.0.1 shows a single tab because the user is logged in as a PI. The tab is labeled 'Statements Awaiting Certification.' Next to the tab name is the number of items displayed on the page. In this example, there are two statements for which the user has responsibility. If the user has multiple tabs, the number of items is populated once the tab is viewed and updates after an item is resolved and removed from the list.
The ‘Statements Awaiting Certification’ list shows the user all the statements for which the user has certification responsibility. The tab displays six columns of information. The first is the statement owner’s name, followed by the statement owner’s department, the Due Date of the certification, that is, the date by which the statement must be certified, the type of statement – Base or Non-IBS, the status of the statement, and a button that displays a pop-up window that shows the other PIs related to the uncertified lines on the statement.

To access a statement from the list the user can select either a person’s name or statement to view, which will direct the user to the effort statement page. Selecting a name directs the user to the statement page for that person and all the person’s statements that require certification are presented for certification. Selecting the due date, statement type, or status of a specific statement presents the user with the single statement to be certified.

The user’s own statements always will appear first on the list. The user will see any of the user’s own open statements that require certification and any statements that are currently being built.

Additionally, the user will see any statements for covered individuals to whom the user is associated and for whom the user has certification responsibility. If the user is a PI, Proxy, Designee, or Effort Coordinator and has the responsibility to certify all or part of the statements for others, those statements will appear on the list. Once the user certifies the line(s) on the statements for which the user is responsible, the statements will no longer appear on the list.

Selecting the button in the PI/EC column will display a list of all PIs that are related to the statement and that have not completed the certification task for that statement (Figure 2.A.1.1).
A pop-up box displays the name of each uncertified account for which there is a PI, and the name of that PI. This facilitates greater communication among the PIs that are responsible for certifying the statement. If a sponsored account already has been certified on the statement, that account and PI will not appear on this list.

If the user is assigned as a Proxy for an individual, the individual for whom the user is assigned as the Proxy appears in the Work List. An icon appears next to the individual’s name to indicate the proxy relationship (Figure 2.A.1.2).
Figure 2.A.1.2 – Proxy Indicator

For more information about the Proxy functionality, please refer to section VI-C-8 of this guide.

Likewise, anyone that is related to an account on which the user is or was a Designee also appears in the user's Work List on the Home Page. A scroll icon appears next to those individuals that are related to the user through a Designee relationship (Figure 2.A.1.3).
Work List for Walter Payton

Welcome to the ecrt effort reporting system. The tabs below list all of the Effort certification tasks that require your attention – whether it is certifying statements, processing statements, or following up on outstanding statements. To view and resolve the specific task, select the link in the task description.

<table>
<thead>
<tr>
<th>Statement Owner</th>
<th>Department</th>
<th>Due Date</th>
<th>Type</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>Payton, Walter - Walterpayton</td>
<td>ATHL LEGENDS - Sports Legends Department</td>
<td>1/23/12</td>
<td>Base</td>
<td>Not Certified, Not Processed</td>
</tr>
<tr>
<td>Brown, Jim - Jimbrown</td>
<td>ATHL LEGENDS - Sports Legends Department</td>
<td>1/23/12</td>
<td>Base</td>
<td>Not Certified, Not Processed</td>
</tr>
<tr>
<td>Bulloch, Dick - dibulloch</td>
<td>ATHL LEGENDS - Sports Legends Department</td>
<td>1/23/12</td>
<td>Base</td>
<td>Not Certified, Not Processed</td>
</tr>
<tr>
<td>Ditta, Mike - mikaditta</td>
<td>ATHL LEGENDS - Sports Legends Department</td>
<td>4/23/311</td>
<td>Base</td>
<td>Not Certified, Not Processed</td>
</tr>
<tr>
<td>Faver, Brett - brettfaver</td>
<td>ATHL LEGENDS - Sports Legends Department</td>
<td>1/23/12</td>
<td>Base</td>
<td>Not Certified, Not Processed</td>
</tr>
<tr>
<td>Montana, Joe - jaomontana</td>
<td>ATHL LEGENDS - Sports Legends Department</td>
<td>1/23/12</td>
<td>Base</td>
<td>Not Certified, Not Processed</td>
</tr>
<tr>
<td>Rice, Janey - janeyrice</td>
<td>ATHL LEGENDS - Sports Legends Department</td>
<td>1/23/12</td>
<td>Base</td>
<td>Not Certified, Not Processed</td>
</tr>
</tbody>
</table>

Figure 2.A.1.3 – Designee Indicator

For more information on the Designee functionality, please refer to section IV-H of this guide.

2. Effort Tasks tab

This tab contains the list of one-step tasks that the user is responsible for resolving. Effort processing tasks, Payroll Adjustment Reconciliation tasks, user activation tasks, and Workflow Review tasks will appear only on the Effort Tasks tab on the Home Page. The tab will appear only if the user has effort tasks assigned (Figure 2.A.2.1).
Figure 2.A.2.1 – The Effort Tasks tab

For more information about resolving these tasks, please refer to section III-A-4 of this guide.

3. **Associated Certifiers tab**

The third tab on the Work List page is the ‘Associated Certifiers’ tab (Figure 2.A.3.1).
This tab will appear if the user is has been assigned the right “View Associated Certifiers Tab on the Home Page” and they are an effort coordinator of a department that has statements that need to be certified. Only uncertified effort statements of individuals assigned to the Effort Coordinator’s department will show up in the Associated Certifier list by default. If the user is assigned the right “View All Associated Certifiers on the Associated Certifiers Tab of the Home Page” the Associated Certifier list will expand to include all individuals with payroll or cost share on awards/accounts in the Effort Coordinator’s department. Similar to the ‘Statements Awaiting Certification’ tab, the user can select a person or statement to review and will be directed to the effort statement page.

The PI column on the ‘Associated Certifiers’ tab works the same way as on the ‘Statements Awaiting Certification’ tab (Figure 2.A.3.2).
Figure 2.A.3.2 – The Associated Certifiers PI Pop-up Window

The pop-up box displays the name of each uncertified account for which there is a PI and the name of that PI. If a sponsored account already has been certified on the statement, that account and PI will not appear on this list.
B. The ‘About ecrt’ Link

The ‘About ecrt’ link is visible to all users and is available from the Home navigation menu (Figure 2.B.1.1).

Selecting the link displays information about the version of ecrt the institution is using (Figure 2.B.1.2).

The information appears on the page from which the user selects the link. When the user navigates to another page, the information is hidden. To show the information again, the user must select the link again.
C. Site Map

The Site Map link is available from the Home navigation menu and displays on one screen the list of pages that are available to the user under each menu on the navigation bar (Figure 2.C.1.1).

The links that are visible around the Effort Lifecycle are the same links that are available from the navigation bar drop-down menu, which are controlled by the rights assigned to the user’s role (Figure 2.C.1.2).
As with the navigation menu bar, the user can navigate to a page by selecting the page name link on the Site Map page. The page names are hyperlinks that will take the user to the selected page. Throughout the application blue text means that the label is a hyperlink to another screen.

On the left side of the Work List and Site Map pages are additional links and information available to users that can be configured by the institution (Figure 2.C.1.3).
This information can be links to additional resources, such as sponsor pages, the institution’s policies and procedures, and the institution’s Help Desk. These links are also displayed in the 'Links’ drop-down menu in the navigation menu bar. For more information about creating these links, please refer to section VI-E-2 of this document.
III. Certify

The Certify navigation menu allows users to access two pages related to effort certification. The first is the Effort Statement page, where the user can view and certify the statements to which the user has access, and the Profile Manager, where the user can create, update, and manage Profiles. To go to any of the pages the user selects either the icon or the page name (Figure 3.0.0.1).

![Certify Secondary Menu](image)

Figure 3.0.0.1 – Certify Secondary Menu
A. My Statements

The ecrt solution enables effort certification to be as simple as possible for the responsible certifier. Data is loaded into the ecrt application from the institution’s source systems to gather payroll, cost sharing, and (if available) commitment information. This data is used as the starting point for effort certification.

Additionally, the ecrt system can accommodate two separate statement types. The default statement names are Base and Non-IBS. These two statement types allow institutions to organize payroll data based on their institution settings. For example, the Base statement is assumed to reflect payroll that is associated with an employee’s Institutional Base Salary, the payroll subject to effort reporting regulations. The Non-IBS statement could be used to show summer salary, supplemental pay, tuition remission, or other types of non-Institutional Base Salary payroll that the institution wishes to certify. However, these statements can be configured to reflect the payroll the institution chooses to show and have certified. The system does not require that an individual have a Base effort statement for a Non-IBS statement to be created and not all individuals will have a Non-IBS statement. While the certification periods for each statement type are the same, each statement can be certified independently; that is, they do not have to be completed in any specific order or simultaneously. If the institution chooses to enable both statement types, it should discuss the configurations necessary with Huron during the implementation.

All the Global Settings and Roles and Rights configurations available within the system apply to both statement types unless it is specifically mentioned that it applies to one statement type.

The labels Base and Non-IBS are keywords that can be changed in the Global Settings>Keyword Labels section of the application. For more information about keywords, please refer to section VI-E-3 of this document.

Whether an effort statement needs to be certified is determined during the certification period opening process and which depends on a number of configurations discussed throughout this document. Generally, the certification period opening process performs three functions: 1) moves all statements that have only non-sponsored activity to the Auto Approved status; 2) moves all statements that are not Auto Approved into the Not Certified, Not Processed status; and 3) sends emails to all users that have statements that need to be certified and emails to all effort coordinators listing those same users.

The following pages describe how to certify an effort statement that is in the Not Certified, Not Processed status. Throughout this discussion many configurations are explained that have an effect on the process but the basics remain the same.
To begin the effort certification process from the Home Page, the user selects Certify My Statements from the Certify navigation menu or by selecting the name of a person or a specific statement from the Statements Awaiting Certification tab (Figure 3.A.0.1).

Selecting a person’s name directs the user to the statement page for that person and all the person’s statements that require certification are presented for certification. Selecting the statement for a specific period presents the user with the single statement to be certified.

1. **The Effort Statement**
   
The Effort Statement page contains three panes containing information relevant to the certification process (Figure 3.A.1.1).
Figure 3.A.1.1 – Effort Statement Page

a. Work List Pane
The top left pane is the Work List (Figure 3.A.1.1 - A). The Work List is sub-divided into two groupings – Active and Recently Completed.

i. Active
The Active list shows the user and everyone that is currently related to the user. The user always appears at the top of this list. The presence of related people is controlled by a right and may not always appear in the list.

Related individuals will appear in the list if the user has the right to see them and if:
1) They have at least one statement with an uncertified account on which the user is the PI or Designee;
2) The user is assigned as their Proxy and there is at least one statement that is uncertified; or
3) They have a statement in the current period of performance with an uncertified account on which the user is the PI or Designee.
The appearance of these related individuals in the list is controlled by a right; depending on the institution’s configuration, these people may not appear in the Active list.

4) The user is an effort coordinator (regardless of whether EC can certify for them) and there are people related to the accounts on the departments with open statements and all employees within the department.

There are two ways individuals are associated to Effort Coordinators - by account and by department assignment.

- Accounts:
  - Any account to which the Effort Coordinator is associated as the PI/account owner.
  - Any Non-Sponsored account that is associated to the Effort Coordinator’s department.

- Employees: The listing of employees associated to an Effort Coordinator is impacted by a setting in the Global Settings>Certification Settings section of the application. The setting allows the institution to determine whether employees will be associated to a department based on whether the employee works on any account that is associated to the department or based on the employee’s home department designation, or both.
  - If the institution chooses to assign its employees based on the accounts to which the employee has charged payroll or cost sharing, then the department’s Effort Coordinator will see any employee that is charged to any of the department’s accounts regardless of the employee’s home department.
  - If the institution chooses to assign its employees based on their home departments, then the department’s Effort Coordinator will see any employee assigned to that department.
  - If the institution chooses to assign its employees based on both the home department and the accounts, then the department’s Effort Coordinator will see any employee that is assigned to that department and that is charged to any of the department’s accounts regardless of the employee’s home department.

If the account for a related individual has been certified, the related individual will remain in the Active list if the related individual has another statement with at least one account that is related to the PI or Effort Coordinator and that account is uncertified.

If the PI or EC does not have access to all accounts on the statement of a related individual, then the statement will drop off the Active list and will not appear in the In Progress or Recently Completed list until the entire statement is certified.
iii. Recently Completed

The Recently Completed list shows related people that have effort statements for the current Period of Performance that have been certified (Figure 3.A.1.2).

To appear in the Recently Completed list, the statement must cover the Period of Performance that is being certified and the certification must be performed during the open Certification Period. If either of these criteria is not met, the statement owner will appear in the Active list, not the Recently Completed list.

A person will appear in only one of the Active and Recently Completed lists. If the user has the right to see In Progress statements and a related person has a statement that was recently completed as well as an In Progress statement, the person will appear in the Active list instead of the Recently Completed list. In the same scenario, if the user does not have the right to see In Progress statements, the related person will appear in the Recently Completed list.

The person or persons that are selected in the list are highlighted in blue. There are four tools that can be used to manage the lists, as well.
Select All

Users have the ability to select all the people in the viewed list at one time. This tool is most useful when the user wishes to review and/or certify multiple statements at one time.

The Select All icon is the first icon to the right of the Active label. Selecting this icon highlights all the people in the active list that have statements that are in a Not Certified status. If a person in the list has multiple statements in that status, all of the statements are shown in the Effort Statement pane below the Work List pane. If a person in the list only has an In Progress statement, then that person is excluded from the results of the Select All. Only those people with statements that are Not Certified, and only those Not Certified statements, are displayed when the Select All feature is used.

When the user selects the Select all icon, all people in the Active list are highlighted and the Selected Certifiers are loaded in the top right pane (Figure 3.A.1.3).

The user sees a spinning wheel icon in the top right pane, indicating that the system is compiling the list of Not Certified statements for those people that are in the Active list. Users should not attempt to perform any other action while the list is being compiled. Depending on the number of people and the number of statements that are being assembled this action may take some time to complete.

The compiled statements appear in the Effort Statement pane in the order in which the individuals appear in the Active list (Figure 3.A.1.4).
**Figure 3.A.1.4 – Select All Results**
Only those individuals with Not Certified statements of any type are listed in the right pane. As a result, it is possible for there to be fewer people in the Selected Certifiers list than were in the Active list.

If a filter or sort is in effect in the list, then the statements are returned in that order, as well, with the oldest statements for an individual appearing first.

The system limits the number of people that can be returned at any time to maintain performance. If the user has a long list of individuals and chooses Select All, the list of people that can be viewed at one time is limited to 25. While the list of people is limited to 25, the system will display all relevant statements for those 25 people. If a user has more than 25 people in the list, after the first group is complete, the user can choose the Select All icon again to group the next set of people, and so on.

**Sort**

Users have the ability to sort all the people in the viewed list. This allows users to reorder the list to their liking.

The Sort icon is the second icon to the right of the Active label. Selecting this icon reorders the list of people in either ascending or descending fashion based on last name. The default order of the people on the list is ascending by last name. Selecting the icon once will reset the sort order to ascending by last name; selecting it twice will sort descending by last name (Figure 3.A.1.5).

![Figure 3.A.1.5 – Active List Sorted in Descending Order](image)

The Sort feature works with either list and when a filter or search is in place.
Filter

Users have the ability to filter the Active list to view a relevant subset of the list. This allows users to limit their work only to the relevant subset.

The Filter icon is the third icon to the right of the Active label. There are three predefined filters from which users can select – Name, Department, and Award/Account Name.

Selecting the Filter icon presents the users with the three options (Figure 3.A.1.6).

The default order of the list is ascending by last name (Figure 3.A.1.7).

To filter by a letter in a name or even a combination of letters in the name, the user will ensure the Filter is set to Name, enter the letter or letters in the search box, and select the magnifying glass next to the search box. The results will contain all people that match the text that was entered (Figure 3.A.1.8).
In this example, the filter is the letter ‘B’. The results of the filter show anyone that has the letter ‘B’ in either the first or last name.

The user also can search for a single individual by entering the individual’s name and selecting the magnifying glass (Figure 3.A.1.9).

The list will populate with any people that match the name entered. In this example, there is only one person that matches the criteria (Figure 3.A.1.10).
To filter by a department the user must set the filter to Department, enter part or all of a department’s name in the search box, then select the magnifying glass icon. The list returns all people that are assigned to departments that match the entered name (Figure 3.A.1.11).
To filter by an award or account name the user must set the filter to Award/Account Name, enter all or part of the award or account name, then select the magnifying glass icon. The list returns all people that have payroll or cost sharing on an award or account that matches the criteria entered (Figure 3.A.1.12).

To remove a filter the user must clear the search box and select the magnifying glass. The list will return to the default state.

These features work in both the Active and Recently Completed lists.

b. Statement Information Pane
The top right pane on the Effort Statement page displays information about the owner of the statement that is being viewed (Figure 3.A.1.13). This pane contains demographic information about the statement owner and information about all that person’s statements. The ability of the user to see all the statements is controlled by rights; some users may not have the rights to see all statements.
Figure 3.A.1.13 – Statement Information Pane

The header of the pane contains the name of the selected individual (Figure 3.A.1.13 – A). The header line also contains the Save Checked button, which allows the user to save any values that were entered on lines where the Certify Checkbox is marked (Figure 3.A.1.13 – B). If the Certify Checkbox is not marked and a value was entered, then the information is not saved when the Save Checked button is selected. When multiple statements are selected the Certify Checked button appears next to the Save Checked button.

In the body of the pane is additional information about the statement owner (Figure 3.A.1.13 – A). There are multiple expandable/collapsible lists in the pane. If the arrow is pointing to the right, then the list is collapsed; if the arrow is pointing down, the list is expanded.

The first list, titled Statement Owner Information (A), shows the demographic information about the statement owner – the person’s title, Primary Effort Coordinator, home department, and email address.

The person’s title is captured at the time the statement is created. If the title changes after a statement is created, the change is reflected in subsequent statements. The department and Effort Coordinator fields may change depending on the institution’s configuration regarding the effective dating of department relationships. If the department relationship is effective dated at the time the statement is created, the change is reflected in subsequent statements. If the department relationship is effective dated at the time the statement is certified, then a change in department is reflected immediately on the statement. The Effort Coordinator’s name is a hyperlink allowing the user to send an email to the Effort Coordinator when the name is selected. The email address is always updated with the most recent primary email address on record. When
the statement is certified, i.e. when the final certifier presses the “I Agree” button on the attestation page (as described in the Certifying Effort section below), all this information is stored until the statement is reopened for recertification.

The second list, titled Effort Statements (C), contains all the statements for the selected individual. A star will appear next the Effort Statements label if there are any statements for this selected individual has any effort statements, whether base effort or Supplemental. For more information about Supplemental statements please see section III-B of this guide.

The statements are grouped into three additional lists. The first list is the Needing Certification list. If the selected individual has any statements in a Not Certified status, a star appears next to the label and the statements appear below the label. The certification due date (the end date of the Certification Period) and the status of the statement are displayed.

The second list is the In Progress list. If the selected individual has any statements in the In Progress or the Certified, Not Processed statuses, a star appears next to the label and the statements are listed below the label. The ability to see any statements in this list is controlled by the View In Progress Statements right. If the user does not have this right, this list will be empty. The certification due date (the end date of the Certification Period) and the status of the statement are displayed.

The third list is the Historical list. If the selected individual has any statements in a Certified status (Certified, Processed; list all other statuses), a star appears next to the label and the statements are listed below the label. The statements are listed in ascending order, meaning the oldest statement is first and the most recent statement is last. Users always are able to view their own historical statements. A user also is able to view historical statements for all related individuals for the periods of performance the individuals were related to the user. The certification due date (the end date of the Certification Period) and the status of the statement are displayed in this list.

c. Effort Statement Pane

The third pane on the Effort Statement page displays the effort statement itself. The information on the page depends on how the user accesses the Effort Statement page and which statement(s) are selected. The statement is configured by the institution in the Global Settings but the fundamental aspects of the statement do not change – effort categories are shown, the accounts in each category on which the statement owner has payroll, cost share, or commitment information is displayed, and the Certified column is shown. The configurable elements of the statement are discussed in greater detail in succeeding sections of this document.
i. Accessing the Statement

The statement that is displayed in the Effort Statement pane depends on how the user navigates to the page. There are five possible ways to navigate to the page.

Home Page

The Work List on the Home Page provides a user two ways to navigate to the Effort Statement page. When navigating to a statement from the Home Page, the user sees all individuals related to the user in the Work List on the Effort Statement page.

The first is by selecting the name of the owner of the statement to be reviewed (Figure 3.A.1.14).

![Figure 3.A.1.14 – Accessing Effort Statements by Employee](image)

If the user selects the statement owner’s name from the Work List, the user is directed to the Effort Statement page and all statements in a Not Certified status are highlighted in the Statement Information pane and displayed in the Effort Statement pane (Figure 3.A.1.15).
The user also can select a specific statement to review from the Work List (Figure 3.A.1.16). To view a single statement the user selects the Due Date, Type, or the Status icon or text.
Figure 3.A.1.16 – Accessing Individual Effort Statements

The user then is directed to the Effort Statement page and only the selected statement for the statement owner is displayed (Figure 3.A.1.17).
My Statements link

When navigating to a statement from the My Statements link on the Certify navigation menu, the user sees all individuals related to the user as shown in the Work List on the Effort Statement page (Figures 3.A.1.18).
The user is directed to the Effort Statement page and all the user’s statements in a Not Certified status are highlighted in the Statement Information pane and all those statements are displayed in a group view in the Effort Statement pane (Figure 3.A.1.19).

Figure 3.A.1.19 – The My Statements page

**Look-up**

Another method of navigating to an employee’s statements is to use the Look-up function. The Look-up feature is controlled by a right and the link appears in the Manage navigation dropdown list (Figure 3.A.1.20).
Figure 3.A.1.20 – Navigating to the ‘Look-up’ page

The user searches for the employee to be reviewed, selects the name of the employee from the search results dropdown list, and selects the Go button (Figure 3.A.1.21).

Figure 3.A.1.21 – Accessing effort statements by employee

When navigating to a statement from the Look-up page, the user sees the employee that was sought in the Work List, as well as all individuals related to the employee if applicable, and all the selected employee’s statements in a Not Certified status are displayed in a group view in the Effort Statement pane (Figure 3.A.1.22).
**Manage Users**

The last method of accessing an employee’s statement is to use the Manage Users page. The Manage Users page is controlled by a right and the link to the page appears in the Administration navigation dropdown list (Figure 3.A.1.24).
Figure 3.A.1.24 – Accessing the Manage Users Page

The user searches for the employee to be reviewed, selects the name of the employee from the search results dropdown list, and selects the Choose button (Figure 3.A.1.25).

Manage Users

As an administrator, you have complete control in managing the roles associated to any system user. By selecting a user from the box below, you will be able to activate or deactivate a user, manage the system roles they have access to, and manage their associated departments. Each of these operations allows further management of all system users.

The search can be conducted using first name, last name, or ecrt number. Results are produced more quickly using last name or ecrt number. Searching by first name then last name will not produce results. You must search by last name only, first name only, ecrt number only, or by last name then first name.

When you view this page, if there is a "loading data" indicator, then please wait as the screen populates with your data. If there is no "loading data" indicator, then please type the name of the person you are searching for and wait for the results to load. It may take up to three seconds to load your results.

Choose a user to administer: [input field]

Figure 3.A.1.25 – Searching for an employee on the Manage Users page

On the Manage Users page the user selects the ecrt icon in the Effort Statement box (Figure 3.A.1.26).
Figure 3.A.1.26 – Accessing effort statements through the Manage Users page

After selecting the icon, the user sees the statement for the selected employee, as well as all individuals related to the employee if applicable. All the selected employee’s statements that are in a Not Certified status are displayed in a group view in the Effort Statement pane (Figure 3.A.1.27).
Regardless of how the user accesses the statement page, once at least one statement is selected, the Effort Statement pane shows the information for the selected statement.

### ii. Elements of the Effort Statement

The specific appearance of the Effort Statement is controlled by the configuration decisions made by the institution. There are several elements of the statement that are not configurable, however. The elements and their configurability are discussed in further detail below. Figure 3.A.1.28 is an example of a nearly comprehensive statement.
Figure 3.A.1.28 – Sample Effort Statement

**Effort Statement Header**

The Effort Statement pane contains several pieces of information about the displayed statement. The first is the name of the statement owner, followed by the employee type, statement type (Base or Non-IBS), Period of Performance dates, the due date, i.e. the last date of the Certification Period, and the status of the statement (Figure 3.A.1.29).
The information included in the header is not configurable.

**Message Box**

Below the header is a message box that will appear under certain circumstances (Figure 3.A.1.29). The message box displays information about the statement. The complete list of messages that may appear are:

- **WARNING** - You cannot certify this Effort Statement because you do not have the right to certify Statements.
- **WARNING** - You cannot certify this Effort Statement because you only have the right to save other users' Statements.
- **WARNING** – This Effort Statement cannot be certified because there is no primary effort coordinator for the owner of this statement.
- **WARNING** – This Effort Statement has an exception account with payroll loaded to it that prevents it from being certified.
- **WARNING** – This Effort Statement cannot be certified because it was placed on hold by <name of person who put the statement on hold>.
- **INFO** – This Effort Statement has multiple certifiers. Only lines that require your certification can be accessed.
- **INFO** – This Effort Statement might not be certifiable if the salary cap expectations are not met.
- **INFO** – This Effort Statement cannot be certified because it is in the In Progress status.
- **INFO** – This Effort Statement has been previously saved.
- **INFO** – Check all certify checkboxes to show the certify button.

The presence of some of the messages is determined by the rights the user has. However, the presence of the messages cannot be suppressed by the institution if the criteria for displaying them are met. The text of the messages is not configurable at the present time.

**Statement Action Bar**

Below the statement tabs is an area that contains a variety of icons and links that allows the user to perform certain actions (Figure 3.A.1.30).

![Figure 3.A.1.30 – Statement Action Bar](image)
Refresh Statement
The Refresh Statement icon provides users with the ability to force the recalculation of the effort statement to include the most recent payroll, cost share, cost transfer and commitment data. All transactions that are loaded into the system are applied at the time the data is loaded but this is a means to assure the user that the statement reflects everything. This most important use of this feature is to refresh commitments that were added to the statement via SQL query in the database. This should be an extremely rare occurrence but in the event it does happen, this ensures the accuracy of the statement.

The presence of the Refresh Statement icon is configurable and is controlled by a right.

Run Reports
The Run Reports icon allows a user to run selected reports to which the user has access that contain more information about the data on the effort statement (Figure 3.A.1.31). This link is activated in the Global Settings configuration and the reports that are displayed are determined by whether the user has the rights to access each of the reports.

Figure 3.A.1.31 – Run Reports Hover Over

The user selects the icon to view the reports that are available (Figure 3.A.1.32). If no reports are available to the user, the icon will not be displayed.
The complete list of reports that are available from this list are:

- Payroll Report,
- Commitment Listing Report,
- Individual Commitment Detail Report,
- Cost Share Report,
- Payroll and Cost Share Report, and
- Certifier Payroll Summary Report.

To run a report the user selects the report from this list. The report will open in a new browser window. To hide the list without selecting a report the user must select the icon a second time.

The presence of the Related Reports icon is not configurable but the presence of each of the reports within that list depends on whether the user has the rights to view those reports.

**PDF Report**

The PDF icon generates the Effort Statement PDF. When the icon is selected, the user is prompted to decide whether to open the file or save the file. To view the statement, the user selects Open and the PDF is opened in another browser window (Figure 3.A.1.33).
Once opened, the file can be saved or printed for the user’s convenience. To save the file without reviewing it, the user selects the Save button.

The text that appears on the effort statement PDF that is accessible from the effort statement is now configurable. The text can be customized in the Certification Instruction Text field on the Global Settings>Application Text page. For more information about customizing this text, please refer to section IV-E-4 of this guide.

The presence of the Effort Statement PDF icon is configurable and is controlled by a right.

Related Statements
The last icon is the Related Statements icon, which provides users with the ability to access other statements if the institution is using them (Figure 3.A.1.34).
If the institution is using either the Total Professional Effort or Clinical Activity functionality, or both, users are able to access those statements from the effort statement by selecting this icon. The Total Professional Effort and Clinical Activity statements are discussed in more detail in subsequent sections of this document.

The presence of the Related Statements icon is configurable and is controlled by a right and whether the institution is using either the Total Professional Effort or Clinical Activity functionality.

There are a number of links on the right side of the Action bar that provide additional functionality, as well (Figure 3.A.1.35). The presence of each link is configurable and controlled by a specific corresponding right.

**On Hold**

On the effort statement itself, users are able to place a single effort statement on hold. To do so, the user marks the On Hold checkbox in the Action bar (figure 3.A.1.35). To remove the hold on the individual statement, the user removes the mark in the checkbox. For more information about placing statements on hold and the impact of the hold feature, please refer to Section IV-H of this document.

**$ Value**

The ‘$ Value’ link (Figure 3.A.1.35) displays the payroll dollars underlying the percentages on the effort statement (Figure 3.A.1.36).
Effort statements will always open in the percentage view to display the appropriate percentages in the columns and allow an individual to certify the statement. If the individual chooses to display the dollars on the effort statement by selecting the ‘$ Value’ link, the statement will update with the appropriate dollars and the certify button will no longer be available. The $ Value link name changes to % Value, as well.

The statement cannot be certified while it is showing the dollar values. Additionally, if the user enters values in the Certified Effort column in this view, the values are not saved when the user returns to the percentage view.

Create Cost Transfer
The Create Cost Transfer link allows users to enter cost transfers directly into the ecrt system. To enter a cost transfer directly into the ecrt system, the user will select the Create Cost Transfers link from the certification statement.

When the user selects the Create Cost Transfer link, a new window appears on top of the existing browser window (Figure 3.A.1.37).
At the top of the window, the individual’s name and the period of performance are displayed.

Below the individual’s information, the screen is split into two sections: ‘Create Cost Transfer’ and ‘ecrt Generated Cost Transfers’. The ‘Create Cost Transfer’ section is where the cost transfer information is entered. The left-hand side contains the TO (credit) information for the cost transfer. The right-hand side contains the FROM (debit) information for the cost transfer.

When entering cost transfer information, the user begins by defining the information in the TO section. Since the user likely has access to more accounts than those on the effort statement, the user must search for the correct account to which to add the cost transfer. This account does not have to be present on the statement at the time the cost transfer is initiated. Depending on the user’s security level, the user can search for either those accounts associated with the user only or all accounts in the system. Additionally, the user may be limited to selecting only active accounts, only expired accounts, or both, depending on the Account load selection (for Cost Transfer Administration) setting on the Global Settings>Effort Administration page.

The user searches for and selects the account to receive the cost transfer (depending on the user’s security level, the user can search for either those accounts associated with the user only or all accounts in the system). The user then inputs the dollar amount of the transaction, the cost transfer code (if required) and the desired date of the
transaction. When the TO information is correct, the user selects ‘Add’. The information for the transaction is shown above the data entry form (Figure 3.A.1.38).

The cost transfer code is required if the institution is exporting the entered cost transfer to an institutional source system. This code ties the cost transfer to the subsequent payroll transaction that will be loaded from the source system. Typically the user enters a code that is generated in the source system for the transaction that will be loaded. This ensures that the transaction does not get routed through the Payroll Adjustment Reconciliation process and is not double-counted on the statement. This code must be unique for each portion of the transaction – the TO side must have a unique code and the FROM side must have a unique code. This setting is configured in the Global Settings>Certification Settings page. For more information about these settings, please refer to section VI-E-5 of this guide.

The user repeats the steps performed on the TO section for the FROM to have an equal transaction. Since the cost transfer must be provided from an account present on the statement, the user must select the correct account from the drop-down list that contains the accounts on the statement (Figure 3.A.1.38).

Following the account selection the user enters the dollar amount (the same amount from the TO entry), the cost transfer code (if desired) and the desired date of the transaction.
All cost transfer entries must have a net balance of zero so the TO and the FROM amounts must be equal. The user can enter multiple TO accounts and/or multiple FROM accounts but the total amount of the transfer TO and FROM must be equal. NOTE: Central Administrators may have the option to enter in a one-sided cost transfer. If that is the case, the TO and FROM do not need to net to zero. The ability to enter a one-sided cost transfer is controlled by a right.

After the cost transfer has been added the user sees the transaction summary with the dollars and accounts affected. To remove an entry the user can click on the red ‘X’. To finalize the entry the user clicks ‘Create Transfer’ (Figure 3.A.1.39).

A pop-up window is displayed if the institution requires a Cost Transfer Justification, which also is configured on the Certification Settings page (Figure 3.A.1.40).
The Justification screen requires the user to select an institution-defined reason for the cost transfer, enter an explanatory note and the information for the PI of the account. The user can attach documentation to support the justification. Once the information is entered, the user selects the Submit button (Figure 3.A.1.41) and the user is returned to the effort statement.
When the user returns to the Create Cost Transfer page, the ecrt Generated Cost Transfers section of the page lists all previous cost transfer transactions that were created in the ecrt system. Each transaction record contains the date, the amount, the accounts affected, the dates of the transaction, whether the certification statement was affected, and whether the cost transfer was Proactive or Reactive. Placing the mouse over the date of an ecrt Generated Cost Transfer displays the Justification (Figure 3.A.1.42).
Add Account
A user can add a line item to the effort statement by adding an account from the statement. The system will create a line item on the statement with no payroll, cost share, or commitment associated to it, to allow the user to enter and certify effort on this account. The user must have a role that has the ‘Add Account’ right assigned to it to use this functionality.

If the user has the ‘Add Account’ right, a link named ‘Add Account’ appears on the effort statement (Figure 3.A.1.43).
Selecting the link opens a new window on which the user will search for an account (Figure 3.A.1.44).

The new window provides an empty search box for the user to search for the account that is to be added to the effort statement (Figure 3.A.1.45).
For an account to be available to be added to a statement the account must be present in the system, i.e. it must have been loaded through the ecrt Project file. The user can toggle between currently 'Active' or 'Inactive' accounts by using the radio button to the right of the search box.

The user should type in the name or number of the account to be added. Once at least three (3) characters of the account number or the account name have been populated in the search form, results are returned to the user. The user must choose the appropriate account to add to the effort statement by selecting the account from the displayed list. NOTE: the result set will return all accounts within the system. There is no security set up to limit the accounts that can be added to an effort statement.

After the appropriate account has been selected, the user will select the 'Submit' button to add the account. If the user wishes to return to the effort statement without adding an account, the 'Cancel Request' button may be selected.

After the user clicks ‘Submit,’ a confirmation message appears, requiring the user to confirm the intent to add the account (Figure 3.A.1.46).
Selecting ‘OK’ will add the account to the effort statement. NOTE: There is currently no mechanism to remove an account line from an effort statement. Once added to an effort statement the account line cannot be removed.

The new account will appear on the effort statement as a zero dollar ($0) payroll entry, meaning there will be no Payroll associated to the line, no Cost Share, and no Computed Effort (Figure 3.A.1.47).
Additionally the new account will appear on the Payroll Report as a zero dollar ($0) payroll transaction with start dates and end dates equal to the Period of Performance and a Pay Type ID that is used by the ecrt system to readily identify that this account and transaction was added using the Add Account functionality (Figure 3.A.1.48).

![Figure 3.A.1.48 – ‘Add Account’ transaction on the Payroll Report](image)

Once the account has been added it is available to be certified as any other account in the system. If effort is certified on the account a cost transfer will be generated on the Effort Processing screen of the statement owner’s Effort Coordinator. For more information about processing certified effort statements, please see section III-A-4 of this document.

**Override Status**
The ‘Override Status’ link allows a user to move an effort statement between the following three statuses - “In Progress,” “Not Certified, Not Processed,” and “Auto Approved” (Figure 3.A.1.49).

![Figure 3.A.1.49 – Override Status Button](image)
The “Override Status” feature can be used to handle multiple exception circumstances. One such example is when a statement is created for a Period of Performance after the Certification Period for that Period of Performance has already opened. In this situation the statement would have an initial status of “In Progress.” The “Override Status” functionality can be used to move the statement into a status of “Not Certified, Not Processed” if it contains sponsored activity needing to be certified or into the “Auto Approved” status if the statement has all non-sponsored activity. **NOTE:** There is also a nightly process that runs that will move statements that correspond to a Period of Performance for which the Certification Period has already opened into the appropriate status of “Not Certified, Not Processed” or “Auto Approved.” This ensures that any such statements that are created do not remain in the “In Progress” status indefinitely and that those statements do not need to be moved into another status by query.

The feature also can be used to manage employees that may be leaving the institution during a Period of Performance. This provides the departing employee with the ability to certify effort for the period at the time of departure for maximum compliance.

The ‘Override Status’ button is link is displayed by giving a user the “Override Effort Status” right. For more information about this right, please refer to section VI-B-2 of this document.

When the user selects the button, a pop-up window will appear (Figure 3.A.1.50).

![Override Status Pop-Up Window](image-url)
When the user selects the status into which the statement will be moved, a confirmation window will appear. After the user has confirmed the action, the statement will update to the status that was selected. This action is not captured in the Transaction History of the effort statement.

**Effort Calc**

The Effort Calc link leads to the Effort Calculator page. This tool calculates a percentage of effort based on an input of average hours worked (Figure 3.A.1.51).

![Effort Calculator](image)

Figure 3.A.1.51 – Effort Calculator – calculating percentages by inputting average hours

To use the effort calculator, the user first will enter the average number of hours worked for the period covered by the statement. Then the user will select whether to calculate the percentage based on the average hours worked each week in the period for each account or to calculate the average hours worked each week in the period for each account based on the percentages.
If the user selects ‘Calculate Effort by hours’, the user will input the average hours worked per week on each account and the system will calculate the corresponding percentages.

If the user selects ‘Calculate Effort by percentages’, the user will input a percentage for each account and the system will calculate the corresponding average hours per week for each account.

The data on the effort calculator can be saved by selecting the ‘Save’ button. This information is not transferred to the effort statement, however, and can be seen only on this calculator page.

Create Cost Transfer Worksheet
The Cost Transfer Worksheet can be used for cost transfers that result from a certification where certified effort differs from the computed effort, known as reactive cost transfers, or it can be used proactively to submit cost transfers before the effort statement is certified. The worksheet functionality allows a user to enter effort percentage changes for each account on the effort statement in a grid format, similar to a spreadsheet, which then can be exported to an institution’s source financial/payroll system. The worksheet is used strictly for payroll adjustments. If the institution is using the Non-Companion Cost Sharing model, the worksheet will not accommodate adjustments to cost sharing entries, only payroll.

The Cost Transfer Worksheet can be accessed only after the conclusion of the Period of Performance until the end of the Certification Period. The Create Cost Transfer Worksheet link will not appear at any other time to reduce confusion or possible errors.


The Cost Transfer Worksheet is controlled by several rights governing the actions a user can take on the worksheet (for more information about these rights, please see section VI-B-5 of this guide). If the user has the View Cost Transfer Worksheet right, both the Create Cost Transfer Worksheet and the View Cost Transfer Worksheet links appear on the effort statement (Figure 3.A.1.52) from the end of the Period of Performance to the end of the Certification Period, or, if the user is an effort coordinator, the link also appears on the effort processing screen.
Figure 3.A.1.52 – Accessing the Cost Transfer Worksheet

When either the Create Cost Transfer Worksheet or View Cost Transfer Worksheet link is selected, the worksheet opens in a new window (Figure 3.A.1.53). The worksheet will display the certifier’s payroll information for the Period of Performance by month.

*Example: If the period of performance is 1/1/2011 – 6/30/2011, the worksheet displays 6 months of payroll for 1/1/2011-6/30/2011.*
Cost Transfer Worksheet (01/01/2011 - 06/30/2011)

Certifier: Janis Joplin - janisjoplin

Effort Statement Status: Not Certified, Not for audit, Re-Opened by Payroll Adjustment Reconciliation

<table>
<thead>
<tr>
<th></th>
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<tbody>
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<td>A9-Valve - Valve Replacement</td>
<td>SAP</td>
<td>24</td>
<td>20</td>
<td>24</td>
<td>24</td>
<td>24</td>
<td>24</td>
</tr>
<tr>
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<td>6</td>
<td>2</td>
<td>7</td>
<td>2</td>
<td>7</td>
</tr>
<tr>
<td>A2-Lung - Development of Artificial Lung</td>
<td>SAP</td>
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<td>49</td>
<td>49</td>
<td>49</td>
<td>49</td>
<td>49</td>
</tr>
<tr>
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<td>SAP</td>
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<td>25</td>
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<td>24</td>
<td>24</td>
<td>24</td>
</tr>
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<td>100</td>
<td>100</td>
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<tr>
<th>Account</th>
<th>Weighted Pay Avg</th>
<th>Revised Weighted Pay Avg</th>
<th>Target Weighted Pay Avg</th>
</tr>
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<td>49</td>
<td>N/A</td>
</tr>
<tr>
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</tr>
<tr>
<td><strong>Total</strong></td>
<td>99</td>
<td>100</td>
<td>100</td>
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</tbody>
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Funding Source for Cost Sharing (CCWBS element): 

- I have reviewed the documentation supporting the student's eligibility for College Work Study.
- Show Untimely Justification
- Show Comments

Submission Audit Trail

<table>
<thead>
<tr>
<th>User Name</th>
<th>Create Date</th>
<th>Extraction Id</th>
<th>Jan-2011</th>
<th>Feb-2011</th>
<th>Mar-2011</th>
<th>Apr-2011</th>
<th>May-2011</th>
<th>Jun-2011</th>
</tr>
</thead>
<tbody>
<tr>
<td>system</td>
<td>11/29/2011</td>
<td>d8e342b33a9d6e20a13288017605ed</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
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<td>✓</td>
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<tr>
<td>system</td>
<td>11/28/2011</td>
<td>d8e342b33a9d6e20a13288017605ee</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
</tbody>
</table>

Figure 3.A.1.53 – The Cost Transfer Worksheet

At the top of the worksheet the dates of the worksheet, the certifier’s name, and the status of the effort statement are displayed (Figure 3.A.1.53 - 1). The middle of the worksheet lists all accounts that are displayed on the effort statement, the type of transaction (as configured in the Global Settings>Cost Transfer Type Code, and the percentage of payroll on each account for each month that pay was charged (2). The Cost Transfer Type Code displays whether the transaction is from the source system or
another payroll system. If the transaction is not from the source payroll system, then the transaction will be read only, to prevent the transaction from being exported to the incorrect source system. In months where payroll was charged, the input box is editable. If there was no payroll in a prior month, or the month is in the future, the input box for that month will be grayed out and will not be editable. The total payroll percentage for each month must equal 100% (3).

Below the list of payroll accounts is a chart displaying a summary of the transactions for each of the accounts. The chart includes the original weighted payroll average, revised weighted payroll average, and target (certified) weighted payroll average (4).

If the user has the right to add an account to a worksheet, the ‘Add Account’ box appears below the summary chart. The user will search for the name of the account to add by entering the account number or name into the search box for the system to respond with suggestions based on the information entered. All accounts that have been loaded in the system will appear in the drop-down; there is no security behind this account listing. The user is also able to search for active or inactive accounts by selecting the appropriate radio button (5). **NOTE** – adding an account to the Cost Transfer Worksheet does not add the account to the effort statement. It only adds the account for the purposes of creating cost transfers for the account using this worksheet functionality.

The next sections of the Cost Transfer Worksheet are client-specific, although each section can be queried using the IQ Tool.

Below the account search box is a free-form text field that can be used for identifying cost sharing sources. This field may be useful for entering metadata that can be displayed and queried.

The check box below the cost share funding source search box allows a user to confirm that the user is aware of the requirements of assigning Work Study dollars to an employee. This functionality is very limited in scope and each institution will determine whether it will use this check box and functionality in general.

Following the Work Study check box is a free-form text field where the user can enter a justification for the cost transfer that is being created, i.e. cost transfer is being made more than 90 days after payroll has hit the source system. Justifications can be displayed by clicking the ‘+’ sign next to the “Show Untimely Justification” label. Below the cost transfer justification is another free-form text field to enter comments associated to the worksheet; comments can be entered and displayed by clicking on the ‘+’ sign next to the “Show comments” label.

At the bottom of the page are the actions the user can take to exit the page (6). The ability to ‘Save All’ and the ability to ‘Submit Cost Distribution’ are controlled by separate rights and discussed in more detail below. A user may be able to view the worksheet.
only without being able to submit or save. The other options, ‘Go to Home Page’ and ‘Close Window’ are always available to a user.

**Changing the Cost Transfer Worksheet**
The Cost Transfer Worksheet is updated in real time. Any changes that are made to the worksheet are reflected in the status bar below the worksheet data entry boxes (Figure 3.A.1.54).

![Cost Transfer Worksheet (01/01/2011 - 06/30/2011)](image)

<table>
<thead>
<tr>
<th></th>
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<td>24</td>
<td>24</td>
<td>N/A</td>
</tr>
</tbody>
</table>

| Total | 99 | 100 |

**Figure 3.A.1.54 – Updating the Cost Transfer Worksheet**

An individual that has access to the cost transfer worksheet can use the worksheet as a tool for managing the payroll distribution of certifiers for the previous Period of Performance and future periods if the worksheet is accessed from the institution’s source system.

If the Primary Effort Coordinator is accessing the Cost Transfer Worksheet from the Effort Processing Task Item from the Manage Effort Tasks list, the Target Payroll Avg will be populated with the percentage of effort to which the certifier certified for each account. The PEC can use this target percentage to adjust the monthly payroll distributions to match the certified effort percentages. Depending on the rights the PEC role has and the configuration of the system, the Effort Coordinator will either save the information entered for future reference or submit the worksheet so it is sent to the source system.
Submitting the Cost Transfer Worksheet

If the user has made changes to the Cost Transfer Worksheet and is ready to submit the worksheet, the user can click on ‘Submit Cost Distribution’ (Figure 3.A.1.53 – 7). Depending on the institution’s setup, this action may allow the cost transfer to be sent to the institution’s source system for processing. When the ‘Submit’ button is selected, a summary of the cost transfers that were produced is displayed (Figure 3.A.1.55). (The title of the summary screen is controlled by system keywords so it will likely differ from the title in this figure.) The distribution will show the affected payroll periods, and the revised effort percentages that were sent to the source system. **NOTE** – only those months that had payroll percentages changed are sent to the institution’s source systems. If the distribution for only one month was changed, only the information for that month is submitted.

![Cost Transfer Worksheet (01/01/2011 - 06/30/2011)](image)

Figure 3.A.1.55 – Confirming the Cost Distribution Submission

Once the worksheet has been submitted, the user can see the details of the submission in the ‘Submission Audit Trail’ at the bottom of the page (Figure 3.A.1.56).
The audit trail shows the months that were affected by the cost transfers that were created in the worksheet. Those months with changes are marked with green check marks, as shown above.

iii. Statement Configurations

The statement presents the distribution of payroll that serves as the starting point for effort certification. The data can be arranged in a variety of ways depending on the institution’s configuration decisions. Many of these configurations are discussed below; however, the Global Settings section of this guide (section VI-E-12) lists all the settings from which the institution can choose as well as explanations of those settings. Additionally, elements of the statement are controlled by rights. For more information about rights, please refer to section VI-B of this guide.

Statement Columns

The columns that appear on the statement are configured by the institution. Three columns are required to appear on the statement – Accounts, Computed Effort, and Certified Effort. Other columns may be required depending on the effort formula the institution is using. For additional information about the effort statement columns, please refer to section VI-E-12 of this guide.

The Accounts column lists the accounts that have funded the individual’s effort for the period of performance that is being certified. If the institution is loading award information and the award-account relationship, awards may be displayed in this column, with accounts grouped by award.

In the default system configuration, the Computed Effort column is the sum of the Payroll and Cost Share columns. In other formulas, Computed Effort may be calculated based on Revised Payroll and Revised Cost Share.

The Certified Effort column represents the key component in the effort certification process. This column captures the statement owner’s actual effort expended on the listed account(s). This value may be prepopulated based on the Computed Effort, depending on the institution’s configuration, or it may be blank, requiring the certifier to enter the effort for this account. Regardless, the percentages entered in the
‘Certified Value’ boxes should represent the effort of the certifier, not the percentage of pay based on the certifier’s commitments.

Categories
The accounts are grouped in the Sponsored, Non Sponsored, and Clinical categories based on the institution’s configuration and each category is sub-totaled for reference (2). These categories cannot be configured by a user through the user interface. Categories are defined by the institution during the implementation and are assigned to accounts during the data load process.

The institution can configure the system so that users certify Non-Sponsored activity at the Category level, i.e. Non-Sponsored, Clinical, etc. In this configuration the certifier will enter one value for the Category and mark one checkbox (assuming the checkboxes are displayed) to certify for all of the accounts in that Category. The ‘Certified’ value is then distributed to the accounts shown based on the percentage of the total for which each account is responsible. The Sponsored Category cannot be certified in this fashion; only Non-Sponsored Categories. This setting must be configured by the technical implementation team during the implementation. Please contact your Huron representative before making any changes to this setting following go-live.

Cost Sharing Models
The ecrt solution allows institutions to use one of two cost sharing models – non-companion cost sharing, or memo accounting, and companion accounting. The institution must select one and configure the application accordingly in the Global Settings>Certification Settings section. For more information about this setting, please refer to section VI-E-5 of this guide.

Non-Companion Accounting
The Cost Share column displays the percentage of salary dollars that were paid during the period and classified as cost sharing. In the non-companion accounting model both Payroll and Cost Share values are displayed on the same account line (Figure 3.A.1.57).
This example presents a situation where the sponsored account funded 50% of the salary for this researcher during this time period but each also required cost sharing of 5%. While the non-sponsored account provided the funds, the actual effort was committed to the sponsored account. The adjustment to the cost share column is made for the corresponding non-sponsored account.

The Grand Total at the bottom of the statement is the sum of all values within the column. In the non-companion model, the Payroll column (if shown) will always total 100%, the Cost Share column (if shown) will always total 0, and Computed Effort will always total 100%.

**Companion Accounting**
If the institution is using companion accounting for cost share purposes, cost sharing displays on its own line for the account (Figure 3.A.1.58).
In the Companion Accounting model, the Grand Total will reflect the sum of all values within each column and the Computed Effort column will always total 100%.

**Hours**
The application has the ability to accommodate certification in hours rather than percentages. The ability to view and certify a statement in the hours model is controlled by a right and contains several related differences from the percentage certification model.

If a user is assigned the right to view the hours model then two additional columns may appear on the effort statement – Committed Hours and Certified Hours (Figure 3.A.1.59).
For either or both of these columns to appear on the statement the columns must be marked on the Effort Administration page. If the columns are marked and the user has the right to view hours, then the user will see the marked columns on the statement (and the Computed Effort column no longer will be seen). If the user does not have the right to view hours, then the hours columns will not be visible. For more information about the Effort Administration settings, please refer to section VI-E-12 of this document.

The Committed Hours column reflects any commitments that are loaded into the system and display the commitments in hours rather than as a percentage. The Payroll and Cost Share columns remain the same, displaying the percentage of the payroll that was loaded for each line item on the statement. The Certified Hours column may or may not contain values that have been loaded into the system. If hours are present, a right dictates whether they can be edited. The Certified Effort column will be calculated based on the hours certified for each line, regardless of the hours that were loaded. The Certified Effort column is updated after each data load or edit unless the statement has been saved.

The hours functionality is intended to address the nuances related to federal contracts. For more information about whether this model will work for your institution, please contact a Huron representative.

Activity Codes
If Activity Codes are enabled by the institution, a certifier must enter activity information for each Non Sponsored account on the effort statement before being allowed to certify. When a certifier opens an effort statement, whether her own or anyone for whom she is responsible for certifying, an orange pin will be visible next to each non-sponsored account listed. Once a certifier puts a value into the certified column for a non-
sponsored account, the certifier must add the activity information by clicking the push-pin next to the account (Figure 3.A.1.60).

A window will pop up with instructions for entering the activity (Figure 3.A.1.61). To enter effort for an Activity Code, the user selects the “Add Activity Code” button.
Activities that have been defined by the institution are listed and can be selected via the drop-down after the “Add Activity Code” button is clicked (Figure 3.A.1.62).

![Figure 3.A.1.62 – Entering an Activity Code](image)

After the activity code is selected from the drop down, the user can enter comments in the optional memo field. The user must enter a value for each activity. The system displays the total effort that must be allocated above the Activity Code chart and totals the effort allocated below the chart. If the total is less than the effort that must be allocated, the total is shown in red. An error message appears if the user attempts to allocate more that the total effort for that account. If the user does not assign all of the total effort, a warning message appears, and the user returned to the statement.

Once the total effort is allocated, the total is shown in green (Figure 3.A.1.63).
Once the activity codes have been assigned, the user selects the “Submit Activities” button, and the screen will return to the certification statement (Figure 3.A.1.64).

The icon changes from an orange pin to a callout box with a pencil to show that the activity codes have been entered. The statement now can be certified.

Figure 3.A.1.63 – Activity Codes Entered

Figure 3.A.1.64 – Activity Codes Completed Icon
Activity codes can be entered and saved on effort statements in the “In Progress” status and must be entered on an effort statement in a “Not Certified” statement before the statement can move to a “Certified” status.

Activity codes can be configured to display on the statement or, as shown above, as a pop-up window after selecting the icon on the statement. This setting is in the Global Settings>Effort Administration section of this guide (section VI-E-12).

Certification Activities
Certification Activity Types can be entered only on an effort statement in a “Not Certified” status. When a certifier opens an effort statement, whether her own or anyone for whom she is responsible for certifying, an orange pin will be visible next to each sponsored project listed (Figure 3.A.1.65).

Figure 3.A.1.65 - Sample effort statement with Certification Activities

When the orange pin is clicked, the following box will appear as a pop-up in a new window over the effort statement (Figure 3.A.1.66).
Figure 3.A.1.66 - Entering Certification Activity information

On this pop-up screen that overlays the effort statement, a certifier will see the ‘Add Certification Activities’ data entry page. On this page, the user will see a “Grant Summary” section (Figure 3.A.1.66 – A), which shows the account number for which the user is entering the certification activity information, the account name, and the period of performance that is covered by the statement for which the user is entering the information. Below that the user will see the Certification Activity Types that have been configured by the institution and the text boxes in which the user will enter explanations (B). In our example, we established two activity types (Research Activities and Human Subjects Recruiting); the user will see a text entry box for each type that is established by the institution. The user may have to scroll down to see all the text boxes and the ‘Save’ and ‘Cancel’ buttons below them (C).

Each text box contains a limit of 4,000 characters, and the system displays the number of characters that are still available for each box just above the box. Each institution will need to determine and educate its users about the type of data it will collect and the level of detail.

This functionality requires that text be entered in each box. If a certifier has not performed any work in that period of performance that relates to a particular Certification Activity category, the certifier should type “N/A” or something similar in that box. Uploaded documents that are attached to an effort statement will not satisfy the
text entry requirement but text from elsewhere can be copied and pasted directly into the boxes.

When some (but not all) activities have been entered, the researcher may hit the “Save” button (Figure 3.A.1.67), which will close the Certification Activities screen.

Figure 3.A.1.67 - Saving Certification Activity information

The icon on the effort statement changes from an orange pin to a *pad with a green pen* (Figure 3.A.1.68).
The effort statement cannot be certified, however, until all of the Certification Activities have been entered and saved. To finish the process, the researcher will click on the green pen icon, enter text in all empty Certification Activity boxes, and then click “Save” (Figure 3.A.1.69).

Figure 3.A.1.68 – Partially Completed Certification Activities

Figure 3.A.1.69 - Saving Certification Activity information
This will change the icon to a **pad with a green check** (Figure 3.A.1.70), indicating completion of the Certification Activities for that sponsored project:

![Completed Certification Activities](image)

**Figure 3.A.1.70 - Completed Certification Activities**

An effort statement cannot be certified until all Certification Activities have been completed. If a PI is certifying multiple statements simultaneously, then the PI must ensure that all the statements have had the Certification Activities completed prior to completing certification.

The institution may require the PI to complete these explanations or may permit any of a number of people to complete the Certification Activities, e.g. the statement's owner, the statement owner’s Primary Effort Coordinator, or another Department or Central Administrator, for example – anyone that has access to the statement. Regardless of who is responsible for entering the data, it must be entered prior to the statement being certified. If the person that enters the data selects the Certify button, then that person is captured in the Transaction History as the certifier of the statement, not the person that entered the Certified Effort value.

The system does not provide a notification of when the Certification Activities data is completed so the PI should look for effort statements that have the **green check** icon next to each sponsored project before attempting to certify those statements.

**Salary Cap**

If an account is subject to a salary cap and the certifier’s Adjusted Cap Salary (defined below), which is adjusted for FTE, exceeds the prorated salary cap (prorated by the number of days in the Period of Performance) for a sponsor, the “CAP” icon appears next to the account (see Figure 3.A.1.71).
The icon to indicate that salary cap cost sharing is required appears on the statement next to the appropriate account name only if the Adjusted Cap Salary exceeds the salary cap amount associated to the sponsor for the Period of Performance. The icon is the word “CAP”. This icon is not configurable at the present time. If the certifier does not have an annual salary loaded, then the total payroll dollars for the certification statement will be used as the Adjusted Cap Salary. In the Companion Accounting Model, the sum of the total payroll dollars and the total cost share dollars comprise the Adjusted Cap Salary.

If the amount of cost sharing on the account exceeds the calculated salary cap cost sharing amount, the icon will be green. If the cost sharing amount is less than the calculated salary cap cost sharing amount, the icon will be red. The color of the text on the top of the Cap Calculator page, which is accessed by clicking on the CAP icon, will be green or red based on the same logic that determines the color of the CAP icon. **NOTE:** The functionality of the text changing color from red to green when the appropriate Cost Share amount is present on the account only works in the Non-Companion Accounting Model.

When a user hovers over the CAP icon, the sponsor name, sponsor type, and the calculated minimum required cost share will be displayed (Figure 3.A.1.72).
The system also will show the two possibilities for the salary cap calculation. In all cases, the system will calculate the amount of cost sharing that should be present based on the total dollars on the statement (payroll dollars only in Non-Companion Cost Sharing model, payroll and cost share dollars in Companion Cost Sharing model). The second method calculates the distribution between payroll and cost sharing based on the total Computed Effort amount. Both calculations are shown on the Cap Calculator page, as well.

For more information about the salary cap calculations and configuration, please refer to the Effort Administration section of this document (section VI-E-12).

Clicking on the “CAP” icon sends the user to the Cap Alert screen (Figure 3.A.1.73).
Figure 3.A.1.73 – Cap Alert page

The Cap Alert page contains three sections of important information. First, the system shows the ratio of support from the sponsor and the institution based on the certifier’s salary, or total payroll dollars if the salary is not loaded, and the prorated salary cap amount for the applicable period (A).

The system will calculate the necessary payroll and cost share amounts required to meet the committed effort based on two measures (B). The first calculation determines the minimum amount of cost sharing that should be present on the statement based on the payroll dollars and the salary cap. The second method calculates the distribution between payroll and cost sharing based on the total Computed Effort amount.

Finally, at the bottom of the page is a flex calculator (C). Here the certifier can enter the percentage of desired payroll to determine the additional amount of cost sharing that should be present or the intended Certified Effort to determine the distribution between payroll and cost sharing (Figure 3.A.1.74).
**FLEX CALC**

<table>
<thead>
<tr>
<th>Payroll %</th>
<th>Cost Share %</th>
<th>Computed Effort %</th>
<th>Certified %</th>
</tr>
</thead>
<tbody>
<tr>
<td>59</td>
<td>1.94</td>
<td>50.94</td>
<td>60.94</td>
</tr>
</tbody>
</table>

**By Computed Effort**

<table>
<thead>
<tr>
<th>Payroll %</th>
<th>Cost Share %</th>
<th>Computed Effort %</th>
<th>Certified %</th>
</tr>
</thead>
<tbody>
<tr>
<td>57.12</td>
<td>1.88</td>
<td>59.09</td>
<td>59</td>
</tr>
</tbody>
</table>

A cost sharing transaction may need to be established in Account for the revised salary cap cost sharing. Please consult with your effort coordinator or departmental administrator to process changes before certification.

*Figure 3.A.1.74 – Flex Calculator Sample*

**Award and Account Summary**

The *ecrt* system provides a way to view information about all awards and accounts that have been loaded into the system. The Award Summary and Account Summary pages contain this summary information about each of the awards and accounts.

The Summary page can be accessed by clicking an award or account name from any screen, including the effort statement. A new window opens and the page displays a variety of information about the award/account, assuming the institution loads the data during the data load process (Figure 3.A.1.75).
The Sponsored Project Employee Summary (SPES) report lists all of the employees that had salary charged to a specific award or account (A). Selecting the report name or the PDF icon in the gray box generates the report in a new window. For more information about this report, please refer to section V-D-14 of this guide.

Below the page heading is the general information about the award including the award name, number, amount, sponsor name, sponsor number, the PI and the PI’s Primary Effort Coordinator, associated Designees, the Account Owner, the associated salary cap, and the start and end dates, among other data (B).
Additionally, the award/account can be flagged as an Exception Award on this page. If the check box is marked, the system will not allow certification of effort statements if the exception account has payroll on it. When the check box is unmarked, the user needs to select the Refresh Statement button on the effort statement to once again allow the statement to be certified. Access to this flag is controlled by a right. For more information on the presence of exception awards/accounts on a statement, please refer to section VI-E-5.

The Cost Sharing Requirement flag allows the institution to mark the award/account as requiring cost sharing. Marking an award/account as such allows the institution to report on awards/accounts that are flagged to ensure that cost sharing is appropriately captured on effort statements containing these accounts.

The K-Award indicator also is available to identify the award as a NIH K-Award. This check box allows the institution to mark the award as a K-Award, which enables the institution to develop queries to identify relevant information about the award and monitor their compliance with K-Award terms. Access to this flag is controlled by configuration by a right.

The Summary page also allows the institution to designate the award as an American Recovery and Reinvestment Act (ARRA) award and track full-time job information related to the award (C). This section is visibly only to those users that have the right to view it. If the check box is marked, the award is flagged, allowing the institution to develop queries to track their ARRA awards and the relevant information. A user with the appropriate rights also can enter and save information about full-time jobs created and retained. The storage of this data allows an institution to store this information in one place and provides the ability to query information about these awards. For more information about the rights affecting this section, please refer to section VI-B-1 of this document.

Below the ARRA Summary section is the Associated Department section. This shows the department that is associated to the award (D). There will be only one department associated to each award/account.

Any related accounts, such as a companion account, a cost sharing account, or a matching account, are listed under the Accounts Relationships heading (E). The Account Summary pages for those accounts can be accessed by clicking the appropriate account name (Figure 3.A.1.76). A new window opens with the Account Summary page, which displays all of the same information that appears on the Award Summary page – the account information that is loaded, the Exception Award check box, the K-Award check box, the ARRA Summary, the associated department, other related accounts, and the certifiers associated to the account.
**Account Summary**

Account Name: Synthetic Basketball  
Account Number: 320814  
Account Amount: $0.00  
Account Sponsor Name: NASA  
Account Sponsor Number: NASA  
Account PI: Michael Jordan - HCG0036 (Primary Effort Coordinator: Babe Ruth - HCG0058)  
Account Designee(s): Willie Mays - HCG0043, Walter Payton - HCG0051  
Account Owner: N/A  
Start to End Date: 07/01/2010 to 06/30/2015  
Exception Account:  
Cost Sharing Requirement:  
K-Award:  

**American Recovery and Reinvestment Act (ARRA) Summary**

ARRA Account:  
Full time jobs created with ARRA funds: 0.0  
Full time jobs retained with ARRA funds: 0.0  

**Associated Department**

<table>
<thead>
<tr>
<th>Department Code</th>
<th>Department Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>112</td>
<td>Sports Legends Department</td>
</tr>
</tbody>
</table>

**Covered Individuals associated with this Account**

<table>
<thead>
<tr>
<th>Certifier Name</th>
<th>Department</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bird, Larry - HCG0005</td>
<td>Sports Legends Department</td>
</tr>
<tr>
<td>Jordan, Michael - HCG0036</td>
<td>Sports Legends Department</td>
</tr>
</tbody>
</table>

2 items found, displaying all items.

Figure 3.A.1.76 – Account Summary screen

Below the list of accounts is the list of Covered Individuals associated to the award (3.A.1.75 - F). The Covered Individuals shown in the list have either payroll, cost share, or a commitment on the award.

**Commitment Information**

Depending on the institution’s configuration, when the user places the cursor on an account name, a pop-up box may appear, showing the researcher’s commitment information (if loaded) for the award, including the Proposed, Awarded, and Total Effort (Figure 3.A.1.77).
The Total Effort amount is the most recent amount of effort that is recorded as committed to the award. This value may differ from the Awarded amount, which is why it is displayed separately. For more detail on effort commitments please refer to the Add Commitments and Add Proposed Commitments sections of this document, sections IV-E and IV-F. For more information about enabling this pop up box, please refer to the Effort Administration page of Global Settings, Section V-E-12.

**Buttons**

Below the effort statement are a number of buttons that allow the user to take further action (Figured 3.A.1.78).

The presence of most of the buttons is configurable and some depend on the state of the effort statement itself.

**Get Help**

The ‘Get Help’ button provides a user with the ability to send an email to the statement owner’s Primary Effort Coordinator. Selecting the ‘Get Help’ button creates an email in the user’s default email application to the Primary Effort Coordinator responsible for that statement.

The presence of the ‘Get Help’ button is configurable and is controlled by a right.
Close
The 'Close' button closes the Effort Statement pane. The Work List pane and the Statement Information pane remain visible, allowing the user to select a new employee or statement to view.

The presence of the ‘Close’ button is the only button not controlled by a right.

Certify
The ‘Certify’ button allows a user to certify the statement being viewed. Selecting the ‘Certify’ button triggers the validations on the statement(s) to determine whether the user will advance to the Attestation page.

The presence of the ‘Certify’ button is configurable and is controlled by several rights.

Save
The ‘Save’ button retains any values entered in any editable fields on the statement(s) being viewed. This is the only action that retains any values input in the editable fields. If the prepopulation feature is active, selecting the ‘Save’ button will prevent the statement from prepopulating on subsequent visits to the statement.

The presence of the ‘Save’ button is configurable and is controlled by three rights. For more information about these rights, please refer to section VI-B-2 of this guide.

Manual Certification
The ecrt system allows a user to remove an effort statement from the typical certification process because of exceptional circumstances, such as overload pay and other special needs, requiring it to be certified manually. The 'Manual Certification' button requires a user to upload a document into the system to complete the manual certification requirements. To move the statement into the “Manual Certification” process, a user with the appropriate rights, typically an effort coordinator of the statement owner, will select the 'Manual Certification' button from the effort statement (Figure 3.A.1.79).

![Figure 3.A.1.79 – Manual Certification Button](image)

Only users with the “Change Effort Statement Status to Manual Certification” right will be able to view the 'Manual Certification' button. For additional information on the rights related to Manual Certification, refer to section VI-B-2 of this document. Typically only Central Administrators are given the right to review and approve Manual Certifications because it permits the user to view all Manual Certification tasks for the institution.
Selecting the 'Manual Certification' button opens a pop-up window (Figure 3.A.1.80). Depending on the institution’s configuration, the user either will have to enter a note, add an attachment of the effort Statement PDF, or both, to move the statement into “Manually Certified, Not Processed” status. The configuration of the requirements for the note and/or attachment is located in the Effort Administration page of Global Settings. For more information about these settings, please refer to section VI-B-12 of this document.

After the user has entered a note and attached the PDF version of the effort statement, as necessary, the user must select the ‘Submit’ button to refresh the screen and return to the effort statement page, where the statement will reflect the “Manual Certification, Not Processed” status.

When the statement moves into this status, the Transaction History will update with a line detailing the action that was taken (Figure 3.A.1.81) and the statement is routed to an administrator for review.
Additionally, the Attachments section shows the file name of the attachment that was uploaded. The user may have the ability to perform two actions on the attachment – download the attachment to view and/or save it and delete it. The icons at the end of the row control these actions. Any user with access to a statement that has an attachment can view the attachment. However, the abilities to add and delete attachments are controlled by separate rights.

When the statement has been reviewed and processed, it will move into a final status of “Manually Certified, Processed”, creating another line in the Transaction History detailing the action that was taken.

**No Certification Required**
The system allows a user to remove an effort statement from the certification cycle and mark it as “No Certification Required.” Some effort statements are created when payroll is loaded to the system and then subsequently zeroed out when a reversing payroll transaction is loaded. This leaves an effort statement with no payroll associated to it. To avoid forcing the statement owner to certify a statement with no payroll associated to it, the statement can be marked as not requiring certification by a user with the appropriate rights, typically an effort coordinator of the statement owner’s (Figure 3.A.1.82).

![Figure 3.A.1.82 – No Certification Required Button](image)

Only users with the “Change Effort Statement Status to No Certification Required” right will be able to view this button. Typically only Central Administrators are given the right to review and approve No Certification Required statements because it allows the user to view all “No Certification Required” tasks for the institution. For additional information on the rights related to “No Certification Required,” refer to section VI-B-2 of this document.

Selecting the ‘No Certification Required’ button opens a pop-up window (Figure 3.A.1.83) in which the user is required to enter a note to support why the statement does not need certification.
After the user has entered a note, the user must select the ‘Submit’ button to refresh the screen and return to the statement page.

Depending on the institution’s chosen configuration, the statement either will move directly into the “No Certification Required, Processed” status or will be routed to an administrator to be reviewed and processed before moving into that status. Regardless of the configuration, the actions will be displayed in the Transaction History (Figure 3.A.1.84).

If the work flow is configured to route the statement to an administrator for review, two lines will appear in the Transaction History, one detailing the initial action of moving the statement into the “No Certification Required, Not Processed” status and the other showing it was processed. If the statement is not routed for review, then one line will appear in the Transaction History.

**Notes**

Users with the appropriate rights see an expandable list below the buttons that allows them to add, view, edit, and delete notes that were entered on the statement. Hovering
over the document icon to the right of the Notes label displays a pop-up message informing the user to select the icon to add a note (Figure 3.A.1.85).

![Figure 3.A.1.85 – Adding a Note](image)

After the user selects the document icon, a new pop-up window appears allowing the user to enter a note that will be attached to the effort statement (Figure 3.A.1.86).

![Figure 3.A.1.86 – Entering a Note](image)

Any information that is typed into this field is visible to anyone with the right to view effort notes. That visibility makes this function a useful tool for sharing information about the certification; for example, if a certifier certifies effort different than the ‘Computed Effort’ values. Note that these comments appear on the statement at all times so anyone that may review the statement will see what is written. To retain the information entered, the user selects the ‘Save Note’ button.
Once the note has been saved, the note is viewable within the Notes list. As with other lists in the application, a star icon appears next to the Notes label when a note is present (Figure 3.A.1.87).

Figure 3.A.1.87 – Viewing a Note

The date the note was added, the name and username of the person that added the note, and the note summary are visible. Additionally, if the user has the appropriate rights, the user sees three icons to the right of the note. These icons allow the user to copy, edit, or delete a note that has been entered.

If the length of the note exceeds the summary line field displayed in the Notes section the entirety of the note is viewable by hovering over the text that is displayed (Figure 3.A.1.88).
To resume action on the statement the user must close the note.

**Attachments**

Another optional section of the statement page allows users to manage attachments for a statement. This section allows users to add, view, and delete attachments to an effort statement. This feature is helpful if the user wishes to attach supporting documentation to the effort statement or a manual certification. The user can convert those documents to an acceptable format and attach them to the statement. The ecrt system accepts PDF, .tif, .png, .gif, and .bmp file types.

Hovering over the paper clip icon to the right of the Attachments label displays a pop-up message informing the user to select the icon to add an attachment (Figure 3.A.1.89).
After the user selects the paper clip icon, a new pop-up window appears allowing the user to attach a file to the effort statement (Figure 3.A.1.90).

To locate the file the user selects the ‘Browse’ button. When the correct file is selected, the file name will appear in the Select File to Attach field (Figure 3.A.1.91).
To complete the attachment, the user selects the 'Attach File' button to upload the file to the effort statement. Once the file is uploaded the user sees a confirmation message (Figure 3.A.1.92).

To return to the effort statement the user selects the close icon in the top right of the pop-up.
The Attachments section of the effort statement now displays the name of the file that was uploaded and the date it was uploaded (Figure 3.A.1.93).

Using the icons in the ‘Action’ column, the user can download and view the attachment with the ‘Document’ icon or delete the attachment with the red ‘X’. If additional documents need to be attached to the effort statement, the user selects the paper clip icon again to repeat the same process.

**Transactions Log**

The Transactions log is another section that can be configured to display on the statement page. The ability to view the Transactions Log can be configured in two ways – either through the assignment of the View Transaction History on Statement right or through the View Audit setting on the Manage Users page. Users with the right or setting will see an expandable list below the buttons that allows them to view the transaction history of an effort statement. Any transactions that affect the certification record are documented here, as are all status changes, allowing the user to follow the history of the transactions and track any changes. The actions that are captured in the Transactions log are:

- Payroll additions to a statement
- Cost Transfer additions to a statement
- Cost Share creation or revision on a statement
- Certification of the statement, including partial certification
- Certification of the statement by a proxy or designee
- Not Processing of the statement by an Effort Coordinator or Central Administrator
- Processing of the statement by an Effort Coordinator or Central Administrator
- Reopening of the statement for recertification
- Statement is marked as manually certified or marked as not requiring certification
- Statement is processed by the Central Administrator when manually certified or marked as not requiring certification.
- Adding an account to a statement and creating a cost transfer from the statement are now captured in the Transactions log.

After each payroll load, the Payroll, Cost Share, and Computed Effort percentages for each account are captured in the log. The values captured in the log reflect the level of precision established in the Global Settings, i.e. whole numbers, tenths, or hundredths.

The transactions are hidden in the default view. The user can review the transactions by selecting the arrow located next to the Transactions label (Figure 3.A.1.94).

![Figure 3.A.1.94 - Transaction History Sample](image)

The user can view the transactions by scrolling down. The transactions are hidden by selecting the arrow icon again.

**Activity Log**

The Activity Log can be configured to show below the Transactions log at the bottom of the effort statement (Figure 3.A.1.95).
The Activity Log tracks actions and activities that are not captured in the Transactions log. The actions that are tracked in the log:

- Accessing and viewing the statement
- Saving the statement
- Placing the statement on hold
- Taking the statement off hold
- Saving a Cost Transfer Worksheet
- Submitting a Cost Transfer Worksheet
- Assigning and removing Designees and Proxies
- All commitment activity, including the addition, deletion, and editing of commitments.

As with the Transactions log, the Activity Log can be configured in two ways – either through the assignment of the View Activity Log on Statement right or through the View Audit setting on the Manage Users page. Users with the right or setting will see an expandable list below the buttons that allows them to view the transaction history of an effort statement.

**Email log**

An email log has been added as an optional component of the effort statement page (Figure 3.A.1.96).
The email log captures all emails relevant to the specific effort statement to which the log is related. The log records the following emails:

- All notification emails and all reminder emails specific to the statement
- Emails about the statement being put on hold
- Emails triggered from the statement to the statement owner
- Group emails based on the status of the statement, regardless of where the message was initiated
- Emails about the statement being returned to the certifier(s) or reopened.

The log does not record the following emails:

- Group emails sent to a role to which the statement owner is assigned
- Group emails to a Covered Individuals list from the Department Dashboard.

These emails are excluded from this list and recorded in the system’s email logs. The presence of this log is controlled by a right.

**Approvers**

Users with the appropriate rights see an expandable list below the buttons that allows them to view the approvers of an effort statement. This list displays all employees that are related to the statement through the accounts or departments on the statement (Figure 3.A.1.97). These employees are classified as either certifiers or approvers.

Those employees listed as “Certifier” are able to certify the statement. Also displayed are the Account(s) to which they are associated and the reason why they are able to
certify the statement. Individuals included in this list are the PI of an account of the effort statement, Designee of an account on the effort statement, or Proxy for the statement owner.

Those employees listed as “Approver” are the individuals that will receive an Effort Processing Work Task when the statement is certified (and can review and process the statement), followed by the Account(s) on the effort statement to which they are associated, if any, and the reason why they can review and process the statement. Typically this list only displays individuals in the Effort Coordinator role.

When a statement is not in a historical status, the statement will reflect the most current list of approvers and certifiers based on the accounts and relationships associated to the statement. A historical statement will provide a static (unchanging) snapshot of who was associated to the statement at the time of certification.

To modify the display of the list of Certifiers and Approvers, an institution can choose to remove the 'Account Name' column from the list. This configuration is made in the Effort Administration page of Global Settings in the setting “List of Potential Certifiers / Approvers Account Display”. The word “Approvers” also is included in the Global Settings>Keyword List, allowing institutions to modify this term to use their terminology.

### 2. Monitoring Effort

The effort statement is available for monitoring while the statement is built during the period of performance. Users have the ability to review the statement and, depending on the configuration, may be able to save values and run reports.

All statements, including In Progress statements, are located on the effort statement screen. Users are able to see all their own In Progress statements and the In Progress statements of those people that are related to them if they have the right to view them. If the user has the View All Users in Lookups right, the user will be able to access all statements within the system.

To view an In Progress statement, the user navigates to the Effort Statement screen. From the In Progress section of the Effort Statement list on the Statement Information pane the user is able to access an In Progress statement for the selected individual (Figure 3.A.2.1).
Figure 3.A.2.1 - In Progress Statement

Selecting a statement from the In Progress list renders the statement in the Effort Statement pane. The elements of the screen and the actions a user can take on an In Progress statement are determined by the user’s rights.

3. Certifying Effort
   a. Certifying a Single Statement

   The process of certifying an Effort Statement depends to an extent on the configuration used by the institution. The flexibility of the system may cause differences in the process of certifying effort between institutions with different configurations. The general certification process is the same, however, for all configurations. Additionally, all statements are independent of and distinct from any other statement type. This means base statements can be certified at one time, non-IBS statements at another, or multiple
statements and types of statements can be certified simultaneously as part of a multi-
statement selection while remaining separate statement entities.

In the examples below (Figure 3.A.3.1 and beyond), the statement reflects the following configuration settings:

- The columns on the statement are: Accounts, Payroll, Cost Share, Computed Effort, Certified Effort, and Certify Checkboxes (Global Settings>Effort Administration);
- The categories are: Sponsored, Non Sponsored, and Clinical (data);
- Companion accounting is enabled (Global Settings>Certification Settings);
- Sponsored accounts are grouped by award (Global Settings>Effort Administration Settings);
- Certification occurs at the account level (Global Settings>Effort Administration Settings);
- The Certified Effort column is pre-populated (Global Settings>Effort Administration);
- The Certify Checkboxes column is present (Global Settings>Effort Administration); and
- The acceptable Certified Effort range is 99-101% (Global Settings>Certification Settings).

![Figure 3.A.3.1 – Effort Statement with All Lines Available](image-url)

To certify a statement, the user begins by reviewing the effort information displayed on the statement. The user enters the actual effort expended on the project in the Certified
Effort input box. Once the effort is entered, the user marks the corresponding checkbox in the Certify Checkboxes column for the line on which the effort was entered, assuming the Certify Checkboxes column is configured to display. A check means that the information entered for this account will be certified. If the checkbox is not marked, then the data that was entered will not be certified. Alternatively, users can select All at the bottom of the statement to mark all the checkboxes at once (Figure 3.A.3.2).

Only positive values can be entered on the effort statement. If a negative value is entered, a warning message appears stating that negative values are not permitted, the value is replaced with a zero (0) and the user is returned to the effort statement to enter a positive value. Negative values are not allowed to be entered in any column on the statement other than Revised Cost Share if that column is displayed and the user has the ability to edit that field.

A user may be able to save Certified Effort values if the user has been assigned the appropriate rights. To do this, the user will select the Save button at the bottom of the effort statement. Selecting Save records all values in the Certified Effort column for the next time anyone accesses the statement. This prevents the Certified Effort values from
being prepopulated based on Computed Effort the next time anyone accesses the statement. The only actions that cause the values to be saved on an uncertified statement is selecting either the Save button or Save Checked button.

The total at the bottom of the Certified Effort column updates as values are entered. If statements are unable to be partially certified, then the sum of the Certified Effort values must lie within the acceptable range configured by the institution. If the total does not fall within the configured acceptable range, a user sees a message after selecting Certify. The message states whether the certification statement is above or below the valid range (Figure 3.A.3.3).

![Figure 3.A.3.3 – Invalid Certified Effort](image)

After acknowledging the message, the user returns to the effort statement to correct the values. Additionally, the total at the bottom of the column will appear in **RED** numbers if the amount is outside of the acceptable range. Once the total is within the institution’s acceptable range, the total will appear in **GREEN** and the user is able to proceed to the next step in the certification process.

To complete the certification, the user selects the Certify button. The attestation screen appears (Figure 3.A.3.4).
The attestation screen displays information about the effort statement and the effort statement owner as well as the attestation statement. The attestation statement is created by the institution and is configured on the Global Settings> Application Text page (Section VI-E-4).

After reviewing the attestation statement, the user selects either the I Agree button or the Cancel button. If the user selects I Agree, a confirmation message appears (Figure 3.A.3.5).
The confirmation message states the period being certified and clarifies that unchecked lines on the statement remain uncertified. The attestation screen closes and the user is directed back to the effort statement page. If Cancel is selected, the user is returned to the Effort Statement page and the statement remains uncertified.

b. **Certifying Multiple Statements**

A user that has access to multiple statements, whether the user's own or those of people related to the user, can simultaneously certify all statements, regardless of statement type, that are currently in a Not Certified status. To do so, the user can use the Select All icon in the Work List pane or use the standard computing multiple selection tools of holding Ctrl and clicking on multiple individuals (Figure 3.A.3.6).
Figure 3.A.3.6 – Selecting Multiple Certifications
Selecting multiple individuals in the Work List displays in the Statement Information pane all those individuals that have statements in a Not Certified status. The user can certify all available lines on the Not Certified statements, whether the statements are the user’s own or those for related individuals. Selecting multiple individuals does not provide the user with the ability to certify all lines on all statements; that is still controlled by the user’s rights. If the user does not have access to certain lines, the Certified Effort field is read-only and no checkbox appears, as in the second statement in the example in Figure 3.A.3.6.

The system limits the number of people that can be returned at any time to maintain performance. If the user has a long list of individuals and chooses Select All, the list of people that can be viewed at one time is limited to 25. While the list of people is limited to 25, the system will display all relevant statements for those 25 people. If a user has more than 25 people in the list, after the first group is complete, the user can choose the Select All icon again to group the next set of people, and so on.

When multiple statements are being viewed, three new buttons are displayed on the statement - Save All, Check All, and Certify Checked. These buttons allow a user to save or certify multiple statements at one time. They appear in the Statement Information pane and at the bottom of the screen, below the last displayed statement.

The user can save any values input on any statement by entering the values, marking the corresponding checkboxes in the Certify Checkboxes column (assuming the Certify Checkboxes column is configured to display) and selecting the Save All button. The Check All button can be used to mark all lines ready for certification. To certify all lines that are marked, the user selects the Certify Checked button.

After selecting the Certify Checked button, a single Attestation page is displayed for the user (Figure 3.A.3.7).
The Attestation page displays the attestation statement below the list of those people whose statements are being certified and which type of statements are being certified. The user selects the I Agree button to finalize the certifications or selects the Cancel button to return to the effort statement page.

c. Partial Certification
The Partial Certification setting allows a user to certify a subset of the lines to which the user has access on a statement. If the setting is not enabled, a user must certify all lines to which the user has access at one time. Partial certification is not allowed when the Certify Checkboxes column is not used. For more information about the partial certification setting, please refer to section VI-E-12 of this guide.

In the example below, the user has access to all lines on the statement (Figure 3.A.3.8)
If a user wishes to certify only a subset of the accounts to which the user has access, the user will mark the checkbox only for the account(s) to be certified (Figure 3.A.3.8).

To certify the line, the user selects the Certify button and agrees to the attestation. The statement refreshes to reflect the partial certification. The certified line shows the Certified Effort value as read only and the certified line displays a checkbox in the Certify Checkboxes column (Figure 3.A.3.9).
A certified line on a partially certified statement cannot be edited. To change that value, either the line or the entire statement must be reopened.

Additionally, the transaction history is updated to reflect the partial certification. The transaction history details who certified which accounts and records only those accounts the user actually certified (Figure 3.A.3.10).
Figure 3.A.3.10 – Partial Certification Transaction History

A partially certified statement remains in the Not Certified, Not Processed status. All lines must be certified before the certification statement changes to the Certified, Not Processed status.

4. Processing an Effort Statement

The Effort Tasks tab on a user’s home page displays tasks that result from certification and that require the user’s attention. The tasks are:

1. Effort certifications (both Base and Non-IBS) that need to be processed by the Primary Effort Coordinator,
2. Effort certifications (both Base and Non-IBS) routed for additional work flow review,
3. Manual Certification statements routed for approval and processing,
4. No Certification Required statements routed for approval, as necessary and configured by the institution in the Global Settings,
5. Payroll Adjustment Reconciliation transactions that affect historical statements, and
6. New user activation tasks.

Depending on the setting and the rights assigned to the user’s role, this list may be available to the user if the user is the Primary Effort Coordinator for the statement.
owner’s home department, Primary Effort Coordinator Override, an Effort Coordinator associated to any sponsored account on the statement, a reviewer, or a Central Administrator.

a. Base Effort Processing Tasks

The most prevalent type of Effort Tasks is reviewing and processing base effort certification statements. This type of task shows the name of the employee whose certification needs to be reviewed as well as the date that the item was routed to the work list (Figure 3.A.4.1).

![Figure 3.A.4.1 - Effort Tasks Tab](image_url)

The institution can configure the workflow associated with all effort tasks that are created during the reporting process; the Certification Processing Workflow setting that controls this can be found by navigating to Manage Global Settings>Effort Administration. This setting allows the institution to determine to whom these processing tasks are sent. These tasks may either be routed to the Primary Effort Coordinator for the statement owner’s home department or every Effort Coordinator – Primary or Secondary – associated with a sponsored account on the effort statement. The group of Effort Coordinators resulting from this distributed model is the called the List of Approvers. For more information about this setting, please refer to section VI-E-12 of this manual.
Regardless of the configuration, when a new Primary Effort Coordinator is assigned to a department, all outstanding tasks, including Effort Processing Tasks, are reassigned to the new Primary Effort Coordinator.

A configurable element of the task list is the ability to automatically process certified statements where the Certified Effort and the Computed Effort either match exactly or the difference between them is within an institution-defined variance. (Note: the auto-process feature and the acceptable variance range are both configured in the Certification Settings page of Global Settings. For more information about these settings, see section VI-E-5 of this manual.) If the auto-process feature is active and the statement falls within the acceptable variance range, then the statement automatically moves into the Processed status once certified without requiring review by the Effort Coordinator.

If the Auto Process Double Asterisk Task On setting also is active, and the statement falls within the acceptable variance range, then a task is created and appears in the Effort Coordinator’s Effort Tasks list. Statements that meet these criteria are indicated by **” (Figure 3.A.4.1). Simply clicking on the entry in the task list will complete the processing and remove the statement from the task list.

If auto-processing is inactive, or if the statement does not qualify for auto-processing, selecting a task on the list directs the PEC to the following screen (Figure 3.A.4.2).
The Process Effort screen looks very similar to the certification screen used by the certifiers. All of the information from the certification screen is included on this screen – the certifier’s information at the top, the link to a PDF version of the effort statement, the link to a PDF version of the Payroll Report, the list of accounts categorized as Sponsored or Non Sponsored, the Payroll column and percentage, Cost Share column and percentage, Computed Effort column and percentage, and Certified column and percentage, the totals for the different calculations, and the notes field. The three columns that differ from the certification screen used by certifiers are the Cost Transfer Dollars, Cost Transfer Percentage, and Cost Share (for Cost Transfer) columns.

The values in the Cost Transfer Dollars and Cost Transfer Percentage columns (A) are automatically calculated based on the amount that was paid to the employee during the Period of Performance and the percentages that have been certified. The cost transfer amounts reflect the adjustments that may need to be made within the institution’s payroll system and/or general ledger based on the difference between the Computed Effort % and the Certified Effort %. The presence of either or both these columns can be configured on the Global Settings>Effort Administration page (section VI-E-12).

There are several Global Settings (in the Certification Settings menu) that affect the Cost Transfer column, including cost transfer threshold amounts that determine whether a cost transfer is triggered, a setting that makes the calculated Cost Transfer amount read-only, and a setting that determines an acceptable range for the sum of the cost transfers before the certified statement can be processed. For further information about the settings, please refer to section VI-E-5 of this guide.

All these settings are configured according to institutional policy during implementation. For information about your institution’s settings, please contact your central administrator.

Another setting that affects the Process Effort screen is the Commitment Review Percentage on the Global Settings>Commitments page. If the Certified Effort varies from the prorated commitment for the Period of Performance by an amount greater than this setting, the line is highlighted in yellow on the Process Effort screen. For more information about this setting please refer to section VI-E-16 of this guide.

The Primary Effort Coordinator has three options for handling the Base statement (B). The Coordinator can process the certification, i.e. accept and file it; send the statement back to the certifier, which returns it for correction; or cancel the process and leave the task in the Effort Tasks list.

If the Effort Coordinator does not wish to immediately act on the certification, the Coordinator should select ‘Cancel’. This will return the Primary Effort Coordinator to the Home Page and the task will remain in the Coordinator’s Effort Tasks list.
If the Effort Coordinator wishes to reject the certification and return it to the certifier for correction, the Coordinator selects the Do Not Process button. When the Do Not Process button is selected, a pop-up asks whether the user would like to send the Not Processed email to the certifiers (Figure 3.A.4.3).

If the user selects Cancel then no email is sent.

If the user selects OK, the email window is displayed. The user can edit the subject line and input the body of the email as well as format the email with the other available tools (Figure 3.A.4.4).
The recipients of the email are configured on the Global Settings>Certification Settings page. For more information about those settings, please refer to section VI-E-5 of this document. Once the email is finalized, the user selects the Send the Email button.

Regardless of whether the email is sent, once the Do Not Process button is selected, the task is removed from the Coordinator’s Effort Tasks list and the certification is returned to the certifier(s) for correction and certification. An email will be sent to the certifier(s) alerting them that the effort statement has been re-opened and that the statement must be certified again.

If the Effort Coordinator reviews the processing screen and verifies the completion of the certification and the accuracy of any calculated cost transfers, the certification may be processed. The Effort Coordinator selects the ‘Process’ button below the certification statement and a message appears saying that the statement is being processed (Figure 3.A.4.5).
After the user selects the ‘OK’ button on the processing statement pop up, the user is returned to the Effort Tasks tab on the Home Page. The completed task is removed from the list, leaving only the outstanding items on the list.

Statements with Certified Hours
Statements that were certified with hours on them present for processing in the same manner as those that were certified in percentages – the task appears in the Effort Coordinator’s task list and the processing screen contains the cost transfers calculated based on the certification (Figure 3.A.4.6).
One additional difference that occurs when processing an Hours statement relates to whether the line item is associated to a contract instead of a grant. This flag is sent in the Project xml file that is loaded by the institution. If a statement is certified with a discrepancy between the Certified Effort and the Computed Effort on a line, and the line is classified as a contract, then the Cost Transfer field will display a zero. This allows the Primary Effort Coordinator to enter the appropriate cost transfer based on the contract rates rather than have incorrectly calculated amounts displayed. If the line item is not marked as a contract, then the Cost Transfer field will calculate based on the Certified Effort percentages and the total dollars on the statement for that Period of Performance.

Cost Transfer Needed Status
The Cost Transfer Needed functionality allows users to move certified effort statements into the Cost Transfer Needed status when certified and computed effort do not match. Effort Coordinators can move the statement into the Cost Transfer Needed status on the Process Effort screen. This status is separate and reportable just like every other status in the system. This functionality provides an additional level of reporting and review of statements that have significant variances between certified and computed effort.

The Cost Transfer Needed status is configured in the Base Effort tab of the Effort Administration page of Global Settings (for more information about this setting, please refer to section VI-E-12 of this document). When the system is configured to allow the Cost Transfer Needed button, the Effort Coordinator will see the button when reviewing certified statements that need cost transfers (Figure 3.A.4.7).
The Cost Transfer Needed button appears on this page if the individual has certified at percentages that are greater than the Cost Transfer Thresholds than the institution has setup in the Certification Settings page of Global Settings. For more information about these settings, please refer to section VI-E-5 of this document.

If the individual certified at percentages within those thresholds, the Process button will appear. This functionality can also be configured to display both the Cost Transfer Needed and Process buttons at the same time, which allows the Effort Coordinator to determine how to handle those statements that need cost transfers.

Selecting the Cost Transfer Needed button moves the statement into the Certified, Cost Transfer Needed status and the action is recorded in the Transaction History below the statement (Figure 3.A.4.8).
Once in this status, the only way to move the statement into the Certified, Processed status is to process the necessary cost transfers – aligning Computed and Certified Effort within the acceptable variances. When those cost transfers are loaded to the system, they are routed to the Payroll Adjustment Reconciliation task list and handled similarly to any other cost transfer that is routed through that page. For more information about the payroll reconciliation process, refer to section II-A-4-b of this document.

Work Flow Review Tasks
Work flow review items are another type of task that appears in the Effort Tasks list. Review items appear similar to processing work items received by an Effort Coordinator, but with a different description.

The description for a certification review task item reads “Certification for User routed for review” (Figure 3.A.4.9) while the description for a certification processing task item reads “Certification for User routed for processing.” To review the task item, the user will select the link from the item listing.

Work List for Janis Joplin
Welcome to the ecrt effort reporting system. The tabs below list all of the effort certification tasks that require your attention – whether it is certifying statements, processing statements, or following up on outstanding statements. To view and resolve the specific task, select the link in the task description.

<table>
<thead>
<tr>
<th>Description</th>
<th>Type</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Certification for Jon Bonjovi - jonbonjovi routed for review</td>
<td>Review Base Card</td>
<td>01/15/2012</td>
</tr>
</tbody>
</table>

Figure 3.A.4.8 – Cost Transfer Needed entry in Transaction History

Once in this status, the only way to move the statement into the Certified, Processed status is to process the necessary cost transfers – aligning Computed and Certified Effort within the acceptable variances. When those cost transfers are loaded to the system, they are routed to the Payroll Adjustment Reconciliation task list and handled similarly to any other cost transfer that is routed through that page. For more information about the payroll reconciliation process, refer to section II-A-4-b of this document.

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<tr>
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<th>Type</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Certification for Jon Bonjovi - jonbonjovi routed for review</td>
<td>Review Base Card</td>
<td>01/15/2012</td>
</tr>
</tbody>
</table>

Figure 3.A.4.9 – Review items in the Effort Processing Work Item list
Selecting the link takes the user to the Effort Statement page (Figure 3.A.4.10).

Unlike the Base effort statement or the Base processing screen, however, there is no ability to input any data on this screen. On this screen, the user can select only Review Accepted if the statement is accepted as it was certified or Review Not Accepted if there is a problem with the certification and the statement is not going to be accepted. When a reviewer selects the Review Not Accepted button, the application sends an email to the individual(s) who certified the effort statement because the statement needs to be certified again; the statement owner’s Primary Effort Coordinator, who will have to monitor the certification and process it once review has been accepted; and all other Reviewers associated to the certification.

Manual Certification and No Certification Required Tasks
Tasks for statements with the No Certification Required and Manual Certification statuses appear on the Effort Tasks list as shown below (Figure 3.A.4.11).
Manual Certification tasks are routed to anyone that has the View All Manual Certification Approval Tasks right. This right typically is assigned to Central Administrators. For more information about this right, please refer to section VI-B-2 of this guide.

The Manual Certification processing screen looks the same as the processing screens for statements with the “Certified, Not Processed” status (Figure 3.A.4.12).
If an Effort Note is required as a result of the configuration of the Manual Certification Justification Global Setting, then the explanation for placing a statement in the Manual Certification status is visible in the Effort Notes History. For more information about this setting, please refer to section VI-E-12 of this guide.
No Certification Required tasks are controlled by a Global Setting in the Effort Administration section. If No Certification Required Workflow is not active, then no task is created and a No Certification Required statement goes directly to the No Certification Required, Processed status. For more information about this setting, please refer to section VI-E-12 of this guide.

If the workflow is enabled, a review task is routed to anyone that has the View All No Certification Required Approval Tasks right. This right typically is assigned to Central Administrators. For more information about this right, please refer to section VI-B-2 of this guide.

The processing screen for No Certification Required tasks is the same as the processing screens for statements with the Certified, Not Processed status (Figure 3.A.4.13).
b. Payroll Reconciliation Tasks

Another type of task that appears on the Effort Tasks tab is the Payroll Reconciliation task. These tasks present to the Effort Coordinator the payroll transactions that have been loaded into the system that affect previously certified statements. These transfers will not affect the certification statement until action is taken by the Effort Coordinator.

When a retroactive payroll transaction is loaded, it is matched with a certified effort statement based on the affected employee’s employee type that corresponds either to
the start date of the transaction or the transaction date, depending on the institution’s configuration. If the affected employee has switched employee types, the system looks at the employee type audit table to determine the employee type in effect for the date of the loaded transaction, then finds the corresponding certified statement that is affected by the transaction.

To review a payroll adjustment shown on the list, the Effort Coordinator selects the task in the list (Figure 3.A.4.14).

![Work List for Adam Duritz](image)

Welcome to the ecrt effort reporting system. The tabs below list all of the effort certification tasks that require your attention—whether it is certifying statements, processing statements, or following up on outstanding statements. To view and resolve the specific task, select the link in the task description.

<table>
<thead>
<tr>
<th>Task</th>
<th>Type</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Payroll Adjustment Reconciliation Jon Bonjovi - Jonbonjovi routed for processing</td>
<td>Process Base Payroll Adjustment</td>
<td>01/16/2012</td>
</tr>
<tr>
<td>Certification for Jimmy Buffett - jimmybuffet routed for processing</td>
<td>Process Base Effort Statement</td>
<td>01/16/2012</td>
</tr>
</tbody>
</table>

**Figure 3.A.4.14 - Payroll Adjustment Work Items**

The link takes the Effort Coordinator to the Payroll Adjustment Reconciliation screen (Figure 3.A.4.15).
Payroll Adjustment Reconciliation

The Payroll Adjustment Reconciliation page presents administrators payroll and cost share transactions that impact historical effort statements and allows them to determine how to treat those transactions. The actions a user can take, represented by the presence of buttons displayed below the transaction summary, are determined by the institutions configured thresholds and the responsibilities assigned to the user role.

If the payroll adjustment affects multiple certification statements for an individual, they are sorted based on the Period of Performance, with the most recent statement first. Each certification statement with a payroll adjustment requires a decision on how the adjustment will be applied to that particular statement.

Below the institution-defined instructions at the top of the screen the user sees metadata related to the affected employee, such as name, title, department, email address and the employee’s Primary Effort Coordinator.

The next section of the screen shows the detail of the Payroll Reconciliation Transactions. This section displays the certification period, payroll periods, accounts, and dollar amounts for the payroll adjustment. This section can be viewed by pay period (Figure 3.A.4.16) or by account and pay period (Figure 3.A.4.17) depending on the tab selected.
The final section of the page is the Payroll Reconciliation Summary (Figure 3.A.4.18).
This section contains information about each transaction, such as the Certification Period, Account number, the Original Payroll Amount and Percentage, the Original Computed Effort Percentage, the Original Certified Percentage, the Total Adjustment Amount, the resulting Total New Pay, the New Pay Percentage, and the New Computed Effort Percentage.

Beneath each Payroll Reconciliation Summary chart the user is presented with options for resolving the payroll adjustment item. The buttons that a user may see depends on the configuration in the Certification Settings>Global Settings page (section VI-E-5) and the rights assigned to the user's role.

The key setting is the Certified Effort Variance setting (Certification Settings>Payroll Adjustment Reconciliation Routing settings), with which the institution establishes the percentage variance that a payroll adjustment can affect a previously certified line on an effort statement before an effort statement must be re-opened and re-certified. Typically, the system is configured to automatically review the variance and provides the user with only one button to take the appropriate action for that payroll adjustment.

The first button in Figure 3.A.4.18 is Post Adjustments without re-opening statement. This button appears to a user when the payroll adjustment does not create a variance between the Certified Percentage and the Computed Percentage large enough to reach the threshold defined by the institution. Selecting this button applies the payroll adjustment to the statement and removes the task from the user’s task list but does not notify the statement’s owner because no further action is required. The effort statement remains in the status it was in prior to the application of the transaction – either the Certified, Processed status, Manual Certification, Processed status, or No Certification Required, Processed status.

The second button is Post Adjustments and re-open statement. This button appears when the payroll adjustment creates a variance between the Certified Percentage and the Computed Percentage that is large enough to exceed the threshold defined by the institution. Selecting this button applies the payroll adjustment to the statement and removes the task from the user's task list. Additionally, an email is sent to the statement owner and the owner’s Primary Effort Coordinator notifying them that the effort statement has updated percentages, has been re-opened and needs to be recertified.
The effort statement moves to the Not Certified, Not Processed, Re-Opened by Cost Transfer status.

The third button is Post and Maintain. If a statement in the Cost Transfer Needed status has cost transfers loaded into the system that do not match the total cost transfers needed to resolve the discrepancy, a user may have the option to post the payroll adjustments that are loaded while leaving the statement in the ‘Cost Transfer Needed’ status.

The “Post Payroll Adjustment and Maintain Transfer Pending” right gives a user this ability. For more information about this right, please refer to section VI-B-5 of this document. To determine whether you have this right, please contact your Central Effort Administrator. If the user does not have this right, the user will see the available buttons. If the user does have the right, the “Post and Maintain” button will be one of the options to resolve the adjustment(s).

Selecting the “Post and Maintain” button applies the cost transfer to the Effort Statement but leaves the Effort Statement in the ‘Cost Transfer Pending’ status. Effort Coordinators may choose to select this button when they have processed one of many cost transfers for an individual’s statement and want to post those to the individual’s effort statement, even though the cost transfers do not align computed and certified effort. This button allows the Effort Coordinator to post the transaction(s) to the statement and have it remain in ‘Cost Transfer Pending’ status (so the statement is not reopened, requiring it to be recertified by the individual). After posting a subset of the necessary cost transfers, the Effort Coordinator can process the remaining cost transfers for the statement when they are loaded into the system to finalize the certification process after computed and certified effort are aligned.

The “Post and Maintain” button will always be present on the PAR screen for individuals who have this right. Unlike the other “smart” buttons on the PAR screen that appear only under certain circumstances, the Effort Coordinator is always able to “Post and Maintain” since this signifies that the Effort Coordinator has additional cost transfers to process on the statement before it can be finalized.

If an Effort Coordinator mistakenly selects ‘Post and Maintain’ for a cost transfer that aligns computed and certified effort for an individual, the Effort Coordinator can update the status for that individual by navigating to the effort statement. For additional information about changing the status of a historical statement, please refer to section III-A-1-C-ii of this guide.

The final button in Figure 3.A.4.18 is the Ignore Adjustments button. This button is typically available to the Central Administration role only. Selecting this button does not apply the adjustment to the effort statement and removes it from the user’s task list. While the transactions are not applied to the corresponding effort statement they do reside in the Payroll table until and unless they are subsequently removed. As such, this
button is typically used only when an erroneous payroll adjustment item is loaded to the system but should not be applied to the effort statement. This button is always displayed if the user has the right to view it. For more information about this right please refer to section VI-B-5 of this document.

Another button may appear in the Payroll Adjustment Reconciliation Summary section - the True Up button. This button appears when a payroll adjustment is loaded that matches exactly - to the penny - a cost transfer that was created as a result of a certification. For example, in Figure 3.A.4.19, the individual’s Certified Percentage differs from the Computed Percentage on the original certification.

When the effort statement was processed by the Effort Coordinator, the calculated difference between the Original Paid % and Original Certified % was equal to $1,233.32 of the individual’s salary being transferred from one account to the other. The Effort Coordinator then processed that exact cost transfer and when it was loaded into the system during the data load process, the system recognized the transaction as matching exactly what was previously calculated. As a result the ‘True-Up’ button is available, which applies the adjustment to the effort statement, removes the item from the user’s task list, and does not notify the statement’s owner because no further action needs to be taken. The effort statement remains in the ‘Certified, Processed’ status.

Additionally, institutions can enable another Global Setting that will automatically apply any Payroll Adjustment items for Non Sponsored accounts so those items do not need to be reviewed or processed by an administrator. This setting is particularly useful for those institutions that use a single Non Sponsored roll up account. For more information on this setting, please refer to section VI-E-5 of this manual, the Certification Settings page in Global Settings.

The Payroll Adjustment Reconciliation page has been expanded to accommodate Non-Companion Accounting Cost Share transactions that are loaded to effort statements in a historical status (Figure 3.A.4.20).
The PAR page for the Non-Companion model includes columns for Original Cost Share dollars and New Cost Share dollars and factors in these values when performing the comparison of Original Certified Effort with New Computed Effort.

c. **Activate New User Tasks**

Another task that is routed to the Effort Tasks tab is the new user activation task. This task arises when an institution is using a third party authentication system, not the ecrt system’s native authentication, and a user is loaded into the application in the Certifier file without a username to access the application. The receipt of the tasks is controlled by a right so anyone with a role that has the right assigned will receive these tasks and are allowed to assign a username to address this situation.

To view an activation task, the user selects the task from the Effort Tasks tab (Figure 3.A.4.21).

The link takes the user to the user activation screen (Figure 3.A.4.22).
The user inputs the username for the person displayed. The system validates the entered user name to ensure it is unique. If it is not, the user is prompted to reenter a unique username. Once a unique username is entered, the system sends an email to the person about the activation, and the user is returned to the Home Page. If the person to be activated does not have a primary email address in the system, as shown in the example above, the email is shown as a failure in the email logs.

5. Viewing Historical Effort Statements

As certification periods close and reports are processed, the ecrt system retains historical effort statements, for both payroll types, for easy review. Certification statements for previous periods can be accessed at any time, eliminating the need for paper copies to be retained by researchers or administrators.

All statements, including historical statements, are located on the effort statement screen. Users are able to see all their own historical statements, as well as the historical statements of those people that are related to them for the periods in which they were related.

When a statement is certified, the data are stored as a snapshot for historical reference. None of the data - demographic, payroll, cost sharing, or commitment data - on the statement are updated once it has been certified. The only elements of an effort statement that updates after a certification are attachments to statements and effort notes if the user has the appropriate rights. Otherwise, data on the statement will not update unless the statement is reopened. Payroll and cost share data will be routed to the Payroll Adjustment Reconciliation table, commitment data that affects the period for which the statement was certified is stored but not applied, and demographic data is applied to future statements. If Certification Activities or Activity Codes are enabled, the appropriate icons will be present on the historical statement, as well.

To view a historical statement, the user navigates to the Effort Statement screen. All historical statements for the selected individual may be accessed from the Historical section of the Statement Information pane (Figure 3.A.5.1).
Figure 3.A.5.1 – Viewing an Historical Statement

Selecting a statement from the Historical list renders the statement in the Effort Statement pane. If there are multiple historical statements, the user can select the correct statement from the Historical list. The elements of the screen and the actions a user can take on an historical statement are determined by the user’s rights.

The second method for viewing a historical statement of a related researcher that is no longer related to the user is through the Look-up feature. As long as the relationship between the employees is not severed on the Manage Users page, which is no longer necessary given the application’s effective dating of that relationship, a user always will be able to view historical statements for formerly related researchers in this fashion.
a. **Historical Status Override**

Additionally, users with the appropriate rights can override the status of a historical status (Figure 3.A.5.2).

![Figure 3.A.5.2 – Historical Status Override](image)

To change the status of a historical statement, the user will select the Historical Status Override button. A pop-up window appears that allows the user to select the status into which the statement will be changed (Figure 3.A.5.3).
Statements can be moved among three statuses – 1) Auto Approved; 2) Certified, Processed; and 3) Certified, Approved, Transfer in Progress or Pending. A statement can be moved into Auto Approved status only if the statement had 100% Non-Sponsored funding. If there was any Sponsored funding on the statement, the only two available options are Certified, Processed and Certified Approved, Transfer in Progress or Pending.

The user then may either select the new status or cancel the request. If the new status is selected, the following pop-up message will appear (Figure 3.A.5.4).
Once the request has been confirmed, the user returns to the effort statement, which now reflects the new status (Figure 3.A.5.5).

Figure 3.A.5.5 – Effort Statement Reflecting Status

6. Reopening a Certified Effort Statement

There may be situations where a certifier needs to correct a certified statement. A recertification may result in changes to the salary charges, which may lead to changes in the institution’s general ledger records. Further, recertification may raise compliance concerns about the original certification. In the ecrt solution, recertification is possible but is controlled by two rights that should be assigned to the appropriate administrators. These rights restrict when these links can be viewed, i.e. during the certification period or at any time. The recertification process is institution-specific; contact your effort coordinator to find out about your institution’s policy and procedure and which user roles in the system have the appropriate rights.

For a recertification to take place, the certified Effort Statement for the appropriate period must be reopened. Once it has been reopened, the certifier will be able to reenter the effort information and recertify. As with any certification, cost transfers resulting from certification may be created and will be routed for review and processing.

To reopen a partially certification statement, a user with the appropriate rights will see the Reopen button for each line on the effort statement (Figure 3.A.6.1).
Reopening a single line on a partially certified Effort Statement means only that line needs to be recertified. This eliminates the need for a statement to be completely certified before a line can be corrected.

When all lines on the statement have been certified, the entire statement must be reopened. The Reopen button appears at the bottom of the statement (Figure 3.A.6.2).
When the Reopen button is selected on a completely certified statement, a confirmation pop-up message appears (Figure 3.A.6.3).

After confirming the request, another pop-up asks whether the user would like to send the reopen email (Figure 3.A.6.4).
If the user selects Cancel then no email is sent.

If the user selects OK, the email window is displayed. The user can edit the subject line and input the body of the email as well as format the email with the other available tools (Figure 3.A.6.5).
The recipients of the email are configured on the Global Settings>Certification Settings page. For more information about those settings, please refer to section VI-E-5 of this document. Once the email is finalized, the user selects the Send the Email button.

The user then returns to the Effort Statement, which now reflects the status of ‘Not Certified, Not Processed, Re-Opened’. The statement is unlocked and the certification process has restarted, meaning a certifier must access the relevant statement and enter and certify the correct amount of effort for that statement. The Certified Effort values revert to zero (0) if the prepopulation feature is not enabled. If prepopulation is enabled, the Certified Effort matches the Computed Effort. A message appears in the Message Bar stating that the statement has been saved (Figure 3.A.6.6 – A).
Figure 3.A.6.6 – Effort statement records

A message appears in the Notes section of the certification statement stating that the statement was reopened, the name of the user that reopened it, and the date it was reopened (B) and the reopening is listed in the Transactions section (C).

When a statement is reopened, an email is generated to inform the last certifier of the statement that the statement has been reopened. The statement owner’s current Effort Coordinator is copied on the email to inform that Effort Coordinator that the statement was reopened. If there is no Primary Effort Coordinator for the certifier’s home department or the Primary Effort Coordinator either is inactive or has no primary email, the email is routed to the user reopening the statement. If the List of Approvers
functionality is being used, all effort coordinators listed in the List of Approvers will receive the email notice.

If there are any errors related to emails for a reopened statement, the statement is still reopened and the error is written to the error log, but not displayed.
B. Total Professional Effort

Total Professional Effort (TPE) functionality allows for tracking and confirmation of effort that goes beyond an institutional appointment to account for 100% of a person’s professional effort. This functionality can account for a combination of institution, clinical, VA, and other types of appointments. This allows an institution to develop a complete picture of an employee’s effort when the employee has appointments with multiple distinct organizations. Additionally, TPE also aids the department in ensuring that payroll distributions are set up properly for all of the appointments if the institution is using one payroll system for all of the appointments.

TPE confirmation periods are the same as the Periods of Performance for the base effort certifications. A user is marked as a TPE certifier either manually on the Manage Users page (Figure 3.B.0.1) or through the Certifier data load file where the TPE flag is set to True. If a Base effort statement has been created for a certifier, TPE confirmation is required before an individual can certify the Base effort statement.

Figure 3.B.0.1 – Flagging a user for TPE

Effort Coordinators may have the ability to enter TPE information for their certifiers, monitor TPE activities through the TPE Report, and receive TPE Tasks when a certifier changes their TPE during the period of performance depending on the rights assigned to the Effort Coordinator role. However, it is not expected that the Effort Coordinator confirm the TPE statement.
1. Accessing a TPE Statement

Total Professional Effort statements can be accessed in multiple ways. If a user has not created a TPE statement or confirmed a TPE statement, the user will be directed to the TPE statement when selecting the Certify>My Statements link. If the user has a confirmed TPE statement, then the TPE statement is accessible from the Related Reports icon on the base effort statement (Figure 3.B.1.1) or directly from the certification start or reminder emails that are sent to certifiers (Figure 3.B.1.2).

Additionally, Effort Coordinators can access a TPE statement from the TPE Task list or selecting an individual’s name from the TPE Report.
2. Creating a TPE Statement

To create a TPE entry, the user navigates to the TPE statement in one of the three methods described in Section III-B-1 above.

The TPE statement contains several pieces of information in five different areas of the statement (Figure 3.B.2.1).

At the top of the statement is the demographic data loaded into the system for this user (Figure 3.B.2.1 - 1). This information includes the certifier’s name, title, department, location, appointment, email, the TPE period, and the status of the TPE statement. This information is brought in through the data load, which means the institution may not load all of these elements. The status is either ‘Planned’ or ‘Confirmed’. The TPE statement will default to the current time period, but prior periods can be found by selecting them from the drop-down.
The second section of the page shows the TPE Entities, the current planned distribution percentages, and the average distribution percentages for the period. TPE entities are defined in the Global Settings section and represent the appointments that a certifier may have and to which the certifier must distribute TPE for a user-defined time period. Entities are universal and cannot be defined for specific individuals. Since an individual may have multiple TPE statements over a period of performance, the ‘Average %’ column displays the average TPE percentage that the individual will confirm at the end of the year.

The TPE Effective Dates are used to determine the date range for each TPE entry. The dates can be selected from the calendar that appears when the cursor is placed within the field or they can be entered directly using the DD/MM/YYYY format. Since multiple TPE distributions can be created for a TPE period, these dates are used to distinguish between each TPE distribution. If an institution has metadata entities set up to track specific metadata related to the TPE statements, those entities will be available for data input.

Below the Current TPE statement is a listing of all TPEs that are in effect for some portion of the current period of performance. The list shows the effective start and end dates of the statement and the percentage distribution to the TPE entities.

The third section of the statement, below the Current TPE statement, shows the buttons that control the possible actions that can be taken on this page. The number of buttons that are present is based on the rights assigned to a user and the point in time in which the user accesses the statement.

To create a TPE statement, the user clicks in the ‘Current Semi Annual Certifier %’ column to enter the correct effort percentages distributed among the various TPE entities.

The distributions must total 100.0% to save or confirm the data. If the data does not equal 100.0%, the user receives an error.

The user establishes the Effective Start Date and Effective End Date by using the calendar drop-down buttons in those fields. The dates will populate automatically in the following scenarios:

- If there was no change in the TPE distribution, the default start date will be the first day of the period of performance.
- If TPE data is entered for an employee with no existing TPE data for this period of performance, then the Effective End Date defaults to 12/31/9999 if an end date is not entered.
- If existing TPE data for an employee is being changed for the current period of performance, then see the scenarios below.
If the user is creating a new TPE entry for an employee with no existing TPE or creating another distinct TPE statement within a period of performance, then the user will select the Effective Date button.

Example: An employee has an existing TPE entry for the period of 1/1/2011 – 6/30/2011. If the employee’s effort changes on 4/1/11, e.g. one appointment increases while another appointment decreases, the user will select the Change Effective Date button to update the Effective End Date of the original distribution and create a separate TPE distribution for 4/1/11 – 6/30/11.

If the user is updating the distribution percentages of an existing TPE entry but not changing the effective dates, then the user will select the Update button.

Example: An employee has an existing TPE entry for the period of 1/1/2011 – 6/30/2011. To change the entire the distribution for the period, the user will select the Update button to change the effective dates.

During the Period of Performance a user can create a new entry based on an existing statement. The user will see a combination of four buttons during the Period of Performance (Figure 3.B.2.2).
Figure 3.B.2.2 – TPE statement during the Period of Performance

These buttons include:

A. **Effective Date** – this button allows a user to edit and modify the effective date of the current TPE statement. The user can modify both or either of the start and end dates of the statement.

B. **Update** – this button allows a user to change the TPE distribution prior to certification. The user can change only the distribution percentages for the current TPE statement, not the dates.

C. **Finish** – this button takes the user to the user's current base effort statement. Any changes made to the TPE statement will not be saved prior the user leaving the page unless the user selects the ‘Change Effective Date’ or ‘Update’ button.
D. **Home Page** - this button takes the user back to the home page. No changes to the TPE statement are made when this button is selected.

3. **Confirming a TPE Statement**

   During the TPE Confirmation Period, which is simultaneous with the base effort Certification Period, the user will see a combination of five buttons (Figure 3.B.3.1).

   ![Figure 3.B.3.1 - TPE Statement Confirmation](image)

   The options for confirming a TPE statement are:

   A. **Carry Forward** – this button confirms the average of all TPE statements that were created and that applied to the Period of Performance currently being confirmed. In addition to confirming the TPE for this period, the application will use the current TPE distribution as the template for the
next Period of Performance. The status of the current TPE is changed to “Confirmed” from “Planned” and the TPE distribution for the next Period of Performance will be marked as “Planned.”

B. **Change** – this button confirms all TPE statements that were created and that applied to the period of performance currently being certified. Instead of copying the current period’s TPE for the next period of performance, however, the application allows the user to define the next period of performance’s planned TPE. The application will mark the current TPE as “Confirmed” and the next period’s TPE as “Planned.” If the user does not update the next period’s TPE the confirmed percentages from the previous year will carry forward.

C. **Effective Date** – this button allows the user to edit and modify the effective date of the current TPE statement. This button does not confirm the TPE.

D. **Update** – this button allows a user to change the TPE distribution entry prior to certification. If using this button, the effective dates must match a previously defined TPE statement. This button does not confirm the TPE.

E. **Home Page** - this button takes the user back to the home page. No changes to the TPE statement are made when this button is selected.
C. Clinical Activity Reporting

Institutions that complete Clinical Activity reports can capture certifiers’ time spent on clinical activities (as defined by the institution in the Project XML file) for their annual Medicare Cost Reports. The Clinical Activity Reporting feature uses a separate and distinct calendar from the effort reporting cycle, which allows institutions to configure the appropriate reporting periods to meet the requirements of Medicare reporting. Validation checks compare the amount of time an individual confirms having spent on Clinical Activities to the individual’s planned and confirmed Total Professional Effort. The Clinical Activity Reporting process is managed using familiar ecrt solution tools such as Clinical Activity Tasks and standard reporting.

1. Accessing a Clinical Activity Statement

Clinical Activity statements are accessed through the email link that is sent after a Base effort statement has been certified and processed or at a pre-determined time configured in the Global Settings>Effort Administration> Clinical Activity Reporting Effort or directly from the Effort Statement using the ‘Related Statements’ icon and selecting the ‘Clinical Activity Statement’ link (Figure 3.C.1.1).

---

**Figure 3.C.1.1 – Accessing the Clinical Activity statement**

Selecting the ‘Clinical Activity Statement’ from the ‘Related Statements’ icon presents the statement in a new browser window.
2. **Viewing a Clinical Activity Statement**

The Clinical Activity statement is split into multiple sections (Figure 3.C.2.1).

At the top of the statement the certifier's metadata is displayed, such as name, location, title, appointment, department, Primary Effort Coordinator, email address, Reporting Period, and current status of the statement. There are three possible statuses for the Clinical Activity statement: Not Certified, Pending Review, and Confirmed.
The user also can re-send the Clinical Activity reminder email (Figure 3.C.2.1 - 1). This ability is controlled by a right.

The next section of the Clinical Activity statement contains the data essential for reporting purposes. The list of Clinical Activities that has been created by the institution is displayed in the first column of this section while the sub-periods for which the institution is capturing data for the Clinical Activity Reporting period is displayed in the top row. The first step the user must take is to enter the average weekly hours for each sub-period within the reporting period (2).

The Average Weekly Hours value must be a valid integer from 0-168. This value is used as a basis for validation of the reporting sub-period to ensure that the certifier is not working more than the maximum number of hours determined in the Max Weekly Hours setting under Certification Limits in Global Settings. The validations are discussed further below. The user can enter information only into a reporting sub-period that is open. A reporting sub-period is open only when the sub-period date range has passed and the certifier incurred payroll on a Clinical designated account during those reporting period dates. A sub-period that is not open will be grayed out and the user will not be able to enter a value in that field.

The user then will allocate the percentage of time attributed to each category for each category (3). The system will calculate the appropriate number of hours for each activity based on the percentage entered and the average weekly hours. All percentages for the reporting period must total 100%.

The last column, ‘Year End Average,’ displays the average for all reporting periods that were confirmed during the Clinical Activity Reporting period (reporting period confirmation is discussed below). The Year End Average calculation will factor only those sub-periods that had clinical activity. If a sub-period did not have clinical activity, it is excluded from the denominator in calculating the average. The Year End Average is the total that will be confirmed after all reporting periods have been completed and the certifier’s base effort statement has been certified.

Below the Clinical Activity statement the user may be able to attach a file, enter a note, view the note history and view the audit trail for the Clinical Activity Statement history (4). The ability to do each of these is controlled by rights.

3. Confirming Reporting Periods

The Clinical Activity statement requires multiple confirmations. Each Clinical Activity reporting period can have an unlimited number of sub-periods for confirmation that make up the average for the final confirmation. The number of confirmations that take place during the Period of Performance serves as checkpoints for the entire confirmation process.
Once the average weekly hours for the appropriate sub-period has been entered and the allocation by activity is complete, the user can confirm the reporting period for which information was entered by clicking on the ‘Confirm Reporting Period’ button (Figure 3.C.3.1). A green checkbox will appear in the column header to visually identify that the sub-period has been confirmed (Figure 3.C.3.2).

**Clinical Activity**

**Frequency:** Semi Annual Certifier  
**Due Date:** 07/31/2011  Past Due

<table>
<thead>
<tr>
<th>Covered Individual</th>
<th>Jimmy Buffett - jimmybuffett</th>
</tr>
</thead>
<tbody>
<tr>
<td>Department</td>
<td>Modern Rock Department</td>
</tr>
<tr>
<td>Email</td>
<td>jimmybuffett@estnet</td>
</tr>
<tr>
<td>Status</td>
<td>Not Certified</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>Quarter 1</th>
<th>Quarter 2</th>
<th>Year End Average</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>%</td>
<td>%</td>
<td>%</td>
</tr>
<tr>
<td><strong>Average Weekly Hours for Clinical Activity</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Clinical</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>- External Patient Care</td>
<td>20</td>
<td>20</td>
<td>20</td>
</tr>
<tr>
<td>- Hospital</td>
<td>50</td>
<td>50</td>
<td>50</td>
</tr>
<tr>
<td>- Research</td>
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<td>10</td>
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</tr>
<tr>
<td>- Rounds</td>
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<td>0</td>
<td>0</td>
</tr>
<tr>
<td>- Teaching</td>
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Grand Total:

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<td>100</td>
<td>100</td>
</tr>
<tr>
<td></td>
<td>5</td>
<td>8</td>
<td>7</td>
</tr>
</tbody>
</table>

**Figure 3.C.3.1 – Entering data on the Clinical Activity Statement**

If the user wishes to save the information entered but not confirm the statement at that time, the user will select the ‘Save to Complete Later’ button. If the user wishes to take no action, the ‘Do Nothing’ button will be selected. If multiple sub-periods are open, the user can confirm multiple periods at one time. For example, if the user is confirming the second sub-period, the user can also revise and confirm the first sub-period at the same time.

The final confirmation of the Clinical Activity statement is a confirmation of the average of all previously confirmed checkpoints during the Period of Performance as well as the percentage of time that was spent amongst the different categories. This final confirmation cannot take place until the Base effort statement has been certified and processed.

To confirm the yearly average values for the Clinical Activity period, two conditions must be met:

1. All checkpoints that were defined during the Period of Performance must be confirmed (see green checkboxes in Figure 3.D.3.2 below).
2. The base effort statement must be in the ‘Certified, Processed’ status. Confirmation of the base effort statement is required for the Clinical Activity statement validations to take place. These validations are explained below.

When the second condition is satisfied an email is generated and sent to the certifier with a message and a link to the Clinical Activity statement, reminding the certifier to confirm the entire Clinical Activity Reporting period.

The Average Weekly Hours entries for each reporting sub-period do not need to be revised to confirm the year end Clinical Activity Statement for the entire Clinical Activity Reporting period. While average weekly hours and category allocations are populated during the sub-period confirmations, all entry fields are open if the user wishes to update these numbers (Figure 3.C.3.2).

![Clinical Activity statement](image)

Figure 3.C.3.2 – Confirming Year End Averages

After the certifier has reviewed the numbers on the Clinical Activity statement, the user selects ‘Save to Complete Later’ if the certifier wishes to discuss the statement with the user’s Primary Effort Coordinator, ‘Confirm’ to confirm the year end averages, or ‘Do Nothing’ to be taken to the Home Page. If the certifier needs to make changes to a specific reporting period the certifier can update the quarterly average weekly hours and then select the ‘Confirm Reporting Period’ button.

Clicking ‘Confirm’ will take the user to the Clinical Activity statement’s attestation statement if there are no validation errors. If the statement failed a validation, a warning
message (Figure 3.C.3.3) will appear at the top of the Clinical Activity statement. The error message states which validation rule was violated and how to correct the error. The statement cannot be confirmed if a Hard Stop Validation is present.

Figure 3.C.3.3 – Clinical Activity statement validation error

Once the certifier has clicked ‘Confirm,’ the certifier is taken to the Clinical Activity statement attestation statement (Figure 3.C.3.4). This attestation is similar to those that can be found on the base and Supplemental Effort statements. Also like those statements, this attestation statement is configured in the Global Settings>Application Text.
Clinical Activity

Figure 3.C.3.4 – Clinical Activity statement attestation statement

If the certifier is unsure or does not wish to confirm, the certifier selects 'Do Nothing' and returns to the Clinical Activity statement. If the certifier agrees with the attestation statement the user selects 'Confirm'. The statement refreshes and the buttons are reduced to one – Do Nothing. The user then must close the Clinical Activity statement window.

Clinical Activity

Figure 3.C.3.5 – Confirmed Clinical Activity Statement

NOTE: If a Base effort statement is reopened after the Clinical Activity statement has been confirmed, the Clinical Activity statement will be reopened as well and will need to be reconfirmed after the Base effort statement has been certified and processed.
4. **Clinical Activity Statement Validation**

Validation checks are built into the ecrt system to ensure that the average weekly hours values that are entered on the Clinical Activity statement by the certifier are compatible with both base effort payroll on Clinical Activity designated accounts and Total Professional Effort data. The validation measures the calculated weekly hours worked by the faculty member against an acceptable range of hours defined by the institution within the Global Settings.

The calculation formula is as follows:

- The Year End Average Hours that were confirmed are divided by the percentage of base effort that was paid from Clinical Designated Accounts.
- The number derived above is divided by the percentage of effort allocated to University activities in the user’s Total Professional Effort.
- The number derived in the second bullet above is divided by the FTE (full time equivalent) value for the certifier.

**Example:**
- Year End Average Hours based on period average weekly hours entered = 8 hours
- The base effort weighted average of the Clinical Accounts for the selected time period = 25%
- Percentage of TPE effort for University = 50%
- FTE for certifier = 1.0 (40 hours/week x 52 weeks /year)

**Calculation:**
- Divide 8 by .25 (percent Clinical Account) = 32
- Divide 32 by .50 (percent University TPE) = 64
- Divide 64 by 1 (FTE) = 64
- Compare 64 hours to the acceptable range of hours defined in the Global Settings>Effort Administration>Total Professional Effort for appointments defined as Clinical to determine whether a warning is necessary.

If the calculated hours per week fall outside the acceptable range, the certifier receives warnings during the reporting period process. The warnings will not prevent the certifier from confirming the reporting period effort but they will generate tasks for the Primary Effort Coordinator to review as each quarterly period confirmation is processed.

Based on the calculation, hard and soft warnings may be generated per the outlined points and the table below. A hard warning occurs when an individual confirms a period and the calculated average weekly hours are outside of the high/low threshold limit set up within the Global Settings>Effort Administration>Total Professional Effort for appointments defined as Clinical. Hard warnings are allowed for sub-period
confirmations, but Calendar Reporting Confirmations will not be allowed if a hard
warning is present. The certifier will need to adjust either the average weekly hours or
the percentage of time on the Clinical designated account to confirm the reporting
period.

A soft warning occurs when a confirmation falls within the high/low threshold limit set up
within the Global Settings, but outside of a standard work week as defined in the Global
Settings by the institution. This logic check is performed after each confirmation.
Certifiers can proceed with sub-period confirmation of the Clinical Activity statement if
either type of warning message is received. Certifiers can confirm their annual Clinical
Activity statements only if a “soft” warning is present.

Users CANNOT confirm their annual Clinical Activity statements if a hard warning is
present.

The table below lists potential warning thresholds and reasons why the warnings are
displayed. The institution defines the acceptable ranges of hours in the Global
Settings>Effort Administration>Total Professional Effort settings. When defining the
acceptable ranges a user first must defined the appointment as Clinical. The warnings
are defined on the Global Settings> Effort Administration> Clinical Activity Reporting
Effort page.

<table>
<thead>
<tr>
<th>Warning Type</th>
<th>Reason for Warning</th>
</tr>
</thead>
<tbody>
<tr>
<td>Hard Stop – High</td>
<td>Calculated hours &gt; 75 hours</td>
</tr>
<tr>
<td>Soft Stop – High</td>
<td>Calculated hours fall between 71 – 75 hours</td>
</tr>
<tr>
<td>Soft Stop – Low</td>
<td>Calculated hours fall between 35 – 39 hours</td>
</tr>
<tr>
<td>Hard Stop - Low</td>
<td>Calculated hours &lt; 35 hours</td>
</tr>
</tbody>
</table>
D. Profile Manager

The Profile Manager page allows users to manage commitments, cost share, labor distributions and non-sponsored activities from a centralized mechanism.

1. Accessing Profiles and the Profile Manager

Access to the profile will be managed through ecrt existing roles and rights mechanism. Institution defined roles can be given rights to access and manage profiles. Based on these rights, ecrt will render a “Profile Manager” link on the drop-down menu under the ‘Certify’ button on the toolbar (Figure 3.D.1.1).

The “Profile Manager” is a centralized profile management screen that allows users to (Figure 3.D.1.2):

- Create profiles/profile drafts
- Search for existing profiles
- Browse profile history
- Purge inactive profiles
- Delete profile drafts
- Print profiles

Profile Manager (Searching By Distribution Date)

To view a profile for an employee, the user must search for and select the name of an employee in the “Select an Employee” search box. To narrow the search, the user can enter a profile distribution date range or a certification period as part of the search. Clicking “Search” will return a list of matching profiles based on the parameters entered.
When a user has selected an individual that has existing profiles, the profiles are displayed in a list at the bottom of the page, along with several pieces of information about each profile (Figure 3.D.1.2).

The ‘Edit Name’ column displays an icon that, when selected, will allow the user to modify the name of the corresponding profile. The next column shows the profile name, followed by the employee for whom the profile was created. The distribution date of the profile and the profile’s status are listed next. Profile statuses are discussed in more detail below.

The final three columns contain icons that allow a user to delete, view, or print the profile.

**Profile Names**

Profile names are useful for identifying the reason and time period in which a new profile was created. For example, a profile named “Start Q3 FY10” would suggest that the profile was created to set up cost sharing and commitment changes for the third quarter of 2010. This naming convention can be used to reflect entire Periods of Performance or periods of time with Periods of Performance.

When the icon in the ‘Edit Name’ column is clicked, the ‘Profile Name’ column changes to an editable field and two additional icons are displayed in that column (Figure 3.D.1.3).
The first icon ( ) cancels any changes and leaves the name of the profile as it was.
The second icon ( ) saves the new name.

Creating a Profile/Profile Draft
One of the primary tasks a profile administrator will encounter is the creation of a profile for new users. At the top of the ‘Profile Manager’ screen administrators will find the ‘Select an Employee’ prompt, with a search box beside it.

Step 1 - Enter employee name into the text field provided in the Search box. The type ahead will display a list of relative employees/users matching the letter combination entered. Select the employee name you are administrating.

To the right of the employee text field up to three icons may appear (Figure 3.D.1.2 - A).
The first icon ( ) is the “View Most Recent Profile“ icon. This icon represents the most current profile created for this individual.
The second icon ( ) is the “Create New Profile” icon. This icon allows the user to create a new profile for the selected individual.
The third icon ( ) is the “Edit Draft Profile” icon. This icon will only appear if a profile draft was previously saved for this user.

Step 2 - Click the “Create New Profile” icon. The application at this point will retrieve all commitment, cost share, labor distribution and non-sponsored activities for the selected individual. The profile will be created in an unsaved state awaiting further action from the administrator.

Step 3 – Set a distribution date. The distribution date is the starting date for the values set in the profile. It is when cost shares and commitments will begin. This date can be as early as the beginning of the current effort quarter, to any time in the future.

Step 4 – Set the end dates for the profile. The end dates are set, by default, to the end date assigned to the account or commitment. It is not necessary to change these dates, but since each profile line creates a commitment for the dates listed, it may be desirable to change the dates.

For example, you may decide that you only want to create a profile that will be valid for this quarter. In that case, one would set the end dates to the last day of the quarter.
Because of the way lines are added to the profile, it is possible to have accounts on the profile that have already ended. In this case, an error will be displayed about the distribution (start) date being after the end date.

If the account has ended, you can simply change the revised payroll and revised effort to zero (0) and the line will be ignored.

**Step 5** – Enter values for revised effort and revised payroll. Revised effort is automatically copied in the current effort field.

- Any accounts that have ended need to have their revised effort and revised payroll total to 0.
- Set revised payroll so that it totals 100%
- Set the revised effort for sponsored awards correctly. Note that sponsored effort MUST be equal or greater than the revised payroll for the account.
- Set activity code values for unrestricted effort.

This should represent the expected effort and payroll distribution. Both the revised payroll, and revised effort values must now total 100% (Figure 3.D.1.4).

<table>
<thead>
<tr>
<th>Distribution Date: 01/01/2012</th>
<th>Payroll</th>
<th>Revised Effort</th>
<th>Revised Payroll</th>
<th>Cap CS</th>
<th>Other CS</th>
<th>Total CS</th>
<th>Start Date</th>
<th>End Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>0.00%</td>
<td>47.00%</td>
<td>47.00%</td>
<td>0.00%</td>
<td>0.00%</td>
<td>0.00%</td>
<td>0.00%</td>
<td>1/1/2012</td>
<td>06/30/2012</td>
</tr>
<tr>
<td>0.00%</td>
<td>45.00%</td>
<td>45.00%</td>
<td>0.00%</td>
<td>0.00%</td>
<td>0.00%</td>
<td>0.00%</td>
<td>1/1/2012</td>
<td>07/31/2012</td>
</tr>
<tr>
<td>0.00%</td>
<td>0.00%</td>
<td>0.00%</td>
<td>0.00%</td>
<td>0.00%</td>
<td>0.00%</td>
<td>0.00%</td>
<td>1/1/2012</td>
<td>04/30/2012</td>
</tr>
<tr>
<td>0.00%</td>
<td>100.00%</td>
<td>100.00%</td>
<td>0.00%</td>
<td>0.00%</td>
<td>0.00%</td>
<td>0.00%</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Figure 3.D.1.4 – Revised Effort and Revised Payroll Totaling 100**

At this point the only items still red should be some of the cost sharing fields. The total cost share nets to 0, however, it has not been distributed to the correct accounts.

**Step 6** – Distribute Cost Share. When the revised payroll does not equal the revised effort, the cost sharing columns are calculated with the difference. The required cost sharing will first cover any required NIH salary cap cost sharing, and the remainder will be put in the other cost sharing column.

The profile will not allow the cost share for sponsored awards to be negative.
At this point, click the “distribute cost share” icon next to each account highlighted in red. This will bring up the cost sharing distribution window.

The window displays a list of all sponsored accounts, and the cost sharing required (both capped and other) for each account. Any account that does not require any cost sharing will have the entry boxes grayed out, and no entry will be allowed.

To distribute cost share, enter the amounts up to the computed values listed for each account and click distribute. The amount of cost share available is listed under the account number. You must distribute the full amount of cost share available from this account.

When you have finished distributing all available cost share, the remaining red validation errors will have been corrected, and the profile is ready for activation.

**Step 7** – Finalize the appropriate adjustments to the profile and choose to make the profile active by clicking the “Save Final” button or make the profile a draft by clicking the “Save Draft” button.

**Profile Effort Tasks**
In total, the profile can create four different effort tasks. These notifications alert the effort coordinator that a change made to the system may require additional action on their part.

The first two effort tasks are the same concept as the tasks created from the effort card being processed, and should already be familiar to the effort coordinator. The other two are specific to the profile, but are only notifications.

**Cost transfer**
If a change in percentage is made to revised payroll, so that it is different from GL payroll, an effort task will be created notifying the effort coordinator that a payroll distribution change is required.

**Sponsor Letter**
If the revised effort of a sponsored award is set 25% below the awarded value, an effort task will be created to notify the effort coordinator that a sponsor letter may be required.

**Retroactive profile**
If a profile is created with a distribution date prior to the current date, a notification is sent to the effort coordinator.

No action is required for this effort task, it is strictly informational, and serves as a final notice that a profile has changed something in the past.
Commitment Modification Task
If the creation or modification of a commitment causes an overlap with an existing commitment, the existing commitment is either overwritten, truncated left, truncated right, or split around the new commitment. A notification is sent to the effort coordinator to confirm that an existing commitment has been changed.

A profile in the ecrt application can have five possible states. Each state is either implied indirectly through the user’s actions or is explicitly defined within ecrt as a profile state.

2. The Profile Life Cycle States

Unsaved Profile (Indirect State)
The profile is in an unsaved state initially when it is created but has not been made active, a draft or into a future profile. Unsaved profiles that are never saved or persisted within ecrt are cleaned up at the end of the user’s session or after 20 minutes of application inactivity.

For example: A user that clicks the create profile and doesn’t take subsequent steps to persist (make as a draft, make active or make as a future profile) the profile will not have worry about deleting or clearing profiles. The application will detect and clean up all unsaved profiles.

Draft Profile (Explicit State)
The profile is in a draft state when a user creates a profile, makes adjustments and clicks the “Save Draft” button. When a profile is in a draft state the application will allow the most current commitment, cost share, labor distribution and non-sponsored activities to come through on the profile (on subsequent requests of rendering the profile). However all modifications made to commitments, cost sharing, labor distributions and non-sponsored activities will not be made effective in draft mode. Also profile validation rules will not prevent users from saving the profile as a draft.

For example: A user that clicks the create profile and makes adjustments to a profile and clicks the “Save Draft” button.

Active Profile (Explicit State)
The profile is in an active state when a user creates a profile, makes adjustments and clicks the “Save Final” button. When a profile is in an active state the application will apply all commitment, cost share, labor distribution and non-sponsored activities adjustments based on the assigned start distribution date. The start distribution date is for a profile going active must be no earlier than the second day of period of performance start date. An active profile will stay active up to an end distribution date that is indirectly derived by each account grant end date. Additionally, after a profile has
been saved, the data displayed on the effort statement will be completely refreshed the next time the statement is opened in the application.

For example: A user that clicks the create profile icon ( ), makes adjustments to a profile and clicks the “Save Final” button.

**Inactive Profile (Indirect State)**
The profile is in an inactive state when a user makes a new profile active within the distribution start date and end date of the current active profile. Inactive profiles can be searched and viewed within the profile manager.

**Future Profile (Explicit State)**
A profile is in a future state when a user creates a profile with a start distribution date in the future. A profile that is set to go active in the future will become active through an internal scheduler mechanism that runs nightly. Activated future profiles function the same as profiles that are activated by clicking the “Save Final” button.

3. **Understanding Profile Validation**
The profile has some built in client-side validation to prevent the user from creating an active profile with inaccurate data. This validation is, however, disregarded if saving a profile as a draft. The user must make sure that both Revised Effort and Revised Payroll columns each total to 100 and the Total CS (Cost Shares) columns total to 0. Totals in those columns will be marked in red until passing the validation check and will then be changed to green. The total at the bottom of the Current Effort column displays blue if the value does not total to 100 and displays green if the value totals to 100. The total at the bottom of the Payroll column displays red if not equal to 100 and green if equal to 100. Neither the Current Effort nor Payroll fields are used in validation since they cannot be edited by the user and exist only as a reference to the current distribution. Also, validation is in place to assure that no values are entered which result in a negative cost share for a sponsored account or a positive cost share for a non-sponsored account.

To make sure cost shares are distributed and saved to the database prior to saving a profile, validation exists to make sure the total cost share fields are consistent with what is in the database (Figure 3.D.3.1).

![Figure 3.D.3.1 – Profile Validation – Cost Sharing Values](image)
If a cost share value for a non-sponsored account has not been distributed or is inconsistent with the value in the database, it will be marked in red and the user will not be able to save the profile (Figure 3.E.3.2) below.

<table>
<thead>
<tr>
<th>Payroll</th>
<th>Computed Effort</th>
<th>Revised Payroll</th>
<th>Cap CS</th>
<th>Other CS</th>
<th>Total CS</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.41 %</td>
<td>20.00 %</td>
<td>46.61 %</td>
<td>0.00 %</td>
<td>0.00 %</td>
<td>61.90 %</td>
</tr>
<tr>
<td>46.61 %</td>
<td>20.00 %</td>
<td>46.61 %</td>
<td>0.00 %</td>
<td>0.00 %</td>
<td>-25.61 %</td>
</tr>
<tr>
<td>5.29 %</td>
<td>5.00 %</td>
<td>5.29 %</td>
<td>0.00 %</td>
<td>0.00 %</td>
<td>-35.00 %</td>
</tr>
<tr>
<td>98.61 %</td>
<td>35.00 %</td>
<td>98.90 %</td>
<td>0.00 %</td>
<td>0.00 %</td>
<td>-0.29 %</td>
</tr>
<tr>
<td>100.00%</td>
<td>100.00%</td>
<td>100.00%</td>
<td>0.00%</td>
<td>0.00%</td>
<td>61.90%</td>
</tr>
</tbody>
</table>

Figure 3.D.3.2 – Profile Validation – Non-Sponsored Totals

There is also validation of the distribution date of the profile and the end date of a profile line. If there is an active period of performance for the specified certifier, the distribution date cannot be set before the start of the current period of performance. If there is not an active period of performance, the profile date cannot be set to a date earlier than the current distribution date. There are no constraints as to how far in the future the distribution date can be set.

The end date of the profile line is also constrained by a series of rules. The end date of any line item cannot come before the distribution date. Also, the end date of a profile line cannot exceed the end date of the underlying grant. If a constraint is violated, the user will be notified and the profile cannot saved to become active.

4. Profile Underlying Activation Logic

Once a profile has been saved and the distribution date has been reached, the data is transferred from the profile to the tables. Any current active profile will be deactivated and the new profile will be transferred to active status indicating that it is the most current profile.

First, the effort lines are evaluated to determine any necessary changes to commitments. If the effort line was generated from a commitment, the commitment start and end date will be updated with the start and end date from the profile line. The Current Effort on the commitment will be update with the Revised Effort from the profile line. If the profile line was generated from a cost share or from payroll, a new commitment will be generated using the Revised Effort, Start Date, and End Date from...
the profile line. In this case, the awarded and proposed effort will be set to 0. If there is
no association between the certifier for which the profile has been generated and the
grant linked to the profile line, the association will be created. An audit line is tracked for
the commitment. Also, the commitment is tested against the appropriate commitment
differential to determine if a sponsored “to do” notification must be generated. The new
or modified commitment is then compared to all existing commitments to assure that it
does not overlap existing commitments. Any existing overlapping commitments will be
appropriately truncated and a “to do” will be generated notifying the user that a
commitment has been shortened as a result of the profile activation.

5. Profile Cost Share Maintenance
When a profile is activated, all previous profile-generated cost shares for the user being
activated are removed from the cost share table for any date later than the start of the
current period of performance. Then, any profiles that affect the current period of
performance for that certifier are collected and ordered in terms of their activation dates.
For each segment of time that a profile is active, that portion of cost share is prorated to
the current period of performance and added to the cost share table. At this time, the
profile cost share line on each effort statement is also updated with the prorated profile
cost share values.

6. Profile Scheduler and Future Profiles
One of the key capabilities of profile is the ability to go active on a future distribution
date. This made possible by a scheduler that runs in background every night to validate
if any profile previously created has start distribution date as of today. On a nightly basis
future profiles that go active by way of the profile scheduler will behave just like profile
that is manually activated. The profile scheduler is internal to the application and there
is no required configuration or management responsibilities associated with its
operation.
IV. Manage

The pages grouped in the Manage section allow users to review data, such as the department page, the reports page, and to perform tasks associated with the effort reporting process, including effort notifications, adding commitments or cost sharing, and managing sponsor information. To go to any of the pages the user selects either the icon or the page name (Figure 4.0.1). In the following pages we will walk through each piece of functionality in the Data & Workflow section.

![Figure 4.0.1 – Manage Secondary Menu](image-url)
A. Look-up

The Look-up page allows users to search for select data elements in the system, specifically people, departments and active and inactive accounts (Figure 4.A.1).

Users can enter employee name, employee ID, alternate ID, department name, department number, account name, or account number to see results. The search results will depend on the user’s security, as on other search pages.

When the text entered produces a single result, regardless of the whether that result is a person, department, or account, the application will automatically direct the user to the appropriate page for that entry. If the single result is a person, the user is directed to the effort statement page for that person. If the single result is a department, the user is directed to the Department Dashboard page for that department. If the single result is for an account, whether active or inactive, a new browser window opens with the Award/Account Summary page for that account displayed.

In the example below, the user has entered a search term that yields two results – a department and an active account (Figure 4.A.2).
Look-up Page

The Look-Up page allows you to search for Employee(s), Award(s), Account(s), or Department(s). After at least three (3) characters of the name or number are entered the system displays the possible matches in three separate lists - one for Employee, one for Departments, and one for Awards and Accounts. You then can continue to enter data or select a match from the list and be taken to the appropriate page - the Effort statement page, the Department Dashboard, or the Award Account Summary page. The Award Account Summary page opens in a new browser page. If you enter enough data to return only one result, you will be directed to the appropriate page automatically.

The Enter and Tab keys do not allow selection of data.

<table>
<thead>
<tr>
<th>Employee:</th>
<th>Department:</th>
<th>Active Award / Account:</th>
<th>Inactive Award / Account:</th>
</tr>
</thead>
<tbody>
<tr>
<td>No search results found</td>
<td>Modern Rock Department</td>
<td>140001 - Modern Departmental Account</td>
<td>No search results found</td>
</tr>
</tbody>
</table>

Figure 4.A.2 – Initial search results

At this point the user has two choices – either select the correct result to be taken to the appropriate page or enter more text to get a single result. As more text is entered the results are reduced to one (Figure 4.A.3).
Look-up Page

The Look-Up page allows you to search for Employee(s), Award(s), Account(s), or Department(s). After at least three (3) characters of the name or number are entered the system displays the possible matches in three separate lists - one for Employee, one for Departments, and one for Awards and Accounts. You then can continue to enter data or select a match from the list and be taken to the appropriate page - the Effort statement page, the Department Dashboard, or the Award/Account Summary page. The Award/Account Summary page opens in new browser page. If you enter enough data to return only one result, you will be directed to the appropriate page automatically.

The Enter and Tab keys do not allow selection of data.

<table>
<thead>
<tr>
<th>Employees:</th>
<th>Department:</th>
<th>Active Award / Account:</th>
<th>Inactive Award / Account:</th>
</tr>
</thead>
<tbody>
<tr>
<td>No search results found</td>
<td>Modern Rock Department</td>
<td>No search results found</td>
<td>No search results found</td>
</tr>
</tbody>
</table>

Figure 4.A.3 – Single Look-up result

In this example the single result is a department so the user is directed to the Department Dashboard page (Figure 4.A.4).

Figure 4.A.4 – Look-up redirection to the Department Dashboard
B. Department Dashboard

The ecrt solution makes it easy for effort coordinators to review and manage the information related to a department, sub-department, or division, including the employees, accounts, and awards associated to that department. The Department Dashboard page shows this information for the selected department on a page with three different tabs.

The Department Dashboard page is available only to those users with appropriate rights to view it, typically central administrators and effort coordinators. Users are not able to access any other departments from this page unless they have been assigned as an effort coordinator or department viewer for a specific department.

The Department Dashboard can be accessed from the Look-up page, using the Search feature, and via the Department Dashboard link in the Manage section of the navigation menu bar, among other links.

1. Accessing departments from the Department Dashboard link

Accessing a Department Dashboard page depends on the rights assigned to a user. If the user has the right to view all departments within the institution, then the search page appears with a single search field (Figure 4.B.1.1).

![Figure 4.B.1.1 – Searching for a Department](image)

If the user is assigned to multiple departments but does not have the right to view all departments the page shows the search field on the left and a drop-down menu listing all departments to which the user is associated on the right (Figure 4.B.1.2).

![Figure 4.B.1.2 – Department Dashboard for a Primary Effort Coordinator](image)
The departments are accessible from the drop-down box at the top of the initial Department Dashboard page to which the user is directed. The user then either (a) types a department name or number in the search box, waits for the system to prompt suggestions in a drop-down box, and selects the correct department when it appears in the list and clicks ‘Submit’; or (b) selects the desired department via the drop-down box and the selects ‘Submit’. Departments are listed only if the user has been assigned as an effort coordinator or department viewer for that department.

If the user is assigned to only one department, the Department Dashboard page for that department is immediately displayed and the user will not be able to access the Department Dashboard page for any other department.

The user searches for and selects the department to be viewed (Figure 4.B.1.3).

![Department Dashboard](image)

**Figure 4.B.1.3 – Searching for a department**

When the department is selected and the user clicks the Submit button, the user is taken to the Department Dashboard page (Figure 4.B.1.4).
At the top of the Department Dashboard page the department name and code are displayed above the search field. On the right side of the page is a link to the Monthly Funding and Effort Information Report. The link opens the PDF version of the prior month’s report for the department. The presence of this report is controlled by the user’s ability to view the report. If a user does not have the right to view the FEI report, the PDF icon will not appear on this page.
2. **People**

The first tab on the Department Dashboard page is the People tab, which contains information about all of the institution’s employees that have a relationship to the department (Figure 4.B.2.1).

![Department Dashboard People tab](image)

*Figure 4.B.2.1 – Department Dashboard People tab*
a. Certification Summary Chart
At the top of the tab are the settings for the Certification Summary Chart. When first accessing the page, the chart shows the statistics for all statement types and all employee types for the most recent Period of Performances. To see the statistics for a more specific time period, the user can select the statement type - either Base or Non-IBS - using the checkboxes, then select the employee type in the drop-down, and finally the Period of Performance from the drop-down list.

To the right of the Period drop-down is the Related Reports link. When the user hovers over the link the list of available reports appears. The complete list of reports that can be accessed, assuming the user has the appropriate rights to view all the reports, includes:

- Certification Status Report. Selecting the link will run the report with the department, start and end dates (1/1/2000 to 12/31/2049), and all uncertified statuses defaulted as search criteria. These parameters allow the user to see all the uncertified statements that exist in the department to ensure no statement is overlooked.
- Certifiers Exceeding the NIH Salary Cap query. Selecting the link takes the user to the Reports page with this report selected so the user can enter the appropriate parameters to run it.
- External Audit Report. Selecting the link takes the user to the Reports page with this report selected, the Department radio button selected, and the department populated so the user can enter the other parameters to run the report.
- Payroll Report. Selecting the link will run the report with the department and the previous month defaulted as search criteria.
- Potential Certification Conflict Report. Selecting the link takes the user to the Reports page with this report selected so the user can run it.
- Statements on Hold query. Selecting the link takes the user to the Reports page with this report selected so the user can run it.

The chart shows only those statuses that apply to statements for that period. Users with the appropriate rights have the ability to send emails to employees that have a statement of the selected type in the selected status for the selected Period of Performance.

b. Covered Individuals list
The Covered Individuals list is below the Certification Summary Chart. Covered individuals are assigned to a department based on the employee’s primary department assignment. This allows employees to switch departments during Periods of Performances based on those assignments. For effective dating purposes, however, employees are assigned to departments based on a configuration determined by the
institution. Individuals are assigned for effective dating purposes either at the time the statement is created or at the time the statement is certified. That means the employee will be associated to the department for historical access, statistics, and reporting purposes based on the setting. For more information about this setting, please refer to the Global Settings>Effort Administration section (section VI-E-12) of this document.

This list may be divided into five sections, depending on the institution’s configuration:

1. **Sponsored** - those employees that are or have been assigned to this department and have sponsored research pay or cost share on at least one statement during one of the Periods of Performance that are configured to display and during which they were assigned to the department. This section always appears.

2. **Non-Sponsored** - those employees that are or have been assigned to this department and have not had any sponsored research pay or cost sharing during one of the Periods of Performance that are configured to display and during which they were assigned to the department. This section always appears.

3. **Clinical Only** - those employees that are or have been assigned to this department and do not have sponsored research but do have activity in the Clinical category during one of the Periods of Performance that are configured to display and during which they were assigned to the department. The appearance of the Clinical Only section is controlled by a right; if a user is assigned a role that does not have the right to view the “Clinical Only” section, the user will not see it on the Department Dashboard page. For more information about this right, please see section VI-B-7 of this document.

4. **Non-Department** - for those employees who are not assigned to this department but have sponsored research on one of this department’s awards or accounts during one of the Periods of Performance that are configured to display and during which they were assigned to the department. The appearance of the Non-Department section is controlled by a right; if a user is assigned a role that does not have the right to view the “Non-Department” section, the user will not see it on the Department Dashboard page. For more information about this right, please see section VI-B-7 of this document.

5. **Terminated** – for those employees who no longer have access to the system. These employees, who typically are no longer with the institution, have had their access turned off either through the data load or on the Manage Users page. An employee is moved to this category once access is turned off, regardless of how many Periods of Performance are configured to show and whether the employee has a statement in that period.

Each of these sections can be collapsed and/or expanded as needed. The system remembers whether the certifier list was expanded or collapsed during the last visit to the page. When the user returns to the Department Summary page, or visits the Department Summary page for another department, in the case of a Central Administrator, the list is expanded or collapsed according to the previous view.
The Covered Individual list can be filtered in four ways – name, employee ID, role, and employee type (Figure 4.B.2.2).

![Department Dashboard People tab](image)

To apply a filter, the user selects the funnel icon to see the list of filters. The user then selects the appropriate radio button corresponding to the desired filter and selects the magnifying glass. If the user selects the Role or Employee Type filter, the search box is transformed into a drop down list populated with the options for each. In the example below, we selected the Role filter, selected PI from the drop down list, and selected the magnifying glass to apply the filter. The list refreshes to show only those employees that have the PI role in each category (Figure 4.B.2.3).

![Department Dashboard People tab](image)

The Covered Individuals list contains a number of columns with additional information about the employees. The employee’s name, employee ID, role, and employee type are shown. If a user has more than one role then hovering over the listed role will display a list of all roles assigned to the person. The filter by role will include people who have multiple roles, assuming one of them is the role subject to the filter.
If an Alternate Effort Coordinator (i.e. Restricted Effort Coordinator or Primary Effort Coordinator Override) is assigned to anyone in the Sponsored, Non-Sponsored, Clinical Only, or Supplemental Only lists, then the Alternate Effort Coordinator column will appear between the Name and the employee ID columns in all lists.

The Statements column can display up to eight (8) statements for Periods of Performance for which the employee was assigned to the department. The number of statements that is shown is configurable on the Global Settings>Certification Settings page. For more information about this setting, please refer to section VI-E-6 of this document.

Each status icon in the column represents a Period of Performance with the related statements. The user may place the mouse on the icon to see the popup message with the dates of the Period of Performance, the statement type, and the status of each statement type.

Additionally, the last icon in the Statements column (the one furthest to the right) will show in the hover over message the list of uncertified statements that are older than the last statement as determined by the setting. When the user places the mouse over the icon, the Period of Performance for the uncertified statement(s) appears. In the example below, the configuration is set to show two statements, and the third, fourth, fifth, and sixth statements have not been certified (Figure 4.B.2.4).

![Figure 4.B.2.4 – Statements Rollover Message](image)

If the second statement is certified, only those that are uncertified will show. If the second statement is not certified, it will be included in the list.
Selecting an icon in the Statements column directs the user to the effort statement page for that employee.

If an employee has multiple statements for a Period of Performance, and one of the statements is certified and the other is not certified, or both statements are certified but one statement is processed and the other is not, or one statement is certified and processed and the other is not certified, then the Multiple Statements status icon appears ( ). The rollover message lists which statement is in which status.

The institution can configure the system to automatically certify those statements that do not have any sponsored activity, i.e. no sponsored payroll, cost share, or commitments, on them. These statements are shown in the “Auto Approved” status ( ). For more information about this setting, please refer to section VI-E-5 of this guide.

Lastly, the Action column contains the commitments stoplight and links to the Manage Users page (the magnifying glass icon) and to send an email to the employee (the pen and envelope icon).

Placing the mouse on the commitments stoplight icon displays a popup message that contains commitment monitoring information at a quick glance. The system’s “stoplight” icons inform users whether there are any concerns about employees satisfying their commitments (Figure 4.B.2.5).

This monitoring works with both the Commitment Levels and Commitment Limits settings. For more information about Commitments Levels and Limits, please refer to section VI-E-16.
While the specific warning that is displayed depends on whether the institution is using Commitment Levels or Commitment Limits, the calculations that lead to the warnings are the same. If a user has required effort on active commitments that exceeds a configured threshold a warning message will appear (Figure 4.B.2.5).

In the example above, Commitment Limits are enabled. Tiger Woods’s required effort on his active commitments exceeds the threshold that was configured. As a result of his previous certifications, the message states that the required effort on his active commitments requires more than 100% effort.

Required effort is calculated using the following formula:

\[
\text{Required effort} = (\text{commitment length in days} \times \text{commitment percentage}) - \left(\frac{\text{days of commitment in the first period of performance} \times \text{certified effort in first period of performance}}{\text{commitment length in days} - \text{days in periods of performance that have been certified}}\right)
\]

commitment length in days – days in periods of performance that have been certified

Example:
- One year commitment from December 1 to November 30 (365 days)
- Commitment of 20%
- Semi-annual periods of performance of January 1 – June 30 (181 days) and July 1-December 31 (184 days)
- In the first POP (Jul-Dec), the required effort is 20% and there is no calculation.
- If the first period of performance is certified at 3% (given the short time period), the required effort calculation is:
  - \( (365 \times .20) - (31 \times .03) / (365 - 31) = 21.58\% \)
- If the second period of performance is certified at 25%, the required effort calculation is:
  - \( (365 \times .20) - ((31 \times .03) + (181 \times .25)) / (365 - (31 + 181)) = 17.53\% \)

The required effort on a commitment that does not yet have any certified effort equals the commitment percentage. After a commitment has some certified percentage associated to it, the required effort is calculated using the above formula.

Required effort is calculated (or recalculated) whenever an effort statement is opened, a data load with transactions that affect the statement are loaded through the data load,
an effort statement that affects the commitment period is certified, or a commitment is added through the Add Commitment feature.

The required effort calculation is most valuable when commitments are entered into the ecrt solution based on budget periods (typically a one year period), portions of budget periods that correspond to the certification period, or portions of budget periods that are shorter than one year. Commitments of a longer duration, i.e. longer than a year or across many periods of performance, will result in a required effort calculation that considers the individual’s progress towards that commitment over the course of the entire commitment. In that event, the indicator will provide sub-optimal information to the certifier, and to any administrator responsible for monitoring the progress of the certifier, about the progress towards achieving the commitment during a budget year. The most valuable measure of monitoring actual effort within (or over the course of) a budget year is to compare to committed effort over the same period.

3. Awards and Accounts

The second tab contains all of the awards and accounts that are assigned to the department, whether active or inactive, in a single list (Figure 4.B.3.1).

![Figure 4.B.3.1 – Awards and Accounts tab](image)

The award list displays the award number and account number for each award or account, the award or account name, the sponsor and the PI of the award or account, and the start and end dates. The last column allows the user to run the SPES report. The award/account name is a link to the Award/Account Summary page. For more information about the Award/Account Summary page, please refer to section III-A-1-c-iii of this guide.

All of the columns are sortable except the SPES column, allowing the user to find all accounts related to an award, group awards or accounts by sponsor or PI, or find all
awards and accounts that begin or end before a specific date. Selecting the header once sorts the column in an ascending manner; twice sorts descending.

Additionally, the lists can be filtered to further reduce the display (Figure 4.B.3.2).

![Department Dashboard for Active Athletes Department - 111](image)

**Figure 4.B.3.2 - Awards and Accounts tab filters**

The list can be filtered by name, number, sponsor, or PI. To apply a filter, the user selects the funnel icon to see the list of filters. The user then selects the appropriate radio button corresponding to the desired filter and selects the magnifying glass. In the example below, we selected the Number filter, entered 07 in the search box, and selected the magnifying glass to apply the filter. The list refreshes to show only those awards and accounts that include 07 in the number (Figure 4.B.3.3).

![Department Dashboard for Active Athletes Department - 111](image)

**Figure 4.B.3.3 – Awards tab filtered**

Additionally, the icon next to the magnifying glass (two circular arrows) allows the user to refresh the list to show only the active awards and accounts. This can be used with or without a filter. To reset the list to show both active and inactive, the user selects the magnifying glass a second time.
4. Department Information

The final tab on the Department Dashboard page contains the information about the department’s effort coordinators, viewers, and the department tree (Figure 4.B.4.1).

![Department Dashboard for Active Athletes Department - 111](image)

**Figure 4.B.4.1 – Department Information tab**

The names, addresses, phone numbers, and email addresses of the department’s effort coordinators are shown if that data is loaded. The Primary Effort Coordinator is highlighted in yellow; secondary coordinators are listed without highlighting. There can be only one Primary Effort Coordinator in a department at a time. Secondary effort coordinators have no workflow responsibilities, assuming the List of Approvers functionality is not being used. For more information about the List of Approvers functionality, please refer to section III-A-1-c-ii of this document.

The Action column in the Effort Coordinators list allows the user to take several possible actions if the user has the appropriate rights: restrict the effort coordinator’s access, delete the effort coordinator, go to the Manage Users page for the coordinator, and email the coordinator. The Action column for the Viewer list allows the user to delete the relationship, go to the Manage Users page for the viewer, and email the viewer.

The first icon, the yellow highlighter image, allows the user to set that effort coordinator as the new Primary Effort Coordinator. When the image is selected, the screen refreshes and the new Primary Effort Coordinator is shown.

The second icon, the lock image, allows a user to assign an existing effort coordinator as a Restricted Access Effort Coordinator. Assigning a Restricted Access Effort Coordinator is described in more detail below.
The last three icons allow a user to remove the employee as a coordinator for the department (the red X icon), go to the Manage Users page for a coordinator (the magnifying glass icon), or email the effort coordinator (the envelope icon). Note that only a secondary effort coordinator can be removed from the relationship. If the primary effort coordinator needs to be removed, a new primary coordinator must be assigned before the person can be removed.

Assigning an individual as an effort coordinator does not add the individual to the department’s Certifier list, meaning the individual’s effort statements are not shown in the departments to which the individual is assigned as an effort coordinator. The effort coordinator’s statements are displayed on the effort coordinator’s home department only, assuming the effort coordinator has that single department relationship listed on the Manage Users page.

a. Alternate Effort Coordinator Assignments
Effort coordinators can be assigned to individual certifiers for limited purposes. This allows a department to assign an effort coordinator from another department to individuals whose primary work may take place outside of the individual’s “home” department. It also allows departments to assign limited work flow responsibilities to secondary effort coordinators within a department to select individuals within the same department. In this scenario the secondary effort coordinator will only see the assigned individuals’ statements and payroll information.

These alternate effort coordinator assignments occur at two different levels:
- Restricted Access Effort Coordinators – effort coordinators that are assigned at the department level but who are able to view only the effort statements of individuals to whom they have been assigned.
- Primary Effort Coordinator Override – effort coordinators that are assigned on a certifier’s ‘Manage Users’ page to be the Primary Effort Coordinator for the certifier. When this assignment is made all Effort Tasks for the certifier will be routed to the Primary Effort Override rather than the Primary Effort Coordinator in the certifier’s home department. For more information about the Primary Effort Coordinator Override, please see section VI-C-9 of this document.

The chart below (Figure 4.B.4.2) displays the differences in responsibilities for the Secondary Effort Coordinator compared to the Primary Effort Coordinator of the department.
Primary Effort Coordinator | Secondary Effort Coordinator
--- | ---
**Full Access**
- View/edit effort statements, TPE, Clinical Activity statements, etc.
- Final processing of certified statements
- Full access to all certifiers in department by default
- Can assign Restricted Certifier access to Secondary Effort Coordinators
- View/edit effort statements, TPE, Clinical Activity statements, etc.
- Full access to all certifiers in department

**Restricted Access**
- View/edit effort statements, TPE, Clinical Activity statements, etc.
- Limited access only to employees assigned by Primary Effort Coordinator

---

**Restricted Effort Coordinators**
To restrict an Effort Coordinator from viewing everyone within a department the Effort Coordinator must be added as a Restricted Access Effort Coordinator on the Departmental Dashboard page, Manage Users page, or through the Role Assignment XML data load. The restrictions take effect immediately when added from the dashboard by clicking the Add Restricted icon (Figure 4.B.4.3).

![Figure 4.B.4.3 – Establishing a Restricted Access Effort Coordinator](image)

When an effort coordinator is set as restricted but no individuals are assigned to the restricted effort coordinator, the coordinator will have access to the People tab but will not see any statements in the Statements column (Figure 4.B.4.4).
To assign employees to a Restricted Access Effort Coordinator a user takes one of two actions. The first is to select the icon if the coordinator is marked as restricted already but no assignments were made (Figure 4.B.4.5).

The icon will open a new window that lists all certifiers within the department (Figure 4.B.4.6).
Individual Effort Coordinator Assignment Instructions

This is the Individual Effort Coordinator Assignment screen. From here, you can assign individual certifiers to specific Effort Coordinators.

Individuals are assigned by selecting the name and using the arrows on the assignment page. The single arrow moves the selected person only to the other list; the double arrows move the entire list to the other status.

When an individual is assigned to the Restricted Access Effort Coordinator the individual is removed from the list of individuals available for assignment and placed in the ‘Assigned Certifier list’ (Figure 4.B.4.7).

Figure 4.B.4.6 – Assigning certifiers to a Restricted Access Effort Coordinator

Figure 4.B.4.7 – Assigning certifiers to a Restricted Access Effort Coordinator
When the correct individuals are assigned to the Restricted Access Effort Coordinator the user selects the ‘Assign’ button to save the changes.

After the assignments are submitted the assignment window refreshes and a confirmation message appears (Figure 4.B.4.8).

**Individual Effort Coordinator Assignment Instructions**

This is the Individual Effort Coordinator Assignment screen. From here, you can assign individual certifiers to specific Effort Coordinators.

The user closes the pop up window and returns to the Department Dashboard page to see the assignment take effect (Figure 4.B.4.9).
The Restricted Access Effort Coordinator’s name appears in the Alternate Effort Coordinator column next to the certifiers that were assigned to the Restricted Access Effort Coordinator. This assignment only needs to be made once and remains in effect for all subsequent Periods of Performance until it is removed.

The second way to assign a Restricted Access Effort Coordinator is to select the Add Restricted button below the Effort Coordinator list (Figure 4.B.4.10).

A new window opens with a list of all certifiers within the department (Figure 4.B.4.11).
Individual Effort Coordinator Assignment Instructions

This is the Individual Effort Coordinator Assignment screen. From here, you can assign individual certifiers to specific Effort Coordinators.

![Diagram of the Individual Effort Coordinator Assignment screen]

**Figure 4.B.4.11 – Add Restricted Access Effort Coordinator Pop-up**

The user searches for and selects the employee to assign as the Restricted Access Effort Coordinator (A). The Unassigned Certifier List is populated with the list of employees associated with the department from which the user selected the Add Restricted button (B).

Individuals are assigned by selecting the name and using the arrows on the assignment page. The single arrow moves the selected person only to the other list; the double arrows move the entire list to the other status.

When an individual is assigned to the Restricted Access Effort Coordinator the individual is removed from the list of individuals available for assignment and placed in the ‘Assigned Certifier list’ (Figure 4.B.4.12).
Individual Effort Coordinator Assignment Instructions

This is the Individual Effort Coordinator Assignment screen. From here, you can assign individual certifiers to specific Effort Coordinators.

Figure 4.B.4.12 – Add Restricted Access Effort Coordinator Pop-up

When the correct individuals are assigned to the Restricted Access Effort Coordinator the user selects the ‘Assign’ button to save the changes.

After the assignments are submitted the assignment window refreshes and a confirmation message appears (Figure 4.B.4.13).
Individual Effort Coordinator Assignment Instructions

This is the Individual Effort Coordinator Assignment screen. From here, you can assign individual certifiers to specific Effort Coordinators.

Individual Effort Coordinator Assignments processed successfully

Figure 4.B.4.13 – Add Restricted Access Effort Coordinator Confirmation

The user closes the pop up window and returns to the Department Information tab to see the assignment take effect (Figure 4.B.4.14).

Figure 4.B.4.14 – Restricted Access Effort Coordinator Assignments
The Restricted Access Effort Coordinator's name appears in the ‘Alternate Effort Coordinator’ column next to the certifiers that were assigned to the Restricted Access Effort Coordinator. This assignment only needs to be made once and remains in effect for all subsequent Periods of Performance until it is removed.

Removing the Restricted Access Effort Coordinator follows the same steps as above, but instead of adding certifiers from the Unassigned Department Certifier List, the user will use the arrow buttons to remove certifiers from the Assigned Department Certifier List.

The Restricted Access Effort Coordinator can be made unrestricted by clicking on the padlock icon. Selecting this icon removes the restrictions on the Effort Coordinator within the department and the icon changes to display a green ‘+’ on the lock for the individual. The coordinator also can be removed as a coordinator using the red X icon.

The Restricted Access Effort Coordinator sees only the effort statement status icons for those individuals to whom the Effort Coordinator is assigned (Figure 4.B.4.15).
If given access to reports, the Restricted Coordinator will see only those individuals that are assigned to the Coordinator in the results.

b. Department Viewers

The Department Viewers functionality allows an institution to assign individuals as ‘Viewers’ so that they can access departments, view effort statements, and run reports without having to add those individuals as an effort coordinator. Additionally, assigning an individual as a ‘Viewer’ does not add the individual to the department’s Certifier list, meaning the individual’s effort statements are not shown in the departments to which the individual is assigned as a Viewer.

The ability to assign Department Viewers is restricted by rights. These rights determine whether an individual can assign a user as a Department Viewer as well as whether the individual can see people that have been assigned as Department Viewers. An individual assigned as a Department Viewer still must be assigned the appropriate rights to perform different tasks within the system, such as view/save/certify effort statements, run reports, etc. For more information about these rights, please refer to the Department section of the Manage Roles and Rights section of this document, section VI-B-7.

To assign a viewer, the user will click the ‘Add’ button on the Department Dashboard under the ‘Department Viewer(s)’ heading (Figure 4.B.4.16).
Clicking the ‘Add’ button opens a new window where the user searches for the appropriate individual to add as a ‘Viewer’ (Figure 4.B.4.17).

The list of users that can be added as a department viewer includes the entire population of users at the institution. The user searches for and selects the name of the person to be added as a department viewer (Figure 4.B.4.18).

After the appropriate user is selected the user selects the Submit button. The assignment window closes and the Department Dashboard page refreshes to show the individual in the Department Viewer(s) list (Figure 4.B.4.19).
Department Viewer(s):

<table>
<thead>
<tr>
<th>Name</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fitzgerald, Larry</td>
<td></td>
</tr>
</tbody>
</table>

Figure 4.B.4.19 – Department Viewer added

An individual that has been assigned as a Department Viewer can be removed by clicking on the red X in the Action column in the Department Viewer(s) section.

c. Department Relationships

The Department Relationships tree shows the department’s position in the organization structure (Figure 4.B.4.20).

Department Relationships

- School of Athletics (N/A)
- Active Athletes Department (Rose Derrick - HCG057)
- Sports Legends Department (Ruth Babe - HCG058)

Figure 4.B.4.20 – Department Relationships Tree

The department or organizational unit being viewed is highlighted in yellow. The top level of the tree is the organizational unit one level above the department being viewed. The hierarchy displays the top level and all the organizational units, and their sub-units, that roll up to the top level.

In Figure 4.B.4.20 above, we see the school and the two departments related to the school, with the Active Athletes department highlighted. If there were sub-departments associated with the Active Athletes or Sports Legends Departments, they would show as well. If the user has the appropriate access, the name of the organization units in the tree may be a link that allows the user to navigate to the Department Dashboard of that unit, as well.

The name of the primary effort coordinator of the department is shown in parentheses next to the department name. If a primary effort coordinator is not assigned, N/A is shown.
C. Manage Effort Notifications

The ‘Manage Effort Notifications’ page contains several tabs depending on the institution’s configuration – TPE tasks, Clinical Activity tasks, Sponsor notification tasks, and Cost Transfer tasks. Each type of task will appear on the appropriate tab on this page if the institution is using these features. If there are no tasks then the tab will not appear on the page.

Regardless of the configuration selections made by the institution, when a new Effort Coordinator is assigned to a department, all outstanding notifications, including TPE Notifications, Clinical Notifications, Sponsor Notices, and Cost Transfer Notices, remain assigned to the original Effort Coordinator. Any notifications created after the change in Effort Coordinator are routed to the new Effort Coordinator.

To access the task list, the user must have the right to view the manage notifications page. If the user has the right, the user selects the ‘Manage Effort Notifications’ link under the ‘Manage’ navigation menu. The Manage Effort Notifications page will display with tabs that contain the different tasks that a user has been assigned (Figure 4.C.0.1).

![Figure 4.C.0.1 – Sample Task List](image)

The number of tasks awaiting the user is displayed in parentheses on each tab. The tabs that an individual sees are based on whether the user has the rights to view the different types of notifications and whether there are tasks of those types. The security behind each tab is described in detail below.

1. **TPE Tasks**

   Total Professional Effort Tasks are created when an individual that is not the Primary Effort Coordinator (PEC) makes a change to a TPE statement, including confirming the statement. In most cases this is either the certifier or a Secondary Effort Coordinator. If a TPE task appears on the Primary Effort Coordinator’s task list, the PEC knows that
changes were made to an existing TPE statement. All TPE tasks are always routed to the statement owner’s PEC only.

TPE tasks are displayed in the TPE tab (Figure 4.C.1.1).

![TPE task list](image)

*Figure 4.C.1.1 – TPE task list*

The first type of task shown in the list relates to the creation of a TPE statement. When a TPE statement is created, a task is created for the Effort Coordinator. Selecting the task presents the TPE statement to the user (Figure 4.C.1.2).
This task requires no action by the user. It simply is a notification to the Effort Coordinator that the TPE statement was created.

The second type of task shown in the list relates to a TPE statement being updated and reopened. Either of these actions creates a task for the Effort Coordinator. Selecting the task presents the TPE statement to the user (Figure 4.C.1.3).
The effort statement associated with this period 01/01/2011 to 06/30/2011 is closed. The effort statement must be reopened in order to make any changes to the Total Professional Effort for this period.

### Historical TPE for 01/01/2011 to 06/30/2011

If the historical TPE data above is an accurate reflection of your Total Professional Effort for the fiscal year, please confirm by clicking one of the buttons below. To carry this distribution forward, please click Confirm and Carry Forward. To change this distribution for the next period, please click Confirm and Change. To make changes to the historical TPE information, please click Change Effective Date. To leave this page, please click Return to Home Page.

### Figure 4.C.1.3 – Reviewing a TPE Updated or Reopened Task

The last type of task relates to the confirmation of a TPE task. When a TPE statement is confirmed, whether for a reporting period or for the end of the year, a task is created for the Effort Coordinator. Selecting the task presents the user with the TPE statement shown in the task list (Figure 4.C.1.4).
At the bottom of the TPE statement are two buttons - ‘Acknowledge/Approve’ and ‘Return to Home’. If the Effort Coordinator wishes to accept the change to the TPE statement, the EC will select the ‘Acknowledge/Approve’ button. This is an auditable action and will appear in the audit history. If the EC does not wish to acknowledge the statement at that time, the EC will select the ‘Return to Home’ button to return to the Home Page. The only way an EC can remove the item from the Task List is to select the ‘Approve/Acknowledge’ button. If the EC disagrees with the changes shown, the EC can select the ‘Approve/Acknowledge’ button and then make changes to the TPE statement or direct the certifier to make the appropriate changes.

2. Clinical Activity Tasks

Clinical Activity Tasks are displayed on the Clinical Activity tab (Figure 4.C.2.1).
Clinical Activity Tasks are generated in one of two situations. The first is when an individual’s Reporting Period Confirmation violates a configured threshold. Reporting Calendar Confirmations that need to be approved by the Primary Effort Coordinator are the other. All Clinical Activity Tasks are always routed to the statement owner’s Primary Effort Coordinator only.

Reporting Period Confirmation Tasks
When an individual confirms a Clinical Activity statement for a reporting period and it fails a validation, an effort task is automatically generated and routed to the Primary Effort Coordinator (Figure 4.C.2.1). Reporting Period tasks are not generated if an individual confirms the clinical activity for a reporting period within the acceptable range. Reporting Period tasks allow the Primary Effort Coordinator to review the confirmed statement and make changes to either the average weekly hours or percentages on the Clinical Activity statement, if appropriate. To access a task, the Primary Effort Coordinator will click on the task hyperlink for the appropriate individual. These tasks do not require an action and can be removed by clicking on the red X in the Actions column.

Clicking on the certifier’s name will bring up the statement for the period that was confirmed (Figure 4.C.2.2). The reporting periods that have been confirmed will display a green checkbox next to them. If the threshold violation is not apparent the Primary Effort Coordinator can run the “Reporting Period Threshold Violation” query in the IQ Tool to determine the violation.
After the Primary Effort Coordinator has reviewed the confirmation the following corrective actions may need to occur:

- Consult with the certifier to correct the hours reported, the percent of Total Professional Effort (TPE) allocated to the University entity, and/or the percent of effort paid on the Clinical Account.
- Use the Clinical Activity statement to correct average weekly hours.
- Use the TPE statement to correct the University-entry TPE percentages.
- Create a cost transfer to correct the percent effort paid on the Clinical Account. This correction would affect the base effort statement and the Clinical Activity statement.

**Calendar Confirmation Tasks**

The year-end Reporting Calendar confirmation of the Clinical Activity statement can occur only after the Total Professional Effort has been confirmed and the base effort statement has been certified and processed by the Primary Effort Coordinator. Once the Primary Effort Coordinator for the certifier processes the effort statement, the certifier will receive an email notice with a link that directs the certifier to the Clinical Activity statement.

The certifier will confirm the calculated annual average hours and percentages by checking the Confirm button at the bottom of the statement. The assigned Primary Effort Coordinator for the certifier will receive a related Clinical Activity Task to be reviewed and approved. Calendar Confirmation tasks are different than reporting period tasks in that Calendar Confirmation tasks require action by the Primary Effort Coordinator.
To access a Calendar Confirmation task, the Primary Effort Coordinator will click on the task hyperlink for the appropriate individual (Figure 4.C.2.3). Individuals with a Calendar Confirmation task will not have a red $\textbf{X}$ in the Action column because the tasks require review.

![Figure 4.C.2.3 – A Reporting Calendar task item](image)

When the task is opened the confirmed Clinical Activity statement (Figure 4.C.2.4) is displayed. The status will show as Pending Review.

![Figure 4.C.2.4 – Reviewing a Reporting Calendar Confirmation](image)

After reviewing the Clinical Activity statement, the Primary Effort Coordinator has two choices for resolving the statement. If the statement is acceptable, the Primary Effort Coordinator will select the ‘Review Accepted’ button. This will return the user to the Clinical Activity Tasks list and remove the accepted statement from the list.

If the statement is not acceptable, the Primary Effort Coordinator will determine the best way to correct the statement. If the base effort statement needs to be re-opened to allow the certifier to revise the percentages for the University entity on the TPE statement or the Clinical Account effort percentage, then the PEC will check the “Re-Open Base Effort?” check box and then select the ‘Review Not Accepted’ button. If the
Effort Coordinator does not want to reopen the base effort statement, but wants the certifier to adjust the Clinical Activity statement, the Effort Coordinator only needs to click on ‘Review Not Accepted’.

The Primary Effort Coordinator also can select the ‘Do Nothing’ button to return to the Clinical Activity Tasks list. No action is taken on the statement, allowing the PEC to conduct more investigation to determine the best way to handle the confirmation. The PEC will have to return to the task item and either accept or not accept it for the item to be removed from the task list and the item to be resolved.

3. Sponsored Activity Notifications

The Sponsored Activity Notifications tasks appear on the Sponsor tab (Figure 4.C.3.1).

Sponsored Activity Notifications occur when an employee’s certified effort varies from the employee’s pro-rated commitment for the same time period by more than an institution-defined threshold. Once the variance exceeds the threshold, an Effort Coordinator for the department that owns the sponsored project may need to discuss with the employee whether the employee’s effort will be modified for future periods or whether the employee’s commitment will be modified. If the commitment is going to be changed, then the sponsor of that project may need to be notified. While the institution will define the process for notifying sponsors in this scenario, it is this process that, while not completed in the ecrt application, can be tracked in the system using the Sponsor Notification Resolution Checklist.

There are several Global Settings that impact the notification process. The threshold amount is configured in the Global Settings ‘Commitment’ menu. The notification process is documented and managed in the ‘Task List Administration’ menu. For more information about either of these menus and the settings, please see section VI-E-11 of this manual.
After the notification process is triggered a task appears in the Sponsor Notification list of any individual in the department in a role that has been assigned the ‘View Manage Effort Notifications’ right. Alternatively, users may be assigned the ‘View All Sponsored Activity Notification Tasks’ right, which allows them to receive notifications for all employees in the system, not just those to whom the user is related. The Sponsor Notification list displays several pieces of information about the item, including a description of the task, the home department of the employee for whom the task was generated, the date the task was created, the number of steps completed compared to the number of steps in the entire process, the status of the task, and the actions that can be performed on this task. These actions, described in further detail below, are based on the rights assigned to the user’s role; not all users may be able to perform all actions.

The Status column will show “Review” unless the item has been formally disposed of as described in the next paragraphs.

The Action column will display only those icons that the user has the ability to use as designated by the rights assigned to the user’s role. The familiar magnifying glass and red X are displayed in this column if a user has been given those rights. If a departmental user has been given the Delete My Sponsored Activity Notification Tasks right, the user will be able to see and use the Ignore button to remove the notification item from the list without having completed the resolution check list. If the user has the View All Sponsored Activity Notification Tasks right, the user will see the red X button and an arrow that allows them to reopen a completed checklist in the event that a step or steps need to be redone. For more information about these rights, please refer to the Commitment section of the Manage Roles and Rights section of this document, section VI-D-3.

To view the certification statement that initiated the notification process, the user will select the task description in the Notification Detail column. To view and/or update the notification process checklist, the user will select the magnifying glass in the Actions column.

Selecting the magnifying glass displays the ‘Sponsor Notification Resolution Check List’ (Figure 4.C.3.2).
The check list is comprised of the steps in the notification process as defined by the institution. A single check list is maintained for each notification regardless of how many people have access to or complete a step within the check list.

The user marks which steps have been completed and selects Save. This action will update the Check List and the Completed/Total column with the number of tasks that have been completed (Figure 4.C.3.3).
If the user does not wish to update the tasks in the list the user selects Close, located in the upper right-hand corner of the check list, to close the check list and return to the notification task list.

Once all the steps in the notification process have been marked as completed, the Resolve button will appear in the lower right corner of the checklist (Figure 4.C.3.4).
When the Resolve button is selected, the Completed/Total column is updated to show that all tasks have been marked as completed and the Status column will change from “Review” to “Completed”, which means the entire notification process for this item has been marked complete.

If the user decides to resolve the item and remove it from the task list, the user selects the Resolve button. A pop-up confirmation window appears (Figure 4.C.3.5).
Figure 4.C.3.5 - Sponsor Notification Check List with Resolve Button

The user selects OK to resolve the item and is returned to the Manage Effort Notifications page. The item will no longer display on the list and, if the item was the only task on the list, the Sponsor tab will no longer display unless the user has the ability to view the Sponsor Notification Audit History. If the user has the View All Sponsored Activity Notification Tasks right enabled, however, the task will remain on the Manage Effort Notifications page and the Back arrow icon will appear in the Actions column next to the magnifying glass and the red X (Figure 4.C.3.6 - A).
The user can now perform three actions: select the magnifying glass to revise the work steps completed, which reopens the list for completion and changes the Status column back to “Review;” select the red X to remove the item from the notification list if it is complete and no more work is expected for this item; or select the Back arrow, which rejects all of the steps that have been completed at that time and forces the Effort Coordinator to start the checklist from the first step again.

Below the notification list (and the check list, when displayed) is the audit history of all of the actions taken during the sponsor notification process (Figure 4.C.3.6 - B). This audit history captures the date of completion of each step, recorded when the steps are checked and the check list is saved, as well as the resolution of the entire work item.

4. **Cost Transfer Notifications**

The Cost Transfer tab on the Manage Effort Notifications page lists tasks that are reminders to effort coordinators that cost transfers need to be processed in the institution’s source system as a result of the certification process (Figure 4.C.4.1).
Cost Transfer Notifications occur when an employee’s certified effort results in a cost transfer that exceeds an institution-defined threshold (defined in section VI-E-5, Certification Settings>Global Settings). Once the variance exceeds the threshold, the Primary Effort Coordinator may need to process the cost transfer in the institution’s source system. While the institution will define the steps for processing cost transfers, these steps, while not completed in the ecrt system, can be tracked in the system.

There are several Global Settings that impact the notification process. The threshold amount is configured in the Global Settings Certification Settings menu. The notification process is documented and managed in the Task List Administration menu. For more information about the Task List Administration menu, please see section VI-E-11 of this manual.

Once the notification process has been triggered, a task appears in the Cost Transfer Notification list of any individual in the department in a role that has been assigned the View All Cost Transfer Notification Tasks right.

The Cost Transfer Notification task displays several pieces of information about the item, including a description of the transfer type (reactive, proactive, or profile reallocation), the employee’s home department, the date the notification work item was created, the number of steps completed compared to the number of steps in the entire process, the status of the item, and the actions that can be performed on this item. These actions, described in further detail below, are based on the rights assigned to the
user’s role so some users may be able perform more actions than other, depending on the role to which they have been assigned.

The Status column will show “Review” unless the item has been formally disposed of as described in the next paragraphs.

The Action column will only display those icons that the user has the ability to use as designated by the rights assigned to their role. The familiar magnifying glass, red X, and Back arrow are displayed in this column if a user has been given those rights. The Back arrow allows the user to reopen the checklist in the event that steps have not been completed as planned or expected. If a departmental user has been given the Delete My Cost Transfer Notification Tasks right, they will be able to see and use the red X to remove the notification task from their list without completing the task. For more information, please refer to the Cost Transfer section of Manage Roles and Rights (section VI-B-5).

To view the certification statement that initiated the cost transfer process, the user will select the task description in the Notification Detail column.

Selecting the magnifying glass displays the Cost Transfer Resolution Check List (Figure 4.C.4.2).

Figure 4.C.4.2 – Cost Transfer Notification Check List

The check list is comprised of the steps in the notification process as defined by the institution. A single check list is maintained for each notification regardless of how many people have access to or complete a step within the check list.
The user marks which steps have been completed and selects Save. This action will update the Check List and the Completed/Total column with the number of tasks that have been completed (Figure 4.C.4.3).

If the user does not wish to update the tasks in the list the user selects Close to return to the work item list.

Once all the steps in the notification process have been marked as completed, the Resolve button will appear in the bottom right corner of the check list (Figure 4.C.4.4).
When the Resolve button is selected, the Completed/Total column is updated to show that all tasks have been marked as completed and the Status column will change from Review to Completed, which means the entire cost transfer process for this item has been marked complete.

If the user decides to resolve the item and remove it from the task list, the user selects the Resolve button. A pop-up confirmation window appears (Figure 4.C.4.5).
The user selects OK to resolve the item and is returned to the Manage Effort Notifications page. The item will no longer display on the list and, if the item was the only item on the list, the Cost Transfer tab will no longer display unless the user has the right to view the Cost Transfer Notification Audit History. If the user has the View All Sponsored Activity Notification Tasks right, however, the task will remain on the Manage Effort Notifications page and the Back arrow icon will appear in the Actions column next to the magnifying glass and the red ‘X’ (Figure 4.C.4.6 - A).
The user can now perform three actions: select the magnifying glass to revise the work steps completed, which reopens the list for completion and changes the Status column back to “Review;” select the red X to remove the item from the notification list if it is complete and no more work is expected for this item; or select the Back arrow, which rejects all of the steps that have been completed at that time and forces the Effort Coordinator to start the checklist from the first step again.

Below the notification item list, and the check list when it is displayed, is the audit history of the actions taken during the cost transfer notification process (Figure 4.C.4.6 - B). This audit history captures the date of completion of each step, recorded when the steps are checked and the check list is saved, as well as the resolution of the entire work item.
D. Effort Statements On Hold

The On Hold functionality allows administrators to place a restriction on an effort statement, regardless of the statement type, that prevents the statement from being certified (the Certify button is removed from the effort statement) until the restriction is removed. This feature allows administrators to correct or confirm data that has been loaded to the statement before the statement is certified, reducing the amount of follow up work that may be necessary for an incorrect statement.

The ability to place an effort statement on hold is rights based. There are also Global Settings configurations that affect whether emails are sent out when effort statements are placed on hold and whether a justification is required. For more information about these Hold settings, please refer to section VI-E-12 and section VI-B-2 respectively.

1. Single Effort Statement on Hold

There are two ways to place an effort statement on hold - one statement at a time or multiple statements simultaneously. To place a single effort statement on hold, a user navigates to the individual’s effort statement. Once on the effort statement, the user clicks the On Hold checkbox in the header of the statement (Figure 4.D.1.1).

When the user selects the check box, a pop up box containing a confirmation message is displayed (Figure 4.D.1.2).

If the user selects OK, the effort statement is placed on hold and a confirmation message is received (Figure 4.D.1.3).
Depending on the configuration set on the Global Settings>Effort Administration page, an email may be sent when the statement is placed on hold. For additional information on this setting please refer to section VI-E-12 of this document.

If the user selects Cancel, the action is terminated and the effort statement is not placed on hold.

The user navigates back to the statement by selecting either the Close link on the confirmation message or the blacked out portion of the screen. When the statement reappears a message appears above the header bar that informs the user that the statement was placed on hold and by whom and the phrase On Hold appears by the links in the Statement Action Bar (Figure 4.D.1.4).

To remove the hold from an effort statement, the effort coordinators must go to the individual’s effort statement and uncheck the On Hold checkbox (Figure 4.D.1.4).

When the user selects the check box, a pop up box containing a confirmation message is displayed (Figure 4.D.1.5).
Figure 4.D.1.5 - Single Effort Statement On Hold

If the user selects OK, the hold is removed from the effort statement, allowing it to be certified, and a confirmation message is displayed (Figure 4.D.1.6).

Figure 4.D.1.6 - Single Effort Statement On Hold

Depending on the configuration set on the Global Settings>Effort Administration page, an email may be sent when the statement is taken off hold if the Certification Period has opened. For additional information on this setting please refer to section VI-E-12 of this document.

If the user selects Cancel, the action will be terminated and the effort statement will remain on hold.

The user navigates back to the statement by selecting either the Close link on the confirmation message or the blacked out portion of the screen.

**NOTE:** If an effort statement is placed on hold during the period of performance, and is 100% nonsponsored, the hold will be removed from the effort statement, and the statement will autoprocessed when the certification period opens.
2. **Multiple Effort Statements on Hold**

A user also has the ability to place multiple statements in a department on hold rather than having to navigate to each statement individually. To place multiple effort statements on hold at the same time, the user navigates to the Effort Statements On Hold page.

**Certifiers with Effort Statements on Hold:**

<table>
<thead>
<tr>
<th>Name</th>
<th>Department</th>
<th>Employee Type</th>
<th>Period</th>
<th>Statements</th>
</tr>
</thead>
<tbody>
<tr>
<td>Prince Charming - 93111121</td>
<td>Demo Department</td>
<td>Semi-Annual</td>
<td>06/13/2010 - 12/11/2010</td>
<td></td>
</tr>
<tr>
<td>Jason Witten - jasonwitten</td>
<td>Tight End Department</td>
<td>Annual</td>
<td>07/01/2012 - 06/30/2013</td>
<td></td>
</tr>
<tr>
<td>Craig Bellamy - craigbellamy</td>
<td>Soccer Department</td>
<td>Annual</td>
<td>07/01/2009 - 06/30/2010</td>
<td></td>
</tr>
<tr>
<td>Abraham Simpson - abrahamsimpson</td>
<td>Simpsons Department</td>
<td>Annual</td>
<td>07/01/2009 - 06/30/2009</td>
<td></td>
</tr>
<tr>
<td>Duffman Duffman - duffman</td>
<td>Simpsons Department</td>
<td>Annual</td>
<td>07/01/2009 - 06/30/2010</td>
<td></td>
</tr>
<tr>
<td>Milhouse Van Houten - milhousevanhouten</td>
<td>Simpsons Department</td>
<td>Annual</td>
<td>07/01/2010 - 06/30/2011</td>
<td></td>
</tr>
<tr>
<td>Larmecus Addidge - larmecusaddidge</td>
<td>Blazers Department</td>
<td>Annual</td>
<td>07/01/2009 - 06/30/2010</td>
<td></td>
</tr>
</tbody>
</table>

On the Effort Statements On Hold page, the Effort Coordinator will need to enter three pieces of data to select the effort statements to place on hold (Figure 4.D.2.1). The three fields are School/Department, Employee Type, and Period. The system’s default security paradigm ensures that a user is able to select individuals from the department(s) to which the user is related or otherwise has access.

When the appropriate Department, Employee Type, and Period criteria have been entered, the Certifiers Available box populates with all of the individuals who match the criteria (Figure 4.D.2.2).
Effort Statements On Hold

The following certifiers have had their effort statement placed on hold. To place additional cards on hold, select the individuals from the Certifiers Available box and click the single blue arrow to move the individuals to the Certifiers Selected to Hold box. To place all individuals on Hold, click the double blue arrow. Once the Save button is pressed, the cards will be placed on Hold. In order to take the statement of hold, you must select the individual statement Effort statement and uncheck the “On Hold” checkbox.

From the Certifiers Available box, the user can select any or all of the individuals whose effort statements will be placed on hold. To select an individual, the user will click on the name (a blue highlight will appear on the name) and select the single right arrow to move the name into the Certifiers Selected to Hold box (Figure 4.D.2.3).
The user can move everyone from the list into the Certifiers Selected to Hold box by selecting the right double arrow. Names in the Certifiers Selected to Hold box can be removed by using the left single or double arrows.

When the list of individuals to place on hold is finalized in the Certifiers Selected to Hold box, the user selects the Save button to finalize the hold. The screen refreshes and the appropriate effort statement is placed on hold.

The user can confirm the effort statement was placed on hold by reviewing the Certifiers with Effort Statements on Hold section at the bottom of the page. This list will show all effort certifiers that have statements that have been placed on hold (Figure 4.D.2.4).
Effort Statements On Hold

The following certifiers have had their effort statement placed on hold. To place additional cards on hold, select the individuals from the Certifiers Available box and click the double blue arrow to move the individuals to the Certifiers Selected to Hold box. To place all individuals on hold, click the double blue arrow. Once the Save button is pressed, the cards will be placed on Hold. In order to take the statement off hold, you must select the individual statement effort statement and uncheck the “On Hold” checkbox.

Effort Coordinators are able to navigate to the individual’s effort statement from the Effort Statements on Hold page by selecting the magnifying glass icon in the Statements column. From there, the user can perform the additional review that prompted them to place the statement on hold.

Holds cannot be removed from multiple effort statements at once. To remove the hold a user must navigate to that individual’s effort statement and uncheck the On Hold checkbox.

3. Monitoring Effort Statements On Hold

Effort Coordinators have two reminders on their Department Dashboard page of the effort statements that are on hold. First, the Certification Summary for Last Period of Performance chart includes a line at the bottom that displays the number of effort statements on hold for the most recent period (Figure 4.D.3.1).
The second way an Effort Coordinator can see which effort statements on hold is in the Certifiers List. This section displays the icons that allow a user to view any of the last four effort statements for an individual. If the statement has been placed on hold, the icon for that particular statement will be highlighted with a red background (Figure 4.D.3.2).

4. **On Hold – Individual’s Perspective**

When an individual’s effort statement is placed on hold, the user is not prevented from accessing the system or viewing the effort statement. The hold does not allow them to take any kind of certification action. If an individual’s effort statement is placed on hold prior to the opening of the certification period, when the certification period opens, the status of the statement switches but the individual does not receive the email stating that the certification period has opened. If the individual signs into the system and reviews the effort statement that is on hold, the effort statement displays a message in the top section stating that the statement is on hold (Figure 4.D.4.1).
Figure 4.D.4.1 - Effort Statement On Hold Warning Message

<table>
<thead>
<tr>
<th>Accounts</th>
<th>Payroll</th>
<th>Cost Share</th>
<th>Computed Effort</th>
<th>Certified Effort</th>
</tr>
</thead>
<tbody>
<tr>
<td>Grant 12 Tennis Rackets</td>
<td>33.33%</td>
<td>0.00%</td>
<td>33.33%</td>
<td>33%</td>
</tr>
<tr>
<td>Racket Modification</td>
<td>33.33%</td>
<td>0.00%</td>
<td>33.33%</td>
<td>33%</td>
</tr>
<tr>
<td>Wind Resistant Rackets</td>
<td>33.33%</td>
<td>0.00%</td>
<td>33.33%</td>
<td>33%</td>
</tr>
<tr>
<td>Award Total</td>
<td>66.66%</td>
<td>0.00%</td>
<td>66.66%</td>
<td>66%</td>
</tr>
</tbody>
</table>
E. Add Certification Designee

The ecrt system includes a mechanism to appoint an employee as an alternate certifier, analogous to a Principal Investigator, for non-faculty employees that are associated to a sponsored account. The Certification Designee functionality allows a user to assign one or more employees as alternative certifiers to the Principal Investigator on a sponsored account. A designee can certify any statements, regardless of the statement type, for any employees associated to the account to which the designee is assigned for any Period of Performance during which the designee was assigned. The ability to assign designees is controlled by a right within the system.

Designees can be assigned to awards. If a designee is assigned at the award level, the assignment cascades to all accounts associated with the award. This allows users to manage the designee at the account level for convenience. Deactivating or deleting a designee at the award level does **not** cascade to the associated accounts. Deactivation or deletion must occur at the account level if desired.

If the user has the ability to assign designees, the Add Certification Designee link will appear in the Manage navigation menu. After selecting the link, the following screen (Figure 4.E.1) appears.

![Figure 4.E.1 – Add Certification Designee](image)

The user must first search for and select the account to which to add the designee. To select an account, the user will select whether the account is Active or Inactive, then enter the account name or account number in the search box and select the correct account from the system-generated results. As with other search fields, only the accounts to which the user is associated will appear unless the user has the ability to view all accounts.

The system will display information about the account, including related accounts, the Principal Investigator of record on the account, non-faculty certifiers on the account, and any designee that has already been assigned to the account (Figure 4.E.2).
Add Certification Designee Instructions

The Add Certification Designee feature allows you to assign the responsibility to certify the effort of all non-self-certifiers that are associated with an Award or Account to a person that is not the Principal Investigator but does have suitable means of verifying effort on the Award or Account. The Certification Designee is granted access similar to the assigned Principal Investigator - each can certify the effort of all non-self-certifiers that are associated with an Award or Account.

Once an Award or Account has at least one assigned designee, you will be able to manage the designee’s relationship to the Award or Account, i.e. deactivate or delete the relationship. There is no limit to the number of designee relationships that can be established to an Award or Account.

If you assign a designee to an Award, then the designee will be assigned to all Account associated with that Award, as well. If you deactivate or delete a designee relationship to an Award, however, the only relationship to be deactivated or deleted is the relationship with the Award. The designee’s relationship to the Account(s) associated with an Award are not deactivated or deleted.

Account: 320814 - Synthetic Basketball

Associated Account

No related accounts

Principal Investigator

Jordan, Michael - HCG036

Non Faculty Certifiers

Bird, Larry - HCG006

Select Certification Designee

Select Effective Start and End Dates

Figure 4.E.2 – Add Certification Designee page

A user has the ability to assign an unlimited number of designees to an account. To assign a designee, the user searches for and selects the name of the person to be assigned in the Select Certification Designee search field. An effective start date must be entered when the person is added; however, the user can select a past, the present, or a future date as the start date. If the user wishes to enter an effective end date, the user may enter it when the designee is added (Figure 4.E.3).
Figure 4.E.3 – Adding a Certification Designee

When the designee and the appropriate dates are entered, the user will select the Save button. The screen refreshes and the designee appears in the list at the bottom of the screen (Figure 4.E.4).

Figure 4.E.4 – Adding a Certification Designee

The Action column permits the user to take up to three actions. The first icon, which resembles a magnifying glass, allows the user to set an effective end date when one is not established. To start, the user selects the magnifying glass icon to receive a calendar entry field in the Effective End Date column (Figure 4.E.5).
When the magnifying glass is selected, the Effective End Date field transforms into a data-entry field. The user can select or enter a date in this field. The two icons next to the field allow the user to cancel the action (the blue arrow) or save the date as the Effective End Date (disk icon). After the disk icon is selected, the Effective End Date returns to a read only column (Figure 4.E.6).

The second icon, which resembles a magic wand, deactivates the designee relationship. When the icon is selected a pop-up window appears for the user to confirm the deactivation (Figure 4.E.7).
Figure 4.E.7 – Confirming Designee Inactivation

To inactivate the relationship, the user selects the OK button. The screen refreshes and the effective end date is populated with the date the action was taken (Figure 4.E.8).

Figure 4.E.8 – Deactivated Designee

When a designee relationship is deactivated, the assigned employee no longer has the ability to certify for non-faculty individuals. The former designee retains the ability to certify for those non-faculty individuals whose statements were created while the designee relationship was in effect.
The last icon in the Action column is the familiar red X. This icon allows the user to delete the designee relationship entirely, removing the ability for the former designee to certify for anyone associated to the account. When the icon is selected a pop-up window appears for the user to confirm the deletion (Figure 4.E.9).

To delete the relationship, the user selects the OK button. The screen refreshes and the former designee is removed from the list (Figure 4.E.10).
F. Add Cost Sharing

**IMPORTANT NOTE:** Only institutions that use the Non-Companion Cost Sharing model should use the Add Cost Sharing feature. The functionality will not work correctly when the institution is using the Companion Cost Sharing model.

In addition to loading cost sharing data from the institution’s pre-award and financial systems during the data load process, ecrt allows users to add cost sharing through the user interface. While the procedure for adding cost sharing in ecrt is universal, policies and procedures about cost sharing are institution-specific; please contact your central effort administrator to find out about your institution’s policy and procedure.

To add a cost sharing entry a user selects the ‘Add Cost Sharing’ link from the ‘Manage’ navigation menu. The user is directed to the following screen (Figure 4.F.1).

![Figure 4.F.1 – Adding a Cost Sharing Transaction](image)

Users have access to all employees in the institution. This allows a user to add transactions to people that currently might not be related to the user through existing department or account relationships. Users have access only to the accounts to which they are assigned, however, unless they have the right to view all accounts.
The first step to add a cost sharing transaction is to enter the certifier’s name in the search field and select the correct choice from the search results.

The next step is to designate the account that is going to receive the charge. The user will check either the ‘Associated to User’ or the ‘New’ radio button. If ‘Associated to User’ is checked, then the search box on the next line will populate with a drop-down of all accounts to which the user is associated.

If the ‘New’ account button is selected, the search box below those words will be active. The user must select ‘Active’ or ‘Inactive’ next to the search box to search the correct group of accounts. The account name or number is entered in the search field and chosen from the results. The account will be added to the certification statement once the cost share entry is finalized.

After selecting the account that is receiving the cost sharing, the user will search for the account name or number that is providing the cost sharing and select the appropriate account from the results. If the user selects a new account, meaning an account that is not currently on the statement, to provide the cost sharing, the account will appear on the statement with a negative cost share amount and a negative Computed Effort since there is no payroll associated with the account. The user may resolve the negative Computed Effort by loading a payroll transaction from the institution’s source system through the data load process for the appropriate amount.

Once the accounts are selected the user must enter the amount of the cost sharing transaction. If the user enters a dollar amount then the system calculates the cost share percentage based on the cost shared dollars and the total dollars on the statement. If the user enters a percentage then the system calculates the cost share dollars based on the percentage for the duration of the entered transaction. If multiple percentages are entered for a period of performance, then the percentages are weighted to come up with the appropriate percentage for the entire period of performance. Percentages can be entered to the hundredth of a percentage. Negative amounts are permitted, as well. The dollars and percentages functionality works the same way in the data load, as well.

The next step is to enter the period of performance to which the cost share applies and the statement type to which it applies. The system only allows cost shares to be added to effort statement periods of performance. To add a period, choose the correct period from the ‘Budget Period’ drop-down.

The last two pieces of information are the cost sharing type and the justification. The cost share type is a required field and is selected from the drop-down list. Cost share types are institution-specific and are controlled by each institution’s central effort administrator. For more information about the cost share types used by your institution, please contact your central effort administrator.
Finally, the justification is a text field that allows the user to enter an explanation to be stored in the system for future reference. The justification is optional, but recommended, to make tracking the cost share easier. Figure 4.F.2 shows a completed Add Cost Share entry.

![Completed Add Cost Share Screen](image)

The system supports adding the cost share entry across multiple effort statements. To add a second budget period, click the Add Budget period button. This button will be grayed out if there are no additional periods available to add. The Remove Budget Period button will become available only when two or more budget periods are selected (Figure 4.F.3).
As a best practice, we recommend that cost sharing transactions that affect multiple periods of performance be broken into multiple transactions, one for each period of performance. This will ensure that the transaction is accurately adjusted and reflected for each period.

Once the information is entered, the user selects the Add Entry button and is directed to a confirmation screen (Figure 4.F.4).

**Figure 4.F.3 – Adding Multiple Periods for a Cost Share**

**Figure 4.F.4 - Cost Sharing Confirmation**
Selecting the Revise Entry button allows the user to change any incorrect elements of the entry, while the Cancel button exits the screen and returns the user to the Add Cost Sharing Page, with no information saved.

If the information on the confirmation page is correct, the user selects the Add Entry button. The user returns to the Add Cost Sharing page, where a message is displayed at the top of the page confirming that the commitment was submitted successfully (Figure 4.F.5).

Depending on the status of the effort statement, the cost share transaction may not be added to that effort statement immediately. If the effort statement is in a ‘Not Certified’ status, the cost share transaction immediately shows up on the statement. If the effort statement is in a ‘Certified’ status, the cost sharing transaction is saved and added to the effort statement only when that statement is re-opened.

If BOTH the ‘To Account’ and ‘From Account’ are not on the current effort statement, the transaction is rejected because the addition of that transaction would cause negative percentages and dollars to be applied to the effort statement (Figure 4.F.6).
Cost share transactions are deleted through the Cost Share Report or through the data load process. For more information about deleting cost shares, please refer to section V-D-5 of this guide.
G. Add Commitment

The ecrt application provides two methods to enter awarded commitments - through the data load process and through the user interface. Commitments can be assigned to accounts or awards. The default configuration for commitments is assignment at the account level. To assign commitments at the award level, an application setting must be established during implementation. This configuration cannot be changed by the end user through the user interface. Please contact Huron for assistance if the institution wishes to change this setting after go-live.

Users have access to all employees in the institution. This allows a user to add transactions to people that currently might not be related to the user through existing department or account relationships. Users have access only to the accounts to which they are assigned, however, unless they have the right to view all accounts.

Similarly, the user is able to add commitments only to accounts/awards that currently exist in the system and to which the user is related either by commitment, payroll, or cost share. If the institution is passing in the “award” flag in its Project XML file, then only accounts will be shown in the search results when the institution is assigning commitments at the account level. Similarly, if the configuration is for commitments at the award level, only awards are shown if the flag is passed in.

To enter the information through the user interface the user selects the 'Add Commitments' link from the 'Manage' navigation menu. The following screen appears (Figure 4.G.1). The example below illustrates how to add a commitment to an account; the process is the same for adding a commitment to an award.
Add Commitment

Use the form supplied below to add a new Commitment entry. All fields are required.

This screen is to be used to add effort commitments for sponsored awards, and non-sponsored accounts if desired. If a Commitment is to be entered for an account/award that is already associated to the individual, select the “Currently Associated to Individual” radio button and the appropriate account from the drop-down menu. Otherwise, select the “New” radio button. This screen is to be used to add Effort Commitments for sponsored awards and non-sponsored accounts if desired. If a Commitment is to be entered for an account/award that is already associated to the individual, select the “Currently Associated to Individual” radio button and the appropriate account from the drop-down menu. Otherwise, select the “New” radio button.

The search can be conducted using first name, last name, or ID number. Searching by first name then last name will not produce results. You must search by last name only, first name only, ID number only, or by last name then first name. Results are produced more quickly using last name or ID number. The search can also be conducted using the Award/Account name or number. Results are produced more quickly using Award/Account number.

When you view this page, if there is a "loading data" indicator, then please wait as the screen populates with your data. If there is no "loading data" indicator, then please type the name of the entry you are searching for and wait for the results to load. This may take up to three seconds to load your results.

Several pieces of information are required for adding a commitment. The name of the certifier for whom the commitment is being established is entered in the search field and selected from the drop-down menu.

The name of the account receiving the commitment is the second piece of required information. The user is able to select a radio button that determines whether the user is adding the commitment to an account that is currently associated to the specified individual or to a new one. If “Currently Associated to Individual” is selected, a drop-down menu will appear with the available accounts (Figure 4.G.2).
If “New” is selected, the account name or number is entered in the search field and selected from the suggestions.

Accounts are classified within the system as active or inactive depending on the end date of the account compared to that day’s date so the user must select either ‘Active’ or ‘Inactive’ next to the Account search box to find the correct account. A commitment can be added for any active or inactive account. Once the account is selected, the Sponsor, Account Start Date, and Account End Date will populate automatically in the section below the account.

Next, the user marks the radio button to select whether the commitment is a Summer Commitment. This flag is for informational and reporting purposes only. The applicable dates for the commitment are established by clicking in the date field and selecting the beginning and end dates from the calendar that appears or directly entering the dates in the MM/DD/YYYY format.

The user enters the percentages for the Total Effort Commitment and Cost Shared Effort Commitment and selects which statement type to which the commitment applies. The Charged Effort Commitment box automatically populates with the difference between the Total Effort Commitment and the Cost Shared Effort Commitment. Alternatively, the user can input the hours for the commitment instead of a percentage.

The user then has the option to select the individual’s role on the project and specify the award type. These two drop-down lists can be configured by the user in Global Settings, which is detailed in section VI-E-17 (Commitment Award Types) and VI-E-18 (Commitment Role Types).

Finally, the user chooses whether to apply this same commitment information to future budget periods. When the user selects the Yes radio button, an additional section appears where the user specifies the commitment details for any future budget periods (Figure 4.G.3).
Figure 4.G.3 – Adding a commitment for a future budget period

If the information entered is correct, the user will select the Add Entry button at the bottom of the screen (Figure 4.G.4).
The user is directed to a confirmation page (Figure 4.G.5).

Add Commitment

Please confirm the following commitment details before submitting.
To view the center’s existing commitment detail report, please click here.

Selecting the Revise Entry button allows the user to change any incorrect elements of the entry, while the Cancel button exits the screen and returns the user to the Home Page, with no information saved.

If the information on the confirmation page is correct, the user selects the Add Entry button. The user returns to the Add Commitment page, where a message is displayed at the top of the page confirming that the commitment was submitted successfully (Figure 4.G.6).
Add Commitment

- Your entry was successfully submitted.

Use the form supplied below to add a new Commitment entry. All fields are required.

Figure 4.E.6 – Commitment successfully added

The system validates the entry after the user selects the Add Entry button on the confirmation page. Examples of validation errors that may occur include:

- A user attempts to add a commitment that applies to a period of time that has an awarded commitment for the same certifier and the same account. The commitment is not added and the user is shown an explanatory error message.
- A user attempts to add a commitment for a period of performance for which the employee does not have an effort statement. The commitment is added and stored until the statement is created for that period of performance.
- A user attempts to add a commitment for an individual that is outside the start and/or end date of the account. The commitment is added but the user is shown a reminder to review the dates for accuracy before submitting the commitment.

An example of these errors is shown in Figure 4.G.7 below.

Add Commitment

- For this certifier, there is already an awarded commitment entry for this grant. Please use the Commitment Listing Report to verify the commitment(s) before adding.
- INFORMATIONAL MESSAGE - You are about to add a commitment for a period of performance or multiple periods of performance for an individual that did not have a certification statement created in that period. Please note that this statement will not be created until a payroll or cost sharing transaction is loaded. Click Add Entry to continue submitting this new commitment.
- This entry has a start date and/or end date past the end date for this grant (06/30/2015), according to the grants current information. Please confirm that this is correct before proceeding.

Please confirm the following Commitment details before submitting. To view this certifier’s existing Commitment Detail Report, please click here.

<table>
<thead>
<tr>
<th>Certifier Name</th>
<th>Account</th>
<th>Date Range</th>
<th>Total</th>
<th>Cost Shared</th>
<th>Charged</th>
<th>Summer?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Berry Chuck - chuckberry</td>
<td>A2-Lung - Development of Artificial Lung</td>
<td>01/01/2015 to 09/30/2015</td>
<td>10.00%</td>
<td>2.00%</td>
<td>8.00%</td>
<td>No</td>
</tr>
</tbody>
</table>

Figure 4.G.7 – Add Commitment warning message

Commitments can be deleted and/or edited either through the data load or using the Commitment Listing Report. For more information about deleting or editing commitments, please refer to section V-A-1 of this guide.

1. Commitments at the Award Level

The 'commitments at the award level' configuration allows commitment columns to be displayed on the statement with commitment information displaying only for the award,
not the associated account(s). This configuration has no impact on the hover over functionality, which allows a user to place the cursor over the award to see the commitment information if the institution has configured that functionality. The 'commitments at the award level' configuration, however, is not compatible with the Profile functionality.

An award must have at least one active account associated to it for the award to appear in the body of the statement to be certified, even if there is a commitment to that award. If no accounts are associated to the award, or if no accounts were active during the Period of Performance, the award and the commitment will appear above the effort statement but no accounts will be displayed (Figure 4.G.1.1).

![Figure 4.G.1.1 - Award level commitments](image)

If the award has at least one account active during the Period of Performance but no payroll or cost share exists for the award’s account(s), then all accounts that were active during the Period of Performance are shown on the effort statement to allow the certifier to allocate the effort to the appropriate account (Figure 4.G.1.2).
Any effort allocated to an account that has a commitment but does not have payroll or cost share associated to it causes a cost transfer to be calculated. The certified effort for all accounts associated to the award is summed and used in the Required Effort and Burn Rate calculations. This summed value is used to determine whether a Sponsor Notification task is generated. If the award is an NIH award subject to the NIH salary limitation, the ‘NIH’ flag will appear next to the award and the commitment for the award is used in the salary limitation calculation.
H. Add Proposed Commitment

The ecrt application provides two methods to enter proposed commitments - through the data load process and through the user interface. As with awarded commitments, proposed commitments can be assigned to accounts or awards and the default configuration for proposed commitments is assignment at the account level. To assign proposed commitments at the award level, an application setting must be established during implementation. This configuration cannot be changed by the end user through the user interface. Please contact Huron for assistance if the institution wishes to change this setting after go-live.

Users have access to all employees in the institution. This allows a user to add transactions to people that currently might not be related to the user through existing department or account relationships. Users have access only to the accounts to which they are assigned, however, unless they have the right to view all accounts.

Similarly, the user is able to add proposed commitments only to awards/accounts that currently exist in the system and to which the user has access. If the institution is passing in the “award” flag in its Project XML file, then only accounts will be shown in the search results when the institution is assigning proposed commitments at the account level. Similarly, if the configuration is for commitments at the award level, only awards are shown if the flag is passed in.

To enter the information through the user interface the user selects the ‘Add Proposed Commitments’ link from the ‘Manage’ navigation menu. The following screen appears (Figure 4.H.1). The example below illustrates how to add a proposed commitment to an account; the process is the same for adding a commitment to an award.
Add Proposed Commitment

Use the form supplied below to add a new Proposed Commitment entry. All fields are required.

This screen is to be used to add proposed effort commitments for sponsored awards, and non-sponsored accounts if desired. If a Proposed is to be entered for an account/award that is already associated to the individual, select the “Currently Associated to Individual” radio button and the appropriate account from the drop-down menu. Otherwise, select the “New” radio button. This screen is to be used to add Proposed Effort Commitments for sponsored awards and non-sponsored accounts if desired. If a Proposed Commitment is to be entered for an account/award that is already associated to the individual, select the “Currently Associated to Individual” radio button and the appropriate account from the drop-down menu. Otherwise, select the “New” radio button.

The search can be conducted using first name, last name, or ID number. Searching by first name then last name will not produce results. You must search by last name only, first name only, ID number only, or by last name then first name. Results are produced more quickly using last name or ID number. The search can also be conducted using the Award/Account/Proposed name or number. Results are produced more quickly using Award/Account/Proposed number.

When you view this page, if there is a “loading data” indicator, then please wait as the screen populates with your data. If there is no “loading data” indicator, then please type the name of the entry you are searching for and wait for the results to load. This may take up to three seconds to load your results.

Several pieces of information are required for adding a proposed commitment. The name of the certifier for whom the proposed commitment is being established is entered in the search field and selected from the drop-down menu.

The name of the account receiving the proposed commitment is the second piece of required information. The user is able to select a radio button that determines whether the user is adding the proposed commitment to an account that is currently associated to the specified individual or to a new one. If “Currently Associated to Individual” is selected, a drop-down menu will appear with the available accounts (Figure 4.H.2)
If “New” is selected, the account name is entered in the search field and selected from the suggestions. The account must be loaded into the system before a proposed commitment can be added to it.

Accounts are classified within the system as active or inactive depending on the end date of the account compared to that day’s date so the user must select either ‘Active’ or ‘Inactive’ next to the Account search box to find the correct account. A proposed commitment can be added for any active or inactive account. Once the account is selected, the Sponsor, Account Start Date, and Account End Date will populate automatically in the section below the account.

Next, the user marks the radio button to select whether the proposed commitment is a Summer Commitment. The applicable dates for the proposed commitment are established by clicking in the date field and selecting the beginning and end dates from the calendar that appears or directly entering the dates in the MM/DD/YYYY format.

The user then enters the percentages for the Total Proposed Effort Commitment and Proposed Cost-Shared Effort Commitment and selects the statement type to which the commitment applies. The Proposed Charged Effort Commitment box automatically populates with the difference between the Total Proposed Effort Commitment and the Proposed Cost Shared Effort commitment. Alternatively, the user can input the hours for the commitment instead of a percentage.

The user has the option to select the individual’s role on the project and specify the award type. These two drop-down lists can be configured by the user in Global Settings, which is detailed in section VI-E-17 (Commitment Award Types) and VI-E-18 (Commitment Role Types).

Finally, the user chooses whether to apply this same proposed commitment information to future budget periods (Figure 4.H.3). When the user selects the “Yes” radio button, an additional section will appear where the user can specify the details of proposed commitment for the future budget period.
If the information entered is correct, the user will select the Add Entry button at the bottom of the screen. (Figure 4.H.4).
Figure 4.H.4 – Completed Add Proposed Commitment page

The user is directed to a confirmation page (Figure 4.H.5).

Add Proposed Commitment

Please confirm the following Proposed Commitment details before submitting.

To view this certifier’s existing Commitment Detail Report, please click here.

<table>
<thead>
<tr>
<th>Certifier Name</th>
<th>Account / Proposed</th>
<th>Date Range</th>
<th>Total</th>
<th>Cost Shared</th>
<th>Proposed</th>
<th>Summer?</th>
<th>Proposed Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>Berry Chuck - chuckberry</td>
<td>A2-Lung - Development of Artificial Lung</td>
<td>01/01/2011 to 03/31/2011</td>
<td>13.00%</td>
<td>3.00%</td>
<td>10.00%</td>
<td>No</td>
<td></td>
</tr>
</tbody>
</table>

Figure 4.H.5 – Add Proposal Commitment confirmation screen

Selecting the Revise Entry button allows the user to change any incorrect elements of the entry, while the Cancel button exits the screen and returns the user to the Home Page, with no information saved.

If the information on the confirmation page is correct, the user selects the Add Entry button. The user returns to the Add Commitment page, where a message is displayed
at the top of the page confirming that the commitment was submitted successfully (Figure 4.H.6).

**Add Proposed Commitment**

- Your entry was successfully submitted.

Use the form supplied below to add a new Proposed Commitment entry. All fields are required.

Figure 4.H.6 – Proposed Commitment successfully added

The system validates the entry after the user selects the Add Entry button on the confirmation page. Examples of validation errors that may occur include:

- A user attempts to add a proposed commitment to an account or proposal on which there is already a proposed commitment. The proposed commitment is not added and the user is shown an explanatory error message.
- A user attempts to add a proposed commitment for a period of performance for which the employee does not have an effort statement. The proposed commitment is added and stored until the statement is created for that period of performance.
- A user attempts to add a proposed commitment for an individual that is outside the start and/or end date of the account or proposal. The proposed commitment is added but the user is shown a reminder to review the dates for accuracy before submitting the proposed commitment.

An example of these errors is shown in Figure 4.H.7 below.

**Add Proposed Commitment**

- For this certifier, there is already a proposed commitment entry for this grant. Please use the Commitment Listing Report to verify the proposed commitment(s) before adding.
- INFORMATIONAL MESSAGE - You are about to add a commitment for a period of performance or multiple periods of performance for an individual that did not have a certification statement created in that period. Please note that this statement will not be created until a payroll or cost sharing transaction is loaded. Click Add Entry to continue submitting this new commitment.

Please confirm the following Proposed Commitment details before submitting.
To view this certifier's existing Commitment Detail Report, please click here.

<table>
<thead>
<tr>
<th>Certifier Name</th>
<th>Account/Proposed</th>
<th>Date Range</th>
<th>Total</th>
<th>Cost Shared</th>
<th>Proposed</th>
<th>Summer?</th>
<th>Proposed Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>Berry Chuck</td>
<td>AT-Lung</td>
<td>07/01/2015 to 09/30/2015</td>
<td>17.00%</td>
<td>2.00%</td>
<td>15.00%</td>
<td>No</td>
<td></td>
</tr>
</tbody>
</table>

Figure 4.H.7 – Add Proposed Commitment warning message

Proposed commitments can be deleted and/or edited either through the data load or using the Commitment Listing Report. For more information about deleting or editing proposed commitments, please refer to section V-A-1 of this guide.
V. Reports

The ecrt solution includes dozens of standard reports and queries that can be used by certifiers and administrators to assist in the effort reporting process. Standard reports return results that are formatted on the screen and in print format; queries are lists of data that satisfy the parameters entered and are not formatted as extensively. Queries are differentiated from standard reports by the wrench icon following the query name.

Rights to run and view individual reports and queries are assigned to users through the Roles and Rights engine within the system. Likewise, users are allowed to run reports only for those departments and people to whom they are related. The results of the reports are limited to those same relationships, ensuring users do not have access to data throughout the institution unless specifically granted that right. For more information about assigning reports, please see Section VI-B-6.

Reports can be accessed by selecting the “Reports” menu at the top of the screen. The following screen appears (Figure 5.0.1).
Figure 5.0.1 - Reports Page

The Reports page contains three window panes across the top that show the report category, the list of reports associated to the selected category, and a description of the selected report. At the bottom of the ‘Description’ pane the right that controls access to the report is displayed.

Below the three panes are three tabs – Parameters, Results and Customize (visible only if the selected report is an IQ Tool query).

On the Parameters tab the user inputs the variables influencing the report – the date range, the employee types, the department or person’s name, whatever is relevant to the report.

For those reports that require a date range, reports can be run either by a user-defined date range or by a Period of Performance for an Employee Type. When the user elects to run reports by date and enters start and end dates using the calendar functionality or by directly entering the dates in the MM/DD/YYYY format, the reports return results that are contained entirely within the configured date range regardless of employee type. For reports that are returning results of a Period of Performance, the configured date range...
must be large enough to include the entire Period of Performance. If both the beginning
date and end date of any Period of Performance for any Employee Type are not
covered by the configured date range, the system will not return any results.

If the user elects to run reports by Employee Type, the user then selects a
corresponding Period of Performance for which to return results. Results will be limited
to those individuals that currently match the Employee Type and Period of Performance
entered as parameters. For an employee that has switched employee types the user
must run the report using the employee’s current Employee Type and select a Period of
Performance that contains the period that the user wishes to review.

If the user selects the Employee Type method of running the report, the user will select
the desired Employee Type and Period of Performance (Figure 5.0.2). If no Employee
Type or Period of Performance is selected, then all Employee Types and/or Periods of
Performance will be aggregated and included in the results.

When a report requires an employee’s name to be entered as a parameter, the user can
enter the employee’s first name only, last name only, last name and first name
combined, or employee identification number. Entering the first name followed by the
last name will not produce results. The user must type at least three letters of the name
and pause for the system to suggest employees based on the letters entered. The more
letters entered, the narrower the resulting suggestions will be. The user then will select
the employee from the list of suggestions.

Additionally, reports that can be run by department can be configured to show the
results for the department and all sub departments related to the department (or school
and all departments related to the school, university and all schools within the
university, and so on). To enable this roll up reporting, the institution will configure a
setting on the Global Settings>Certification Settings page (for more information about
this setting, please see section VI-E-5). The user will run the report for the highest level
of the organization for which the user wishes to return results. For instance, if the user
enters a department, the report will return the results for the department and all sub
departments related to the department. The user can confirm all of the sub departments
for which the report will be run by selecting the “Expand Search” link (Figure 5.0.3).
If, after entering the department name, the user wishes to report on only a sub department of the department, the user can select “Expand Search” and select the appropriate sub department (Figure 5.0.4). The sub department then replaces the previously selected department as the unit on which the report will be run.
The ecrt solution treats blank query fields the same for every report. When no information is entered into a parameter field, the field is treated as a wild card and a report is produced that ignores that parameter. As a result, the report will be generated to include all possible results to which the user is entitled to see based on the user’s security. For instance, if a department is not selected, a report will be generated showing results for every department to which the user is associated or to all departments in the institution if the user has the “Manage All Departments” right. If the report will include results from the entire institution, it may require a significant amount of time to be generated. As a result, the user should strive to run reports as narrowly as possible while still returning the desired results.

The user can get more information about each parameter by hovering over the “i” icon next to the parameter’s name. Each parameter has an icon next to its name and, when the user places the mouse on it, a pop-up window appears (Figure 5.0.5).
Figure 5.0.5 – Parameter Information Icon

The pop-up provides additional information about the field. The user must close the pop-up to continue.

Once the correct parameters have been input, the user selects the Run Report button to view the results. The report results render in the 'Results' tab, where the user is automatically directed when the Run Report button is selected.

If there are no results, the following message appears (Figure 5.0.6) and the user returns to the Parameters tab to refine the search.
This report contains no data. Please revise the parameters and try again.

This error message appears whenever a user runs any report that has no data or otherwise produces an error.

Nearly every report and query in the system can be exported into the following formats – Excel, Word, PDF, and XML. Several reports have custom PDF formats, as well.

The 'Customize' tab displays only if the selected report is an IQ Tool query. The details about the query are presented on this tab for the user to edit if the user has the right to edit the query. The report name, description, query logic, and parameters appear on this tab (Figure 5.0.7).

The Widget Selection feature can be utilized to assist with query creation. This tool is visible in Figure 5.0.7 - A.

The Widget Selection feature allows a user to leverage the system’s predefined parameter selection features rather than create the parameters from scratch. There are a number of widgets available, including Date Selector, List of Departments, List of Users, and List of Effort Statement Statuses, among others. For instance, if the user selected the Date Selector to add to the query’s parameters, the user would be able to
leverage the existing format of the date selection methodology that is used in the standard reports – the Start Date field would appear along with the calendar icon to select or directly enter the appropriate date and the End Date field would appear with the same calendar icon. This fosters a more standard and user-friendly approach when designing new queries for the institution’s users.

Users also will be able to manage the rights that control the query, whether creating or modifying the right name or description, or associating the ability to run the query to an existing right. All aspects of the work involved in creating and managing queries is centralized in one place.

The following is a complete list of standard reports and queries within the system, arranged by category:

A. Commitments
   1. Commitment Listing Report
   2. Certified Effort Less Than Effort Commitment Report
   3. Certifiers Over Commitment Settings Report
   4. Certifiers with changed commitments on a historical statement
   5. Certifiers with Commitments and No Payroll Report
   6. Commitment to Actuals Report
   7. Commitments with no Effort Statement Report
   8. Edited Commitment Report
   9. Monthly Commitment Summary Report
   10. Required Effort Greater Than 100% Report
   11. Required Effort Greater Than Available Effort Report

B. Management
   1. Department Account Report
   2. Accountability Review Report
   3. Certification Activities Report
   4. Certification Status Report
   5. Certification Status Summary Report
   6. Certifiers Exceeding the NIH Salary Cap
   7. Certifiers Subject to a Salary Cap with New Payroll Added
   8. Certifiers with statements certified after the certification end date
   9. Certifiers with an Incomplete Clinical Activities Statement
   10. Certifiers with Non-Sponsored Payroll less than Cost Share
   11. Certifiers with NSF Pay
   12. Certifiers with Payroll loaded after Certification and before Processing
   13. Certifiers with Uncertified Payroll to be Transferred
   14. Certifiers with variances between Computed and Committed Effort
   15. Certifiers’ Status by Reporting Period with Detailed Certifier Information
   16. Clinical Activity Hours Validation Quarterly
   17. Clinical Activity Hours Validation Yearly
18. Clinical Activity Incomplete Data
19. Effort statements certified by someone other than the Statement Owner
20. Effort Statements On Hold
21. External Audit Report
22. Global Clinical Activity Incomplete Data
23. List of all Awards and their Associated Accounts
24. List of Global Settings – (Activity Codes through Commitment Award Types)
25. List of Global Settings – (Commitment Role Types through Application On/Off)
26. List of Global Settings – (Template through Cost Sharing Types)
27. Potential Certification Conflict Report
28. Roles and Rights
29. School-Level Certification Statistics
30. Sponsored Project Activity Report
31. TPE Report
32. Users with Roles
33. Users without Roles

C. Monitoring
1. Departments with No Primary Coordinators Report
2. Account Without Primary Investigators Report
3. ARRA Reporting
4. Certifications with File Attachments
5. Certifiers with a Restricted Access Effort Coordinator
6. Certifiers with an Alternate Effort Coordinator
7. Certifiers with Assigned Proxy
8. Cost Share Transactions entered through the User Interface
9. Faculty with no Sponsored Payroll or Sponsored Commitments
10. Key Personnel without Primary Email Address or without Email Access
11. List of All Departments Report
12. List of All Effort Coordinators
13. List of All Users
14. List of New Users Since Last Certification
15. List of PIs without Effort Statements
16. Primary Effort Coordinators without Primary Email Address
17. View Effort Statement Columns
18. View Employees that changed employee types query
19. View Hours per person per account for a date range and department
20. View Hours per person per account for a date range

D. Payroll/Cost Share
1. Cost Transfer Report
2. Certified Cost Share Dollars by Institution
3. Certifier Payroll Summary Report
4. Certifier Salary Activity Report
5. Cost Share Report
6. ecrt Created Cost Transfer Report
7. Monthly Funding and Effort Information Report
8. Payroll Adjustment Reconciliation Report
10. Payroll Report
11. Profile Cost Share Report
12. SPES Report
13. Summary of Payroll dollars per Period of Performance per Effort Statement Category
A. Commitments

1. Commitment Listing Report

The Commitment Listing Report displays a complete list of all commitments an employee has for a specific date range. The user can determine whether the report will include awarded commitments, proposed commitments, or both.

The report has a number of query fields for the user to specify the parameters of the report (Figure 5.A.1.1).

![Figure 5.A.1.1 – Commitment Listing Report Data Entry](image)

- **Employee:**
- **School / Department:**
- **Account:**
  - Active
  - Inactive
- **Filter By:**
  - Awarded
  - Proposed
  - Awarded / Proposed
- **Date By:**
  - Dates
  - Employee Type
- **Dates:**
  - Start Date:
  - End Date:

The date range can be set either by selecting a start and end date or by certification periods associated with an employee type. Once the date range is selected, the user can search for an employee, department, or account. Accounts can be set as either active or inactive to ensure access to all accounts. A filter can be applied to show only Awarded Commitments, Proposed Commitments, or both. The default setting displays both Awarded and Proposed Commitments in the results.

Once the report parameters have been entered, the user will select Run Report. In this example, we ran the report for Landon Donovan for the 7/1/2010 to 6/30/2011 period of performance. The following screen appears (Figure 5.A.1.2):
The results for the Commitment Listing Report are broken into two sections. The first section is the Awarded Listings section, which displays the employee’s name, the account that has the commitment, the beginning and end date of the commitment, the Committed Hours column, the Original Commitment value, the current Total commitment (which may differ from the original value), the percentage of effort to be charged to the sponsored project, and the cost shared portion of the commitment.

Below the Award Listings are the Proposed Listings (Figure 5.A.1.3).

The Proposed Listings section displays similar data as the Awarded Listings but includes the proposed number and name instead of the award number and name.

Additionally, this report contains links to two other commitment reports. By clicking on the employee’s name (A), the user can generate the Individual Commitment Detail Report, which depicts the employee’s awarded and proposed commitments on a bar graph (Figure 5.A.1.4).
Figure 5.A.1.4 - Individual Commitment Detail Report

This chart displays each of the individual’s commitments, indicates whether the commitment is proposed (proposed effort is depicted in the graph with diagonal lines through the bars - A), the effort start and stop date, charged effort, cost shared effort, and total effort (sum of charged and cost shared effort). The report displays Proposed and Awarded Commitments by default. The user can select the radio buttons at the top of the report to show only Proposed Commitments or only Awarded Commitments.
Clicking on the grant name (Figure 5.A.1.2 - B) in the Commitment Listing Report will take the user to the Award/Account Summary Page. This page is described in detail in section I-B of this document.

The user may be able to modify the commitments displayed on the Commitment Listing Report (Figure 5.A.1.2) if given the appropriate rights. The last column on the right is labeled “Action” (Figure 5.A.1.2 - C). Two icons may appear in that column. The first is a red ‘X’ that allows the user to remove that commitment from the employee’s portfolio.

The second icon is a scroll with a magnifying glass on top of it. Selecting this icon prompts a pop-up window that confirms that this action will modify the existing commitment and that Required Effort will be calculated using the new value (Figure 5.A.1.5).

![Figure 5.A.1.5 – Edit Commitment Message](image)

Selecting the “OK” button directs the user to the ‘Edit Commitment’ page (Figure 5.A.1.6). This page allows the user to edit the commitment information that corresponds to that account, similar to the ‘Add Commitments’ process discussed earlier. The user can edit the start date, end date, total effort commitment, cost shared effort commitment, charged effort commitment, role on the project, award type, and also enter in text to describe the reason why the change is being made. When the user has finished the edits, the user will select the ‘Update Entry’ button to finalize the changes to the commitment. The user will receive a message to confirm the changes were successfully made.
Edit Commitment

- You are about to edit a commitment that has already completed. Please click Update Entry to continue submitting your changes to this commitment.

Use the form supplied below to edit a Commitment entry:

Certifier: Donovan, Landon - landon_donovan
Account: 40 - Goals Scored
Sponsor: N/A
Account Start Date: 07/01/2005
Account End Date: 06/30/2020
Summer Commitment?: Yes
Start Date: 07/01/2010
End Date: 06/30/2011
Total Effort Commitment: 14.0
Cost-Shared Effort Commitment: 1.0
Charged Effort Commitment: 13.0
Change Reason (255 max):

Individual Role on Project: DEFAULT - Default Entry
Special Award Type: DEFAULT - Default Entry

Figure 5.A.1.6 - Editing a commitment

The other report that can be accessed through the Individual Commitment Detail Report is the Commitment & Proposal Timeline Report. To access this report, the user can click on the 'Related Reports' link on the top left section of the Individual Commitment Detail page (Figure 5.A.1.7).
Figure 5.A.1.7 - Related Reports Link

Selecting the link from the Related Reports section directs the user to the Commitment Timeline Report (Figure 5.A.1.8).
The Commitment Timeline Report displays each of an individual's commitments over a certain period of time. The period of time can be adjusted by selecting the radio buttons at the top of the screen to show 6-month, 12-month, and 18-month time frames. Each commitment is detailed in the key at the bottom of the page, which lists the commitment account, start and end date, project start and end date, charged effort, cost shared effort, and total effort (sum of charged effort and cost shared effort). The Commitment Timeline Report initially displays the individual's Proposed and Award Commitments. The user can select the radio buttons at the top of the report to display only Proposed Commitments or only Awarded Commitments.
2. Certified Effort Less Than Effort Commitment Report

The Certified Effort Less Than Effort Commitment Report displays all employees who have less certified effort than committed effort on an account or award. Certification must be complete for all periods of performance that are covered by the commitment for employees to appear on this report.

This report contains no parameters; to run the report, the user will select Run Report (Figure 5.A.2.1).

The report will display below the Run Report button (Figure 5.A.2.2).
The report shows the employee’s name, the account on which the effort was committed, the commitment dates, the commitment percentage, the certified percentage, and the relative difference between the committed and certified effort ((commitment – certified)/commitment). This allows a user to identify easily which accounts/awards have the greatest discrepancies between certified and committed effort.

Selecting the name of the account from the Account column will lead the user to the Award/Account Summary page.
3. **Certifiers Over Commitment Settings Report**

The Certifiers Over Commitment Settings Report can be used to display all of the individuals who have exceeded the institution-defined thresholds for commitments. These thresholds are defined in the Commitments section of Global Settings, section VI-E-16.

To run this report, the user first must enter a month and a year (Figure 5.A.3.1).

The report will use this month as the starting point and will display commitment information for the succeeding 12 month period. The user then has to enter in the Commitment Limit and Commitment Level (if applicable) for which to search. Finally, the user may enter a school or department for which to run the report. If no department is entered, the report will return the results for the entire institution, which may take a considerable amount of time. Once the parameters are entered, the user will select ‘Run Report.’

The report, as shown in Figure 5.A.3.2, will list each certifier’s name, department, and then provide their total committed effort percentage for each of the the 12 months.
The percentages are color-coded based on the thresholds that the institution has configured. If the percentage is below the threshold, it will appear be in green font, if it is above the threshold it will be in red font.

---

Figure 5.A.3.2 – Certifiers Over Commitment Settings Report Results

<table>
<thead>
<tr>
<th>Category</th>
<th>Certifier</th>
<th>Department Name</th>
<th>Jan</th>
<th>Feb</th>
<th>March</th>
<th>April</th>
<th>May</th>
<th>June</th>
<th>July</th>
<th>Aug</th>
<th>Sep</th>
<th>Oct</th>
<th>Nov</th>
<th>Dec</th>
<th>Threshold Setting</th>
<th>Threshold Percentage</th>
<th>Actions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Clinical</td>
<td>Onwueje, Oguchi</td>
<td>Soccer Department</td>
<td>10%</td>
<td>10%</td>
<td>10%</td>
<td>10%</td>
<td>10%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>Above 0</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Demetri, Jay</td>
<td>Soccer Department</td>
<td></td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>Above 0</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Beavenegra, Darlos</td>
<td>Soccer Department</td>
<td></td>
<td>14%</td>
<td>14%</td>
<td>14%</td>
<td>14%</td>
<td>14%</td>
<td>14%</td>
<td>14%</td>
<td>14%</td>
<td>14%</td>
<td>14%</td>
<td>14%</td>
<td>14%</td>
<td>Above 0</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Non Sponsored</td>
<td>Messe, Lionel</td>
<td>Soccer Department</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>Above 0</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Carrollagher, Jamie</td>
<td>Soccer Department</td>
<td></td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>Above 0</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sponsored</td>
<td>Gerard, Steven</td>
<td>Soccer Department</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>100%</td>
<td>Above 100</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

---

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4. **Certifiers with changed commitments on a historical statement**

The Certifiers with changed commitments on a historical statement lists those individuals whose commitments have changed on historical statements.

This report contains no parameters; to run the report, the user will select Run Report (Figure 5.A.4.1).

![Run Report](image)

**Figure 5.A.4.1 – Running the Certifiers with changed commitments on a historical statement query**

The report shows the employee’s name, email address, primary department code and name, the award name, whether the statement has been reopened to reflect the commitment, the Period of Performance start and end date, origin of the commitment (user interface or data load), when the commitment was last modified, who last modified the commitment, and the institution (for shared services model) (Figure 5.A.4.2).

![Certifiers with changed commitments on a historical statement Results](image)

**Figure 5.A.4.2 – Certifiers with changed commitments on a historical statement Results**
5. Certifiers with Commitments and No Payroll Report

The Certifiers with Commitments and No Payroll query lists those employees that have commitments on sponsored awards or accounts but no payroll on those awards or accounts.

This report contains no parameters; to run the report, the user will select Run Report (Figure 5.A.5.1).

Run Report

Figure 5.A.5.1 – Running the Certifiers with Commitments and No Payroll Report

The report shows the employee’s ID number, first name, last name, primary department name, the Period of Performance start and end date, the award number, and the award name (Figure 5.A.5.2).

Figure 5.A.5.2 – Certifiers with Commitments and No Payroll Report Results
6. Commitment to Actuals Report

The Commitment to Actuals Report allows the user to compare the commitments on sponsored awards or contracts and the certified effort or hours on the same awards or contracts.

The report contains X parameters; to run the report, the user will select Run Report (Figure 5.A.6.1).

<table>
<thead>
<tr>
<th>Parameters</th>
<th>Results</th>
</tr>
</thead>
<tbody>
<tr>
<td>Employee:</td>
<td></td>
</tr>
<tr>
<td>School / Department:</td>
<td></td>
</tr>
</tbody>
</table>

Expand Search

Account:
- Active
- Inactive

Filter By:
- Awarded
- Proposed
- Awarded / Proposed

Date By:
- Dates
- Employee Type

Dates:
Start Date: [Click to select date]
End Date: [Click to select date]

Run Report

Figure 5.A.6.1 – Commitment to Actuals Report Parameters

The report displays the name of the employee, the award or contract, the commitment start and end dates, the hours committed for the range of the commitment, the sum of the total hours committed during the date range of the report, the sum of the certified hours during the range of the commitment, the grant percentage committed, and the certified effort percentage.
**Figure 5.A.6.2 – Commitment to Actuals Report Results**

If the start and/or end date entered in the report parameters is in the middle of a Period of Performance, the report includes the prorated commitment percentage and the total Certified Effort percentage in the results.
7. Commitments with no Effort Statement Report

The Commitments with No Effort Statement query lists all employees that have commitments on sponsored awards or accounts but no effort statement for the period of the commitment.

This report contains no parameters; to run the report, the user will select Run Report (Figure 5.A.7.1).

![Figure 5.A.7.1 – Running the Commitments with no Effort Statement Report]

The report shows the employee’s last name, first name, the award number and name, and the start and end date of the commitment (Figure 5.A.7.2).

![Figure 5.A.7.2 – The Commitments with no Effort Statement Report]
8. **Edited Commitment Report**

The Edited Commitments Report allows a user to review commitments that have been changed in the ecrt system via the Edit Commitment feature.

This report contains no parameters; to run the report, the user will select Run Report (Figure 5.A.8.1).

![Run Report](image)

**Figure 5.A.8.1 – Running the Edited Commitments Report**

All of the commitments that have been edited within the system will be displayed (Figure 5.A.8.2).

![Parameters | Results](image)

Based on your report selection below are the results. Please note that you can sort the results by clicking on the column header.

<table>
<thead>
<tr>
<th>Certifier Name</th>
<th>Account</th>
<th>New Commitment Dates</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Oenard, Steven - steveoenard</td>
<td>47 - Corses</td>
<td>07/01/2009 to 06/30/2010</td>
<td></td>
</tr>
<tr>
<td>Oenard, Steven - steveoenard</td>
<td>47 - Corses</td>
<td>07/01/2009 to 06/30/2010</td>
<td></td>
</tr>
<tr>
<td>Oenard, Steven - steveoenard</td>
<td>43 - Red Cards</td>
<td>04/06/2011 to 05/04/2011</td>
<td></td>
</tr>
<tr>
<td>Oenard, Steven - steveoenard</td>
<td>43 - Red Cards</td>
<td>04/06/2011 to 05/04/2011</td>
<td></td>
</tr>
<tr>
<td>Oenard, Steven - steveoenard</td>
<td>43 - Red Cards</td>
<td>04/06/2011 to 05/04/2011</td>
<td></td>
</tr>
</tbody>
</table>

**Figure 5.A.8.2 – Edited Commitments Report Results**

The Edited Commitment Report provides the certifier’s name, the account for which the commitment was edited, and the commitment dates. The Action column displays the Scroll and Magnifying Glass icon that allows a user to edit the commitment, if desired (5.A.8.2). For more information on editing commitments, please refer to the Commitment Listing Report, section **V-A-1** of this document.

If granted access to this report, a user can see all edited commitments across the institution. As such, access to this report should be limited to central administrators and management.
9. Monthly Commitment Summary Report

The Monthly Commitment Summary Report shows all commitments for an employee for a 12-month period as defined by the user running the report.

To run the report the user enters the first month of the 12-month period to be reviewed and the name of the employee (Figure 5.A.9.1).

![Figure 5.A.9.1 – Monthly Commitment Summary Report Parameters](image)

The report shows each of the accounts on which the selected employee has commitments on a month-by-month basis and the average commitment over the 12 month period is listed in a column on the far-right (Figure 5.A.9.2).

![Figure 5.A.9.2 – Monthly Commitment Summary Report Results](image)
10. Required Effort Greater Than 100%

The Required Effort Greater Than 100% Report lists those researchers whose required effort (that is, the amount of effort required to meet a given commitment, based on previous certifications) is greater than 100%.

This report contains no parameters; to run the report, the user selects Run Report (Figure 5.A.10.1).

The results display the employee and the account(s) on which the required effort for the remainder of the commitment is over 100%. The date range of the commitment is also displayed, along with the committed and certified percentages, and required effort for the remainder of the commitment (Figure 5.A.10.2).

<table>
<thead>
<tr>
<th>Certifier Name</th>
<th>Account</th>
<th>Commitment Dates</th>
<th>Committed %</th>
<th>Certified %</th>
<th>Required Effort %</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ottka, Mike - mkeottka</td>
<td>A19-Shoulderpad - Shoulderpad Durability</td>
<td>01/01/2011 to 12/31/2011</td>
<td>60.00%</td>
<td>5.23%</td>
<td>222.51%</td>
</tr>
<tr>
<td>Faire, Brett - brettfaire</td>
<td>A19-Shoulderpad - Shoulderpad Durability</td>
<td>01/01/2011 to 12/31/2011</td>
<td>60.00%</td>
<td>37.59%</td>
<td>127.03%</td>
</tr>
<tr>
<td>Peyton, Walter - wallpeyton</td>
<td>A19-Helmet - Helmet Safety</td>
<td>01/01/2011 to 10/01/2012</td>
<td>75.00%</td>
<td>3.73%</td>
<td>294.22%</td>
</tr>
</tbody>
</table>
11. Required Effort Greater Than Available Effort

The Required Effort Greater Than Available Effort Report lists those researchers whose required effort (that is, the amount of effort required to satisfy a commitment, based on previous certifications) is greater than their available effort for the period, and takes into account all other effort commitments that the individual may have for a period.

This report contains no parameters; to run the report, the user selects Run Report (Figure 5.A.11.1).

**Figure 5.A.11.1 – Running the Required Effort Greater Than Available Effort Report**

This report, like the Required Effort Greater Than 100% Report, displays the employee name and the account on which the remaining required effort is greater than the amount of effort they have available (Figure 5.A.11.2).

**Figure 5.A.11.2 – Required Effort Greater Than Available Effort Results**

It also displays the start and end dates of their committed effort, the percentage they committed to, their certified effort on the account, and their remaining required effort. Finally, a sum of their other commitments is listed in the ‘Total Other Effort %’ column. This column is hyperlinked and, when selected, takes the user to the ‘Individual Awarded and Proposed Commitments Detail Report’ (Figure 5.A.11.3). This report provides a visual representation of an individual’s proposed and committed effort on a month-by-month basis.
This report shows all Commitment of record for a user. The default view shows all Commitment (Awarded and Proposed) but the user can toggle between views showing all Commitment, Awarded Commitment, or Proposed Commitment. In this report, diagonal bars signify Proposed Commitment.

Figure 5.A.11.3 – Individual Awarded and Proposed Commitments Detail Report
B. Management

1. Department Account Report

The Department Account Report displays all active and inactive awards and accounts for the selected department. The only parameter to be entered for this report is a department name. To run the report, the user will select Run Report (Figure 5.B.1.1).

The report displays the award or account number, the award or account name, the PI associated with the award or account, if any, and the sponsor associated with the award or account, if any (Figure 5.B.1.2). As with other reports showing award or account names, clicking on the name takes the user to the Award/Account Summary Page.

Based on your report selection below are the results. Please note that you can sort the results by clicking on the column header.

<table>
<thead>
<tr>
<th>Number</th>
<th>Name</th>
<th>PI</th>
<th>Sponsor Name</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Clinical Time</td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td></td>
<td>DR2-Payroll</td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td></td>
<td>Grant 2 Lung</td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td></td>
<td>Grant 5 Hair</td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td></td>
<td>Grant 8 Tech</td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td></td>
<td>HTPF-1</td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td></td>
<td>ISATG</td>
<td>James Hetfield - james.hetfield</td>
<td>N/A</td>
</tr>
<tr>
<td></td>
<td>HTPF-2</td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td></td>
<td>A3-Rolel</td>
<td>Stevie Wonder - steviwonder</td>
<td>NIH Sponsor 1</td>
</tr>
<tr>
<td></td>
<td>A10-Tissue</td>
<td>Rick James - rickjames</td>
<td>NIH Sponsor 1</td>
</tr>
<tr>
<td></td>
<td>A3-Value</td>
<td>Stevie Wonder - steviwonder</td>
<td>NIH Sponsor 1</td>
</tr>
</tbody>
</table>

Figure 5.B.1.2 – Departments Account Report Results
2. Accountability Review Report

The Accountability Review Report is a monitoring report for tracking the completion of multi-level review work flow. The results will display the review status of all certification statements for all reviewers.

The user must enter either an employee or the school/department for which they are searching (Figure 5.B.2.1). The user also is able to search by reviewer or certifier. If the user selects the ‘Reviewer’ option, the report will return the results of all uncompleted review tasks that are assigned to that reviewer, including statements that have not been certified.

![Figure 5.B.2.1 – Accountability Review Report](image)

The report displays the name of the certification statement owner, the statement owner's Primary Effort Coordinator, the Reviewer, the start and end date of the certification statement, the Review Status, and the status of the certification statement (Figure 5.B.2.2).

![Figure 5.B.2.2 – Accountability Review Report results](image)
3. Certification Activities Report

The Certification Activities Report provides a list of all the certification activities that have been entered by a certifier or for all certifiers on a given grant.

To run the report the user must enter a date range during which the Certification Activities data was entered and select either an employee or an account name. The user can toggle between active and inactive accounts to select from the correct account listing.

Once the desired parameters have been entered, the user will select Run Report (Figure 5.B.3.1).

![Figure 5.B.3.1 – Entering data for the Certification Activities Report](image)

The report displays the name of the statement’s owner, the start and end date of the period of performance, the award or account name, the name(s) of the Certification Activities configured by the institution boxes, along with the text entered and saved by the certifier, and the status of the statement (Figure 5.B.3.2).

![Figure 5.B.3.2 – Certification Activities Report](image)

If the activity text that was entered by the certifier is longer than the field length, the full text will be displayed in a mouse-over. The user may have to scroll to the right to see all of the columns and data.

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4. Certification Status Report

The Certification Status Report can be used by administrators to see a list of all certification statements that have a specified status at the time the report is run.

To run the Certification Status Report, there are a total of six input fields that need to be completed (Figure 5.B.4.1).

![Figure 5.B.4.1 – Certification Status – Employee Type (Date Range)](image)

The first section sets the status(es) for which the user would like to run the report. To do this, the user can use the right arrow to move a status from the ‘Available Status’ box (A) into the ‘Selected Status’ box (B). The user can move all statuses into the ‘Selected Status’ to provide a broad list of results or can move only one status to provide a more refined results list.

Next the user may enter the department or school for which the report will be run. The user can select a top level unit and receive a report that rolls up the results for all associated sub-units if the reporting roll up setting is enabled. If no department is
selected, the report will return results for all departments in the institution, assuming the user has the appropriate rights. This will require a significant amount of time to generate so a user should enter as much data as possible before running this report.

The user selects the roles for which to run the report. Selecting a role is similar to the process of selecting the statuses described above. The user can move as many, or as few, of the roles from the ‘Available Roles’ box into the ‘Selected Roles’ box by using the right arrow. The left arrows can be used to remove any roles from the ‘Selected Roles’ box.

The statement type must be selected. The user marks the checkbox for one or more of the payroll types – Base, Non-IBS, or Other. The user can select any combination of those three options.

Finally, the user enters the date parameters. The first input field is the “Date By” field. The range for this can be set in one of two ways. The first way is to input the dates, where the user enters a date range. This allows the user to run a report that crosses reporting periods but is more relevant to the department’s activity.

The alternative way of setting the date range is to select ‘Employee Type.’ This will prompt the user to select the type of employee to include in the report, which will in turn determine the Periods of Performance that can be reviewed.

When the correct parameters are entered, select Run Report and the results will appear below the input fields (Figure 5.B.4.2).

![Figure 5.B.4.2 - Certification Status Report Results](image)

The report generates a list of all the individuals with effort statements that match the parameters of the user’s search. The results display the user’s name, primary department, primary effort coordinator, email address, proxy assignment, certifier’s email address, period of performance dates, and the effort statement status.
5. Certification Status Summary Report

The Certification Status Summary Report allows the user to select a number of effort statement statuses and generate a report that displays all departments, even excluded departments, in the institution and how many effort statements each department has in the selected statuses. This report serves as a useful tool for a Central Administrator to obtain a quick summary of the status of an institution’s certification process.

To run the report, the user will select any one of the statuses from the Available Status box and move it over individually by clicking the single right arrow, or select all of the statuses by clicking the double right arrow (Figure 5.B.5.1).

![Figure 5.B.5.1 - Certification Status Summary Report](image)

The statement type must be selected. The user marks the checkbox for one or more of the payroll types – Base, Non-IBS, or Other. The user can select any combination of those three options.

The user then can select to search by either specific dates or by employee type.

If the user selects the ‘Dates’ method of running the report, the user will enter a Start Date and End Date for which to run the report. The results will include the statuses for all Periods of Performance that begin and end within the period defined by the Start Date and End Date. If only a Start Date is entered, then all Periods of Performance that begin after the Start Date will be shown in the results. If an End Date is entered, all Periods of Performance that conclude prior to the End Date will be shown. If no dates are entered, then all Periods of Performance within in the system will be aggregated and displayed in the results.
If the user selects the Employee Type method of running the report, the user will select the desired Employee Type and Period of Performance (Figure 5.B.5.2). If no Employee Type or Period of Performance is selected, then all Employee Types and/or Periods of Performance will be aggregated and included in the results.

**Date By:**
- ○ Dates
- ○ Employee Type

**Employee Type:**
- [Select]

**Period:**
- [Select]

**Run Report**

*Figure 5.B.5.2 - Certification Status Summary Report*

Once the parameters are appropriately entered, the user selects Run Report (Figure 5.B.5.3).

**Run Report**

*Figure 5.B.5.3 - Certification Status Summary Report*

In this example, the report is generated for all statuses during the date range of 7/1/2010-6/30/2011 and for ALL departments in the institution.

The Department Name is displayed, followed by the total number of effort statements in each of the statuses listed in the columns (Figure 5.B.5.4).
<table>
<thead>
<tr>
<th>Department Name</th>
<th>Default Incorrect</th>
<th>In Progress For Certification</th>
<th>Not Certified, Not Processed</th>
<th>Certified, Not Processed</th>
<th>Certified, Processed</th>
<th>Transfer In Progress or Pending</th>
<th>Auto Approved</th>
<th>Certified, Processed, Payroll Pending</th>
<th>Not Certified, Not Processed, Re-Opened</th>
<th>Not Certified, Not Processed, Re-Opened by Payroll Adjustment</th>
<th>Reconciliation</th>
<th>Profile Generated</th>
<th>Certified, Not Processed</th>
<th>Manual Certification, Not Processed</th>
<th>Manual Certification, Not Processed</th>
<th>Manual Certification, Not Processed</th>
</tr>
</thead>
<tbody>
<tr>
<td>Active Athlete Departments</td>
<td>0</td>
<td>0</td>
<td>14</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Classic Rock Department</td>
<td>0</td>
<td>0</td>
<td>10</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Modern Rock Department</td>
<td>0</td>
<td>0</td>
<td>12</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sports Legends Department</td>
<td>0</td>
<td>0</td>
<td>44</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Figure 5.B.5.4 - Certification Status Summary Report Results
6. Certifiers Exceeding the NIH Salary Cap

The Certifiers Exceeding the NIH Salary Cap query shows all certifiers whose salary exceeds the NIH Salary Cap and who have payroll or cost sharing on an NIH award during the reporting period.

To run this report, the user will input the Sponsor Code of the sponsor with the salary cap that the user wishes to use for the analysis and the salary cap amount for the review (Figure 5.B.6.1).

The query returns the name of the certifier that is over the salary cap, the start and end dates of the period of performance, and the award and grant number subject to the salary cap requirement. The next few columns contain the certifier’s salary, the payroll charges to the award, along with the cost share charges and cost share percentage. Finally, the Certified and Computed effort are displayed, with any payroll charges during the period, and the month during which the cap was enforced (Figure 5.B.6.2).
Figure 5.B.6.2 - Certifiers Exceeding the NIH Salary Cap Results
7. **Certifiers Subject to a Salary Cap with New Payroll Added**

The Certifiers Subject to a Salary Cap with New Payroll Added query displays all employees whose payroll dollars exceed a salary cap and that had new payroll loaded after the effort statement was certified and processed.

To run this report, the user will input the salary cap amount for the review and Sponsor Code of the sponsor with the salary cap that the user wishes to use for the analysis (Figure 5.B.7.1).

![Figure 5.B.7.1 – Certifiers Subject to a Salary Cap with New Payroll Added Parameters](image1)

The query returns information about the employee for which the payroll was added, including their employee ID, first and last name, primary department, period of performance start and end date, account number and name. The next columns display the payroll charged to the account prior to certification, and the retroactive net change in payroll. The final three columns contain the employee’s Primary Effort Coordinator employee ID, and first and last name (Figure 5.B.7.2).

![Figure 5.B.7.2 – Certifiers Subject to a Salary Cap with New Payroll Added Results](image2)
8. Certifiers with statements certified after the certification end date

The Certifiers with statements certified after the certification end date report lists those users that have a number of certifications that were completed after the due date. The number of statements is the parameter entered by the user.

To run the report, the user will enter the number of times that certifications have been completed past due then select Run Report (Figure 5.B.8.1).

![Figure 5.B.8.1 – Certifiers with statements certified after the certification end date Report Parameters](Image)

The query will return the employee's last name, first name, employee ID, primary department number, the employee's Primary Effort Coordinator's last name, first name, and employee ID, and the number of times the employee's certifications were completed after the end of the Certification Period (Figure 5.B.8.2).

![Figure 5.B.8.2 - Certifiers with statements certified after the certification end date Report Results](Image)
9. **Certifiers with an Incomplete Clinical Activities Statement**

The Certifiers with an Incomplete Clinical Activities Statement query that lists all certifiers within the institution whose Clinical Activity data has not been completed.

This report contains no parameters; to run the report, the user will select Run Report (Figure 5.B.9.1).

![Run Report](figure)

**Figure 5.B.9.1 – Running the Certifiers with an Incomplete Clinical Activities Statement Query**

The query returns the certifier's Clinical Activities statement identification code, full name and employee ID, primary department and effort coordinator. The last three columns display the number of unconfirmed periods, along with the start and end dates of the period of performance (Figure 5.B.9.2).

<table>
<thead>
<tr>
<th>Medicard</th>
<th>Certifier</th>
<th>Certifier department</th>
<th>Effort coordinator</th>
<th>Unconfirmed periods</th>
<th>Calendar start</th>
<th>Calendar end</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>jimmybuffett - buffett, jimmmy</td>
<td>DEMO Rock 1 - Rock and Roll Department 1</td>
<td>johnnymichael - johnny</td>
<td>2</td>
<td>2010-07-01</td>
<td>2010-12-31</td>
</tr>
<tr>
<td></td>
<td>melijagger - jagger, nick</td>
<td>DEMO Rock 1 - Rock and Roll Department 1</td>
<td>johnnymichael - johnny</td>
<td>2</td>
<td>2010-07-01</td>
<td>2010-12-31</td>
</tr>
<tr>
<td></td>
<td>rickjames - rick</td>
<td>DEMO Rock 1 - Rock and Roll Department 1</td>
<td>johnnymichael - johnny</td>
<td>2</td>
<td>2010-07-01</td>
<td>2010-12-31</td>
</tr>
</tbody>
</table>

**Figure 5.B.9.2 – Certifiers with an Incomplete Clinical Activities Statement Results**
10. Certifiers with Non-Sponsored Payroll less than Cost Share

The Certifiers with Non-Sponsored Payroll less than Cost Share query displays all certifiers that have non-sponsored accounts that have cost share transactions that exceed the payroll for the reporting period.

This report contains no parameters; to run the report, the user will select Run Report (Figure 5.B.10.1).

Figure 5.B.10.1 – Running the Certifiers with Non-Sponsored Payroll less than Cost Share Query

The query returns the employee’s ID, first name, last name, primary department, the start and end date of the Period of Performance, the account number and name, the payroll amount and the cost share amount (Figure 5.B.10.2).

Figure 5.B.10.2 – Certifiers with Non-Sponsored Payroll less than Cost Share Results
11. Certifiers with NSF Pay

The Certifiers with NSF Pay query lists all certifiers with payroll on an NSF award/account, the payroll for that award/account, and their total 12 month compensation, along with the certifiers' percentage of NSF pay for each award/account compared to total pay and the NSF 2/9 percentage threshold.

To run the report, the user will enter the start date for the time period to review and the name of the role for the employees to be included in the analysis (Figure 5.B.11.1).

**Figure 5.B.11.1 – Certifiers with NSF Pay Parameters**

The query returns the certifier's name, grant number and name, grant sponsor, NSF payroll, total payroll, NSF 2-month threshold, the percentage of the certifier's payroll that has been funded by the NSF, and the start date of the first payroll transactions affecting the statement and the end date of the last payroll transactions affecting the statement (Figure 5.B.11.2).

**Figure 5.B.11.2 – Certifiers with NSF Pay Results**

<table>
<thead>
<tr>
<th>Certifier name</th>
<th>Grant number</th>
<th>Grant name</th>
<th>Grant sponsor</th>
<th>NSF payroll</th>
<th>Total payroll</th>
<th>NSF 2-month threshold</th>
<th>Certifiers NSF payroll %</th>
<th>First payroll start date</th>
<th>Last payroll end date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Jimmy Buffett</td>
<td>A1-Heart</td>
<td>Heart Failure Studies</td>
<td>National Science Foundation</td>
<td>$7115.38</td>
<td>$4230.78</td>
<td>18.67%</td>
<td>60.00%</td>
<td>7/1/2010</td>
<td>7/28/2010</td>
</tr>
<tr>
<td>Steve Wonder</td>
<td>A1-Heart</td>
<td>Heart Failure Studies</td>
<td>National Science Foundation</td>
<td>$7115.38</td>
<td>$47526.96</td>
<td>15.67%</td>
<td>14.88%</td>
<td>7/1/2010</td>
<td>7/28/2010</td>
</tr>
</tbody>
</table>
12. Certifiers with Payroll loaded after Certification and before Processing

The Certifiers with Payroll loaded after Certification and before Processing query displays all statements with payroll that was loaded after the statement was certified but before the certified statement was processed, as well as detailed information about each payroll transaction.

This query contains no parameters; to run the report, the user will select Run Report (Figure 5.B.12.1).

The query returns the certifier’s name, primary department name, the Primary Effort Coordinator’s name, the start and end date of the Period of Performance, the payroll amount, the account name, the transaction date, and the start and end date of the pay period to which the transaction applies (Figure 5.B.12.2).
13. Certifiers with Uncertified Payroll to be Transferred

The Certifiers with Uncertified Payroll to be Transferred query lists all certifiers with payroll charges on a sponsored project that have not been certified.

To run this report, the user will enter the end date of the Period of Performance to identify the payroll that is uncertified (Figure 5.B.13.1).

**Figure 5.B.13.1 – Certifiers with Uncertified Payroll to be Transferred Parameters**

The query will return the department, the Principal Investigator on the account, the PI's email address and primary department, the statement owner's name and email, the statement owner's Primary Effort Coordinator and the PEC's email address, the start and end date of the Certification period, the Status of the statement, the award number, the account numbers, and the charges on the account (Figure 5.B.13.2).

**Figure 5.B.13.2 – Certifiers with Uncertified Payroll to be Transferred Results**
14. Certifiers with variances between Computed and Committed Effort

The Certifiers with variances between Computed and Committed Effort query returns all certifiers that have a variance between Computed Effort for the reporting period and the commitment(s) on record that affect the reporting period.

To run the report the user will enter the start and end date of the Period of Performance the user wishes to evaluate (Figure 5.B.14.1).

The query returns the employee ID number, the first and last name of the employee, the employee’s primary department name, the start and end date of the commitment, the award number and name, the total commitment percentage, the computed effort percentage, the employee ID of the Primary Effort Coordinator, and the PEC’s first and last names (Figure 5.B.14.2).
15. Certifiers' Status by Reporting Period with Detailed Certifier Information

The Certifiers' Status by Reporting period with Detailed Certifier Information query displays all certifiers within a reporting period and detailed information about each certifier, including status, department, username, and role.

This query contains no parameters; to run the report, the user will select Run Report (Figure 5.B.15.1).

**Figure 5.B.15.1 – Running the Certifiers' Status by Reporting Period with Detailed Certifier Information**

The query displays the department name, the employee’s first and last name, employee ID and username, the employee’s role, and the status of a statement (Figure 5.B.15.2).

**Figure 5.B.15.2 – Certifiers' Status by Reporting Period with Detailed Certifier Information Results**

16. Clinical Activity Hours Validation Quarterly

The Clinical Activity Hours Validation Quarterly query lists by quarter those certifiers that have violated the year-end Clinical Activity threshold that was established by the institution. These individuals do not have to adjust their confirmations at the present time but may need to do so in the future.

To run this query, the user will enter the end Confirmation Date of the Period of Performance (established in the Clinical Activity calendar) for which they wish to review (Figure 5.B.16.1).

Please Enter Confirmation Date (MM/DD/YYYY):

Run Report

Figure 5.B.16.1 – Clinical Activity Hours Validation Quarterly Parameters

The query returns records for everyone that has violated the validation up to the date that was entered. The query displays the department code and full name, employee ID and full name, employee’s total TPE, planned TPE for the TPE entities, average hours, year-to-date effort percentage, employee’s FTE value, violation type, threshold value violated, and the calculated Clinical Activity hours value used for validation (Figure 5.B.16.2).

Figure 5.B.16.2 – Clinical Activity Hours Validation Quarterly Results
17. Clinical Activity Hours Validation Yearly

The Clinical Activity Hours Validation Yearly query lists those certifiers that have violated the year-end Clinical Activity threshold that was established by the institution.

To run this query, the user will enter the end Confirmation Date of the Period of Performance (established in the Clinical Activity calendar) for which they wish to review (Figure 5.B.17.1).

Figure 5.B.17.1 – Clinical Activity Hours Validation Yearly Parameters

The query returns records for everyone that has violated the validation up to the date that was entered. The columns returned by this query are the same as the ‘Clinical Activity Hours Validation Yearly query. They include the department code and full name, employee ID and full name, employee’s total TPE, planned TPE for the TPE entities, average hours, year-to-date effort percentage, employee’s FTE value, violation type, threshold value violated, and the calculated Clinical Activity hours value used for validation (Figure 5.B.17.2).

Figure 5.B.17.2 – Clinical Activity Hours Validation Yearly Results
18. Clinical Activity Incomplete Data

The Clinical Activity Incomplete Data query lists those certifiers whose Clinical Activity data has not been completed for the departments for which the user is running the report.

To run this query, the user will enter the Department Number to review (Figure 5.B.18.1).

Please Enter Department Number:

Run Report

Figure 5.B.18.1 – Clinical Activity Incomplete Data Parameters

The query returns the certifier's name and employee ID, department name and number, department coordinator, Clinical Activity statement period of performance, and whether the reporting sub-period have been confirmed and the status of the statement (Figure 5.B.18.2).

<table>
<thead>
<tr>
<th>Certified name</th>
<th>Employee ID</th>
<th>Dept name</th>
<th>Dept number</th>
<th>Dept coordinator</th>
<th>Med card period</th>
<th>Q1 confirmed</th>
<th>Q2 confirmed</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bullitt, Jimmy</td>
<td>jimmybullitt</td>
<td></td>
<td></td>
<td></td>
<td>07/01/11 - 12/31/11</td>
<td>F</td>
<td>F</td>
<td>Not Certified</td>
</tr>
<tr>
<td>Bullitt, Jimmy</td>
<td>jimmybullitt</td>
<td></td>
<td></td>
<td></td>
<td>01/01/11 - 06/30/11</td>
<td>F</td>
<td>F</td>
<td>Not Certified</td>
</tr>
<tr>
<td>Bullitt, Jimmy</td>
<td>jimmybullitt</td>
<td></td>
<td></td>
<td></td>
<td>07/01/11 - 12/31/11</td>
<td>F</td>
<td>F</td>
<td>Not Certified</td>
</tr>
<tr>
<td>Bullitt, Jimmy</td>
<td>jimmybullitt</td>
<td></td>
<td></td>
<td></td>
<td>07/01/11 - 12/31/11</td>
<td>F</td>
<td>F</td>
<td>Not Certified</td>
</tr>
<tr>
<td>Bullitt, Jimmy</td>
<td>jimmybullitt</td>
<td></td>
<td></td>
<td></td>
<td>07/01/11 - 12/31/11</td>
<td>F</td>
<td>F</td>
<td>Not Certified</td>
</tr>
<tr>
<td>Bullitt, Jimmy</td>
<td>jimmybullitt</td>
<td></td>
<td></td>
<td></td>
<td>01/01/11 - 06/30/11</td>
<td>F</td>
<td>F</td>
<td>Not Certified</td>
</tr>
<tr>
<td>Jagger, Mick</td>
<td>mickjagger</td>
<td></td>
<td></td>
<td></td>
<td>07/01/11 - 12/31/11</td>
<td>F</td>
<td>F</td>
<td>Not Certified</td>
</tr>
<tr>
<td>Jagger, Mick</td>
<td>mickjagger</td>
<td></td>
<td></td>
<td></td>
<td>01/01/11 - 06/30/11</td>
<td>F</td>
<td>F</td>
<td>Not Certified</td>
</tr>
<tr>
<td>Jagger, Mick</td>
<td>mickjagger</td>
<td></td>
<td></td>
<td></td>
<td>07/01/11 - 12/31/11</td>
<td>F</td>
<td>F</td>
<td>Not Certified</td>
</tr>
<tr>
<td>Jagger, Mick</td>
<td>mickjagger</td>
<td></td>
<td></td>
<td></td>
<td>07/01/11 - 12/31/11</td>
<td>F</td>
<td>F</td>
<td>Not Certified</td>
</tr>
<tr>
<td>Jagger, Mick</td>
<td>mickjagger</td>
<td></td>
<td></td>
<td></td>
<td>07/01/11 - 12/31/11</td>
<td>T</td>
<td>T</td>
<td>Pending Review</td>
</tr>
<tr>
<td>Jagger, Mick</td>
<td>mickjagger</td>
<td></td>
<td></td>
<td></td>
<td>01/01/11 - 06/30/11</td>
<td>F</td>
<td>F</td>
<td>Not Certified</td>
</tr>
<tr>
<td>Jagger, Mick</td>
<td>mickjagger</td>
<td></td>
<td></td>
<td></td>
<td>07/01/11 - 12/31/11</td>
<td>F</td>
<td>F</td>
<td>Not Certified</td>
</tr>
<tr>
<td>Jagger, Mick</td>
<td>mickjagger</td>
<td></td>
<td></td>
<td></td>
<td>07/01/11 - 12/31/11</td>
<td>F</td>
<td>F</td>
<td>Not Certified</td>
</tr>
<tr>
<td>Jagger, Mick</td>
<td>mickjagger</td>
<td></td>
<td></td>
<td></td>
<td>07/01/11 - 12/31/11</td>
<td>F</td>
<td>F</td>
<td>Not Certified</td>
</tr>
<tr>
<td>James, Rick</td>
<td>nikjasjames</td>
<td></td>
<td></td>
<td></td>
<td>07/01/11 - 12/31/11</td>
<td>F</td>
<td>F</td>
<td>Not Certified</td>
</tr>
<tr>
<td>James, Rick</td>
<td>nikjasjames</td>
<td></td>
<td></td>
<td></td>
<td>01/01/11 - 06/30/11</td>
<td>F</td>
<td>F</td>
<td>Not Certified</td>
</tr>
<tr>
<td>James, Rick</td>
<td>nikjasjames</td>
<td></td>
<td></td>
<td></td>
<td>07/01/11 - 12/31/11</td>
<td>F</td>
<td>F</td>
<td>Not Certified</td>
</tr>
<tr>
<td>James, Rick</td>
<td>nikjasjames</td>
<td></td>
<td></td>
<td></td>
<td>07/01/11 - 12/31/11</td>
<td>F</td>
<td>F</td>
<td>Not Certified</td>
</tr>
<tr>
<td>James, Rick</td>
<td>nikjasjames</td>
<td></td>
<td></td>
<td></td>
<td>01/01/11 - 06/30/11</td>
<td>F</td>
<td>F</td>
<td>Not Certified</td>
</tr>
<tr>
<td>James, Rick</td>
<td>nikjasjames</td>
<td></td>
<td></td>
<td></td>
<td>07/01/11 - 12/31/11</td>
<td>F</td>
<td>F</td>
<td>Not Certified</td>
</tr>
</tbody>
</table>

Figure 5.B.18.2 – Clinical Activity Incomplete Data Results
19. **Effort statements certified by someone other than the Statement Owner**

The Effort statements certified by someone other than the Statement Owner query displays all certified effort statements that were certified by someone other than the statement owner with detailed information about each effort certification, including whether the certifier was marked as the statement owner's proxy.

This query contains no parameters; to run the report, the user will select Run Report (Figure 5.B.19.1).

![Run Report](Figure 5.B.19.1 – Running the Effort statements certified by someone other than the Statement Owner)

The query displays the statement owner’s name, the department name, the Primary Effort Coordinator’s name, the start and end dates of the Certification Period, the name of the employee that certified the statement, the name of a proxy if one exists, and the name of an attachment if there is one (Figure 5.B.19.2).
<table>
<thead>
<tr>
<th>Certifier_name</th>
<th>Department</th>
<th>Pre-Name</th>
<th>Certification_start</th>
<th>Certification_end</th>
<th>Audit_certifier_name</th>
<th>Proxy_certifier_name</th>
<th>Attachment_name</th>
</tr>
</thead>
<tbody>
<tr>
<td>Andre Agassi</td>
<td>Rock and Roll</td>
<td>Johnny Cash</td>
<td>2011-01-01</td>
<td>2011-03-31</td>
<td>System User</td>
<td>false</td>
<td></td>
</tr>
<tr>
<td>Aretha Franklin</td>
<td>Modern Rock</td>
<td>Adam Duritz</td>
<td>2010-07-01</td>
<td>2010-12-31</td>
<td>System User</td>
<td>false</td>
<td></td>
</tr>
<tr>
<td>Bing Crosby</td>
<td>Classic Rock</td>
<td>Johnny Cash</td>
<td>2010-07-01</td>
<td>2010-12-31</td>
<td>System User</td>
<td>false</td>
<td></td>
</tr>
<tr>
<td>Bo Diddley</td>
<td>Modern Rock</td>
<td>Adam Duritz</td>
<td>2011-01-01</td>
<td>2011-06-30</td>
<td>System User</td>
<td>false</td>
<td></td>
</tr>
<tr>
<td>Bruce Springsteen</td>
<td>Classic Rock</td>
<td>Johnny Cash</td>
<td>2010-07-01</td>
<td>2010-12-31</td>
<td>System User</td>
<td>false</td>
<td></td>
</tr>
<tr>
<td>Bruce Springsteen</td>
<td>Classic Rock</td>
<td>Johnny Cash</td>
<td>2010-07-01</td>
<td>2010-12-31</td>
<td>System User</td>
<td>false</td>
<td></td>
</tr>
<tr>
<td>Elvis Presley</td>
<td>Modern Rock</td>
<td>Adam Duritz</td>
<td>2010-07-01</td>
<td>2010-12-31</td>
<td>System User</td>
<td>false</td>
<td></td>
</tr>
<tr>
<td>Hank Aaron</td>
<td>Rock and Roll</td>
<td>Johnny Cash</td>
<td>2011-01-01</td>
<td>2011-03-31</td>
<td>System User</td>
<td>false</td>
<td></td>
</tr>
</tbody>
</table>

Figure 5.B.19.2 – Effort statements certified by someone other than the Statement Owner Results
20. Effort Statements On Hold

The Effort Statements On Hold query displays all effort statements that are on hold.

This query contains no parameters; to run the report, the user will select Run Report (Figure 5.B.20.1).

### Run Report

**Figure 5.B.20.1 – Running the Effort Statements On Hold Query**

The query displays the statement owner’s name and primary department name and number, the name of the employee that placed the statement on hold, that employee’s primary department name and number, the date the statement was placed on hold, the current status of the statement, and the statement owner’s Primary Effort Coordinator (Figure 5.B.20.2).

<table>
<thead>
<tr>
<th>Certifier with an effort card on hold</th>
<th>Certifier home department name</th>
<th>Certifier home department</th>
<th>Effort card placed on hold by</th>
<th>Home department name</th>
<th>Home department number</th>
<th>Home department</th>
<th>Date placed on hold</th>
<th>Effort card status</th>
<th>Individual home department primary effort coordinator</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pendegrath, Jeff</td>
<td>Blazers Department</td>
<td>Blazers Department</td>
<td>User, System Institution</td>
<td>AA699</td>
<td>2011-04-05</td>
<td>Not Certified,</td>
<td>Cho, Rich</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>17:16:20:442</td>
<td>Not Processed</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Mills, Patty</td>
<td>Soccer Department</td>
<td>Soccer Department</td>
<td>User, System Institution</td>
<td>AA699</td>
<td>2011-04-16</td>
<td>Not Certified,</td>
<td>Donovan, Landon</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>11:48:56:378</td>
<td>Not Processed</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Pendegrath, Jeff</td>
<td>Blazers Department</td>
<td>Blazers Department</td>
<td>User, System Institution</td>
<td>AA699</td>
<td>2011-04-05</td>
<td>Not Certified,</td>
<td>Cho, Rich</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>17:21:03:573</td>
<td>Not Processed</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Faye, Brett</td>
<td>Quarterbacks Department</td>
<td>Quarterbacks Department</td>
<td>Donovan, Soccer Department</td>
<td>AA699</td>
<td>2011-04-01</td>
<td>Not Certified,</td>
<td>Rodgers, Aaron</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>16:08:52:123</td>
<td>Not Processed</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Faye, Brett</td>
<td>Quarterbacks Department</td>
<td>Quarterbacks Department</td>
<td>Donovan, Soccer Department</td>
<td>AA699</td>
<td>2011-04-01</td>
<td>Not Certified,</td>
<td>Rodgers, Aaron</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>16:08:52:123</td>
<td>Not Processed</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Aldridge, Lamar</td>
<td>Blazers Department</td>
<td>Blazers Department</td>
<td>User, System Institution</td>
<td>AA699</td>
<td>2011-04-06</td>
<td>Certified,</td>
<td>Cho, Rich</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>12:07:56:59</td>
<td>Processed</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Meloche, Raul</td>
<td>Soccer Department</td>
<td>Soccer Department</td>
<td>User, System Institution</td>
<td>AA699</td>
<td>2011-04-05</td>
<td>Not Certified,</td>
<td>Donovan, Landon</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>12:14:24:59</td>
<td>Not Processed</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Keller, Caelin</td>
<td>Tight End Department</td>
<td>Tight End Department</td>
<td>Gates, Antonio, Tight End</td>
<td>AA699</td>
<td>2011-04-08</td>
<td>Not Certified,</td>
<td>Gates, Antonio</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Department</td>
<td></td>
<td>11:59:41:243</td>
<td>Not Processed</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Witten, Jason</td>
<td>Tight End Department</td>
<td>Tight End Department</td>
<td>Gates, Antonio, Tight End</td>
<td>AA699</td>
<td>2011-04-08</td>
<td>Not Certified,</td>
<td>Gates, Antonio</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Department</td>
<td></td>
<td>11:59:41:243</td>
<td>Not Processed</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Finley, Jernichael</td>
<td>Tight End Department</td>
<td>Tight End Department</td>
<td>User, System Institution</td>
<td>AA699</td>
<td>2011-04-06</td>
<td>Not Certified,</td>
<td>Gates, Antonio</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>11:35:16:867</td>
<td>Not Processed</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Figure 5.B.20.2 – Effort Statements On Hold Query Results**
21. External Audit Report

The External Audit Report lists the effort certifications for an employee, for all employees within a department, for all employees that had salary or cost sharing charged to a specific sponsored award or account, or for all employees that worked for a specific Principal Investigator. The report can be generated by a period of performance or by user entered date ranges. The search criteria allow for maximum flexibility – specifically the ability to run this report for a sponsored award and return all of the certification statements for the award for the entire life of the award (Figure 5.B.21.1).

To run the report, the user will select the certification status to be included. If the user does not select a specific status then the report will be generated for all statuses.

The user then will determine the data parameters for the report. The user can select the employee type and certification period from the drop-down menus or the user can enter start and end dates in the appropriate fields. This allows a user to run the report for the life of an award if desired.

The user will use the radio buttons to select how the report will be generated – for an employee, department, award or account, or PI. In the example above, the report will be generated for an employee. The user may also include the effort notes and/or the transaction history for each certification statement.
Once the parameters are established, the user will select Run Report. The report results are displayed as shown below (Figure 5.B.21.2). In this example, the report was generated by employee.

![Parameters vs Results]

Based on your report selection below are the results. Please note that you can sort the results by clicking on the column header.

<table>
<thead>
<tr>
<th>Certifier</th>
<th>Department Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>Beckham, David</td>
<td>Soccer Department</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Figure 5.B.21.2 – External Audit Report by Department

The report listing shows the certifier name and department for each person who matches the criteria.

The report also can be run by entire department (Figure 5.B.21.3).

![Parameters vs Results]

Based on your report selection below are the results. Please note that you can sort the results by clicking on the column header.

<table>
<thead>
<tr>
<th>Certifier</th>
<th>Department Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>Alford, Joty</td>
<td>Soccer Department</td>
</tr>
<tr>
<td>Beckham, David</td>
<td>Soccer Department</td>
</tr>
<tr>
<td>Bradley, Michael</td>
<td>Soccer Department</td>
</tr>
<tr>
<td>Carragher, Jamie</td>
<td>Soccer Department</td>
</tr>
<tr>
<td>Davies, Charlie</td>
<td>Soccer Department</td>
</tr>
<tr>
<td>Kuyt, Dirk</td>
<td>Soccer Department</td>
</tr>
<tr>
<td>Onyewu, Oguchiel</td>
<td>Soccer Department</td>
</tr>
<tr>
<td>Reina, Pape</td>
<td>Soccer Department</td>
</tr>
<tr>
<td>Schweinsteiger</td>
<td>Soccer Department</td>
</tr>
<tr>
<td>Skrtel, Martin</td>
<td>Soccer Department</td>
</tr>
<tr>
<td>Suarez, Luis</td>
<td>Soccer Department</td>
</tr>
</tbody>
</table>

Figure 5.B.21.3 – External Audit Report – by Employee

The report also can be run by account or award (Figure 5.B.21.4).
A new setting on the External Audit Report also allows the user to generate statements for all certifiers associated to a PI. This allows the user to print all statements for which a PI has certification responsibility (Figure 5.B.21.5).

To create a PDF version of the report, the user will select the “Click Here To Create a PDF Report” link (Figure 5.B.21.5). A new browser window will appear along with a message stating that the PDF Report is being generated (Figure 5.B.21.6).
Figure 5.B.21.6 – Generating a PDF version of the External Audit Report

The PDF version will appear in the new browser window, allowing a user to save or print the report (Figure 5.B.21.7).

Figure 5.B.21.7 – PDF version of the External Audit Report
The PDF version will reflect the number of decimal places as configured in Manage Global Settings>Effort Administration>Effort Statement Column Precision settings. For more information on this setting, please refer to section VI-E-12 of this document.
22. Global Clinical Activity Incomplete Data

The Global Clinical Activity Incomplete Data query lists those certifiers whose Clinical Activity data has not been completed for the entire institution.

This query contains no parameters; to run the report, the user will select Run Report (Figure 5.B.22.1).

The query displays the certifier's name and employee ID, the primary department name and number, department coordinator, Clinical Activity statement period of performance, and whether the reporting sub-period have been confirmed and the status of the statement (Figure 5.B.22.2).
### Figure 5.B.22.2 – Global Clinical Activity Incomplete Data Results

<table>
<thead>
<tr>
<th>First Name</th>
<th>Last Name</th>
<th>Dept Name</th>
<th>Dept Number</th>
<th>Med Card Period</th>
<th>01 Confirmed</th>
<th>02 Confirmed</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>Buffett</td>
<td>Jimmy</td>
<td>Rock Roll</td>
<td>DEMO Rock 1</td>
<td>07/01/10 - 12/31/10</td>
<td>F</td>
<td>F</td>
<td>Not Certified</td>
</tr>
<tr>
<td>Buffett</td>
<td>Jimmy</td>
<td>Rock Roll</td>
<td>DEMO Rock 1</td>
<td>07/01/10 - 12/31/10</td>
<td>F</td>
<td>F</td>
<td>Not Certified</td>
</tr>
<tr>
<td>Buffett</td>
<td>Jimmy</td>
<td>Rock Roll</td>
<td>DEMO Rock 1</td>
<td>07/01/10 - 12/31/10</td>
<td>F</td>
<td>F</td>
<td>Not Certified</td>
</tr>
<tr>
<td>Buffett</td>
<td>Jimmy</td>
<td>Rock Roll</td>
<td>DEMO Rock 1</td>
<td>07/01/10 - 12/31/10</td>
<td>F</td>
<td>F</td>
<td>Not Certified</td>
</tr>
<tr>
<td>Buffett</td>
<td>Jimmy</td>
<td>Rock Roll</td>
<td>DEMO Rock 1</td>
<td>07/01/10 - 12/31/10</td>
<td>F</td>
<td>F</td>
<td>Not Certified</td>
</tr>
<tr>
<td>Buffett</td>
<td>Jimmy</td>
<td>Rock Roll</td>
<td>DEMO Rock 1</td>
<td>07/01/10 - 12/31/10</td>
<td>F</td>
<td>F</td>
<td>Not Certified</td>
</tr>
<tr>
<td>Buffett</td>
<td>Jimmy</td>
<td>Rock Roll</td>
<td>DEMO Rock 1</td>
<td>07/01/10 - 12/31/10</td>
<td>F</td>
<td>F</td>
<td>Not Certified</td>
</tr>
<tr>
<td>Buffett</td>
<td>Jimmy</td>
<td>Rock Roll</td>
<td>DEMO Rock 1</td>
<td>07/01/10 - 12/31/10</td>
<td>F</td>
<td>F</td>
<td>Not Certified</td>
</tr>
<tr>
<td>Buffett</td>
<td>Jimmy</td>
<td>Rock Roll</td>
<td>DEMO Rock 1</td>
<td>07/01/10 - 12/31/10</td>
<td>F</td>
<td>F</td>
<td>Not Certified</td>
</tr>
<tr>
<td>Buffett</td>
<td>Jimmy</td>
<td>Rock Roll</td>
<td>DEMO Rock 1</td>
<td>07/01/10 - 12/31/10</td>
<td>F</td>
<td>F</td>
<td>Not Certified</td>
</tr>
<tr>
<td>Buffett</td>
<td>Jimmy</td>
<td>Rock Roll</td>
<td>DEMO Rock 1</td>
<td>07/01/10 - 12/31/10</td>
<td>F</td>
<td>F</td>
<td>Not Certified</td>
</tr>
<tr>
<td>Buffett</td>
<td>Jimmy</td>
<td>Rock Roll</td>
<td>DEMO Rock 1</td>
<td>07/01/10 - 12/31/10</td>
<td>F</td>
<td>F</td>
<td>Not Certified</td>
</tr>
<tr>
<td>Buffett</td>
<td>Jimmy</td>
<td>Rock Roll</td>
<td>DEMO Rock 1</td>
<td>07/01/10 - 12/31/10</td>
<td>F</td>
<td>F</td>
<td>Not Certified</td>
</tr>
<tr>
<td>Buffett</td>
<td>Jimmy</td>
<td>Rock Roll</td>
<td>DEMO Rock 1</td>
<td>07/01/10 - 12/31/10</td>
<td>F</td>
<td>F</td>
<td>Not Certified</td>
</tr>
</tbody>
</table>
23. List of all Awards and their Associated Accounts

The List of all Awards and their Associated Accounts query displays each award and the accounts associated to each.

This query contains no parameters; to run the report, the user will select Run Report (Figure 5.B.23.1).

![Run Report](image)

**Figure 5.B.23.1 – Running the List of all Awards and their Associated Accounts**

The query displays the award number and name, the account number and name, the department number and name of the department in which the account is hosted, the sponsor name, the name of the PI, the budget amount of the account, the start and end date of the account, and flags to indicate whether the account is an exception account, cost share account, K award, or ARRA account (Figure 5.B.23.2).
<table>
<thead>
<tr>
<th>Grant #</th>
<th>Award Name</th>
<th>Account Number</th>
<th>Account Name</th>
<th>Department Code</th>
<th>Department Name</th>
<th>Sponsor Name</th>
<th>Budget</th>
<th>Start Date</th>
<th>End Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Grant 1 Heart</td>
<td>Grant 1 Heart A1-Heart</td>
<td>Heart Failure Studies</td>
<td>DEMO Rock 1</td>
<td>Rock and Roll Department 1</td>
<td>N/A</td>
<td>$0</td>
<td>2006-07-01</td>
<td>2012-06-30</td>
<td></td>
</tr>
<tr>
<td>Grant 1 Heart</td>
<td>Grant 1 Heart A9-Valve</td>
<td>Valve Replacement</td>
<td>DEMO Rock 1</td>
<td>Rock and Roll Department 1</td>
<td>N/A</td>
<td>$0</td>
<td>2006-07-01</td>
<td>2012-06-30</td>
<td></td>
</tr>
<tr>
<td>Grant 2 Lung</td>
<td>Grant 2 Lung A2-Lung</td>
<td>Development of Artificial Lung</td>
<td>DEMO Rock 1</td>
<td>Rock and Roll Department 1</td>
<td>N/A</td>
<td>$0</td>
<td>2007-07-01</td>
<td>2015-06-30</td>
<td></td>
</tr>
<tr>
<td>Grant 3 Eye</td>
<td>Grant 3 Eye A3-Cornea</td>
<td>Cornea Studies</td>
<td>DEMO Rock 1</td>
<td>Rock and Roll Department 1</td>
<td>N/A</td>
<td>$0</td>
<td>2007-07-01</td>
<td>2012-06-30</td>
<td></td>
</tr>
<tr>
<td>Grant 3 Eye</td>
<td>Grant 3 Eye A6-Revina</td>
<td>Retina Rebuilding</td>
<td>DEMO Rock 1</td>
<td>Rock and Roll Department 1</td>
<td>N/A</td>
<td>$0</td>
<td>2007-07-01</td>
<td>2012-06-30</td>
<td></td>
</tr>
<tr>
<td>Grant 10 Football</td>
<td>Grant 10 Football Equipment</td>
<td>A18-Shouldepad Durability</td>
<td>DEMO Rock 1</td>
<td>Rock and Roll Department 1</td>
<td>N/A</td>
<td>$0</td>
<td>2006-07-01</td>
<td>2012-06-30</td>
<td></td>
</tr>
<tr>
<td>Grant 11 Dehydration</td>
<td>Grant 11 Dehydration Studies</td>
<td>A19-Water</td>
<td>DEMO Rock 1</td>
<td>Rock and Roll Department 1</td>
<td>N/A</td>
<td>$0</td>
<td>2006-07-01</td>
<td>2012-06-30</td>
<td></td>
</tr>
<tr>
<td>Grant 12 Tennis</td>
<td>Grant 12 Tennis Rackets</td>
<td>A20-Modification</td>
<td>DEMO Rock 1</td>
<td>Rock and Roll Department 1</td>
<td>N/A</td>
<td>$0</td>
<td>2006-07-01</td>
<td>2012-06-30</td>
<td></td>
</tr>
<tr>
<td>Grant 12 Tennis</td>
<td>Grant 12 Tennis Rackets</td>
<td>A21-Wind</td>
<td>DEMO Rock 1</td>
<td>Rock and Roll Department 1</td>
<td>N/A</td>
<td>$0</td>
<td>2006-07-01</td>
<td>2012-06-30</td>
<td></td>
</tr>
<tr>
<td>Grant 7 Speed</td>
<td>Grant 7 Speed Improvement</td>
<td>A12-Muscle</td>
<td>DEMO Rock 1</td>
<td>Rock and Roll Department 1</td>
<td>N/A</td>
<td>$0</td>
<td>2006-07-01</td>
<td>2012-06-30</td>
<td></td>
</tr>
<tr>
<td>Grant 9 Golf</td>
<td>Grant 9 Golf</td>
<td>A15-Chubhead Speed</td>
<td>DEMO Rock 1</td>
<td>Rock and Roll Department 1</td>
<td>NIH Sponsor</td>
<td>$0</td>
<td>2006-07-01</td>
<td>2012-06-30</td>
<td></td>
</tr>
</tbody>
</table>

Figure 5.B.23.2 – List of all Awards and their Associated Accounts Results
24. List of Global Settings – (Activity Codes through Commitment Award Types)

The List of Global Settings queries export all configuration settings in three queries. The Activity Codes through Commitment Award Types query displays the corresponding Global Settings values for those settings.

This query contains no parameters; to run the report, the user will select Run Report (Figure 5.B.24.1).

Run Report

Figure 5.B.24.1 – Running the List of Global Settings – Activity Codes through Commitment Award Types

The query displays the Global Setting name, including the options associated to each setting, and the value that is in effect for the setting (Figure 5.B.24.2).

<table>
<thead>
<tr>
<th>Order</th>
<th>Global setting name</th>
<th>Global setting value</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Activity Codes</td>
<td>Teaching</td>
</tr>
<tr>
<td>1</td>
<td>Activity Code 011</td>
<td>Department Research</td>
</tr>
<tr>
<td>2</td>
<td>Activity Codes</td>
<td>NOTE: Missing Information</td>
</tr>
<tr>
<td>3</td>
<td>Certification Activity Code</td>
<td>The Cello Server</td>
</tr>
<tr>
<td>3</td>
<td>Certification Activity Code</td>
<td>Research Activities #1</td>
</tr>
<tr>
<td>3</td>
<td>Certification Activity Code</td>
<td>Research Activities #2</td>
</tr>
<tr>
<td>3</td>
<td>Certification Activity Code</td>
<td>Research Activities #3</td>
</tr>
<tr>
<td>4</td>
<td>Task List Administration</td>
<td>enableCesSponsorshipNotificationToDo</td>
</tr>
<tr>
<td>4</td>
<td>enableAwarenessNotificationToDo</td>
<td>true</td>
</tr>
<tr>
<td>5</td>
<td>Effort Administration</td>
<td>autoProcessAddCard</td>
</tr>
<tr>
<td>5</td>
<td>avgTdpPercentageAgtAs</td>
<td>false</td>
</tr>
<tr>
<td>6</td>
<td>commitEditItem</td>
<td>00</td>
</tr>
<tr>
<td>6</td>
<td>commitEditReview</td>
<td>100</td>
</tr>
<tr>
<td>6</td>
<td>commitEditReviewOver</td>
<td>false</td>
</tr>
<tr>
<td>6</td>
<td>currentTdpPercentageAgtAs</td>
<td>0</td>
</tr>
<tr>
<td>6</td>
<td>effortCardConfPrice</td>
<td>true</td>
</tr>
<tr>
<td>6</td>
<td>effortCardLlrthCollapse</td>
<td>1</td>
</tr>
<tr>
<td>6</td>
<td>effortCardReviewThreshold</td>
<td>false</td>
</tr>
<tr>
<td>6</td>
<td>enableEffortCardHold</td>
<td>true</td>
</tr>
<tr>
<td>6</td>
<td>enableEffortCardHldAEmail</td>
<td>true</td>
</tr>
<tr>
<td>6</td>
<td>enableEffortCardHldEmail</td>
<td>false</td>
</tr>
</tbody>
</table>

Figure 5.B.24.2 – List of Global Settings – Activity Codes through Commitment Award Types Results
25. List of Global Settings – (Commitment Role Types through Application On/Off)

The List of Global Settings queries export all configuration settings in three queries. The Commitment Role Types through Application On/Off query displays the corresponding Global Settings values for those settings.

This query contains no parameters; to run the report, the user will select Run Report (Figure 5.B.25.1).

**Figure 5.B.25.1 – Running the List of Global Settings – Commitment Role Types through Application On/Off**

The query displays the Global Setting name, including the options associated to each setting, and the value that is in effect for the setting (Figure 5.B.25.2).

<table>
<thead>
<tr>
<th>Order</th>
<th>Global setting name</th>
<th>Global setting value</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Commitment Role Type-Co-I</td>
<td>Co-Investigator</td>
</tr>
<tr>
<td>1</td>
<td>Commitment Role Type-Co-P</td>
<td>Co-Principal Investigator</td>
</tr>
<tr>
<td>1</td>
<td>Commitment Role Type-DEFAULT</td>
<td>For backwards compatibility</td>
</tr>
<tr>
<td>1</td>
<td>Commitment Role Type-KEY</td>
<td>Key Personnel</td>
</tr>
<tr>
<td>1</td>
<td>Commitment Role Type-MNT</td>
<td>Mentor</td>
</tr>
<tr>
<td>1</td>
<td>Commitment Role Type-NOR</td>
<td>Non-Key Personnel</td>
</tr>
<tr>
<td>1</td>
<td>Commitment Role Type-OTH</td>
<td>Other Significant Contributor</td>
</tr>
<tr>
<td>1</td>
<td>Commitment Role Type-OFC</td>
<td>Other</td>
</tr>
<tr>
<td>1</td>
<td>Commitment Role Type-PI</td>
<td>Previous Principal Investigator</td>
</tr>
<tr>
<td>1</td>
<td>Commitment Role Type-PB</td>
<td>Principal Investigator</td>
</tr>
</tbody>
</table>

Clinical Activity Administration
- Medicare Activity Category-Administration
- Medicare Activity Category-Department
- Medicare Activity Category-Education
- Medicare Activity Category-Excl
- Medicare Activity Category-Exx
- Medicare Activity Category-Exx2
- Medicare Activity Category-Exx3
- Medicare Activity Category-Five
- Medicare Activity Category-Four
- Medicare Activity Category-Hospital
- Medicare Activity Category-One
- Medicare Activity Category-One
- Medicare Activity Category-Other
- Medicare Activity Category-PC

*Note: Missing Information* 
Administration and Other
Department
Education
Example 1
Example 2
Example 3
Five
Four
Hospital
One
Other
Patient Care
26. **List of Global Settings – (Template through Cost Sharing Types)**

The List of Global Settings queries export all configuration settings in three queries. The Template through Cost Sharing Types query displays the corresponding Global Settings values for those settings.

This query contains no parameters; to run the report, the user will select Run Report (Figure 5.B.26.1).

![Run Report](#)

**Figure 5.B.26.1 – Running the List of all Awards and their Associated Accounts**

The query displays the Global Setting name, including the options associated to each setting, and the value that is in effect for the setting (Figure 5.B.26.2).
<table>
<thead>
<tr>
<th>Order</th>
<th>Global setting name</th>
<th>Global setting value</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>cstaFontFamily</td>
<td>Arial, Helvetica, sans-serif</td>
</tr>
<tr>
<td>1</td>
<td>cstaFontStyle</td>
<td>84A3C4</td>
</tr>
<tr>
<td>1</td>
<td>cstaFontSize</td>
<td>000000</td>
</tr>
<tr>
<td>1</td>
<td>cstaFontColor</td>
<td>D8CF06</td>
</tr>
<tr>
<td>1</td>
<td>cstaPrimaryBG</td>
<td>000000</td>
</tr>
<tr>
<td>1</td>
<td>cstaPrimaryBG</td>
<td>71B072</td>
</tr>
<tr>
<td>1</td>
<td>cstaPrimaryBG</td>
<td>D8CF06</td>
</tr>
<tr>
<td>1</td>
<td>cstaPrimaryFG</td>
<td>000000</td>
</tr>
<tr>
<td>1</td>
<td>cstaPrimaryFG</td>
<td>FFFFFF</td>
</tr>
<tr>
<td>1</td>
<td>cstaSecondaryBG</td>
<td>1B10BF</td>
</tr>
<tr>
<td>1</td>
<td>cstaSecondaryBG</td>
<td>84A3C4</td>
</tr>
<tr>
<td>1</td>
<td>cstaSecondaryBG</td>
<td>000000</td>
</tr>
<tr>
<td>1</td>
<td>cstaSecondaryBG</td>
<td>FFFFFF</td>
</tr>
<tr>
<td>1</td>
<td>cstaSecondaryFG</td>
<td>8058B1</td>
</tr>
<tr>
<td>1</td>
<td>cstaSecondaryFG</td>
<td>3366FF</td>
</tr>
<tr>
<td>1</td>
<td>cstaSecondaryFG</td>
<td>SAEF54</td>
</tr>
<tr>
<td>1</td>
<td>cstaSecondaryFG</td>
<td>FFFFFF</td>
</tr>
<tr>
<td>1</td>
<td>navigationMenuType</td>
<td>1 Session</td>
</tr>
<tr>
<td>1</td>
<td>PostAuthenticationRouting</td>
<td>routeToHomePage</td>
</tr>
</tbody>
</table>
27. Potential Certification Conflict Report

The Potential Certification Conflict Report lists those effort certification statements with sponsored activity that were certified and processed by the same individual.

This report contains no parameters; to run the report, the user will select Run Report (Figure 5.B.27.1).

![Run Report](image)

Figure 5.B.27.1 – Running the Potential Certification Conflict Report

The report displays the name of the employee whose effort statement it is, the certification period start and end dates, the user who certified and processed the effort statement, and finally, an icon showing whether the effort statement had an attachment (Figure 5.B.27.2).

<table>
<thead>
<tr>
<th>Certifier Name</th>
<th>Period Start Date</th>
<th>Period End Date</th>
<th>Certifying &amp; Processing User</th>
<th>Attachment(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Beckham, David</td>
<td>07/01/2011</td>
<td>06/30/2012</td>
<td>Landon Donovan</td>
<td></td>
</tr>
<tr>
<td>Donovan, Landon</td>
<td>07/01/2011</td>
<td>06/30/2012</td>
<td>Landon Donovan</td>
<td></td>
</tr>
<tr>
<td>Donovan, Landon</td>
<td>07/01/2010</td>
<td>06/30/2011</td>
<td>Landon Donovan</td>
<td></td>
</tr>
</tbody>
</table>

Figure 5.B.27.2 – Potential Certification Conflict Report Results
28. Roles and Rights

The Roles and Rights query lists all rights in the system and an indicator of whether the entered role is assigned each right.

To run this query, the user will enter the Role Name to review which rights are associated with that role (Figure 5.B.28.1).

![Run Report](image)

The query returns the role name, the Rights Category name, the Right name and description, and an indicator of whether the Role has the Right assigned (Figure 5.B.28.2).
<table>
<thead>
<tr>
<th>Role</th>
<th>Category</th>
<th>Rightsname</th>
<th>Right Description</th>
<th>Has_right</th>
</tr>
</thead>
<tbody>
<tr>
<td>PI, Award and Account</td>
<td>Management</td>
<td>Active Account Exception Flag</td>
<td>Allows a user to turn on/off the exception flag on the Account Award Summary page for an award account. Project. The exception flag appears on the effort statement for these accounts that are designated by the institution as exception or suspended accounts. The account may appear on the effort statement; however, the statement cannot be certified if there are any payroll or cost share charges on this account.</td>
<td></td>
</tr>
<tr>
<td>PI, Award and Account</td>
<td>Management</td>
<td>Assign 1st Award Flag on Award Account Summary Page</td>
<td>Allows a user to set the 1st award flag on the Award Account Summary page for an award account. This flag designates the award account as an NIH 1st Award. The flag is displayed on the Award Account Summary page for anyone with the View Award Account Summary Page right.</td>
<td></td>
</tr>
<tr>
<td>PI, Award and Account</td>
<td>Management</td>
<td>Edit ARRA Account Details</td>
<td>Allows a user to edit the ARRA information on the Award Account Summary Page. There are three fields that can be edited to assist with tracking information on ARRA awards: whether the award account is an ARRA award (check box), the number of full-time jobs that were created by this award (data entry box and save button), and the number of full-time jobs that were retained as a result of this award (data entry box and save button).</td>
<td></td>
</tr>
<tr>
<td>PI, Award and Account</td>
<td>Management</td>
<td>Edit Cost Sharing Flag on Account Award Summary Page</td>
<td>Allows a user to edit the cost sharing requirement flag on the Account Award Summary page. If an account award is set marked as cost sharing during the data load, an authorized user can set the flag on the Summary page to mark the account award as cost sharing. This flag does not alter the display of information on the effort statement. Only flags the account award as cost sharing on the Summary page. The flag appears for anyone with the View Account Award Summary Page right.</td>
<td></td>
</tr>
<tr>
<td>PI, Award and Account</td>
<td>Management</td>
<td>Add/Remove Account Details</td>
<td>Allows a user to add or remove an account detail from the account awards. Details are added to this account award, which is a summary of all the account details.</td>
<td></td>
</tr>
<tr>
<td>PI, Certification and</td>
<td>Management</td>
<td>Add Effort Notes to Active Effort Statement</td>
<td>Allows a user to add or edit effort notes on active effort statements, i.e. any effort statement that has not been processed or auto-approved, to which the user is associated. The ability to add or delete notes for active effort statements is controlled by separate rights. The ability to add, edit, or delete notes for historical effort statements is controlled by separate rights.</td>
<td></td>
</tr>
<tr>
<td>PI, Certification and</td>
<td>Management</td>
<td>Add Effort Notes to Closed Effort Statement</td>
<td>Allows a user to add or edit effort notes on historical effort statements to which the user is associated. The ability to add or delete notes for historical effort statements is controlled by separate rights. Historical effort statements are controlled by the following statuses: Certified, Processed, Certified, Processed, Paid/Accepted.</td>
<td></td>
</tr>
<tr>
<td>PI, Certification and</td>
<td>Management</td>
<td>Approve Effort Form Professional Effort</td>
<td>Allows a user to Approve/Reject effort changes that were made to a certified Professional Effort in the TPE Review Screen under Manage Effort Tasks. The user will select the TPE task from the TPE Review section to remove the task form and decide whether to Approve/Reject the changes. The user must have the right to Manage Effort for the right to take effect.</td>
<td></td>
</tr>
<tr>
<td>PI, Certification and</td>
<td>Management</td>
<td>Assign Hold Status to an Effort Statement</td>
<td>Allows a user to set an effort statement to Hold status. This status is set on the effort statement and prevents the effort statement from being certified by any employee with the ability to certify statements. The user that can release the statements is certified once the statement is accurate.</td>
<td></td>
</tr>
<tr>
<td>PI, Certification and</td>
<td>Management</td>
<td>Associate a Certification with an Account</td>
<td>Allows a user to access the Associate Designer page. If this right is active, the Associate Designer link appears on the Home Page, allowing the user to designate an employee with the ability to certify effort statements for all non-faculty employees that have salary charged or cost shared to a specific account.</td>
<td></td>
</tr>
</tbody>
</table>

Figure 5.B.28.2 – Roles and Rights Results
29. School-Level Certification Statistics

The School-Level Certification Statistics query displays the certification statistics at the school level.

To run this query, the user will enter the end date of a Period of Performance that the user wishes to review (Figure 5.B.29.1).

![Figure 5.B.29.1 – School-Level Certification Statistics Query](image)

The query returns the department code, the statuses of the statements in the department, the number of statements in the status, and the percentage of statements in the statuses compared to the total statements in the department (Figure 5.B.29.2).

<table>
<thead>
<tr>
<th>Department code</th>
<th>Status</th>
<th>Count</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>DEMO Rock 1</td>
<td>Not Certified, Not Processed</td>
<td>6</td>
<td>0</td>
</tr>
<tr>
<td>DEMO Rock 1</td>
<td>Not Certified, Not Processed</td>
<td>452</td>
<td>0</td>
</tr>
</tbody>
</table>

![Figure 5.B.29.2 – School-Level Certification Statistics Results](image)
30. Sponsored Project Activity Report

The Sponsored Project Activity Report produces a list of all employees in the system whose total Certified, total Computed, or total Committed Effort for sponsored activity has exceeded a configurable threshold.

To run the report, the user will select an employee type and a corresponding certification period, and then enter a school or department, if desired. The user then will select whether the report will examine total Certified Effort, total Computed Effort, or total Committed Effort and enter a threshold percentage to be examined (Figure 5.B.30.1).

The report displays those employees whose sponsored effort equals or exceeds the threshold for the effort type selected.

**Example:** The user wishes to view all employees whose certified effort was 90% or more on sponsored projects. Because the report shows those employees who have exceeded the threshold, the user should enter 90% as the parameter.

The report lists the employee’s name, home department, Computed Effort percentage, Certified Effort percentage, and Committed Effort percentage. The magnifying glass in the ‘Action’ column allows a user to view the certification statement of the employee, assuming the user has the appropriate right(s) to view the statement (Figure 5.B.30.2).
### Figure 5.B.30.2 – Sponsored Project Activity Report Results

<table>
<thead>
<tr>
<th>Researcher</th>
<th>Department</th>
<th>Computed %</th>
<th>Certified %</th>
<th>Committed %</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Allidore Jozy - jozyallidore</td>
<td>Soccer Department</td>
<td>100.00%</td>
<td>100.00%</td>
<td>0.00%</td>
<td></td>
</tr>
<tr>
<td>Beckham David - davidbeckham</td>
<td>Soccer Department</td>
<td>78.22%</td>
<td>78.00%</td>
<td>0.00%</td>
<td></td>
</tr>
<tr>
<td>Buddle Edison - edsonbuddle</td>
<td>Soccer Department</td>
<td>80.00%</td>
<td>53.00%</td>
<td>0.00%</td>
<td></td>
</tr>
<tr>
<td>Davies Charlie - charliedawles</td>
<td>Soccer Department</td>
<td>100.00%</td>
<td>93.00%</td>
<td>0.00%</td>
<td></td>
</tr>
<tr>
<td>Dempsey Clint - clintdempsey</td>
<td>Soccer Department</td>
<td>100.00%</td>
<td>100.00%</td>
<td>0.00%</td>
<td></td>
</tr>
<tr>
<td>Donovan Landon - landonlandon</td>
<td>Soccer Department</td>
<td>100.00%</td>
<td>100.00%</td>
<td>0.00%</td>
<td></td>
</tr>
<tr>
<td>Gerrard Steven G - stevegerrard</td>
<td>Soccer Department</td>
<td>80.00%</td>
<td>50.00%</td>
<td>0.00%</td>
<td></td>
</tr>
<tr>
<td>Howard Tim - timhoward</td>
<td>Soccer Department</td>
<td>80.20%</td>
<td>80.00%</td>
<td>0.00%</td>
<td></td>
</tr>
<tr>
<td>Kaka Ricardo - kaka</td>
<td>Soccer Department</td>
<td>78.57%</td>
<td>78.00%</td>
<td>0.00%</td>
<td></td>
</tr>
<tr>
<td>Neirias Raul - raurlneirias</td>
<td>Soccer Department</td>
<td>100.00%</td>
<td>100.00%</td>
<td>11.00%</td>
<td></td>
</tr>
<tr>
<td>Messi Lionel - lionelmessi</td>
<td>Soccer Department</td>
<td>86.87%</td>
<td>67.00%</td>
<td>0.00%</td>
<td></td>
</tr>
<tr>
<td>Ronaldo Cristiano - cristandroonaldo</td>
<td>Soccer Department</td>
<td>96.38%</td>
<td>96.00%</td>
<td>45.00%</td>
<td></td>
</tr>
<tr>
<td>Schweinsteiger Michelangelo - michelangoschweinsteiger</td>
<td>Soccer Department</td>
<td>100.00%</td>
<td>100.00%</td>
<td>0.00%</td>
<td></td>
</tr>
<tr>
<td>Suarez Luis - luissuarez</td>
<td>Soccer Department</td>
<td>67.50%</td>
<td>68.00%</td>
<td>0.00%</td>
<td></td>
</tr>
</tbody>
</table>
31. TPE Report

The TPE Report will return a list of all users within the system and their current TPE distributions.

To run the report, the user will select an employee type and a corresponding certification period, or enter start and end dates. The user then will enter either an employee name or a school or department (Figure 5.B.31.1). Once the parameters have been entered, the user will select Run Report.

![Parameters](image1)

**Employee:**

**School / Department:**

**Expand Search**

**Date By:**

- Dates
- Employee Type

**Dates:**

Start Date: [Click to select date]  End Date: [Click to select date]

![Run Report](image2)

**Figure 5.B.31.1 – TPE Report**

The report displays the employee name and ID, department, TPE Effective Start Date, TPE Effective End Date (which cannot exceed the Period of Performance end date), percentage for each institutional entity, the certifier’s Average Weekly Hours, and the status of the TPE statement – either Planned or Confirmed (Figure 5.B.31.2).

![Parameters](image3)

Based on your report selection below are the results. Please note that you can sort the results by clicking on the column header.

<table>
<thead>
<tr>
<th>Certifier</th>
<th>Department</th>
<th>Effective Start Date</th>
<th>Effective End Date</th>
<th>University</th>
<th>VA</th>
<th>Weekly Hrs</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>Donovan, Landon - Landon Donovan</td>
<td>Soccer Department</td>
<td>09/01/2009</td>
<td>09/12/2009</td>
<td>90.0</td>
<td>10.0</td>
<td>1.0</td>
<td>Planned</td>
</tr>
<tr>
<td>Donovan, Landon - Landon Donovan</td>
<td>Soccer Department</td>
<td>08/01/2008</td>
<td>09/08/2010</td>
<td>93.0</td>
<td>1.0</td>
<td>1.0</td>
<td>Planned</td>
</tr>
<tr>
<td>Donovan, Landon - Landon Donovan</td>
<td>Soccer Department</td>
<td>06/08/2010</td>
<td>12/31/2010</td>
<td>100.0</td>
<td>0.0</td>
<td>1.0</td>
<td>Planned</td>
</tr>
</tbody>
</table>

![Figure 5.B.31.2 – TPE Report](image4)

The report will only return certifiers to whom the user is permitted to view. Selecting the certifiers name in the TPE Report will direct the user to the certifiers TPE statement.
32. Users with Roles

The Users with Roles query lists all users with roles and additional information about each of the users.

This query contains no parameters; to run the report, the user will select Run Report (Figure 5.B.32.1).

32.1 Users with Roles

The query displays the employee’s name, the role name and description, the employee’s title, primary department code and name, and indicators of whether the role is an effort coordinator role, whether the employee has the ability to view email, whether the employee is marked as an active user, whether the employee has the ability to view the audit history on the effort statement, whether the employee is marked as a Key Personnel, whether the employee is designated for TPE, and whether the employee’s statements will be auto-processed if there is no sponsored activity (Figure 5.B.32.2).
33. Users without Roles

The Users without Roles query displays all users that do not have a role assigned.

This query contains no parameters; to run the report, the user will select Run Report (Figure 5.B.33.1).

The query displays the employee’s name and ID, and primary department code and name (Figure 5.B.33.2).

<table>
<thead>
<tr>
<th>First_name</th>
<th>Middle_initial</th>
<th>Last_name</th>
<th>Employee_id</th>
<th>Department_code</th>
<th>Department_name</th>
</tr>
</thead>
<tbody>
<tr>
<td>George</td>
<td>Constanza</td>
<td>georgecon</td>
<td></td>
<td>Seinfeld Department</td>
<td>Seinfeld Department</td>
</tr>
<tr>
<td>Jay</td>
<td>Culler</td>
<td>jayculler</td>
<td></td>
<td>Quarterbacks Department</td>
<td>Quarterbacks Department</td>
</tr>
<tr>
<td>Charlie</td>
<td>Davies</td>
<td>charliedav</td>
<td></td>
<td>Soccer Department</td>
<td>Soccer Department</td>
</tr>
<tr>
<td>Hubert</td>
<td>Davis</td>
<td>huberdav</td>
<td></td>
<td>Demo Department</td>
<td>Demo Department</td>
</tr>
<tr>
<td>Jay</td>
<td>DeMent</td>
<td>jaydemerit</td>
<td></td>
<td>Soccer Department</td>
<td>Soccer Department</td>
</tr>
<tr>
<td>Clyde</td>
<td>Drexler</td>
<td>clyddre</td>
<td></td>
<td>Blazers Department</td>
<td>Blazers Department</td>
</tr>
<tr>
<td>Brett</td>
<td>Favre</td>
<td>breffaver</td>
<td></td>
<td>Quarterbacks Department</td>
<td>Quarterbacks Department</td>
</tr>
<tr>
<td>Ryan</td>
<td>Fitzpatrick</td>
<td>ryanfiz</td>
<td></td>
<td>Quarterbacks Department</td>
<td>Quarterbacks Department</td>
</tr>
<tr>
<td>Joe</td>
<td>Flasco</td>
<td>jocflasco</td>
<td></td>
<td>Quarterbacks Department</td>
<td>Quarterbacks Department</td>
</tr>
<tr>
<td>Matt</td>
<td>Force</td>
<td>mattfor</td>
<td></td>
<td>Football Department</td>
<td>Football Department</td>
</tr>
<tr>
<td>Matt</td>
<td>Force</td>
<td>mattfor</td>
<td></td>
<td>Football Department</td>
<td>Football Department</td>
</tr>
<tr>
<td>Star</td>
<td>Fox</td>
<td>starfoxe</td>
<td></td>
<td>Nintendo Department</td>
<td>Nintendo Department</td>
</tr>
<tr>
<td>Josh</td>
<td>Freeman</td>
<td>jocfreem</td>
<td></td>
<td>Quarterbacks Department</td>
<td>Quarterbacks Department</td>
</tr>
<tr>
<td>David</td>
<td>Gerhard</td>
<td>davidger</td>
<td></td>
<td>Quarterbacks Department</td>
<td>Quarterbacks Department</td>
</tr>
</tbody>
</table>
C. Monitoring

1. **Departments with No Primary Coordinators Report**

The Departments With No Primary Effort Coordinator Report shows all departments that have sponsored certifiers in them and do not have a Primary Effort Coordinator assigned or have an inactive Primary Effort Coordinator assigned.

This report contains no parameters; to run the report, the user will select Run Report (Figure 5.C.1.1).

![Run Report](image)

*Figure 4.C.1.1 – Running the Departments With No Primary Coordinators Report*

The report shows the name, description, and code of the department, and the date the department was created in the system. If the department has an inactive Primary Effort Coordinator assigned, the name of the inactive coordinator will appear in the last column (Figure 5.C.1.2).

*Figure 5.C.1.2 - Departments with No Coordinators Report Results*
2. Account Without Principal Investigators Report

The Accounts Without Principle Investigators Report lists all of the awards and accounts that do not have a PI assigned to them.

This report contains no parameters; to run the report, the user will select Run Report (Figure 5.C.2.1).

![Run Report](image)

Figure 5.C.2.1 – Running the Accounts Without Principal Investigators Report

The report displays the account number, account name, department to which the account is assigned, and the start and end dates of the account (Figure 5.C.2.2).

![Table](image)

Figure 5.C.2.2 – Accounts Without Principle Investigators Report Results
3. ARRA Reporting

The ARRA Reporting query displays relevant information about all awards marked as ARRA awards.

This query contains no parameters; to run the report, the user will select Run Report (Figure 5.C.3.1).

![Figure 5.C.3.1 – Running the ARRA Reporting Query]

The query displays the grant name and number, the number of FTE created by the grant, the number of FTE retained, the ARRA certifier impact count, the department name, and department number (Figure 5.C.3.2).

![Figure 5.C.3.2 – ARRA Reporting Query Results]
4. Certifications with File Attachments

The Certifications with File Attachments query displays all effort certifications that have files attached.

This query contains no parameters; to run the report, the user will select Run Report (Figure 5.C.4.1).

<table>
<thead>
<tr>
<th>Parameters</th>
<th>Results</th>
<th>Customize</th>
</tr>
</thead>
</table>

Figure 5.C.4.1 – Running the Certifications with File Attachments Query

The query displays the name of the Covered Individual, the Audit Department and Audit Primary Effort Coordinator, the Period of Performance Start and End Dates, the user who first attached the file and the user to last modify the file. (Figure 5.C.4.2).

<table>
<thead>
<tr>
<th>Parameters</th>
<th>Results</th>
<th>Customize</th>
</tr>
</thead>
</table>

One item found

<table>
<thead>
<tr>
<th>Covered individual</th>
<th>Audit department</th>
<th>Audit pec</th>
<th>Pop_start</th>
<th>Pop_end</th>
<th>User_who_first_attached_file</th>
<th>Last_user_modified_file</th>
</tr>
</thead>
</table>

Figure 5.C.4.2 – Certifications with File Attachments Query Results
5. Certifiers with a Restricted Access Effort Coordinator

The Certifiers with a Restricted Access Effort Coordinator query displays all of the effort coordinators that are assigned at the department level. These effort coordinators, however, are only able to view the effort statements of individuals to whom they have been assigned by the Primary Effort Coordinator of the department.

This query contains no parameters; to run the report, the user will select Run Report (Figure 5.C.5.1).

![Run Report](image)

**Figure 5.C.5.1 – Running the Certifiers with a Restricted Access Effort Coordinator Query**

The query displays the name of the Restricted Access Effort Coordinator, the department to which the Restricted Access Effort Coordinator is assigned, and the certifiers to whom the Restricted Access Effort Coordinator is assigned, if any (Figure 5.C.5.2).

```
5 items found, displaying all items.

<table>
<thead>
<tr>
<th>Restricted access effort coordinator</th>
<th>Restricted access department</th>
<th>Certifier</th>
</tr>
</thead>
<tbody>
<tr>
<td>Aldridge, Lamarcus - lamarcusaldrigde</td>
<td>Blazers Department</td>
<td>N/A</td>
</tr>
<tr>
<td>Moss, Randy - randymoss</td>
<td>Blazers Department</td>
<td>N/A</td>
</tr>
<tr>
<td>Moss, Randy - randymoss</td>
<td>Quarterbacks Department</td>
<td>N/A</td>
</tr>
<tr>
<td>Rodgers, Aaron - aarorodgers</td>
<td>Wide Receiver Department</td>
<td>N/A</td>
</tr>
<tr>
<td>Aldridge, Lamarcus - lamarcusaldrigde</td>
<td>Wide Receiver Department</td>
<td>N/A</td>
</tr>
</tbody>
</table>

5 items found, displaying all items.
```

**Figure 5.C.5.2 – Certifiers with a Restricted Access Effort Coordinator Query Results**
6. **Certifiers with an Alternate Effort Coordinator**

The Certifiers with an Alternate Effort Coordinator query shows all certifiers who have an Alternate Effort Coordinator assigned to them.

This query contains no parameters; to run the report, the user will select Run Report (Figure 5.C.6.1).

### Figure 5.C.6.1 – Running the Certifiers with an Alternate Effort Coordinator Query

The query displays the name of the Primary Effort Coordinator Override, the department and certifier to which the Primary Effort Coordinator Override is assigned, and the certifier's primary department (Figure 5.C.6.2).

### Figure 5.C.6.2 – Certifiers with an Alternate Effort Coordinator Query Results

<table>
<thead>
<tr>
<th>Primary effort coordinator override - peco</th>
<th>Peco department</th>
<th>Certifier</th>
<th>Certifier primary department</th>
</tr>
</thead>
<tbody>
<tr>
<td>Norwood, Kristin D - 000005448892</td>
<td>Demo Department</td>
<td>Bunny, Bugs - 99111122</td>
<td>Demo Department</td>
</tr>
<tr>
<td>Howard, Tim - tmhoward</td>
<td>Soccer Department</td>
<td>Buddle, Edson - edsonbuddle</td>
<td>Soccer Department</td>
</tr>
<tr>
<td>Howard, Tim - tmhoward</td>
<td>Soccer Department</td>
<td>Bradley, Michael - michaelbradley</td>
<td>Soccer Department</td>
</tr>
<tr>
<td>Howard, Tim - tmhoward</td>
<td>Soccer Department</td>
<td>Onyewu, Oguchi - oguchionyewu</td>
<td>Soccer Department</td>
</tr>
<tr>
<td>Howard, Tim - tmhoward</td>
<td>Soccer Department</td>
<td>Sporctor, Jonathan - jonathansporctor</td>
<td>Soccer Department</td>
</tr>
<tr>
<td>Howard, Tim - tmhoward</td>
<td>Soccer Department</td>
<td>Dement, Joy - joymdentment</td>
<td>Soccer Department</td>
</tr>
<tr>
<td>Roy, Brandon - brandonroy</td>
<td>Blazers Department</td>
<td>Bacon1, Aveyas - aveyasbaccon1</td>
<td>Blazers Department</td>
</tr>
<tr>
<td>Disney, Walt - 99111101</td>
<td>Demo Department</td>
<td>Ariel, Ariel - 99111107</td>
<td>Demo Department</td>
</tr>
<tr>
<td>Disney, Walt - 99111101</td>
<td>Demo Department</td>
<td>Beal, Thner - 99111113</td>
<td>Demo Department</td>
</tr>
<tr>
<td>Moss, Randy - randymoss</td>
<td>Soccer Department</td>
<td>Kaka, Ricardo - kaka</td>
<td>Soccer Department</td>
</tr>
</tbody>
</table>

10 items found, displaying all items.
7. **Certifiers with Assigned Proxy**

The Certifiers with Assigned Proxy query displays all certifiers that have a proxy assigned.

This query contains no parameters; to run the report, the user will select Run Report (Figure 5.C.7.1).

**Figure 5.C.7.1 – Running the Certifiers with Assigned Proxy Query**

The query displays the certifier’s name, primary department, and primary department number, the assigned proxy, the proxy’s primary department and department number, the date the proxy was assigned, the reason the proxy was assigned, the user that assigned the proxy, the primary effort coordinator of the certifier’s primary department, the Period of Performance start and end dates, and the status of the statement (Figure 5.C.7.2).

**Figure 5.C.7.2 – Certifiers with Assigned Proxy Query Results**
8. Cost Share Transactions entered through the User Interface

The Cost Share Transactions entered through the User Interface query displays all cost share transactions that have been entered or modified through the user interface, not the data load process.

This query contains no parameters; to run the report, the user will select Run Report (Figure 5.C.8.1).

The query displays the certifier’s user ID number, first name, last name, primary department, the Period of Performance start and end dates, the number and name of the “To” account, the number and name of the “From” account, the cost share percentage, the cost share dollars, the start and end date of the cost share transaction, the date of creation of the transaction, the ID number, first, and last name of the user that entered the transaction (Figure 5.C.8.2).
9. Faculty with no Sponsored Payroll or Sponsored Commitments

The Faculty with no Sponsored Payroll or Sponsored Commitments query lists all certifiers with the Faculty role that have no sponsored payroll or commitments to a sponsored project during a reporting period.

To run this query, the user will enter the Period of Performance Start and End Date and the role name to find the appropriate employees to review (Figure 5.C.9.1).

![Run Report](image1)

**Figure 5.C.9.1 – Running the Faculty with no Sponsored Payroll or Sponsored Commitments Query**

The query displays the employee’s last name, first name, employee ID, email address, and username (Figure 5.C.9.2).

![Table](image2)

**Figure 5.C.9.2 – Running the Faculty with no Sponsored Payroll or Sponsored Commitments Query**
10. Key Personnel without Primary Email Address or without Email Access

The Key Personnel without Primary Email Address or without Email Access query shows all certifiers with the Key Personnel role that do not have a primary email address or do not have email access assigned on the Manage Users page.

This query contains no parameters; to run the report, the user will select Run Report (Figure 5.C.10.1).

The query displays the employee’s employee ID, first name, last name, the status of the ‘View Email’ flag (True or False) on the Manage Users page, the status of the ‘Key Personnel’ flag (True or False), the primary email address if one is marked in the system, and the institution to which the user is assigned (useful if in a Shared Services environment) (Figure 5.C.10.2).
### Figure 5.C.10.2 – Key Personnel without Primary Email Address or without Email Access Query Results

<table>
<thead>
<tr>
<th>EmployeeId</th>
<th>Firstname</th>
<th>Lastname</th>
<th>Viewemail</th>
<th>Keypersonnel</th>
<th>Primaryemail</th>
<th>address</th>
<th>Institutionname</th>
</tr>
</thead>
<tbody>
<tr>
<td>hankearon</td>
<td>Hank</td>
<td>Aaron</td>
<td>F</td>
<td>T</td>
<td><a href="mailto:hankearon@test.net">hankearon@test.net</a></td>
<td>Dobbs</td>
<td></td>
</tr>
<tr>
<td>androososii</td>
<td>Andre</td>
<td>Asosii</td>
<td>F</td>
<td>T</td>
<td><a href="mailto:androososii@test.net">androososii@test.net</a></td>
<td>Dobbs</td>
<td></td>
</tr>
<tr>
<td>muhammadali</td>
<td>Muhammad</td>
<td>Ali</td>
<td>F</td>
<td>T</td>
<td><a href="mailto:muhammadali@test.net">muhammadali@test.net</a></td>
<td>Dobbs</td>
<td></td>
</tr>
<tr>
<td>louisarmstrong</td>
<td>Louis</td>
<td>Armstrong</td>
<td>F</td>
<td>T</td>
<td><a href="mailto:louisarmstrong@test.net">louisarmstrong@test.net</a></td>
<td>Dobbs</td>
<td></td>
</tr>
<tr>
<td>chuckberry</td>
<td>Chuck</td>
<td>Berry</td>
<td>F</td>
<td>T</td>
<td><a href="mailto:chuckberry@test.net">chuckberry@test.net</a></td>
<td>Dobbs</td>
<td></td>
</tr>
<tr>
<td>larrybird</td>
<td>Larry</td>
<td>Bird</td>
<td>F</td>
<td>T</td>
<td><a href="mailto:larrybird@test.net">larrybird@test.net</a></td>
<td>Dobbs</td>
<td></td>
</tr>
<tr>
<td>barybondas</td>
<td>Barry</td>
<td>Bonds</td>
<td>F</td>
<td>T</td>
<td><a href="mailto:barybondas@test.net">barybondas@test.net</a></td>
<td>Dobbs</td>
<td></td>
</tr>
<tr>
<td>jonbonjovi</td>
<td>Jon</td>
<td>Bonjovi</td>
<td>F</td>
<td>T</td>
<td><a href="mailto:jonbonjovi@test.net">jonbonjovi@test.net</a></td>
<td>Dobbs</td>
<td></td>
</tr>
<tr>
<td>jimbrown</td>
<td>Jim</td>
<td>Brown</td>
<td>F</td>
<td>T</td>
<td><a href="mailto:jimbrown@test.net">jimbrown@test.net</a></td>
<td>Dobbs</td>
<td></td>
</tr>
<tr>
<td>billbusker</td>
<td>Bill</td>
<td>Buckner</td>
<td>F</td>
<td>T</td>
<td><a href="mailto:billbusker@test.net">billbusker@test.net</a></td>
<td>Dobbs</td>
<td></td>
</tr>
<tr>
<td>jimmybutler</td>
<td>Jimmy</td>
<td>Butler</td>
<td>F</td>
<td>T</td>
<td><a href="mailto:jimmybutler@test.net">jimmybutler@test.net</a></td>
<td>Dobbs</td>
<td></td>
</tr>
<tr>
<td>dickbutkus</td>
<td>Dick</td>
<td>Butkus</td>
<td>F</td>
<td>T</td>
<td><a href="mailto:dickbutkus@test.net">dickbutkus@test.net</a></td>
<td>Dobbs</td>
<td></td>
</tr>
<tr>
<td>hannycaley</td>
<td>Harry</td>
<td>Carey</td>
<td>F</td>
<td>T</td>
<td><a href="mailto:hannycaley@test.net">hannycaley@test.net</a></td>
<td>Dobbs</td>
<td></td>
</tr>
<tr>
<td>kurtcobain</td>
<td>Kurt</td>
<td>Cobain</td>
<td>F</td>
<td>T</td>
<td><a href="mailto:kurtcobain@test.net">kurtcobain@test.net</a></td>
<td>Dobbs</td>
<td></td>
</tr>
<tr>
<td>bingcrosby</td>
<td>Bing</td>
<td>Crosby</td>
<td>F</td>
<td>T</td>
<td><a href="mailto:bingcrosby@test.net">bingcrosby@test.net</a></td>
<td>Dobbs</td>
<td></td>
</tr>
<tr>
<td>sherylcrow</td>
<td>Sheryl</td>
<td>Crow</td>
<td>F</td>
<td>T</td>
<td><a href="mailto:sherylcrow@test.net">sherylcrow@test.net</a></td>
<td>Dobbs</td>
<td></td>
</tr>
<tr>
<td>neildiamond</td>
<td>Neil</td>
<td>Diamond</td>
<td>F</td>
<td>T</td>
<td><a href="mailto:neildiamond@test.net">neildiamond@test.net</a></td>
<td>Dobbs</td>
<td></td>
</tr>
<tr>
<td>bodiddley</td>
<td>Bob</td>
<td>Diddley</td>
<td>F</td>
<td>T</td>
<td><a href="mailto:bodiddley@test.net">bodiddley@test.net</a></td>
<td>Dobbs</td>
<td></td>
</tr>
<tr>
<td>mikodicka</td>
<td>Mike</td>
<td>Dikka</td>
<td>F</td>
<td>T</td>
<td><a href="mailto:mikodicka@test.net">mikodicka@test.net</a></td>
<td>Dobbs</td>
<td></td>
</tr>
<tr>
<td>brettfavre</td>
<td>Brett</td>
<td>Favre</td>
<td>F</td>
<td>T</td>
<td><a href="mailto:brettfavre@test.net">brettfavre@test.net</a></td>
<td>Dobbs</td>
<td></td>
</tr>
<tr>
<td>anetharandolin</td>
<td>Anetha</td>
<td>Franklin</td>
<td>F</td>
<td>T</td>
<td><a href="mailto:anetharandolin@test.net">anetharandolin@test.net</a></td>
<td>Dobbs</td>
<td></td>
</tr>
<tr>
<td>jennygarciab</td>
<td>Jenny</td>
<td>Garcia</td>
<td>F</td>
<td>T</td>
<td><a href="mailto:jennygarciab@test.net">jennygarciab@test.net</a></td>
<td>Dobbs</td>
<td></td>
</tr>
<tr>
<td>markgrace</td>
<td>Mark</td>
<td>Grace</td>
<td>F</td>
<td>T</td>
<td><a href="mailto:markgrace@test.net">markgrace@test.net</a></td>
<td>Dobbs</td>
<td></td>
</tr>
<tr>
<td>waynegrebbey</td>
<td>Wayne</td>
<td>Grebbey</td>
<td>F</td>
<td>T</td>
<td><a href="mailto:waynegrebbey@test.net">waynegrebbey@test.net</a></td>
<td>Dobbs</td>
<td></td>
</tr>
<tr>
<td>jiminhendrit</td>
<td>Jimi</td>
<td>Hendrit</td>
<td>F</td>
<td>T</td>
<td><a href="mailto:jiminhendrit@test.net">jiminhendrit@test.net</a></td>
<td>Dobbs</td>
<td></td>
</tr>
</tbody>
</table>
11. List of All Departments Report

The List of All Departments Report shows all of the departments that have been loaded into the system (Figure 5.C.11.1). To run the report, the user will select Run Report.

The List of All Departments report displays, by default, a tree view of the department structure loaded into e crt (Figure 5.C.11.2).

This view contains the department name and the primary effort coordinator in parentheses. The list is sorted by department name and then by department code. If the department name is clicked, the user will be directed to the Department Dashboard page for that department.

The List View is a table listing of all of the departments and their basic information - name, description, code, and create date (Figure 5.C.11.3).
This view contains the Department Name, Description, Code and that date the department was created. The report is sorted by department name. If the department name is clicked, the user is directed to the Department Dashboard page for that department. Unlike the Tree View, no hierarchy information is available in the List View.
### 12. List of All Effort Coordinators

The List of All Effort Coordinators query lists all effort coordinators in the institution arranged by department, including an indicator of whether the coordinator is the Primary Effort Coordinator for the department.

This query contains no parameters; to run the report, the user will select Run Report (Figure 5.C.12.1).

**Run Report**

*Figure 5.C.12.1 – Running the List of All Effort Coordinators Query*

The query displays the effort coordinator’s first name, last name, employee ID, the flag marking whether the effort coordinator is marked as the Primary Effort Coordinator, and the name of the department to which the user is assigned (Figure 5.C.12.2).

<table>
<thead>
<tr>
<th>Firstname</th>
<th>Lastname</th>
<th>EmployeeID</th>
<th>IsPrimary</th>
<th>Departmentname</th>
</tr>
</thead>
<tbody>
<tr>
<td>System</td>
<td>User</td>
<td>444-44-4444</td>
<td>T</td>
<td>Institution</td>
</tr>
<tr>
<td>Johnny</td>
<td>Cash</td>
<td>johnnychase</td>
<td>T</td>
<td>Rock and Roll Department 1</td>
</tr>
<tr>
<td>Johnny</td>
<td>Cash</td>
<td>johnnychase</td>
<td>T</td>
<td>Rock and Roll Department 1</td>
</tr>
<tr>
<td>Johnny</td>
<td>Cash</td>
<td>johnnychase</td>
<td>T</td>
<td>Rock and Roll Department 1</td>
</tr>
<tr>
<td>Mia</td>
<td>Hamm</td>
<td>mahamm</td>
<td>F</td>
<td>Rock and Roll Department 1</td>
</tr>
<tr>
<td>Michael</td>
<td>Jordan</td>
<td>michaeljordan</td>
<td>F</td>
<td>Rock and Roll Department 1</td>
</tr>
<tr>
<td>John</td>
<td>Lennon</td>
<td>johnlennon</td>
<td>F</td>
<td>Rock and Roll Department 1</td>
</tr>
<tr>
<td>John</td>
<td>Lennon</td>
<td>johnlennon</td>
<td>T</td>
<td>Rock and Roll Department 1</td>
</tr>
</tbody>
</table>

*Figure 5.C.12.2 – List of all Effort Coordinators Query Results*
13. List of All Users

The List of All Users Report produces a list of all users in the system.

To make the report a manageable size, there are three options by which a user can filter the report (Figure 5.C.13.1).

<table>
<thead>
<tr>
<th>Parameters</th>
<th>Results</th>
</tr>
</thead>
<tbody>
<tr>
<td><img src="Select" alt="Select Letter of Last Name:" /></td>
<td>![Select]</td>
</tr>
<tr>
<td><img src="Select" alt="Role:" /></td>
<td>![Select]</td>
</tr>
<tr>
<td><img src="Select" alt="School / Department:" /></td>
<td>![Expand Search]</td>
</tr>
</tbody>
</table>

Figure 5.C.13.1 – Running the List of All Users Report

The first option is to select a letter of the alphabet from the drop-down list. The report will return results showing all users whose last names begin with the selected letter.

Alternatively, the report can be filtered by selecting a role and/or school/department. A user also can combine any of the three filters to get more granular information but at least one filter must be selected to return any results.

The report displays the employee’s name, user name, primary department, primary email address, role name, and the indicator of whether the employee is marked as a faculty member (Figure 5.C.13.2). Additionally, assuming the user has the appropriate right, the ‘Manage Users’ page for the employee can be selected by clicking on the magnifying glass icon in the ‘Action’ column.
Based on your report selection below are the results. Please note that you can sort the results by clicking on the column header.

<table>
<thead>
<tr>
<th>Name</th>
<th>User Name</th>
<th>Primary Department</th>
<th>Email Address</th>
<th>Role Name</th>
<th>Faculty/Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Donovan, Landon</td>
<td>landon_donovan</td>
<td>Soccer Department</td>
<td><a href="mailto:eallen@mpv6.eclt3.huronconsultinggroup.com">eallen@mpv6.eclt3.huronconsultinggroup.com</a></td>
<td>[Advisor, PI, Department Manager, Department Administrator, User]</td>
<td>Yes</td>
</tr>
</tbody>
</table>

One item found.

Figure 5.C.13.2 – List of All Users Report results
14. List of New Users Since Last Certification

The List of New Users Since Last Certification Report generates a list of all users that were loaded into the system since the completion of the last certification period. Since the results are based on certification periods, the report can be executed only after selecting an employee type.

To run the report, the user must select an employee type (Figure 5.C.14.1).

<table>
<thead>
<tr>
<th>Parameters</th>
<th>Results</th>
</tr>
</thead>
</table>

**Employee Type:** [Select]

**Run Report**

Figure 5.C.14.1 – List of New Users Since Last Certification parameters

The report displays the employee’s name, primary email address, and the date the employee was added to the system. If the user has the appropriate rights, the magnifying glass icon in the ‘Action’ column will allow the user to view the ‘Manage Users’ page (Figure 5.C.14.2).

<table>
<thead>
<tr>
<th>Parameters</th>
<th>Results</th>
</tr>
</thead>
</table>

Figure 5.C.14.2 – List of New Users Since Last Certification Results
Note: If there are no NEW users added since the end of the last certification period, the message below will be displayed (Figure 5.C.14.3).

![Parameters](results.png)

**No new users since the last certification period have been found.**

Employee Type: Semester

Run Report

Figure 5.C.14.3 – No new users since last certification period
15. List of PIs without Effort Statements

The List of PIs without Effort Statements query lists all users that do not have effort statements and that are marked as PIs on accounts or awards.

To run the report, the user enters the start and end dates of the time period to be reviewed and the role of the individuals the user wishes to review. Then the user selects Run Report (Figure 5.C.15.1).

<table>
<thead>
<tr>
<th>Parameters</th>
<th>Results</th>
<th>Customize</th>
</tr>
</thead>
</table>

Please Enter Start Date (dd-MMM-yyyy):

Please Enter End Date (dd-MMM-yyyy):

Please Enter Role:

Run Report

Figure 5.C.15.1 – List of PIs without Effort Statements Query Parameters

The query displays the PI’s first name, last name, employee ID, and primary email address (Figure 5.C.15.2).

<table>
<thead>
<tr>
<th>Firstname</th>
<th>Lastname</th>
<th>EmployeeID</th>
<th>Email</th>
</tr>
</thead>
<tbody>
<tr>
<td>Aldridge</td>
<td>Lamarcus</td>
<td>lamarusaldridge</td>
<td><a href="mailto:eall@mpecert06.huronconsultinggroup.com">eall@mpecert06.huronconsultinggroup.com</a></td>
</tr>
<tr>
<td>Donovan</td>
<td>Landon</td>
<td>landondonovan</td>
<td><a href="mailto:eall@mpecert06.huronconsultinggroup.com">eall@mpecert06.huronconsultinggroup.com</a></td>
</tr>
<tr>
<td>Kaka</td>
<td>Ricardo</td>
<td>kaka</td>
<td><a href="mailto:eall@mpecert06.huronconsultinggroup.com">eall@mpecert06.huronconsultinggroup.com</a></td>
</tr>
</tbody>
</table>

Figure 5.C.15.2 – List of PIs without Effort Statements Query Results
16. Primary Effort Coordinators without Primary Email Address

The Primary Effort Coordinators without Primary Email Address query lists all primary department Effort Coordinators that do not have a primary email address.

This query contains no parameters; to run the report, the user will select Run Report (Figure 5.C.16.1).

Figure 5.C.16.1 – Running the Primary Effort Coordinators without Primary Email Address Query

The query displays the employee IDs as well as the first and last names of the Primary Effort Coordinators that do not have a primary email address. It also displays the name of the institution to which the Effort Coordinator belongs (Figure 5.C.16.2).

Figure 5.C.16.2 – Primary Effort Coordinators without Primary Email Address Results
17. View Effort Statement Columns

The View Effort Statement Columns query lists the payroll dollars associated with each line on an individual’s effort statement.

To run this query the user selects the status of the statements to be reviewed and moves it into the Selected Status column using the arrow buttons. The user also enters the start and end dates for the time period to be reviewed. Finally, the user selects Run Report (Figure 5.C.17.1).

![Available Status and Selected Status](image)

**Available Status**

- Default
- Incorrect
- In Progress
- Profile Generated
- Manual Certification, Not Processed
- Manual Certification, Processed
- Manual Certification, Processed, Payroll Pending

**Selected Status**

- [ ] >
- [ ] >>
- [ ] <
- [ ] <<

**Dates:**

- Start Date: [Click to select date]
- End Date: [Click to select date]

**Run Report**

5.C.17.1 – Running the View Effort Statement Columns Query

The query displays the employee ID, employee’s name and primary department, the total payroll on the statement, the salary on the account, account number, award number, and account name (Figure 5.C.17.2).

![Query Results](image)

**Figure 5.C.17.2 – View Effort Statement Columns Results**
18. View Employees that changed employee types query

The View Employees that changed employee types query lists the individuals who have changed employee types, the date of the change, and the former and current employee types.

This query contains no parameters; to run the report, the user will select Run Report (Figure 5.C.18.1).

The query displays the first and last name and employee ID of the employee, the old and new employee types, the date of the employee type change, and the employee’s primary department (Figure 5.C.18.2).

<table>
<thead>
<tr>
<th>Firstname</th>
<th>Lastname</th>
<th>EmployeeID</th>
<th>OldEmployeeType</th>
<th>NewEmployeeType</th>
<th>DateofChange</th>
<th>Primarydepartment</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cliff</td>
<td>Lee</td>
<td>clifflee</td>
<td>Annual Certifier</td>
<td>Semi-Annual Certifier</td>
<td>03/23/2011</td>
<td>Pitchers Department</td>
</tr>
<tr>
<td>Cliff</td>
<td>Lee</td>
<td>clifflee</td>
<td>Semi-Annual Certifier</td>
<td>Semi-Monthly Certifier</td>
<td>03/23/2011</td>
<td>Pitchers Department</td>
</tr>
<tr>
<td>Lenny</td>
<td>Leonard</td>
<td>lennyleonard</td>
<td>Annual Certifier</td>
<td>Quarterly Certifier</td>
<td>06/15/2012</td>
<td>Simpsons Department</td>
</tr>
<tr>
<td>Tim</td>
<td>Lincecum</td>
<td>lincecum</td>
<td>Annual Certifier</td>
<td>Semi-Annual Certifier</td>
<td>03/23/2011</td>
<td>Pitchers Department</td>
</tr>
<tr>
<td>Tim</td>
<td>Lincecum</td>
<td>lincecum</td>
<td>Semi-Annual Certifier</td>
<td>Semi-Monthly Certifier</td>
<td>03/23/2011</td>
<td>Pitchers Department</td>
</tr>
</tbody>
</table>

Figure 5.C.18.2 – Employees that changed employee types Results
19. **View Hours per person per account for a date range and department**

The View Hours per person per account for a date range and department query lists the payroll dollars associated with each line on an individual’s effort statement.

To run the report, the user enters the department and the start and dates of the search, then selects Run Report (Figure 5.C.19.1).

![Figure 5.C.19.1 – Running the View Hours per person per account for a date range and department query](image)

The report displays the employee’s name and employee ID, the account that had the hours, the committed hours for the range, if any, and the total certified hours for the range, if any (Figure 5.C.19.2).

![Figure 5.C.19.2 – View Hours per person per account for a date range and department Results](image)
20. View Hours per person per account for a date range query

The View Hours per person per account for a date range query lists the payroll dollars associated with each line on an individual’s effort statement.

To run the report, the user enters the start and dates of the search, then selects Run Report (Figure 5.C.20.1).

The report displays the employee’s name and employee ID, the account that had the hours, the committed hours for the range, if any, and the total certified hours for the range, if any (Figure 5.C.20.2).
D. Payroll/Cost Share

1. Cost Transfer Report

The Cost Transfer Report displays all of the cost transfers from the processing of certified effort statements for a particular department, period, and certifier type.

To run the report, the user will enter a date range or select the Employee Type and Period from the drop-down menus (Figure 5.D.1.1).

![Figure 5.D.1.1 - Cost Transfer Report Parameters](image)

The user must enter and select a specific department to run the report. The user may enter a wide range of dates, however, to get as many cost transfers as were generated within that timeframe or the user can limit the number of results returned by selecting an Employee Type and relevant corresponding Period of Performance.

The report shows the employee’s name and department, the account affected, the amount of the cost transfers, the date the effort certification was processed in the system and the name of the Effort Coordinator that processed the effort certification, the Average Effort, which will be 0 if no commitments are present, the Computed Effort, the Certified Effort, and the Period of Performance to which the transaction applies (Figure 5.D.1.2).
Additionally, if the transaction applied to a statement that had Certified Hours on it, then the Certified Hours would appear in an additional column (Figure 5.D.1.3).

![Figure 5.D.1.3 - Cost Transfer Report with Certified Hours](image-url)
2. Certified Cost Share Dollars by Institution

The Certified Cost Share Dollars by Institution query returns the total amount of certified cost share dollars for the institution. There are two versions of the query – one without cost share type as a parameter and one with cost share type as a parameter.

To run the report without cost share type, the user will enter a Period of Performance date range (Figure 5.D.2.1).

![Figure 5.D.2.1 – Certified Cost Share Dollars by Institution Report Parameters](image)

The report displays the total certified cost share amount and the institution code (Figure 5.D.2.2).

![Figure 5.D.2.2 - Certified Cost Share Dollars by Institution Report Results](image)
3. **Certifier Payroll Summary Report**

The Certifier Payroll Summary Report lists all of a certifier’s accounts, the sum of the payroll for each month for a 12-month period, the total period for the 12-month period, and the percentage distribution for each account for each month and for the 12-month period.

To run the report, the user will enter the month and year of the first month of the 12 month range to be viewed. The second input field – “Employee” – is the name of the Certifier for whom the report is being generated (Figure 5.D.3.1). The user can choose to bring back Base Pay, Supplemental Pay, or both using the radio buttons in the next field.

![Figure 5.D.3.1 – Certifier Payroll Summary Report Parameters](image1)

The report displays the individual and their department, along with each of the accounts the individual was paid from for 12 months, starting with the month/year that was selected (Figure 5.D.3.2). The statement type is displayed (Base or Non-IBS) and each month lists the total dollars that were paid on the account and the corresponding percentage related to the total monthly pay.

![Figure 5.D.3.2 – Certifier Payroll Summary Report Results](image2)
4. Certifier Salary Activity Report

The Certifier Salary Activity Report lists all individuals that had salary charged to awards or accounts that are associated with a given PI. The report will show the associated certifiers for that PI along with 12 months of payroll activity.

To run the report, the user will enter the month and year of the first month of the 12 month range to be viewed. The second input field – “Employee” – is the name of the PI for whom the report is being generated.

The statement type must be selected. The user marks the checkbox for one or more of the payroll types – Base, Non-IBS, or Other. The user can select any combination of those three options (Figure 5.D.4.1).

After entering the three parameters, select Run Report.

The report displays the names of the employees that have salary charged to at least one of the PI’s awards or accounts, the award or grant number, and the dollars charged during each of the 12 months for which the report was run that are associated (Figure 5.D.4.2). The grant number for each employee is also listed for easy reference. The charges for each month are totaled for each employee, as are the accounts. The report also displays the percentage of the total charges for which each account is responsible.
Figure 5.D.4.2 – Certifier Salary Activity Report
5. Cost Share Report

The Cost Share Report lists all cost share entries that are in the system. The report can be generated to show all transactions for an individual, for a school or department, of a specific cost share type, to a specific account, from a specific account, after a specific date, before a specific date, or any combination of those elements.

There are six fields of input - Cost Share Type, Employee, School/Department, To Account, From Account, Payroll Type, and Date Range. Additionally, the report can be generated for all cost share transactions for the entire institution (Figure 5.D.5.1).

To run the report, the user will enter the parameters for the cost share type, employee, school or department, “To” account, or “From” account, and date range. Note: selecting the institution search flag will affect how long the report will take to be generated.

The statement type must be selected. The user marks the checkbox for one or more of the payroll types – Base, Non-IBS, or Other. The user can select any combination of those three options.

Finally, the user determines the dates for the report and selects Run Report.

The report shows the employee involved, the account receiving the cost sharing, the account supplying the cost share (non-companion accounting cost share model only),
the type of cost share, the date range, a justification if one was supplied, when the cost share was created, and the percentage of effort or total dollars to be cost shared (Figure 5.D.5.2).

Regardless of the date selection method used, the results return all cost share transactions that are contained completely within the dates selected. If a transaction crosses either the start date or end date, the transaction is not included in the results.

Additionally, in the non-companion accounting cost share model, there is a positive transaction and a negative transaction. In that model, only the positive portion of the transaction is displayed.

The Cost Share $ and % columns can be separated depending on the Global Setting>Certification Settings page to determine whether to show the dollars only, percentages only, or both. For more information about this setting, please refer to section V-A-5 of this document.

The Action column allows the user to select from a number of rights-based icons to take action on a particular cost share transaction.

The first icon (the scroll) allows a user to edit the cost share transaction. Selecting this icon will take the user to Edit Cost Sharing screen (Figure 5.D.5.3).
The Edit Cost Sharing Screen will pre-populate the fields based on the transaction that the user selected. The user then can edit the To Account, From Account, Cost Share Percentage (which can be edited to the hundredth of a percentage) or Dollars (which can be edited to the penny), Type, or Justification.

Once the appropriate edits have been made, the user will press the ‘Add Entry’ button, at which time the system will direct the user to a confirmation screen that summarizes the cost share entry that has been edited (Figure 5.D.5.4).
When the user confirms the edited transaction by selecting the ‘Add Entry’ button, the system automatically updates the cost share transaction with the new values. Note that editing a cost sharing transaction deletes the original transaction and adds the new transaction based on the fields that the user updates.

The next icon in the Actions column of the Cost Share Report (Figure 5.D.5.2) allows the user to copy the cost share transaction, making it easier to add similar transactions for additional budget periods. Selecting the “stacked documents” icon opens the Add Cost Sharing screen (Figure 5.D.5.5), which is pre-populated based on the transaction that was selected. A user can use this feature to add an additional cost sharing transaction to the system without having to re-enter all the details of the original transaction.
The user is able to edit any of the fields in the Add Cost Sharing screen, but will most likely use the Budget Period field to select another period to add this exact same transaction for the new period. When the user has updated the correct information, selecting the Add Entry button will take the user to a summary page that displays the details of the cost share transaction that is about to be added (see Figure 5.D.5.4). When the user confirms the details, the new transaction is added to the system. Copying a cost sharing transaction keeps the original transaction and adds a new transaction based on the fields the user modified.

The next icon in the Actions column of the Cost Share Report (Figure 5.D.5.2) is the red ‘X’ icon. Selecting this icon deletes cost shares from the system. The final icon in the Actions column, the magnifying glass, allows the user to navigate directly to the individual’s effort statement.
The Cost Share Report may also be viewed directly from an effort statement by selecting the ‘Related Reports’ icon on the statement and selecting ‘Cost Share Report’ from the list of available reports (Figure 5.D.5.6).

Figure 5.D.5.6 – Cost Share Report – Related Reports link from an effort statement
6. **ecrt Created Cost Transfer Report**

The **ecrt** Created Cost Transfer Report shows all payroll and companion cost sharing transactions, including those ignored, suspended, or applied to the effort statement from the Payroll Adjustment Reconciliation table, and all proactive cost transfers that were initiated within the system through the “Add Cost Transfer” link on the effort statement. The combination of data presents the detailed history of payroll transactions that affect the certification statement.

To run this report, the user will enter an employee, and the date range, either by date range or by the Period of Performance for an employee type (Figure 5.D.6.1).

![Figure 5.D.6.1 – ecrt Created Cost Transfer Report Parameters](image)

The top portion of the results screen shows the payroll entries that affect the certification statement (Figure 5.D.6.2 – A). The certifier, the account, pay period, status, dollar amount and the percentage of the total dollars are displayed for all payroll transactions loaded in the system.
The transactions will show one of three statuses (Figure 5.D.6.2 - B) – loaded, meaning they have been applied to the statement; suspended, meaning they are awaiting disposition by the user that reviews all payroll transactions that have been loaded since the statement was certified; and ignored, meaning that the reviewer has decided not to apply the transactions to the statement. While “ignored” transactions are reflected on this report, they are not applied to the statement.

The second part of the report, shown at the bottom of the screen, displays the Proactive Cost Transfers that were created in the ecrt system and that applied to the Period of Performance to which the certification statement applies (Figure 5.D.6.2 - C). The table displays the creation date, account, cost transfer code, transaction date, whether the effort statement was immediately impacted, and amount. The last column will display “Proactive” to identify the nature of the cost transfer.
7. Monthly Funding and Effort Information Report

The Monthly Funding and Effort Information Report displays the distribution of labor charges for a certifier for a specific month. The report allows Coordinators to know which accounts are being charged and the percentage of the total salary that is charged to each account.

To run this report, the user will select the 'Payroll/Cost Share' category in the pane on the far left on the Reports page, and then ‘Monthly Funding and Effort Information Report’ from the central pane on the screen. The following screen appears (Figure 5.D.7.1):

The report can be run for only one month at a time. The user will select the month and the year to be viewed from the drop-down menus. The user then can run the report for one certifier or for an entire school or department. In this example, we will run it for one certifier. When the parameters are entered, the user will select Run Report. The report is generated in PDF format and appears in a new window (Figure 5.D.7.2).
The first page of the report shows the distribution information. The header of the report shows the period for which the report was run (A). In this example, the report was run for the period of January 2006. The name, employee number, department, and position number are listed below the header (B).

In the middle of the report is the information about the salary distribution for this period. The report displays the account number, account name, job code if applicable, account purpose (if applicable), PI if there is one attached to the account, and the percentage of the total salary for which the account is responsible (C).

The second page of the report is available for administrators to make corrections to the distribution (Figure 5.D.7.3). The process for changing salary distribution is institution-specific; please contact your effort coordinator for information about your institution’s policies and procedures.
### Monthly Funding and Effort Information Report for Pay Period Ending (1/2006)

**NAME:** Leonard Albers  
**ID #:** 1460461  
**POS. #:**

**DEPARTMENT:** Medicine

**Salary Journal Request and/or Retroactive Transfer of Charges**

<table>
<thead>
<tr>
<th>Account No.</th>
<th>OBJ</th>
<th>Salary Amount</th>
<th>Effort %</th>
<th>Account No.</th>
<th>OBJ</th>
<th>Salary Amount</th>
<th>Effort %</th>
<th>Pay ID</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Monthly Base Salary**

**Requirements**

A. A copy of applicable labor distribution or salary system screen must be attached to this form.

B. Changes in the effort over 90 days from the date the salary was incorrectly charged, require a written justification for the delay in processing the correction. If the reason is the receipt of a late award, include a copy of the award.

C. For effort changes that continue beyond this reporting period, a salary change form must be separately submitted.

D. All signature lines must be completed and dated.

**Preparer/Contact - Name:** ___________________________  
**Date:** ______________  
**Phone:** ___________________________

1. **Signature of Employee Affected:** ___________________________  
**Date:** ______________

2. **Signature of A/C to Be Charged:** ___________________________  
**Date:** ______________

3. **Signature of A/C to Be Credited:** ___________________________  
**Date:** ______________

4. **Budget/Sponsored Exp. Ctrl Approval:** ___________________________  
**Date:** ______________

5. **Journal Prepared By:** ___________________________  
**Date:** ______________

**Figure 5.D.7.3 - Funding and Effort Information - page 2**
8. Payroll Adjustment Reconciliation Report

The Payroll Adjustment Reconciliation Report provides a list of certifiers within a department that have effort certification statements that have outstanding payroll adjustments that have been loaded through the payroll data load and that apply to a certified effort statement. The results also display those certifiers who have statements that have been reopened through the Payroll Adjustment Reconciliation process.

To run the report, the user will enter the department that to be viewed (Figure 5.D.8.1).

![Figure 5.D.8.1 – Payroll Adjustment Reconciliation Report Parameters](image)

The report results are displayed as shown below (Figure 5.D.8.2).

![Figure 5.D.8.2 – Payroll Adjustment Reconciliation Report](image)

The report contains two sections. The first section (A) is the list of those certifiers whose certification statements were reopened through the Payroll Adjustment Reconciliation process. In the example above, there is one statement that was reopened.

The second section of the report shows those certifiers that have payroll transactions that apply to certified effort statements that need to be addressed, i.e. suspended transactions (B). The certifier’s name, employee ID, the pay period start and end dates of the suspended transactions, the date the transactions were loaded, and the amount of the transactions.
The report lists the transactions that need to be addressed; to dispose of the transactions, the user will need to access the ‘Effort Tasks’ located on the home page, presuming the user has the responsibility and the rights assigned for this task.

The Payroll and Cost Share Report is a summary report showing all payroll and cost share transactions for a specific individual and date range. The Payroll and Cost Share Report aggregates all payroll and cost share transactions in a single report for those institutions that are using the non-companion accounting model of cost sharing and that have the cost share transactions in their source system to be loaded in the Payroll file. This report is similar in appearance to the Payroll Report but includes two additional columns – one showing the dollar amount of the cost share and one showing the percentage of the total of the cost share transaction.

To run this report, the user will enter the employee’s name, select the type of payroll to be shown, and define the date range for this report (Figure 5.D.9.1).

The payroll type is assigned during the data load. A user can run the report for any combination of the three payroll types – Base, Non-IBS, or Other. The Other payroll type is payroll that is excluded from both statements and is loaded for informational purposes only. This allows institutions to load all payroll from the institutions’ source system without applying all transactions to a particular statement.

The date range can be set in one of two ways. First, the report can be run by selecting a Start Date and an End Date. If the user selects this option, the report will return results based on the “payroll start date” and “payroll end date” of the payroll transactions. The transactions will appear on the report as long as both the start and end dates are within the selected date range. The system does not return results for partial periods. This allows the user to run a report that crosses effort periods but is more relevant to the Account activity.

The alternate way of setting the range is by selecting 'Employee Type'. This will prompt the user to select the type of employee, which in turn determines the periods that can be reviewed. The report will return results based on the period of performance that is selected. Payroll transactions will appear on the report as long as both the start and end
dates are within the selected period of performance. The system does not return results for partial periods.

The user also can filter the results to show base payroll, supplemental pay, or both pay types.

The report results display the user’s demographic information at the top and transaction information at the bottom. The transaction information contains the account number and name, the pay period to which the transaction applies, the payroll amount and percentage, and the cost share amount and percentage (Figure 5.D.9.2).

Figure 5.D.9.2 – Payroll and Cost Share Report Results

Note that like other reports, the results of this report may be exported to a handful of different file types for convenience, using the buttons on the bottom right-hand corner of the report.
10. Payroll Report

The Payroll Report is a summary payroll report for an individual or department for a given date range. All payroll and companion cost sharing transactions, which are considered payroll, are included in this report.

To run this report, the user will enter the employee’s name or department, select the type of payroll to be shown, and define the date range for this report (Figure 5.D.10.1).

![Figure 5.D.10.1 – Payroll Report Parameters]

The Payroll Type is assigned during the data load. A user can run the report for any combination of the three payroll types – Base, Non-IBS, or Other. The Other payroll type is payroll that is excluded from both statements and is loaded for informational purposes only. This allows institutions to load all payroll from the institutions’ source system without applying all transactions to a particular statement.

The date range can be set in one of two ways. First, the report can be run by selecting a Start Date and an End Date. If the user selects this option, the report will return results based on the “payroll start date” and “payroll end date” of the payroll transactions. The transactions will appear on the report as long as both the start and end dates are within the selected date range. The system does not return results for partial periods. This allows the user to run a report that crosses effort periods but is more relevant to the Account activity.

The alternate way of setting the range is by selecting ‘Employee Type’. This will prompt the user to select the type of employee, which in turn determines the periods that can be reviewed. The report will return results based on the period of performance that is selected. Payroll transactions will appear on the report as long as both the start and end
The report displays the name of the employee, the employee’s primary department name and number, the account (here named “Grant”), the pay period, the payroll amount, the percentage of the total statement payroll for the account, the pay type (a free-form field in the Payroll data file, not the statement type), and the employee type of the individual at the time the statement was created (Figure 5.D.10.2).

<table>
<thead>
<tr>
<th>Certifier</th>
<th>Department</th>
<th>Department Number</th>
<th>Grant</th>
<th>Pay Period</th>
<th>Payroll</th>
<th>Pay %</th>
<th>Pay Type</th>
<th>Employee Type</th>
<th>Statement Type</th>
</tr>
</thead>
<tbody>
<tr>
<td>Aaron, Hank - HCG901</td>
<td>Sports Legends Department</td>
<td>112</td>
<td>321118 - Water Replenishment</td>
<td>10/1/2011 to 10/20/2011</td>
<td>$85.71</td>
<td>3.33 %</td>
<td>Quarterly</td>
<td>Base</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>10/21/2011 to 10/31/2011</td>
<td>$200.00</td>
<td>7.76 %</td>
<td>Quarterly</td>
<td>Base</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>11/1/2011 to 11/30/2011</td>
<td>$200.00</td>
<td>7.76 %</td>
<td>Quarterly</td>
<td>Base</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>11/11/2011 to 11/30/2011</td>
<td>$200.00</td>
<td>7.76 %</td>
<td>Quarterly</td>
<td>Base</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>11/18/2011 to 12/15/2011</td>
<td>$200.00</td>
<td>7.76 %</td>
<td>Quarterly</td>
<td>Base</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>12/1/2011 to 12/31/2011</td>
<td>$200.00</td>
<td>7.76 %</td>
<td>Quarterly</td>
<td>Base</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>12/22/2011 to 12/31/2011</td>
<td>$200.00</td>
<td>7.76 %</td>
<td>Quarterly</td>
<td>Base</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>12/28/2011 to 12/31/2011</td>
<td>$200.00</td>
<td>7.76 %</td>
<td>Quarterly</td>
<td>Base</td>
<td></td>
</tr>
<tr>
<td><strong>Subtotal</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>$1,285.71</td>
<td>50.00 %</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>10/21/2011 to 11/15/2011</td>
<td>$769.23</td>
<td>15.56 %</td>
<td>Quarterly</td>
<td>Base</td>
<td></td>
</tr>
<tr>
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Figure 5.D.10.2 – Payroll Report – Account View for a Department
The Pay Period View shows the breakdown by pay period (Figure 5.D.10.3).
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Figure 5.D.10.3 – Payroll Report - Pay Period View for a Department
For an individual, the report will show the pay that was charged to each account during each pay period within the certification period, the total amounts charged to each account during the period, and the percent of total pay during the period for each account (Figure 5.D.10.4).

![Table showing payroll report for individual](image)

**Figure 5.D.10.4 – Payroll Report for Individual**
11. Profile Cost Share Report

The Profile Cost Share Report lists all cost share entries that were created by the profile tool. The report can be generated to show all transactions for an individual, to a specific account, from a specific account, after a specific date, before a specific date, by employee type and period or any combination of the previous.

Like previous reports, the date range can be set by entering start and end dates or employee type and period. Then there are four fields of input – Employee, School or Department, To Account, or From Account, (Figure 5.D.11.1).

For a query about an individual, the report shows all of the cost share entries within the specified date range that were created using the profile tool. The user selects the correct name from the drop-down list that is generated based on the selected name. Next, the user selects the date range for the results and click Run Report. In this example, we selected a specific employee but did not enter any other parameters. The following report was produced (Figure 5.D.11.2).
The report shows the employee name, the account receiving the cost sharing, the account supplying the cost sharing, the percentage entered on the profile, the date range of the transaction, and the date range of the affected period of performance. After that, the report shows the number of days in the period of performance, the Distribution Date, or start date of the profile, the number of days in this period to which the cost share applies, and what percentage of the period that includes. The prorated percentage is the cost share actually applied to the effort statement (which is the % of Time Period multiplied by the Profile CS% entered on the profile). Selecting the magnifying glass in the ‘Actions’ column will display the profile that created this entry.

The Profile Cost Share Report may also be generated for accounts that may be receiving cost share entries. This may be done by entering information in the ‘To Account’ field on the Parameter tab. Additionally, a report can be generated showing those accounts that are supplying cost share by entering an account in to the ‘From Account’ field.
12. SPES Report

The Sponsored Project Employee Summary (SPES) report lists all of the employees that had salary or cost sharing charged to a specific award or account. This report allows certifiers and effort coordinators to review the employees that were paid from the grant and verify the accuracy of the charges.

To run the SPES report, the user will enter the date range to be viewed, either by selecting a month and year or an employee type and a corresponding certification period. After setting the date range, the user will enter the award or account name in the search field and select 'Active' or 'Inactive' (Figure 5.D.12.1).

![Figure 5.D.12.1 - Sponsored Project Employees Report data entry](image)

The top of the report displays information about the award or account, including the name of the department to which the award is assigned, the department code, the award or account name, award or account number, amount, sponsor name, sponsor number, and start and end dates (Figure 5.D.12.2).
Figure 5.D.12.2 - SPES Report Results

The body of the report shows all of the researchers that are being paid or cost shared from the award or account. The list displays the employee’s name, the Period of Performance affected by the charges, the employee’s primary department, the
employee’s role, and the payroll and cost share dollars and percentages, and the committed, computed, and certified effort percentages.

The ‘Action’ column displays an icon if the effort statement has had new information posted to it since it was last opened. The report may display inaccurate information in these cases. Clicking on the icon will refresh that effort statement, and reset the data on the report.

The PDF icon link below the report opens a formatted PDF version of the report. The report will include all of the displayed information and additional columns containing dollar values for payroll, cost share, and computed effort (Figure 5.D.12.3).

**Figure 5.D.12.3 - SPES Report – PDF Format**

When exporting the report to the Excel® format, identifying columns appear on the export. If an award version is exported, the account name and number are shown. If an
account version is exported, the award name and number and the account name and number.
13. Summary of Payroll dollars per Period of Performance per Effort Statement Category

The Summary of Payroll dollars per Period of Performance per Effort Statement Category query displays the summary of payroll dollars per Period of Performance for a selected effort statement category, i.e. Sponsored, Non-Sponsored, Clinical, etc.

To run the report the user will enter the start and end dates for a Period of Performance, and an Effort Category (Figure 5.D.13.1).

![Figure 5.D.13.1 – Summary of Payroll dollars per Period of Performance per Effort Statement Category Query Parameters](image)

The report displays a single value - the sum of all payroll dollars for the appropriate effort category for the defined Period of Performance (Figure 5.D.13.2).

![Figure 5.D.13.2 – Summary of Payroll dollars per Period of Performance per Effort Statement Category Query Results](image)
E. IQ Tool

The redesigned Reports page combines all standard reports with all packaged IQ Tool reports. Institutions still have the ability to create custom queries for its specific business process and needs.

1. Creating New Queries

The ability to create new queries and the rights controlling access to these queries should be assigned to the central administration level.

Queries are assigned to categories, which is a user-defined collection of similar or related queries. To create a new query, a user either will select an existing category in the far left pane on the Reports page or select the ‘Add Category’ icon (Figure 5.E.1.1).

Creating a new category requires entering two pieces of data – the Category Name and the Category Description (Figure 5.E.1.2). Once that information is entered, the user will select the ‘Add Category’ button.

Once the new category has been created, or the existing category has been selected, the user is able to create a new report in that category. The user will select the ‘Add Report’ icon at the bottom of the Reports pane (Figure 5.E.1.3).
Figure 5.E.1.3 – Create New Query

Once that icon is selected, the ‘Customize’ tab appears and the fields necessary to create the new query are displayed. The user will enter a report name, report description, the query, and any parameters required to run the query. The user also can change the Category to which the query will be assigned by using the available drop-down list.

The Widget Selection feature allows a user to leverage the system’s predefined parameter selection features rather than create the parameters from scratch. There are a number of widgets available, including Date Selector, List of Departments, List of Users, and List of Effort Statement Statuses, among others. For instance, if the user selected the Date Selector to add to the query’s parameters, the user would be able to leverage the existing format of the date selection methodology that is used in the standard reports – the Start Date field would appear along with the calendar icon to select or directly enter the appropriate date and the End Date field would appear with the same calendar icon. This fosters a more standard and user-friendly approach when designing new queries that users will be running.

Figure 5.E.1.4 – IQ Tool Query Details
Once the query is created, the user will select the Manage Rights button to update the right name and description (Figure 5.E.1.5).

Figure 5.E.1.5 – Managing IQ Tool Query Rights

The user also can associate the query to an existing right if desired (Figure 5.E.1.6).

Figure 5.E.1.6 – Managing IQ Tool Query Rights
2. Advanced Query Tool

The ecrt Advanced Query Tool is a powerful tool that can be used by qualified and authorized institutional personnel to drill down into any data that is loaded into the system. The Advanced Query Tool is not subject to the standard system security paradigm, which means only authorized users should use it. Additionally, it is intended only for users with SQL background. Using this feature incorrectly can cause system instability and, in the worst case, failure. As such, it should be used cautiously and sparingly. Institutions can choose to turn off the Advanced Query Tool and the Load Limiting factors if they so choose.

The Advanced Query Tool is accessed through the Reports navigation menu drop-down list (Figure 5.E.2.1).

To build a query, either enter in the SQL directly into the text box on the right hand side of the window, or select one of the operations, tables, or columns from the left hand side of the window (Figure 5.E.2.2).

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**Figure 5.E.2.1 – Accessing the Advanced Query Tool**

**Figure 5.E.2.2 – Advanced Query Tool**
A drag and drop feature is available between the left operations and selections and the SQL text field. To drag and drop from a list, open the list, select the table or SQL operation you want to drag, then move it into the SQL text field. From the column selection list, just choose the column and drag. Only one column can be dragged at a time. Finally, the buttons can also be dragged into the SQL text field.

Once a query has been built, you can submit the query using the Execute SQL Query button. If there are any syntax issues with your SQL, the system will show you an error of the problem. Once a query is executable, pressing the Execute SQL Query button will allow you to save the query.

Once a query has been created, it must be tied to a right (Figure 5.E.2.3).

![Figure 5.E.2.3 – Adding Query to Existing Roles/Rights](image)

Reports can be added to existing rights, which have been assigned to roles OR a new right (Figure 5.E.2.4) can be added for the report, which can be assigned in the same
process as any other right. The right will appear in the Dynamic tab of the Roles and Rights page.

Once an ad-hoc report is assigned to a right, all users with that right will be able to see the report if they also have the right to run ad-hoc queries.

For more information about creating and assigning queries, select the Help icon the Advanced Query Tool page.

3. Load Limiting Factors

Load limiting factors allows the institution to limit the results a user sees to those people/departments/accounts to which the person is related. To upload load limiting factors please consult the Huron team (Figure 5.E.3.1).

Institutions can choose to turn off the Advanced Query Tool and the Load Limiting factors if they so choose.
VI. Administration

The Administration section contains links to pages that are performed mainly by the System Administrator, from the Executive Dashboard with certification statistics to Data Load Management to all of the configuration pages. The links to these pages are located on the Administration section (Figure 6.0.1).

Figure 6.0.1 – Administration Secondary Menu
A. Executive Dashboard

The Executive Dashboard page aggregates certification information by statement type and employee type, providing users with a tool to monitor the status of effort reporting across the institution.

To view the statistics the user inputs three parameters (Figure 6.A.0.1).

![Executive Dashboard Parameters](image)

Figure 6.A.0.1 – Executive Dashboard Parameters

First, the user has to select the type of statements to be reviewed. The user can select Base statements, non-IBS statements, or both by marking the appropriate checkbox(es). The user then selects the employee type to review. Finally, the user determines the number of periods to review. The user can display information from anywhere between one (1) and twenty-four (24) periods, beginning with the most recent period first, assuming the system contains that much information.

The system will display separate summary charts for the number of certification periods that were selected (Figure 6.A.0.2). In the example below, we are reviewing the statistics for Base effort statements for Monthly employees for the last two Periods of Performance.
The summary chart shows the dates of the certification period, the total number of certification statements for the employee type for the period, and the number of statements in each status.

To adjust the statistics, the user changes the appropriate parameter and the results render accordingly (Figure 6.A.0.3). In the example below, we added Non-IBS statements to the statistics for Monthly employees for the last two Periods of Performance.
If the user selects a number of periods that exceeds the number of periods for which there is data in the system, an informational message is shown stating the number of periods that will be displayed (Figure 6.A.0.4).
Once the user selects OK, the screen displays the results for the number of periods for which there is information in the system (Figure 6.A.0.5).

**Figure 6.A.0.5 – Executive Dashboard Statistics – All Available Periods**
B. Data Load Management

The Data Load Management page compiles all the necessary elements to schedule, monitor, and initiate the data load process through the user interface. The ability to access this page is controlled by a right. For more information about the applicable right, please refer to the Roles and Rights section of this document (section VI-D-8).

To access the Data Load Management page, the administrator will select Data Load Management from the Administration navigation menu.

The Data Load Management page contains four tabs that display all information related to the data load process.

1. Integration Configuration

The Integration Configuration tab contains three settings – Import Settings, Data Polling Directory, and Data Load Error Log Retention Duration (Figure 6.B.1.1).

![Figure 6.B.1.1 – Integration Configuration Settings](image)

The Import Settings allow the institution to define the speed with which data can be loaded into the system based on the institution’s technical environment. These settings should be set in consultation with Huron and the institution’s technology group during the implementation or upgrade.

The Data Polling Directory defines the location of the polling directory, the folder containing the files to be loaded as part of the automatic data loading process.

The Data Load Error Log Retention Duration setting defines the length of time that the system retains the error logs.
2. Manual Data Loading

The Manual Data Loading tab allows a user to upload files manually. For data files to be loaded into the ecrt system the files must be loaded into the system’s polling directory. A user with access to the Data Load Management page can load the files into the polling directory through the user interface on the Manual Data Loading tab (Figure 6.B.2.1).

![Integration Configuration Settings](image)

**Figure 6.B.2.1 – Integration Configuration Settings**

The data load process cannot be initiated unless there is at least one file in the directory. If there are no files in the polling directory, the user will see a message stating “WARNING: Cannot load data until at least one file is present in the polling directory.” Additionally, the user will not see the ‘Load Data’ button; only the Cache button is visible.

To set up a file for loading, the file name must be the same as the file name displayed on this screen, i.e. Department.xml, Project.xml, Payroll.xml, etc., for the system to recognize the file. If the file is misnamed the system will not recognize it and it will not be loaded via either the Manual Data Loading page or the automated data loading process.

When at least one file is in the polling directory, the user will see a green check mark next to the present file. If there are any files in the polling directory and a new version of the same file is loaded into the directory, the new file will overwrite the version that was previously in the directory. A warning message reminding the user of this is displayed below the instructions (Figure 6.B.2.2).
To upload the files the user will select the Browse button to locate the files on the user’s computer or on a network to which the user has access from that computer. The user then selects the file to be uploaded. Once the file is selected and the user is returned to the Manual Data Loading page the user will select the Load Data button. A pop-up message is displayed confirming the user’s intention to begin a data load (Figure 6.B.2.3).
Once the data load process has been initiated, the user will see status bars that allow the user to monitor the progress of the data load (Figure 6.B.2.4).

The status bars refresh every 10 seconds to reflect the progress that has been made.
Once the process is complete, all the status bars will show 100%. The user should select the Cache button to populate the search drop-down lists throughout the system with the data that was just loaded. Without refreshing the cache, the drop-down lists will not be updated with the data that was just loaded.

Users also are able to cancel a data load process from this tab. When any of the data extracts are in the process of being loaded, the Cancel button will appear on this page (Figure 6.B.2.5).

![Figure 6.B.2.5 – Cancel Button](image)

When the user selects the Cancel button a confirmation pop-up window will be displayed (Figure 6.B.2.6).
Selecting this button will stop the data load process in the middle of the file that is currently being loaded. All data that was loaded prior to the Cancel request will remain in the system and can only be removed through running detailed scripts.

3. **Automatic Data Loading**

The Automatic Data Loading tab controls the data loading process, based on the settings entered on this page, rather than relying on manual intervention to load data.

The Automatic Data Loading settings should be configured during implementation and should be changed infrequently. The institution’s Central Administrator should be the only one to make changes to these settings if necessary and any changes should be communicated to everyone involved in the data loading process, including the employees responsible for data extraction and placement of the data files in the polling directory.

The first setting the institution must determine is the frequency with which data will be loaded. The institution can choose a daily, weekly, or monthly data load process (Figure 6.B.3.1).
If a daily process is selected, the institution will configure the time of day at which the process will start. The user will enter an hour (x:xx) and select AM or PM from the drop-down menu (Figure 6.B.3.2).

If a weekly process is selected, the institution will select the day of the week from the drop-down menu and then enter the starting hour (x:xx) and select AM or PM from the drop-down menu (Figure 6.B.3.3).
If a monthly process is selected, the user will place the cursor in the Job Start Date field to select or enter the day and month for the first data load using the calendar provided. Once the date is selected or entered, the user will enter an hour (x:xx) and select AM or PM from the drop-down menu (Figure 6.B.3.4).

Figure 6.B.3.3 – Data Integration Scheduler (Weekly)

Figure 6.B.3.4 – Data Integration Scheduler (Monthly)
Once the settings are entered, the user will select the Schedule button and receive a confirmation that the job was scheduled (Figure 6.B.3.5).

![Data Integration Scheduler - Schedule Confirmation](image)

**Figure 6.B.3.5 – Data Integration Scheduler – Schedule Confirmation**

By selecting the Details button the user can review the details of the scheduled job (Figure 6.B.3.6). The user also will see the details of the current schedule in the main area of this page when the user returns to this page in the future.
Once the job is scheduled, the user has the ability to cancel or change the scheduled process by selecting the Cancel button. This deletes any previous job schedule and allows the user to enter a new schedule.

4. **Integration Statistics**

A user with the appropriate rights can view data load statistics on the Integration Statistics tab. This tab contains several pieces of information about the data load process, including the successes and failures of the data elements that were loaded in each file, the date and time of the last data load, and the rate at which data is loading (when a file is loading) (Figure 6.B.4.1). The user also can view more detailed information about the successes and failures by selecting the magnifying glass icon.
The statistics page logs details about the last load for each file, including the date and time of the last load (if the last load occurred within the time period controlled by the Data Load Error Log Retention Duration setting on the Integration Configuration tab of Global Settings), the number of successful relationships added, the number of relationships that failed, and the rate at which the records are being loaded. Additionally, the sum (net amount) of successfully loaded payroll transactions and the sum (net amount) of failed payroll transactions are displayed for the Payroll file.

All statistics will be retained for the period of time that is configured in the Data Load Error Log Retention Duration setting on the Integration Configuration tab. For more information about this setting, please refer to section VI-E-5 of this document.

During a data load, the Recalculate button allows the user to refresh the Rate column, which shows the speed at which data is loading and the success/failure statistics. Those measures will update automatically every 30 seconds without selecting the Recalculate button.

The Action column displays a magnifying glass that allows the user to review the detailed results for each relationship that was loaded or failed to load. Selecting the magnifying glass takes the user to the Data Integration Monitor page (Figure 6.B.4.3).
The Data Integration Monitor page allows a user to review the successes and errors for each file. To review the details the user will select the magnifying glass next to either “Success” or “Errors” for the appropriate list (Figure 6.B.4.4).

**Figure 6.B.4.3 – Data Integration Monitor page**

**Figure 6.B.4.4 – Data Integration Monitor page**
Below the file selection box a list of the number of items to be displayed will appear. The list of relationships that were established, or failed, will appear below the count summary line. The list of relationships displays the date and time the relationship was loaded or failed, and a brief message describing the relationship. In the example in Figure 6.B.4.4, payroll transactions were successfully loaded for two certifiers.

The Email Integration Log captures all emails that are sent within the system (Figure 6.B.4.5).

The Email Integration Log captures the date and time the email was sent, the To recipient of the email, and the subject/title of the email.
C. Manage Users

Administrators have the ability to manage certain data about users in the ecrt system. The options include activating individuals to provide them access to the system, assigning individuals a role within the system, and assigning the individuals to a department or departments.

To manage this data, the user selects Manage Users from the Administration navigation menu, from the Administration menu page, or from the “Administration” section of the Effort Lifecycle ring on the Site Map. The user enters the individual’s name in the search field, selects the individual’s name from the list and selects Choose (Figure 6.C.0.1).

1. User Data

The employee’s system access settings and demographic information can be changed in the top section of the screen (Figure 6.C.1.1 - A). The ability to change any data in this section of the page is controlled by rights. If the user does not have the appropriate rights, the user will be able to view this section only. To edit this information, the user selects the magnifying glass icon in the lower right corner of the demographic information box (Figure 6.C.1.1 – B).
Selecting the magnifying glass icon opens these fields to be edited (Figure 6.C.1.2).

In this section, the user can set the employee’s web site access, configure whether the employee can access audit trail and transaction history data, set the employee’s email...
access (‘Active’ means the employee will receive any messages sent by the system (Certification Start, Certification Reminders) or within the system (emails sent using the group mail envelope icons) – this flag also can be set during the data load process in the Certifier file), set the individual as “Key Personnel” (which controls whether the individual receives the Certification Start and the Certification Reminder emails specifically), mark the individual as someone that has Total Professional Effort, override the automatic processing of statements with non-sponsored effort only at the beginning of the certification period (if ‘Inactive’, the employee must certify all statements regardless of the amount of sponsored effort), and view the employee’s current effort statement by selecting the ecrt system logo (Figure 6.C.1.2 – A).

The user can change biographical data about the employee, as well (Figure 6.C.1.2 - B). The data that is populated initially from the data load process. If the data is changed in the ecrt system, the changes will be overwritten during the next data load process if the information in the data load differs from the data in the system. To permanently change the data in the system, the data must be changed in the source system(s) from which the data load file is created.

One of the biographical data elements that can be manually edited on this page is the ‘Job Code’ field. Job Code is not a required data element but may be included in the data load file or manually added/updated to indicate a job category or type for the user.

To save the information, the user will select the disc icon in the lower right corner of the section. To avoid saving the changes, the user will select the arrow icon, which will close the section to prevent any further changes from being made.

2. User Email Addresses

To receive notification messages from the system, each user must have an email address in the system. If there is only one address in the system, it is the primary email address and is highlighted in yellow in this list. This is the address to which the system messages are sent.

If the user needs to add additional email addresses for the employee, the email addresses can be added in the ‘Emails’ section (Figure 6.C.2.1).

![Figure 6.C.2.1 – Adding Additional Email Addresses](image)

The user will select the ‘Add Email Address’ link, enter the new address (Figure 6.C.2.2), and then select the ‘Submit’ button.
Figure 6.C.2.2 – Submitting Additional User Email Addresses

After submitting the email address, the user will see a confirmation message and instructions about next steps (Figure 6.C.2.3). If no further addresses need to be added, the user will select ‘close’ to return to the Manage Users page.
The user then can designate which email address will be the primary email address. The user can designate a non-primary email address to be the primary address by selecting the yellow highlighter icon on the line next to the address (Figure 6.C.2.4).

Email addresses that are not designated as primary can be deleted by selecting the red 'X' icon next to the address.

3. Department Relationships
The Department Relationships list shows all departments to which an employee is assigned. These relationships mean the employee will appear in the Covered
Individuals list on the Department Dashboard page for each of the departments listed. The department that is highlighted in yellow is the primary or home department of the user and that department will be responsible for processing the user’s statements. This also can be managed through the data load process.

If the employee needs to be assigned to more departments than those that are assigned during the data load, the user can add additional departments as necessary. The user selects ‘Add Department’ (Figure 6.C.3.1).

A new pop-up box will appear (Figure 6.C.3.2).

The user searches for and selects the department name in the search field and presses ‘Select’ after choosing the correct department from the drop-down list. A confirmation message is displayed and the user is able to assign additional departments, if necessary (Figure 6.C.3.3).
If no additional departments need to be added, the user will select the “close” link in the top right corner of the screen. The Manage Users page will refresh and the added department will appear in the Department Relationships list.

If there are multiple departments for an employee, the user must assign a primary department for the employee (Figure 6.C.3.4). To do this, the user selects the yellow highlighter icon (A) to make a department the primary department.

If the employee is no longer associated with a listed department, the user can remove the department by selecting the red ‘X’ icon. This will remove the employee from that department’s Covered Individuals list on the Department Dashboard page, unless the person has a statement that is assigned to the department. In that case, the individual will continue to appear in the Covered Individuals list for that department.
The ability to add, delete or change department relationships is controlled by the 'Manage User's Departments' right. For more information about this right, see section VI-B-8.

4. Effort Coordinator Department Relationships

The Effort Coordinator Department Relationships list shows all departments to which a user is assigned as an Effort Coordinator. These relationships mean the user can view the Department Dashboard page for each of the departments listed and, if marked as the primary effort coordinator for a department, generally will be responsible for processing the statements for the individuals assigned to the department.

If the employee needs to be assigned to more departments than those that are assigned during the data load, the user can add additional effort coordinator relationships to departments as necessary. To do so, the user will select 'Add Department' (Figure 6.C.4.1).

![Figure 6.C.4.1 – Effort Coordinator Department Relationships](image)

A new pop-up box appears (Figure 6.C.4.2).
Figure 6.C.4.2 – Adding an Effort Coordinator Department Relationship

The user will enter and select the department name in the search field and press 'Select' after choosing the correct department from the drop-down list. A confirmation message is displayed and the user is able to assign additional departments, if necessary (Figure 6.C.4.3).
The department was successfully added. If you would like to add another department, please select the new department and click Submit. Otherwise, click Close to return to the previous page.

If no additional departments need to be added, the user will select the “Close” link in the top right corner of the screen. The Manage Users page will refresh and the added department will appear in the Department Relationships list.

If the department that was added has sub-departments related to it, the sub-departments will appear automatically in the Effort Coordinator Department Relationships list (Figure 6.C.4.4) and the employee will be assigned as an effort coordinator to each of the sub-departments. If there are no sub-departments, the employee will be assigned only to the department.

In our example, the Demo University department was added, which has Demo Department as a sub-department. Both Demo University and Demo Department are added to the list. If the user does not want the employee to be assigned to the sub-department, the user will select the red ‘X’ in the Action column (Figure 6.C.4.4).
The user also can mark the employee as a restricted access effort coordinator. Restricted Access Effort Coordinators are effort coordinators that are assigned at the department level but who are able to view only the effort statements of individuals to whom they have been assigned, not everyone within the department.

Restricted access on the Manage Uses page is assigned in one of two ways – selecting the padlock icon in the Action column for a department to which the employee is assigned currently or by selecting the Add Restricted link below the department listing to add a new department (Figure 6.C.4.5).

Selecting either link will open a pop-up window (Figure 6.C.4.6).

**Individual Effort Coordinator Assignment Instructions**

This is the Individual Effort Coordinator Assignment screen. From here, you can assign individual certifiers to specific Effort Coordinators.

If the user is adding a new department relationship for the employee by using the Add Restricted link, the user will enter the name of the department to which the employee should be related. If the user is restricting a previously assigned department, the Assigned Certifiers List will be populated automatically with the existing relationships.
Once the department is selected, the user will see a list of all employees associated to that department in the Unassigned Certifier List on the left side of the screen (Figure 6.C.4.7).

**Individual Effort Coordinator Assignment Instructions**

This is the Individual Effort Coordinator Assignment screen. From here, you can assign individual certifiers to specific Effort Coordinators.

![Unassigned Certifier List](image)

**Figure 6.C.4.7 – Unassigned Certifier List**

Individuals are assigned by selecting the name and using the arrows on the assignment page (Figure 6.C.4.7). The single arrow moves the selected person only to the other list; the double arrows move the entire list to the other status.

When an individual has been moved to the Assigned Certifier List the individual is removed from the list of individuals available for assignment (Figure 6.C.4.8).
Individual Effort Coordinator Assignment Instructions

This is the Individual Effort Coordinator Assignment screen. From here, you can assign individual certifiers to specific Effort Coordinators.

When the user has assigned the correct individuals to the Restricted Access Effort Coordinator the user will select the ‘Assign’ button to save the changes.

After the assignments have been submitted the assignment window displays a message confirming that the relationship was added (Figure 6.C.4.9).

Individual Effort Coordinator Assignment Instructions

This is the Individual Effort Coordinator Assignment screen. From here, you can assign individual certifiers to specific Effort Coordinators.

Figure 6.C.4.8 – Assigned Certifier List

Figure 6.C.4.9 – Assigned Certifier List
To return to the Manage Users page the user will close the pop up window. The Effort Coordinator Department Relationships list will refresh and show the newly added department (Figure 6.C.4.10).

**Figure 6.C.4.10 – Restricted Effort Coordinator Entry**

The Action column displays a new padlock icon with a red ‘X’ that indicates that the relationship is restricted. For more information about Restricted Effort Coordinators, please refer to section VI-A-4 of this document.

5. **Department Viewer Relationships**

The user can assign Department Viewer relationships on the Manage Users page. These assignments permit an employee to access the Department Dashboard page for a given department to monitor the effort reporting process within that department without having the responsibilities or permissions of an effort coordinator. This relationship is useful especially for school level administrators to monitor department and sub-department units.

To add a Viewer relationship, the user will select the ‘Add Department’ link below the Department Viewer Relationships list (Figure 6.C.5.1).

**Figure 6.C.5.1 – Department Viewer Relationships List**

A new pop-up box will appear (Figure 6.C.5.2).
The user will enter and select the department name in the search field and press ‘Select’ after choosing the correct department from the drop-down list. A confirmation message is displayed and the user is able to assign additional departments, if necessary (Figure 6.C.5.3).
If no additional departments need to be added, the user will select the “close” link in the top right corner of the screen. The Manage Users page will refresh and the added department will appear in the Department Viewer Relationships list (Figure 6.C.5.4).

In our example, the Demo University department was added, which has Demo Department as a sub-department. Both Demo University and Demo Department are added to the list. If the user does not want the employee to be assigned to the sub-department, or any department listed, the user will select the red ‘X’ in the Action
column (Figure 6.C.5.4). This is the only action that can be taken with these relationships.

6. Account Relationships

Below the department listing is the account listing. This list shows all of the accounts to which the employee is associated (Figure 6.C.6.1).

![Figure 6.C.6.1 – Grant/account relationships](image)

If the user has the manager user’s account relationships right, the user can remove any of the account relationships on this page by using the red ‘X’ icon next to the account. There are two implications of eliminating this relationship: 1) the employee will be removed from the list of covered individuals on the Award/Account Summary page and 2) the employee may not be able to access reports where the security is based on account relationships. If the employee has payroll or cost share associated to this account on an open effort certification statement, the account will continue to appear on the statement.

7. User Roles

If an employee is new or needs a new role, the user can assign a role on the Manage Users page. Assignments are made by marking the checkbox on the right side of the screen that corresponds to the role on the left side of the screen (Figure 6.C.7.1).

![Figure 6.C.7.1 – Assigning User Roles](image)
Multiple roles may be assigned to an employee. While the user’s access is based on the assigned role with highest level of access, it is best to check all of the roles that the user should have and let the system handle the access issues automatically.

8. Assigning a Proxy

The ecrt system provides the ability to assign a proxy certifier to an individual, after which time the proxy certifier is responsible for completing the individual’s effort certifications.

While the proxy is related to the individual, the proxy is able to certify any outstanding certification statements for an individual and has the ability to view all statements for the individual. Any system reminder emails that are generated for the individual will go to the proxy only. However, after the relationship is removed the former proxy does not have access to any of the individual’s statements, including those that the former proxy certified.

The proxy assignment does not end until the relationship is deleted and there is no automatic process within the system to terminate a proxy assignment based on a certain amount of time. Once a proxy assignment is made, the proxy is responsible for all certification statements until the proxy assignment is terminated.

A user with the Assign a Proxy right can assign a proxy on the Manage Users page. If a proxy relationship does not exist, the proxy settings will be blank (Figure 6.C.8.1).

To assign a proxy, the user will search for and select the person to be assigned as the proxy. The system requires a reason to be selected from the “Reason” drop-down list, which contains static values that are loaded with the system. The user then will click the “Save Certifier Proxy” button to save the selected user (Figure 6.C.8.2).
At the time the proxy assignment is made, the system will send an email to both the proxy and the individual to whom the proxy is assigned stating that the proxy assignment has been made. The individual's Manage Users page is updated to display the proxy assignment (Figure 6.C.8.3).

The proxy list displays the proxy's name, the reason for the proxy assignment, and the 'Action' column with two icons. The first icon allows the user to edit the proxy assignment. This allows the user to change the proxy assignment reason or to terminate the original proxy assignment and create a new proxy assignment for the individual (Figure 6.C.8.4).

The second icon, the red 'X' deletes the proxy assignment. When a proxy assignment is changed or deleted, a system-generated email is sent to each of the affected individuals informing them of the change.

The proxy's Manage Users page also is updated to display the proxy assignment (Figure 6.C.8.5).
An individual that is assigned as a proxy cannot also have a proxy assigned for the individual. The individual’s proxy assignment(s) must be removed before the individual can have a proxy assigned.

If a proxy is assigned to an individual, the individual is not restricted from accessing the system or the individual’s effort statements.

9. **Primary Effort Coordinator Override**

The Primary Effort Coordinator Override allows an institution to assign an effort coordinator that is not the statement owner’s home department Primary Effort Coordinator to process the base and non-IBS effort statements for that statement owner. Primary Effort Coordinator Override relationships are assigned on an individual basis through the statement owner’s Manage Users page.

The Primary Effort Coordinator Override is responsible for processing the effort statements for the individuals that are assigned. Unlike effort tasks associated to a department’s Primary Effort Coordinator, once a Primary Effort Coordinator Override receives a processing task for an individual, the task remains in that PEC Override’s task list until it is resolved. If the PEC Override is removed before the task is processed the task will remain with that Override; the tasks will not transfer to the new Primary Effort Coordinator. Additionally, only Effort Processing tasks are sent to the PEC Override. All other tasks pertaining to the certifier, such as payroll reconciliations, cost transfer notifications, sponsor notifications, etc., still are sent to the Primary Effort Coordinator of the individual’s department.

At the bottom of the Manage Users page the user sees two lists (Figure 6.C.9.1).
The first list shows any statement owner to whom the individual is assigned as the Primary Effort Coordinator Override, if anyone (A). This assignment must be made on the statement owner’s Manage Users page; it is not established on this page.

The second list shows the individual’s Primary Effort Coordinator Override (B). The ability to assign a Primary Effort Coordinator Override is controlled by a right and only one Primary Effort Coordinator Override can be assigned at a time.

To assign a Primary Effort Coordinator Override, the user will enter the name of the employee to be the override (Figure 6.C.9.2). Only individuals that have been assigned a role that has been designated as “Effort Coordinator” in the Roles and Rights section will appear in the drop-down and be eligible to be assigned as an override.

Once the correct effort coordinator has been assigned as the override, the user will select the Save button to confirm the override assignment.

The name of the override will appear in the Primary Effort Coordinator Override list (Figure 6.C.9.3).
To remove the assignment, the user can click the red $X$ in the Action column.
D. Manage Roles and Rights

The Roles and Rights Management page is where an institution can define the roles in the system, to which every employee that is loaded into the system must be assigned at least one. Roles are assigned rights that determine what pages and actions an employee that is assigned that role may see and do within the application. As a result, roles should be based on the responsibilities and tasks to be performed by the users involved in the effort reporting process. Each role, and its corresponding rights, is created to ensure that each user is able to view and access only those pages that are necessary for the user to be able to complete the work expected of the user and no more. This prevents any employee from accessing any sensitive data that the employee should not be allowed to view.

Additionally, unless otherwise specified, the rights associated to statements apply to all statement types used by the institution. Unless the right specifically says it applies to one statement type only, the right applies to both Base statements and Non-IBS statements.

The ecrt system allows the institution to create as many roles in the system as necessary. Roles are generally based on the organizational positions of those involved in effort reporting; examples include Faculty or Self-Certifiers, Non-Faculty or Non-Self-Certifiers, Central Effort Administrator, Departmental Effort Coordinator, Graduate Student, Research Assistant, and so on. The screen below (Figure 6.D.0.1) displays a sample list of roles.

![Figure 6.D.0.1 - Roles and Rights Management](image)

When the application is first installed, there are no roles populated in the list. The implementation team will work with the institution during the implementation to define and configure the roles and the rights associated to each role. The rights can be...
modified at any time by anyone with the right to do so, typically the institution’s Central Administrator. The institution must use care when changing the rights assigned to a role to ensure that only the necessary rights are assigned.

To add a role in the system, the user will select ‘Add’ and the following pop up will appear (Figure 6.D.0.2):

![Figure 6.D.0.2 - Adding a Role](image)

The name of the new role and a description will be entered. The administrator will select ‘Submit’ and return to the Roles and Rights Management page. The new role will appear on the list.

Once a role has been added, a user can perform three actions from this page by selecting the appropriate icon from the Action column (Figure 6.D.0.1 - A). Selecting the magnifying glass icon displays the list of all of the rights in the system and allows the user to assign or remove rights from the role. The red X icon allows the user to delete a role that is no longer needed in the system. Roles should not be deleted very often and all users that were assigned to that role should be assigned to a new role, particularly if the role was replaced with a similar one. The envelope icon allows the user to quickly and easily send an email to all users that possess that role. When the envelope icon is selected, a new window is displayed, allowing the user to create the Subject line and the text of the message to be sent (Figure 6.D.0.3).

![Figure 6.D.0.3 – Email Members Defined to a Role](image)
To assign the rights for a role, the administrator will select the magnifying glass icon in the ‘Action’ column associated with the desired role. In this example, we selected the PI role. The following screen appears (Figure 6.D.0.4).

**Figure 6.D.0.4 - Assigning Rights to a Role**

The role for which the list of rights is being displayed is highlighted in yellow at the top while the tabs grouping the rights are displayed below the roles. To assign a right to this role, the administrator will select the appropriate tab and mark the checkbox on the right side of the screen. If the right should not be granted to the role, the checkbox should remain empty. When the rights have been finalized for the role, the administrator will select Refresh. The screen will reset and reflect the changes that were made.
If a user does not have the appropriate rights to perform an action or access data the user will see a message stating “Access Denied” and listing which rights the user needs to perform the action or access the data (Figure 6.D.0.5).

**ACCESS DENIED**

You do not have sufficient rights to access this page. In order to access this page, you must have at least one of the following right(s):

- View Manage Effort Tasks

**Figure 6.D.0.5 – Access Denied message**

The list of rights is grouped in the following high-level topic segments:

1. Award and Account
2. Certification, including Certification Management, Effort Statement Management, and Clinical Activities Management
3. Commitment
4. Cost Share
5. Cost Transfer
6. Reporting
7. Department
8. Admin
9. Dynamic

The following table reflects the current list of available roles and rights descriptions.
1. **Award & Account**

Award and Account Management Rights

<table>
<thead>
<tr>
<th>Right Name</th>
<th>Right Description</th>
<th>Pages Affected</th>
</tr>
</thead>
<tbody>
<tr>
<td>Activate Account Exception Flag</td>
<td>Allows a user to turn on or off the exception flag on the Account / Award Summary page for an account / award / project. The exception flag appears on the effort statement for those accounts that are designated by the institution as exception or suspended accounts. The account may appear on the effort statement but the statement cannot be certified if there are any payroll or cost share charges on the account.</td>
<td>Award/Account Summary page, Effort Statement</td>
</tr>
<tr>
<td>Assign 'K' Award Flag on Award / Account Summary Page</td>
<td>Allows a user to set the 'K' award flag on the Account / Award Summary page for an award/account. This flag designates the award/account as an NIH 'K' Award. The flag is displayed on the Award / Account Summary page for anyone with the View Account / Award Summary Page right.</td>
<td>Award/Account Summary page, Effort Statement</td>
</tr>
<tr>
<td>Edit ARRA Account Details</td>
<td>Allows a user to edit the ARRA information on the Account / Award Summary Page. There are three fields that can be edited to assist with tracking information on ARRA awards - whether the award/account is an ARRA award (checkbox), the number of full-time jobs that were created by this award (data entry box and save button), and the number of full-time jobs that were retained as a result of this award (data entry box and save button).</td>
<td>Award/Account Summary page</td>
</tr>
<tr>
<td>Edit Cost Sharing Flag on Account / Award Summary Page</td>
<td>Allows a user to edit the cost sharing requirement flag on the Account / Award Summary page. If an account/award is not marked as cost sharing during the data load, an authorized user can set the flag on the Summary page to mark the account/award as cost sharing. This flag does not alter the display of information on the effort statement; it only flags the account/award as cost sharing on the Summary page. The flag appears for anyone with the View Account / Award Summary page right.</td>
<td>Award/Account Summary page</td>
</tr>
<tr>
<td>View Account / Award Summary Page</td>
<td>Allows a user to view additional account details beyond a sponsored account's number and name by displaying a link to the Account / Award Summary page on the effort statement. A user can access the Account / Award Summary page by clicking on this link.</td>
<td>Award/Account Summary page</td>
</tr>
<tr>
<td>View ARRA Account Details</td>
<td>Allows a user to view the ARRA information on the Account/Award Summary Page. There are three fields that can be viewed - whether the award/account is an ARRA award, the number of full-time jobs that were created by this award, and the number of full-time jobs that were retained as a result of this award.</td>
<td>Award/Account Summary page</td>
</tr>
</tbody>
</table>
## 2. Certification

### a. Certification Management Rights

<table>
<thead>
<tr>
<th>Right Name</th>
<th>Right Description</th>
<th>Pages Affected</th>
</tr>
</thead>
<tbody>
<tr>
<td>Add Effort Notes to Active Effort Statement</td>
<td>Allows a user to add or copy effort notes on active effort statements, i.e. any effort statement that has not been processed or auto-approved, to which the user is associated. The ability to edit or delete notes for active effort statements are controlled by separate rights. The ability to add, edit, or delete notes for historical effort statements are controlled by separate rights.</td>
<td>Effort Statement</td>
</tr>
<tr>
<td>Add Effort Notes to Closed Effort Statement</td>
<td>Allows a user to add or copy effort notes on historical effort statements to which the user is associated. The ability to edit or delete notes for historical effort statements are controlled by separate rights. Historical statements are statements with the following statuses: Certified, Processed; Certified, Processed, Payroll Pending; and Auto-Approved.</td>
<td>Effort Statement</td>
</tr>
<tr>
<td>Approve Total Professional Effort Notifications</td>
<td>Allows a user to Approve/Acknowledge changes that were made to a certifier's Total Professional Effort on the TPE Review Screen under Manage Effort Notifications. The user will select the TPE task from the TPE Review section to review the task item and decide whether to Approve/Acknowledge the changes. The user must have the right to Manage Effort Notifications for this right to take effect.</td>
<td>Manage Effort Notifications</td>
</tr>
<tr>
<td>Assign 'Hold' Status to an Effort Statement</td>
<td>Allows a user to set an effort statement to 'Hold' status. This status is set on the effort statement and prevents the effort statement from being certified by any employee with the ability to certify the statement. The user then can release the statement to be certified once the statement is accurate.</td>
<td>Effort Statement</td>
</tr>
<tr>
<td>Assign a Certification Designee to an Account</td>
<td>Allows a user to access the Add Certification Designee page. If this right is active, the ‘Add Certification Designee’ link appears under the Manage navigation menu, allowing the user to designate an employee who will have the ability to certify effort statements for all non-faculty employees that have salary charged or cost shared to a specific account.</td>
<td>Add Certification Designee page</td>
</tr>
<tr>
<td>Assign a Proxy</td>
<td>Allows a user to assign a proxy certifier. This right permits the user to assign a proxy certifier for an individual user on the Manage Users page. The proxy certifier is assigned only to an individual, as opposed to the Assign Designee right that designates a certifier for all employees with activity on an account.</td>
<td>Manage Users page</td>
</tr>
<tr>
<td>Assign a User as a PI for the External Audit Report</td>
<td>Marks the users that have been assigned this right to appear in the population of PIs on the External Audit Report. Users can run the report using the PI radio button for those individuals that have this right. After this right is activated, the user should refresh the system cache in the Global Settings to populate the list.</td>
<td>Reports page, External Audit Report,</td>
</tr>
<tr>
<td>Right Name</td>
<td>Right Description</td>
<td>Pages Affected</td>
</tr>
<tr>
<td>------------</td>
<td>-------------------</td>
<td>----------------</td>
</tr>
<tr>
<td>Assign a User as a Self-Certifier</td>
<td>Marks the users that have been assigned this right as self-certifiers. Effort statements for those users that are assigned this right cannot be accessed by other users that are assigned this right. Users assigned this right are typically PIs or Designees. This right also prevents users assigned it from appearing in reports that show salary for those certifiers that work for a PI, including the Certifier Salary Activity Report and the Payroll Report; the user does appear in the results for the SPES Report, however. NOTE: This designation of ‘self-certifier’ should not be confused with any role the institution may create with that name.</td>
<td>Effort Statement</td>
</tr>
<tr>
<td>Attach a File to the Effort Statement</td>
<td>Allows a user to attach a file to an effort statement by selecting the ‘Attach File’ link below the effort statement. A user can upload a file to the user's own statement and any statements of those employees that are associated to the user. An unlimited number files can be uploaded. Acceptable file formats include PDF, TIF, JPEG, and GIF.</td>
<td>Effort Statement</td>
</tr>
<tr>
<td>Certify an Effort Statement</td>
<td>Allows a user to certify any effort statement to which the user has access, i.e. if a faculty member, her own and those of her researchers; if a PEC, his own and anyone associated with his department; if a designee, her own and anyone associated with her designated account. If this right is selected, the ‘Certify’ button is visible on the effort statement.</td>
<td>Effort Statement</td>
</tr>
<tr>
<td>Certify Only My Effort Statements</td>
<td>Allows a user to access effort statements of others and save changes to the statement (if the user has the ability to save an effort statement) but prevents the user from certifying any statements other than the user's own from the effort statement page. This applies to any method a user may use to access the statement of another user. Prevents a user from certifying any statements other than the user's own statements. This right trumps the Certify A Statement right for statements other than the user's own. This right must be combined with the Certify an Effort Statement right to allow the user to certify the user's own statements. This right also must be combined with the View an Effort Statement right to access the statements of others and the Save an Effort Statement right to save the statements of others.</td>
<td>Effort Statement</td>
</tr>
<tr>
<td>Change and Update Total Professional Effort</td>
<td>Allows a user to create, update, and change a Total Professional Effort entry on the Total Professional Effort page. This right governs both TPE dates and percentages. This right does not permit the user to access the TPE statement; the user also must have the 'View Total Professional Effort' right.</td>
<td>TPE Statement</td>
</tr>
<tr>
<td>Confirm Total Professional Effort</td>
<td>Allows a user to confirm a Total Professional Effort entry during the effort certification process. This right is typically assigned to certifiers that are responsible for confirming Total Professional Effort as well as certifying the effort statement.</td>
<td>TPE Statement</td>
</tr>
<tr>
<td>Copy Effort Notes</td>
<td>Allows a user to copy effort notes on effort statements to which the user has access. Copying effort notes creates a new note that can be edited by the user. This right does not need to be combined with an Add Effort Notes or Edit Effort Notes right to perform this limited function but the user will not be able to add an original note or otherwise edit an existing note. Copying effort notes can confuse historical information about effort statements so this right should not be widely assigned.</td>
<td>Effort Statement</td>
</tr>
<tr>
<td>Right Name</td>
<td>Right Description</td>
<td>Pages Affected</td>
</tr>
<tr>
<td>------------------------------------</td>
<td>---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
<td>---------------------------------------------------</td>
</tr>
<tr>
<td>Delete Effort Notes</td>
<td>Allows a user to delete effort notes entered on effort statements to which the user has access. Deleting effort notes can remove historical information about effort statements so the right should not be widely assigned.</td>
<td>Effort Statement</td>
</tr>
<tr>
<td>Delete Profiles</td>
<td>Allows a user to delete active or historical profiles from the Profile Manager page. The user also must have the View Profile Page right to access the page from which profiles can be deleted. If the user does not have the View Profile Page right, this right will be unproductive.</td>
<td>Profile Manager page</td>
</tr>
<tr>
<td>Edit Effort Notes</td>
<td>Allows a user to edit effort notes entered on effort statements to which the user has access. Editing effort notes can remove historical information about effort statements so the right should not be widely assigned.</td>
<td>Effort Statement</td>
</tr>
<tr>
<td>Ignore Certification Start Auto Process</td>
<td>Overrides the system's built-in logic that auto-processes an effort statement that does not have any sponsored activity. Users that have been assigned a role that includes this right must certify their effort even if they have only non-sponsored effort on an effort statement for a given effort reporting period.</td>
<td>Effort Statement</td>
</tr>
<tr>
<td>Manage Effort Statement Work Flow</td>
<td>Displays the Manage Effort Statement Work Flow link in the Administration navigation menu. Users with this right have the ability to configure work flow for additional effort reviewers. This right allows a user to configure either Coarse Grain or Fine Grain Work Flow. This right is typically given to central or departmental administrators responsible for configuring work flow.</td>
<td>Manage Effort Statement Work Flow Global Settings page</td>
</tr>
<tr>
<td>Manage Effort Statement Work Flow - Coarse Grain</td>
<td>Allows a user to manage only the Coarse Grain Work Flow setup on the Effort Statement Work Flow page. This right controls the ability of a user to access this specific section on the Work Flow configuration page. This right is typically given to central or departmental administrators responsible for configuring work flow.</td>
<td>Manage Effort Statement Work Flow Global Settings page</td>
</tr>
<tr>
<td>Manage Effort Statement Work Flow - Fine Grain</td>
<td>Allows a user to manage only the Fine Grain Work Flow setup on the Effort Statement Work Flow page. This right controls the ability of a user to access this specific section on the Work Flow configuration page. This right is typically given to central or departmental administrators responsible for configuring work flow.</td>
<td>Manage Effort Statement Work Flow Global Settings page</td>
</tr>
<tr>
<td>Manage Effort Statement Work Flow - Linear / Parallel</td>
<td>Allows a user to control whether work flow occurs in a linear or parallel fashion. This right does not control the ability to establish or configure work flow; rather, it controls the routing of the work flow that is configured. This right affects the Effort Statement Work Flow page only. This right is typically given to central or departmental administrators responsible for configuring work flow.</td>
<td>Manage Effort Statement Work Flow Global Settings page</td>
</tr>
<tr>
<td>Reopen a Certified Effort Statement at Anytime</td>
<td>Allows a user to reopen any closed effort statement. If this right is active, the 'Open for Recertification' button appears on a certified effort statement. This right is typically given to central administrators.</td>
<td>Effort Statement</td>
</tr>
<tr>
<td>Reopen a Certified Effort Statement During Current Certification Period</td>
<td>Allows a user to reopen a certified effort statement during that statement's certification period only. If this right is active the 'Open for Recertification' button appears on a certified effort statement when accessed during the certification period. This right is typically given to department administrators.</td>
<td>Effort Statement</td>
</tr>
<tr>
<td>Right Name</td>
<td>Right Description</td>
<td>Pages Affected</td>
</tr>
<tr>
<td>------------------------------------------------</td>
<td>------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
<td>-------------------------------</td>
</tr>
<tr>
<td>Require Non-Sponsored Activity Codes for Certification</td>
<td>Requires Activity Codes to be entered for all Non-Sponsored effort before any effort statement for a user that is assigned this right can be certified. This right does not apply to the statements that the person is certifying (other than her own); rather, it applies to all statements for the person that has this right. If this right is active, certifiers must enter values for Activity Codes for the Non-Sponsored effort on the statement that is being certified. If no values are entered, certification will not be permitted.</td>
<td>Effort Statement</td>
</tr>
<tr>
<td>Save an Effort Statement</td>
<td>Allows a user to save any effort statement to which the user has access, i.e. if a PI, the PI's own statement and the statements of the PI's associated researchers; if a PEC, the PEC's own statement and anyone associated to the PEC's department; if a designee, the designee's own statement and the statements of anyone associated with the designated account. If this right is selected, the 'Save' button is visible on the effort statement at any time throughout the reporting or certification period. This right is trumped by the View Effort Statements of Others as View Only right but works in conjunction with the Certify Only My Effort Statements right.</td>
<td>Effort Statement</td>
</tr>
<tr>
<td>Save an Effort Statement During the Certification Period Only</td>
<td>Allows a user to save the effort statement during a Certification Period. The 'Save' button will appear on the effort statement during this time if this right is enabled. Data can be saved at any time during the Certification Period but it cannot be saved either before or after the Certification Period.</td>
<td>Effort Statement</td>
</tr>
<tr>
<td>Save an Effort Statement During the Period of Performance Only</td>
<td>Allows a user to save the effort statement during a Period of Performance. The 'Save' button will appear on the effort statement during this time if this right is enabled. Data can be saved at any time during the Period of Performance but it cannot be saved after the Period of Performance has ended.</td>
<td>Effort Statement</td>
</tr>
<tr>
<td>Show 'Need Assistance' Button on Effort Statement</td>
<td>Allows a user to view the 'Need Assistance' button on the effort statement. Selecting the button automatically creates an email message to the effort coordinator in the user's email application (if the user is logged into the email application).</td>
<td>Effort Statement</td>
</tr>
<tr>
<td>View Account Numbers on Select Pages</td>
<td>Allows a user to view the account number, in addition to the account name, in the Award/Account list on the Department Dashboard page, on the Award/Account Summary page, and the Effort Calculator page.</td>
<td>Department Dashboard page, Award/Account Summary page, and Effort Calculator page</td>
</tr>
<tr>
<td>View an Effort Statement</td>
<td>Allows a user to view all effort statements related to the user through the 'My Statements' link in the Certify navigation menu or 'Statements Awaiting Certification' list on the Home Page. This right also allows an Effort Coordinator to access the effort statement, including through the Department Dashboard page. This right controls the ability to view the effort statement only; the ability to certify the statement is a separate right and needs to be enabled as appropriate.</td>
<td>Effort Statement</td>
</tr>
<tr>
<td>Right Name</td>
<td>Right Description</td>
<td>Pages Affected</td>
</tr>
<tr>
<td>------------</td>
<td>-------------------</td>
<td>----------------</td>
</tr>
<tr>
<td>View Associated Researchers</td>
<td>Allows a user to view the effort statements for all individuals not marked as self-certifiers to whom the user is associated. The associations can be created by a PI relationship, Designee relationship, Proxy relationship, or Effort Coordinator relationship. If this right is active, the user will see the associated researchers on the Home Page and in the Work List on the effort statement page. Without this right, the user will see and access only the user's own statements.</td>
<td>Effort Statement</td>
</tr>
<tr>
<td>View CAP Details Maximum Privileges</td>
<td>Allows a user to view the detailed cap calculation information when hovering over the CAP indicator on an effort statement when the statement owner is subject to a salary cap. This right also enables the user to see the salary cap 'pass/fail' check when hovering over the checkmark icon on the statement, the 'Salary Cap Alert' page, which calculates the projected distribution between payroll and cost share based on the employee's salary, and a flex calculator on the 'Salary Cap Alert' page to identify different certification levels and their impact on payroll and cost share distributions.</td>
<td>Effort Statement, NIH Salary Cap Alert page</td>
</tr>
<tr>
<td>View CAP Details Minimum Privileges</td>
<td>Allows a user to view the salary cap 'pass/fail' check when hovering over the checkmark or the CAP indicator on an effort statement when the statement owner is subject to a salary cap. This right enables the user to see the 'Salary Cap Alert' page, which calculates the projected distribution between payroll and cost share based on the employee's salary, and a flex calculator on the 'Salary Cap Alert' page to identify different certification levels and their impact on payroll and cost share distributions.</td>
<td>Effort Statement, NIH Salary Cap Alert page</td>
</tr>
<tr>
<td>View Commitments on Effort Statement</td>
<td>Allows a user to view effort commitment information when the user's cursor hovers over a sponsored account on the effort statement.</td>
<td>Effort Statement</td>
</tr>
<tr>
<td>View Do Not Process Button on Certified, Not Processed Effort Statement</td>
<td>Allows a user to view the 'Do Not Process' button on the effort statement page for a Certified, Not Processed statement. This right permits a user, typically without an Effort Coordinator role, to choose not to process a certified statement when viewing the statement from the statement page. This right does not affect a user that navigates to a Certified, Not Processed statement from the effort task resulting from certification. Without this right, the user will not see any buttons on a Certified, Not Processed statement. This right typically is given to a Central Administrator role, not an Effort Coordinator role.</td>
<td>Effort Statement page</td>
</tr>
<tr>
<td>View Dollars and Percentages on Effort Statements of Others</td>
<td>Allows a user that accesses the main effort statement of another user by any method to change the effort statement from percentages to total period dollars for effort fields on the effort statement. This right does not affect the user's ability to toggle the user's own statement between dollars and percentages. If the right is active, the 'Show Dollar Value' link appears at the top of the effort statement.</td>
<td>Effort Statement</td>
</tr>
<tr>
<td>Right Name</td>
<td>Right Description</td>
<td>Pages Affected</td>
</tr>
<tr>
<td>------------</td>
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</tr>
<tr>
<td><strong>View Dollars and Percentages on My Effort Statements</strong></td>
<td>Allows a user to change the user's own effort statement or the statements of any person to whom the user is assigned Proxy from percentages to total period dollars for effort fields on the statement. If the right is active, the 'Show Dollar Value' link appears at the top of the effort statement.</td>
<td>Effort Statement</td>
</tr>
<tr>
<td><strong>View Effort Calculator</strong></td>
<td>Allows a user to view the 'Effort Calculator' link on the effort statement. The Effort Calculator appears as a new pop-up window if the link is selected. The calculator allows the user to convert average weekly work hours to effort percentages and vice versa.</td>
<td>Effort Statement</td>
</tr>
<tr>
<td><strong>View Effort Statement as PDF</strong></td>
<td>Allows a user to view, download and/or print an effort statement in PDF format. If the right is active, the PDF icon appears at the top of the effort statement.</td>
<td>Effort Statement</td>
</tr>
<tr>
<td><strong>View Effort Statements of Other Users as Read-Only</strong></td>
<td>Allows a user to certify the user's own effort statement as well as the effort statements of anyone for whom the user is assigned as a Proxy. This right overrides the right to Certify an Effort Statement, preventing the user from certifying any statements for other individuals unless the user is a Proxy. The user is not allowed to save any statement if assigned this right.</td>
<td>Effort Statement</td>
</tr>
<tr>
<td><strong>View In Progress Effort Statements on the Statement Page</strong></td>
<td>Allows a user to view the 'In Progress' section on the effort statement page. This right permits a user to view any In Progress or Certified, Not Processed statements in the In Progress section of the effort statement page. Without this right, the user will not see any statements in either of these statuses.</td>
<td>Effort Statement</td>
</tr>
<tr>
<td><strong>View List of Potential Certifiers and Approvers</strong></td>
<td>Allows a user to see a list of all effort statement certifiers and approvers at the bottom of the effort statement. The list of certifiers includes anyone who is a PI or Designee on one of the individual's accounts or is a Proxy for the statement owner. The list of approvers shows which administrators will receive an Effort Processing Work Item when the statement is certified. For institutions that use the default statement processing methodology of routing the work item to only one individual, the list of approvers will be limited to the Primary Effort Coordinator or the Effort Coordinator assigned via Effort Coordinator Override functionality. If the institution chooses to route a certified statement to all Effort Coordinators associated to any sponsored project on an effort statement then each of the effort coordinators will show up in the list of approvers. This right is typically given to all users.</td>
<td>Effort Statement</td>
</tr>
<tr>
<td><strong>View Look-up Page</strong></td>
<td>Allows a user to view the Lookup page. This page is accessed from the Manage navigation menu. On this page a user can search for an Account or Award, which directs the user to the Account/Award Summary page, or a user can search for a person, which directs the user to the certification statement of the person searched.</td>
<td>Look-up page</td>
</tr>
<tr>
<td><strong>View Payroll Report from Effort Statement</strong></td>
<td>Allows a user to run the Payroll Report from the effort statement. If the right is active, the link will appear at the top of the effort statement, next to the Effort Statement PDF icon/link, or in the 'Related Reports' drop down list above the statement, depending on the configuration of the Global Setting.</td>
<td>Payroll Report, Effort Statement</td>
</tr>
<tr>
<td>Right Name</td>
<td>Right Description</td>
<td>Pages Affected</td>
</tr>
<tr>
<td>------------------------------------------------</td>
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</tr>
<tr>
<td>View Profile Manager Page</td>
<td>Allows a user to access the Profile Manager page. If the right is active, the 'Profile Manager' link appears in the Certify navigation menu.</td>
<td>Profile Manager page</td>
</tr>
<tr>
<td>View Total Professional Effort Audit Lines</td>
<td>Allows a user to view the Total Professional Effort audit lines on the TPE statement. The audit lines detail all of the transactions that have affected the TPE statement, including updating the statement or percentages on the statement, confirming the statement, and reopening the statement.</td>
<td>TPE Statement</td>
</tr>
<tr>
<td>View Total Professional Effort Notification Tasks</td>
<td>Allows a user to view the Total Professional Effort notifications in the Total Professional Effort section of the Manage Effort Notifications page (assuming the user has the View Manage Effort Notifications right). If this right is active, the user can view notification tasks for all TPE statements to which the user is associated on the 'TPE Notification' tab. This right also allows a user to delete any and all notification tasks from the notification task list. This right is typically given to effort coordinators to allow them to monitor and approve/acknowledge changes to TPE statements.</td>
<td>Manage Effort Notifications</td>
</tr>
<tr>
<td>View Total Professional Effort Notification Tasks Audit Lines</td>
<td>Allows a user to view the Total Professional Effort notification task audit lines on the TPE statement or in the TPE Notification section of the Manage Effort Notifications page (assuming the user has the View Manage Effort Notifications right). The audit lines show the acknowledge/approval actions that have been completed in the TPE notification task process.</td>
<td>TPE Statement</td>
</tr>
<tr>
<td>View Total Professional Effort Statements</td>
<td>Allows a user to access Total Professional Effort Statements from the Related Statements link on the effort statement. This right does not allow a user to confirm TPE statements.</td>
<td>TPE Statement</td>
</tr>
</tbody>
</table>
### b. Effort Statement Management Rights

<table>
<thead>
<tr>
<th>Right Name</th>
<th>Right Description</th>
<th>Pages Affected</th>
</tr>
</thead>
<tbody>
<tr>
<td>Add an Account on the Effort Statement</td>
<td>Allows a user to add an account line to an effort statement by adding a zero dollar payroll entry while reviewing the effort statement. If this right is active, the user will see the 'Add Account' link on both the base effort statement and the non-IBS statement. A new account will appear on the statement with the corresponding award if that feature is enabled.</td>
<td>Effort Statement</td>
</tr>
<tr>
<td>Assign User as a Hourly Certifier</td>
<td>Marks the users that have been assigned this right as certifiers with effort information in hours. Effort statements for users that are assigned this right will display the Committed Hours and Certified Hours columns on the effort statement. NOTE: This designation of 'hourly certifier' should not be confused with any role the institution may create with that name.</td>
<td>Effort Statement</td>
</tr>
<tr>
<td>Change Effort Statement Status to 'Manual Certification'</td>
<td>Allows a user to change the status of a statement from &quot;Not Certified, Not Processed&quot; to &quot;Manual Certification&quot; from the effort statement. If this right is active, the user will see the 'Manual Certification' button on the effort statement. When the user selects this button to change the status, the user is prompted for an explanation of why the manual certification is being performed and for an attachment (either or both may be required depending on the institution's configuration in the Global Settings&gt;Effort Administration page). This right is typically given to effort coordinators.</td>
<td>Effort Statement</td>
</tr>
<tr>
<td>Change Effort Statement Status to 'No Certification Required'</td>
<td>Allows a user to change the status of a statement from &quot;Not Certified, Not Processed&quot; to &quot;No Certification Required&quot; from the effort statement. If this right is active, the user will see the 'No Certification Required' link on the effort statement. When the user selects this link to change the status, the user is required to enter an explanation why the statement does not require certification (for example, statements with $0 for the period of performance because a payroll transaction was loaded and then reversed). This right is typically given to effort coordinators.</td>
<td>Effort Statement</td>
</tr>
<tr>
<td>Delete an Effort Statement Attachment</td>
<td>Allows a user to delete attachments from an effort statement. This right is typically given to department or central administrators.</td>
<td>Effort Statement</td>
</tr>
<tr>
<td>Edit 'Certified Effort' Field on Effort Statement</td>
<td>Allows a user to enter values in the 'Certified Effort' field on the effort statement. This right is typically given to certifiers.</td>
<td>Effort Statement</td>
</tr>
<tr>
<td>Edit 'Certified Hours' Field on Effort Statement</td>
<td>Allows a user to edit non-zero values in the 'Certified Hours' field on the effort statement. If a non-zero value is loaded, the 'Certified Hours' column will not be editable unless this right is assigned. Users also must have the View Effort Hours Information right. This right is typically given to certifiers.</td>
<td>Effort Statement</td>
</tr>
<tr>
<td>Edit 'Computed Effort' Field on Effort Statement</td>
<td>Allows a user to enter values in the 'Computed Effort' field on the effort statement. This right does not depend on the formula that is used for effort calculations; if this column appears on the effort statement, a user with this right can edit this field.</td>
<td>Effort Statement</td>
</tr>
<tr>
<td>Right Name</td>
<td>Right Description</td>
<td>Pages Affected</td>
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<tr>
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</tr>
<tr>
<td>Edit 'Cost Transfer' or 'Cost Share (for Cost Transfer)' Field(s) on Effort Processing Page</td>
<td>Allows a user to enter values in the 'Cost Transfer' or 'Cost Share (for Cost Transfer)' fields when reviewing an effort statement on the Effort Processing page. This right does not depend on the formula that is used for effort calculations; if either of these columns appears on the effort statement during the review process, a user with this right can edit these fields. This right is typically given to department administrators who are responsible for processing certified effort statements.</td>
<td>Effort Statement</td>
</tr>
<tr>
<td>Edit 'Revised Cost Share' Field on Effort Statement</td>
<td>Allows a user to enter values in the 'Revised Cost Share' field on the effort statement. This right does not depend on the formula that is used for effort calculations; if this column appears on the effort statement, a user with this right can edit this field. This right displays the cost share distribution icon on the statement and is typically given to certifiers.</td>
<td>Effort Statement</td>
</tr>
<tr>
<td>Edit 'Revised Payroll' Field on Effort Statement</td>
<td>Allows a user to enter values in the 'Revised Payroll' field on the effort statement. This right does not depend on the formula that is used for effort calculations; if this column appears on the effort statement, a user with this right can edit this field.</td>
<td>Effort Statement</td>
</tr>
<tr>
<td>Override Status of Current Statement</td>
<td>Allows a user to change the status of an effort statement in either &quot;In Progress&quot; or &quot;Not Certified, Not Processed&quot; status between any of the three statuses: &quot;In Progress,&quot; &quot;Auto-Processed,&quot; or &quot;Not Certified, Not Processed.&quot; If this right is active, a user will see the 'Override Status' link on the base effort statement. The statement only can be moved to one of the other two statuses. This right is typically given to system or central administrators only.</td>
<td>Effort Statement</td>
</tr>
<tr>
<td>Override Status of Historical Statement</td>
<td>Allows a user to change the status of an effort statement from &quot;Certified, Processed,&quot; &quot;Auto-Approved,&quot; or &quot;Pre-Approved Pending Cost Transfer&quot; from the effort statement. If this right is active, the user will see the 'Override Historical Status' button on the effort statement. This feature allows a user to switch a statement between these statuses. A statement in &quot;Pre-Approved Pending Cost Transfer&quot; status can be moved to &quot;Certified, Processed&quot; or &quot;Auto-Approved&quot; statuses only if the Certified and Computed effort on the statement are within the institution's defined thresholds. This right is typically given to effort coordinators and central administrators.</td>
<td>Effort Statement</td>
</tr>
<tr>
<td>View 'Refresh Statement' link on the Effort Statement</td>
<td>Allows a user to view the refresh the certification statement from the effort statement. If this right is active, the 'Refresh Statement' link appears on the certification statement. Refreshing the statement allows a user to confirm that the statement reflects any and all recent transactions that apply to the statement. If the check box is marked in the 'Refresh the Effort Statement' section on the Global Settings&gt;Effort Administration page, then this right becomes redundant and unnecessary. This right is typically assigned on an institution-wide basis, if at all.</td>
<td>Effort Statement</td>
</tr>
</tbody>
</table>
### Clinical Activity Reporting Management Rights

<table>
<thead>
<tr>
<th>Right Name</th>
<th>Right Description</th>
<th>Pages Affected</th>
</tr>
</thead>
<tbody>
<tr>
<td>Approve Clinical Activity Statements</td>
<td>Allows a Primary Effort Coordinator to approve Clinical Activity statements. If this right is active, the user will receive tasks in the user's Clinical Activity Work List on the Manage Effort Notifications page. The user must review and accept the confirmation for the statement to be finalized. A user must also have the 'View Manage Effort Notifications' right. This right is typically given to primary effort coordinators.</td>
<td>Clinical Activity Statement</td>
</tr>
<tr>
<td>Attach a File to Clinical Activity Statements</td>
<td>Allows a user to attach a file to Clinical Activity statements. If this right is active, a user will see the 'Attach File' link below the Clinical Activity statement. A user can upload a file to her own statement, a Primary Effort Coordinator can upload to a user to whom he is associated, and a PI/Designee can upload a file to any employee to whom he is associated.</td>
<td>Clinical Activity Statement</td>
</tr>
<tr>
<td>Confirm All Clinical Activity Statements</td>
<td>Allows a user to confirm any Clinical Activity statement to which a user has access. This right is typically given to central administrators or those administrators responsible for monitoring the Clinical Activity process.</td>
<td>Clinical Activity Statement</td>
</tr>
<tr>
<td>Confirm My Clinical Activity Statements</td>
<td>Allows a user to confirm only the user's own Clinical Activity statement.</td>
<td>Clinical Activity Statement</td>
</tr>
<tr>
<td>Delete Attachments to Clinical Activity Statements</td>
<td>Allows a user to delete attachments to Clinical Activity statements to which the user has access. Deleting attachments may remove historical information about the statements so the right should not be widely assigned.</td>
<td>Clinical Activity Statement</td>
</tr>
<tr>
<td>Delete Effort Notes on Clinical Activity Statements</td>
<td>Allows a user to delete effort notes on Clinical Activity statements to which the user has access. Deleting effort notes may remove historical information about the statements so the right should not be widely assigned.</td>
<td>Clinical Activity Statement</td>
</tr>
<tr>
<td>Edit Effort Notes on Clinical Activity Statements</td>
<td>Allows a user to edit effort notes on Clinical Activity statements to which the user has access. Editing effort notes may remove historical information about the statements so the right should not be widely assigned.</td>
<td>Clinical Activity Statement</td>
</tr>
<tr>
<td>Manage Effort Notes on Clinical Activity Statements</td>
<td>Allows a user to add or copy effort notes on active Clinical Activity statements, i.e. any Clinical Activity statement that has not been processed or auto-approved, to which the user is associated. The ability to edit or delete notes for active Clinical Activity statements are controlled by separate rights.</td>
<td>Clinical Activity Statements</td>
</tr>
<tr>
<td>Manage Effort Notes on Closed Clinical Activity Statements</td>
<td>Allows a user to add or copy effort notes on historical Clinical Activity Reporting statements to which the user is associated. The ability to edit or delete notes for historical Clinical Activity statements are controlled by separate rights.</td>
<td>Clinical Activity Statement</td>
</tr>
<tr>
<td>Re-send Clinical Activity Statements Reminder Email</td>
<td>Allows a user to re-send reminder emails from the Clinical Activity statements. If this right is active, a user will see the 'Send Reminder Email' link on the clinical effort statement. This right will typically be given to effort coordinators who manage certifiers with Clinical Activity statements.</td>
<td>Clinical Activity Statement</td>
</tr>
<tr>
<td>Right Name</td>
<td>Right Description</td>
<td>Pages Affected</td>
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</tr>
<tr>
<td>Save Clinical Activity Statements</td>
<td>Allows a user to save changes made to Clinical Activity statements. Changes made are not confirmed, but are stored for the next time a user accesses the Clinical Activity statement.</td>
<td>Clinical Activity Statement</td>
</tr>
<tr>
<td>View Clinical Activity Statements Audit History</td>
<td>Allows a user to view the audit history on Clinical Activity statements. The audit history displays the transactions and actions that affect the statement.</td>
<td>Clinical Activity Statement</td>
</tr>
<tr>
<td>View Clinical Activity Statements Effort Tasks</td>
<td>Allows a user to view the Clinical Activity review tasks in the user’s Effort Processing Work List on the Manage Effort Notifications page. A user must have the 'View Manage Effort Notifications' right to view these tasks.</td>
<td>Clinical Activity Statement</td>
</tr>
<tr>
<td>View Clinical Activity Statements from Statement Reminder Email</td>
<td>Allows a user the ability to view Clinical Activity statements from the link in the statement reminder email. This right is required to view, confirm, update or save any Clinical Activity statements to which the user has access. This right does not give an individual the ability to access a Clinical Activity statement from the base effort statement, only from the reminder email.</td>
<td>Clinical Activity Statement</td>
</tr>
<tr>
<td>View Clinical Activity Statements from the Effort Statement page</td>
<td>Allows a user to access Clinical Activity statements from the Related Statements link on the effort statement. If this right is not given to certifiers, the only way for certifiers to access a Clinical Activity statement is through the Clinical Activity statement reminder email.</td>
<td>Manage Effort Tasks</td>
</tr>
</tbody>
</table>
## 3. Commitment

### Commitment Management Rights

<table>
<thead>
<tr>
<th>Right Name</th>
<th>Right Description</th>
<th>Pages Affected</th>
</tr>
</thead>
<tbody>
<tr>
<td>Add Commitments</td>
<td>Allows a user to add commitments for an employee. If the right is active, the 'Add Commitments' link appears in the Manage navigation menu. The user can add a commitment by selecting this link and entering the information on the Add Commitments page. This right does not affect the Profile Manager page, which also allows a user to add a commitment.</td>
<td>Add Commitments page</td>
</tr>
<tr>
<td>Add Proposed Commitments</td>
<td>Allows a user to add a proposed commitment. If this right is active, the 'Add Proposed Commitments' link appears in the Manage navigation menu.</td>
<td>Add Proposed Commitments page</td>
</tr>
<tr>
<td>Delete Commitments</td>
<td>Allows a user to delete a commitment that is displayed on the Commitment Listing Report. If the right is active, the user will see a red 'X' in the 'Action' column of the report. The user can remove a commitment by selecting the red 'X' for the appropriate entry.</td>
<td>Commitment Listing Report</td>
</tr>
<tr>
<td>Delete My Sponsored Activity Notification Tasks</td>
<td>Allows a user to see all sponsored activity notification tasks in the Sponsored Activity Notification section of the Manage Effort Notifications page (assuming the user has the View Manage Effort Notifications right). If this right is active, the 'Sponsored Activity Notification' tab will appear on the Manage Effort Notifications page and the user can view all notification tasks. This right is typically given to departmental administrators to manage their notification task lists.</td>
<td>Manage Effort Notifications page</td>
</tr>
<tr>
<td>Delete Proposed Commitments</td>
<td>Allows a user to delete a proposed commitment that is displayed on the Commitment Listing Report results page. If the right is active, the user will see a red 'X' in the 'Action' column of the report. The user can remove a proposed commitment by selecting the red 'X' for the appropriate entry. The user also must have the ability to view the Commitment Listing Report to delete proposed commitments.</td>
<td>Commitment Listing Report</td>
</tr>
<tr>
<td>Edit Commitments</td>
<td>Allows a user to edit a commitment that is displayed on the Commitment Listing Report. If the right is active, the user will see an icon resembling a paper scroll in the 'Action' column of the report. The user can edit a commitment by selecting the scroll icon for the appropriate entry and updating the information on the 'Edit Commitment' page. The user also must have the ability to view the Commitment Listing Report to edit awarded commitments.</td>
<td>Commitment Listing Report, Edit Commitment page</td>
</tr>
<tr>
<td>View All Sponsored Activity Notification Task Audit Lines</td>
<td>Allows a user to see all sponsored activity notification task audit lines in the Sponsored Activity Notification section of the Manage Effort Notifications page (assuming the user has the View Manage Effort Notifications right). The audit lines show what work has been completed in the notification process. This right is typically given to central administrators so they can view all notification activity.</td>
<td>Manage Effort Notifications page</td>
</tr>
<tr>
<td>Right Name</td>
<td>Right Description</td>
<td>Pages Affected</td>
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<tr>
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</tr>
<tr>
<td>View All Sponsored Activity Notification Tasks</td>
<td>Allows a user to see all sponsored activity notification tasks in the Sponsored Activity Notification section of the Manage Effort Notifications page (assuming the user has the View Manage Effort Notifications right). If this right is active, the 'Sponsored Activity Notification' tab will appear on the Manage Effort Notifications page and the user can view all notification tasks. This right also permits a user to delete any and all notification tasks from the notification task list. This right is typically given to departmental administrators to enable completion of notification tasks.</td>
<td>Manage Effort Notifications page</td>
</tr>
<tr>
<td>View Certifiers Over Commitment Settings Report</td>
<td>Allows a user to access the Certifiers over Commitment Settings Report from the Reports page. The user can run this report to view all of those employees whose commitments exceed the configured thresholds or limits.</td>
<td>Certifiers over Commitment Settings Report, Reports page</td>
</tr>
<tr>
<td>View Commitment Listing Report</td>
<td>Allows a user to run the Commitment Listing Report from the Reports page. Users that have the 'Edit Commitments' right and/or 'Delete Commitments' right must have this right to access the Commitment Listing Report from which they can edit or delete the commitment. From the Commitment Listing Report, users can also access the Individual Commitment Detail Report and the Commitment Timeline Report if they have the rights to view those reports.</td>
<td>Commitment Listing Report, Reports page</td>
</tr>
<tr>
<td>View Edited Commitments Report</td>
<td>Allows a user to view the Edited Commitments Report from the Reports page. This report displays all of the commitments that have been edited in the system, not just those to which the user is associated. The right is typically assigned to central administrators to confirm the integrity of the commitment data.</td>
<td>Edited Commitments Report, Reports page</td>
</tr>
<tr>
<td>View Monthly Commitment Summary Report</td>
<td>Allows a user to access the Monthly Commitment Summary Report from the Reports page. This report shows all commitments for an employee for a 12-month period as defined by the user running the report.</td>
<td>Monthly Commitment Summary Report, Reports page</td>
</tr>
</tbody>
</table>
4. Cost Share

Cost Share Management Rights

<table>
<thead>
<tr>
<th>Right Name</th>
<th>Right Description</th>
<th>Pages Affected</th>
</tr>
</thead>
<tbody>
<tr>
<td>Add New Cost Share Entry</td>
<td>Allows a user to add a new cost sharing entry on the Add Cost Sharing page. If the right is active, the 'Add Cost Sharing' link appears in the Manage navigation menu.</td>
<td>Add Cost Sharing page</td>
</tr>
<tr>
<td>Delete a Cost Share Entry</td>
<td>Allows a user to delete a cost share from the View Cost Share Report. If the right is active, the user will see a red 'X' in the 'Action' column of the report. The user can remove a cost share be selecting the red 'X' for the appropriate entry.</td>
<td>Cost Share Report</td>
</tr>
<tr>
<td>Edit Cost Share</td>
<td>Allows a user to edit cost sharing transactions displayed on the Cost Share Report. If the right is active, the user will see an icon resembling a paper scroll in the 'Action' column of the Cost Share Report. The user can edit the cost sharing data by selecting the scroll icon for the appropriate entry and updating the information on the Edit Cost Share page. The user also must have the ability to view the Cost Share Report to edit cost share transactions.</td>
<td>Cost Share Report, Edit Cost Share page</td>
</tr>
<tr>
<td>View Cost Share Report on Reports Page</td>
<td>Allows a user to run the Cost Share Report from the Reports page. Users that have the 'Delete a Cost Share' right must have this right to run the Cost Share Report, from which they can delete a cost share entry.</td>
<td>Cost Share Report, Add Cost Sharing page</td>
</tr>
</tbody>
</table>
5. **Cost Transfer**

Cost Transfer Management Rights

<table>
<thead>
<tr>
<th>Right Name</th>
<th>Right Description</th>
<th>Pages Affected</th>
</tr>
</thead>
<tbody>
<tr>
<td>Add Accounts to the Cost Transfer Worksheet</td>
<td>Allows a user to add an account to the Cost Transfer Worksheet. A user must have the 'View Cost Transfer Worksheet' right to access the worksheet and this right to add an account to it. This right does not allow a user to create a new account; the user is limited to adding only existing accounts.</td>
<td>Cost Transfer Worksheet</td>
</tr>
<tr>
<td>Create Cost Transfers</td>
<td>Allows a user to add cost transfers from the effort statement. If this right is active, the 'Create Cost Transfer' link appears on the effort statement and the user can access the Create Cost Transfer page to initiate proactive cost transfers. This link works in conjunction with the Global Setting in which the institution will determine whether or not the cost transfers will take effect immediately. Not all institutions will use this cost transfer model.</td>
<td>Create Cost Transfer page, Effort Statement</td>
</tr>
<tr>
<td>Delete My Cost Transfer Notification Tasks</td>
<td>Allows a user to delete cost transfer notification tasks in the Cost Transfer Notification section of the Manage Effort Notifications page (assuming the user has the View Manage Effort Notifications right). If this right is active, the user can view notification tasks for cost transfers within the department(s) to which the user is associated in the 'Cost Transfer Notification' tab. This right is typically given to departmental administrators to manage their notification task lists.</td>
<td>Manage Effort Notifications page</td>
</tr>
<tr>
<td>Enter One-Sided Cost Transfer (also considered an adjustment to payroll)</td>
<td>Allows a user to adjust payroll amounts on an effort statement by entering a one-sided/unbalanced entry on the Create Cost Transfer page. This right should be assigned to a very limited number of employees to ensure that these types of adjustments receive appropriate scrutiny and approval before being entered.</td>
<td>Create Cost Transfer page, Effort Statement</td>
</tr>
<tr>
<td>Ignore Payroll Adjustment Reconciliations</td>
<td>Allows a user to review transactions in the Payroll Adjustment Reconciliation table and to mark the transactions to be 'ignored' by the system, i.e. to remain unapplied to the effort certification that would otherwise be impacted (assuming the user has the View Manage Effort Notifications right). This right typically is bundled with either the 'View Payroll Adjustment Reconciliations' or the 'View All Payroll Adjustment Reconciliations' rights.</td>
<td>Payroll Adjustment Reconciliation page</td>
</tr>
<tr>
<td>Override Payroll Adjustment Reconciliation Threshold</td>
<td>Allows a user to override the Payroll Adjustment Reconciliation Certified Effort Variance threshold that reopens a certification statement when a transaction exceeds the threshold. Payroll Adjustment Reconciliation transactions in the Effort Tasks list on the Home Page are subject to the Certified Effort Variance established in the Payroll Adjustment Reconciliation Routing section of the Global Settings&gt;Certification Settings page. If this right is active, the user can override the system's default process of forcing the certification to be reopened when a transaction in the Payroll Adjustment Reconciliation exceeds the variance. If the transaction exceeds the variance, the user will see a button that will allow the user to post the transaction without reopening the statement.</td>
<td>Payroll Adjustment Reconciliation page</td>
</tr>
<tr>
<td>Right Name</td>
<td>Right Description</td>
<td>Pages Affected</td>
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</tr>
<tr>
<td>Payroll Adjustment Reconciliation Items Read Only</td>
<td>Allows a user to review transactions on the Payroll Adjustment Reconciliation page but not perform any actions. This right supersedes any global setting or other right that otherwise would permit the user to take an action on the Payroll Adjustment Reconciliation item - such as Post and Reopen, True Up, Post Without Reopening, Post and Maintain, and Ignore. The Payroll Adjustment Reconciliation setting on the Global Settings&gt;Certification Settings page must be configured to allow the user to view the tasks, i.e. centralized or decentralized.</td>
<td>Payroll Adjustment Reconciliation page</td>
</tr>
<tr>
<td>Post Payroll Adjustment and Maintain Transfer Pending Status</td>
<td>Allows a user to review transactions on the Payroll Adjustment Reconciliation page and post the transactions while keeping the certified statement in a 'Certified, Approved, Transfer Pending' status. This typically is done when the user has additional cost transfers to process but wants to apply the current cost transfers to the effort statement without re-opening the statement for recertification. This right is only applicable if the certified statement is in the 'Certified, Approved, Transfer in Progress or Pending' status when payroll is loaded to a closed card. This right is typically given to effort coordinators and central administrators.</td>
<td>Payroll Adjustment Reconciliation page</td>
</tr>
<tr>
<td>Save Cost Transfer Worksheet</td>
<td>Allows a user to save a cost transfer worksheet. A user must have the 'View Cost Transfer Worksheet' right to access the worksheet, make any changes to it, and save those changes.</td>
<td>Cost Transfer Worksheet</td>
</tr>
<tr>
<td>Submit Cost Transfer Worksheet</td>
<td>Allows a user to submit cost transfers to the institution's source payroll system using the cost transfer worksheet. A user must have the 'View Cost Transfer Worksheet' right to access and submit a worksheet.</td>
<td>Cost Transfer Worksheet</td>
</tr>
<tr>
<td>View All Accounts / Awards on Cost Transfers Page</td>
<td>Allows a user to select from all of the institution's accounts on the Add Cost Transfers page. The system's default security limits the accounts that a user can select to those to which the user is associated, i.e. those on which the user is the PI or designee for the account or is the effort coordinator for the department that owns the account. This setting overrides the default security to allow the user to select any institutional account on the Add Cost Transfer Page only.</td>
<td>Add Cost Transfers page</td>
</tr>
<tr>
<td>View All Cost Transfer Notification Task Audit Lines</td>
<td>Allows a user to see all cost transfer notification task audit lines in the Cost Transfer Notification section of the Manage Effort Notifications page (assuming the user has the View Manage Effort Notifications right). The audit lines show what work has been completed in the notification process. This right is typically given to central administrators so they can view all notification activity.</td>
<td>Manage Effort Notifications page</td>
</tr>
<tr>
<td>View All Cost Transfer Notification Tasks</td>
<td>Allows a user to see all cost transfer notification tasks in the Cost Transfer Notification section of the Manage Effort Notifications page (assuming the user has the View Manage Effort Notifications right). If this right is active, the user can view notification tasks for all cost transfers within in the institution in the 'Cost Transfer Notification' tab. This right also permits a user to delete any and all notification tasks from the notification task list. This right is typically given to central administrators to monitor completion of notification tasks.</td>
<td>Manage Effort Notifications page</td>
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<tr>
<td>Right Name</td>
<td>Right Description</td>
<td>Pages Affected</td>
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<tr>
<td>View All Payroll Adjustment</td>
<td>Allows a user to view and manage all Payroll Adjustment Reconciliation effort tasks on the Effort Tasks tab of the Home Page, not just the tasks to which the person is associated (assuming the user has the View My Payroll Adjustment Reconciliations right). This right is typically given to central administrators only and is independent of the Global Setting that determines whether the reconciliations are centralized or decentralized.</td>
<td>Manage Effort Notifications page, Payroll Adjustment Reconciliation page</td>
</tr>
<tr>
<td>Reconciliations</td>
<td></td>
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</tr>
<tr>
<td>View Cost Transfer Report on</td>
<td>Allows a user to view the Cost Transfer Report from the Reports Page. This report shows all cost transfers that were generated in ECRT as a result of differences between Certified Effort and Computed Effort.</td>
<td>Cost Transfer Report, Reports page</td>
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<tr>
<td>Reports Page</td>
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</tr>
<tr>
<td>View Cost Transfer Worksheet</td>
<td>Allows a user to view the Cost Transfer Worksheet associated to an individual's effort statement. If this right is active, the 'Create Cost Transfer Worksheet' link appears on the effort statement from the end of the period of performance until the end of the certification period. This right only controls the ability to view a cost transfer worksheet; other rights control adding an account to a worksheet, saving a worksheet, and submitting a worksheet.</td>
<td>Cost Transfer Worksheet</td>
</tr>
<tr>
<td>View ecrt Created Cost Transfers</td>
<td>Allows a user to view the ecrt Created Cost Transfer Report from the Reports Page. This report shows all payroll transactions, including those ignored, suspended, or applied to the effort statement from the Payroll Adjustment Reconciliation table and all proactive cost transfers that were initiated within the system. This right is typically given to central and department administrators only.</td>
<td>ECRT Created Cost Transfers Report, Reports page</td>
</tr>
<tr>
<td>Report on Reports Page</td>
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</tr>
<tr>
<td>View My Payroll Adjustment</td>
<td>Allows a user to view and manage Payroll Adjustment Reconciliation effort tasks that are associated to the user on the Effort Tasks tab of the Home Page. This right is typically given to central administrators and works in combination with the Global Setting in which the institution determines whether the reconciliations will be controlled centrally or distributed to departments.</td>
<td>Payroll Adjustment Reconciliation page</td>
</tr>
<tr>
<td>Reconciliation</td>
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</tr>
<tr>
<td>View Payroll</td>
<td>Allows a user to view the Payroll Adjustment Reconciliation Report from the Reports Page. The report provides the list of certifiers whose certified (historical) effort statements have been reopened through the Payroll Adjustment Reconciliation process. The report also lists those department(s) that have payroll transactions suspended at the time the report is run. This report typically is given to central administrators only.</td>
<td>Payroll Adjustment Reconciliation Report, Reports page</td>
</tr>
<tr>
<td>Adjustment Reconciliation Report</td>
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<tr>
<td>on Reports Page</td>
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</tbody>
</table>
6. Reporting

Reporting Rights

<table>
<thead>
<tr>
<th>Right Name</th>
<th>Right Description</th>
<th>Pages Affected</th>
</tr>
</thead>
<tbody>
<tr>
<td>Manage Advanced IQ Tool Features</td>
<td>Allows a user to see the Advanced Query Tool and Load Limiting Factors menu items below the Reports tab in the navigation bar. If this right is active, the user will be able to access the Advanced Query Tool page and the Load Limiting Factors page but not the Reports page. On the Advanced Query Tool page, the user can edit the 'Your Query' and 'Query Parameter' fields and can access all of the institution's data through the 'Advanced Query Tool' function, not just the data to which the user is associated. To view the queries, the user also will need the dynamic right associated with the query. On the Load Limiting Factors page, the user is able to upload load limiting factors. To view the queries the user also will need the dynamic right associated with the report. This right should be given to sophisticated central technical users only.</td>
<td>Advanced Query Tool page, Load Limiting Factors page</td>
</tr>
<tr>
<td>Manage IQ Tool Queries on the Reports Page</td>
<td>Allows a user to edit existing queries and add new queries using the IQ Tool on the Reports page. If this right is active, the user will see the Reports tab in the navigation bar to access the Reports page. The user will see the Add Category, Delete Category, Add Query, and Delete Query buttons. To view the queries the user also will need the dynamic right associated with the query. This right also allows the user to see the right associated to a selected report or query under the report Description pane on the Reports page.</td>
<td>Reports page</td>
</tr>
<tr>
<td>Search Reports by Institution in Shared Services Model</td>
<td>Allows a user to access all users for all institutions in a Shared Services Model. Without this right, the user will be able to access only the institution to which the user is associated. This right is typically given to system administrators and high-level central administrators in a Shared Services setting.</td>
<td>All reports</td>
</tr>
<tr>
<td>View Accountability Review Report on Reports Page</td>
<td>Allows a user to view the Accountability Review Report from the Reports page. This report shows the review status of any non-completed review workflow. This right is typically given to central administrators only.</td>
<td>Accountability Review Report, View Reports page</td>
</tr>
<tr>
<td>View Accounts / Awards without PIs Report on Reports Page</td>
<td>Allows a user to view the Projects Without PIs Report from the Reports page. This report is typically used by central administrators to ensure that all projects have a PI assigned to them, especially important for those institutions that allow or require PIs to certify for their research staff.</td>
<td>Accounts/Awards without PIs Report, Reports page</td>
</tr>
<tr>
<td>View All Accounts / Awards on Reports Page</td>
<td>Allows a user to view or select all of the institution's accounts when running a report, not just the accounts to which the user is associated. This right applies to all reports and is typically given to central administrators and executive management.</td>
<td>All reports</td>
</tr>
<tr>
<td>View All Departments on Reports Page</td>
<td>Allows a user to view or select all of the institution's departments when running a report, not just the departments to which the user is associated. This right applies to all reports and is typically given to central administrators and executive management.</td>
<td>All reports</td>
</tr>
<tr>
<td>Right Name</td>
<td>Right Description</td>
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<tr>
<td>View All Non-Excluded Departments on Reports Page</td>
<td>Allows a user to view or select all of the institution's departments that are not on the Department Exclusion List when running a report, not just the departments to which the user is associated. This right applies to all reports. This right is superseded by the &quot;View All Departments on Reports Page&quot; right. If a user has the &quot;View All Departments on Reports Page&quot; right, the user will be allowed to view all departments, including those departments on the Department Exclusion List.</td>
<td>Reports page</td>
</tr>
<tr>
<td>View All Users in Lookups</td>
<td>Allows a user to view all of the institution's employees in the 'employee search' field on any page, not just the individuals to whom the user is associated through a department or project relationship. This includes searches on the Add Commitments page, Add Cost Sharing page, Add Cost Transfer page, Add Proposed Commitments page, Add Certification Designee page, Look-up Page, Reports page, Profile Manager page, and Manage Users page. This right also allows the user to view all effort statements of the institution's employees. This right is typically given to central administrators and executive management.</td>
<td>All search pages - Add Cost Sharing page, Add Commitments page, Add Proposed Commitments page, Add Certification Designee page, Look-up Page, Reports page, Manage Users page, Add Cost Transfers, Profile Manager</td>
</tr>
<tr>
<td>View Certification Activities Report on Reports Page</td>
<td>Allows a user to view the Certification Activities Report on the Reports page. This report shows all of the certification activities that have been entered for a sponsored account. This report is typically given to central administrators and executive management.</td>
<td>Certification Activities Report, View Reports page</td>
</tr>
<tr>
<td>View Certification Status Report on Reports Page</td>
<td>Allows a user to view the Certification Status Report on the Reports page. This report shows the certification status of employees within a department to which the user is associated. If the user has the 'View All Departments' right, the report may return results for the entire institution.</td>
<td>Certification Status Report, View Reports page</td>
</tr>
<tr>
<td>View Certification Status Summary Report on Reports Page</td>
<td>Allows a user to view the Certification Status Summary Report on the Reports page. This report displays the number of certification statements in each status for each employee type for each department within an institution for a Period of Performance. This report is typically given to central administrators and executive management.</td>
<td>Certification Status Summary Report, View Reports page</td>
</tr>
<tr>
<td>View Certified Effort Less Than Effort Commitment Report on Reports Page</td>
<td>Allows a user to view the Certified Effort Less Than Effort Commitment Report on the Reports page. This report lists employees that have certified effort that is less than an effort commitment for a given effort commitment period, and is only displayed once the effort for the commitment period has been certified. This right is typically assigned to central or departmental administrators responsible for monitoring effort commitments.</td>
<td>Certified Effort Less Than Effort Commitment Report, View Reports page</td>
</tr>
<tr>
<td>View Certifier Payroll Summary Report on Reports Page</td>
<td>Allows a user to view the Certifier Payroll Summary Report on the Reports page. This report lists all of a certifier's accounts, the sum of the payroll for each month for a 12-month period, the total period for the 12-month period, and the percentage distribution for each account for each month and for the 12-month period.</td>
<td>Certifier Payroll Summary Report, View Reports page</td>
</tr>
<tr>
<td>Right Name</td>
<td>Right Description</td>
<td>Pages Affected</td>
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</tr>
<tr>
<td>View Certifier Salary Activity Report on Reports Page</td>
<td>Allows a user to view the Certifier Salary Activity Report on the Reports page. This report shows all salary activity for all members of the research staff of a PI for a 12-month period as defined by the user running the report.</td>
<td>Certifier Salary Activity Report, View Reports page</td>
</tr>
<tr>
<td>View Commitment to Actuals Report on Reports Page</td>
<td>Allows a user to view the Commitment to Actuals Report from the Reports page. This report compares the commitments on sponsored awards or contracts and the certified effort or hours on the same awards or contracts.</td>
<td>Commitment to Actuals Report, Reports page</td>
</tr>
<tr>
<td>View Commitment Timeline Report</td>
<td>Allows a user to view the Commitment Timeline report from the Individual Commitment Detail Report results page. This report shows the duration of all commitments of record for the subject of the report. This report can be accessed only by running the Commitment Listing Report first, selecting the employee's name from the Listing Report results to view the Individual Commitment Detail Report, then selecting the 'Related Reports' link.</td>
<td>Commitment Timeline Report, Individual Commitment Detail Report</td>
</tr>
<tr>
<td>View Department Accounts / Awards Report on Reports Page</td>
<td>Allows a user to view the Department Accounts / Awards Report for all departments to which the user is associated on the Reports page. The report will display all of the accounts and/or awards that are assigned to a department.</td>
<td>Department Accounts/Awards Report, Reports page</td>
</tr>
<tr>
<td>View Department Columns on Payroll Report</td>
<td>Allows a user to see additional columns on the Payroll Report. The column displays the home department for the individuals listed on the Payroll Report.</td>
<td>Payroll Report</td>
</tr>
<tr>
<td>View Departments With No Effort Coordinators Report on Reports Page</td>
<td>Allows a user to view the Departments with No Effort Coordinators Report on the Reports page. This report lists all departments to which no primary effort coordinator is currently assigned. This report is used to ensure that all departments have a PEC to process the department's certified effort statements. A user cannot certify his effort statement if his department does not have a Primary Effort Coordinator assigned. This right is typically given to central administrators.</td>
<td>Departments with No Effort Coordinators Report, Reports page</td>
</tr>
<tr>
<td>View External Audit Report on Reports Page</td>
<td>Allows a user to view the External Audit Report on the Reports page. This report shows statements of the selected status(es) for an individual or all users related to a PI, a Department, or a Grant. This report can be printed and provided to an external auditor upon request. The right is typically given to central administrators only.</td>
<td>External Audit Report, Reports page</td>
</tr>
<tr>
<td>View Individual Commitment Detail Report</td>
<td>Allows a user to view the Individual Commitment Detail Report from the Commitment Listing Report results page. This report shows all commitments of record for a user. The default view of the report shows all commitments (awarded and proposed) but the user can toggle between views showing all commitments, awarded commitments, or proposed commitments. This report can be accessed only by running the Commitment Listing Report first, then selecting the employee's name to view the Individual Commitment Detail Report.</td>
<td>Commitment Listing Report, Individual Commitment Detail Report</td>
</tr>
<tr>
<td>Right Name</td>
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<tr>
<td>View List of All Departments Report on Reports Page</td>
<td>Allows a user to view the List of All Departments report on the Reports page. This report is most useful for validating the accuracy of data loads during the initial stages of an implementation. The right is typically given to central administrators only.</td>
<td>List of All Departments Report, Reports page</td>
</tr>
<tr>
<td>View List of All Users Report on Reports Page</td>
<td>Allows a user to view the List Of All Users Report on the Reports page. This report is most useful for validating the accuracy of data loads during the initial stages of an implementation. The right is typically given to central administrators only.</td>
<td>List of All Users Report, Reports page</td>
</tr>
<tr>
<td>View List of New Users Since Last Certification Period Report on Reports Page</td>
<td>Allows a user to view the List of New Users Since Last Certification Period Report on the Reports page. This report lists all users that were added to the system since the end of the last period of performance.</td>
<td>List of New Users Since Last Certification Period Report, Reports page</td>
</tr>
<tr>
<td>View Monthly Funding and Effort Information Report on Reports Page</td>
<td>Allows a user to view the Monthly Funding and Effort Information Report on the Reports page and on the Department Dashboard page. This report shows the monthly labor distribution for a given month - the percentage of the total salary paid by each account for an employee. The report can be run by individual or by department.</td>
<td>Monthly Funding and Effort Information Report, Reports page</td>
</tr>
<tr>
<td>View My Individual Commitment-to-Actual Reports</td>
<td>Allows a user to view the user's own Individual Commitment-to-Actual reports on the Reports page. The reports controlled by this right include the Certified Effort Less than Effort Commitment Report, the Required Effort Greater Than 100% Report, and the Required Effort Greater Than Available Effort Report. If this right is active, the user cannot run the reports for anyone else; the results are limited to the user. If this right is not active, the user can run the reports for any individual in the system. This right is typically given to certifiers who need access to their commitments only; central administrators and department administrators who need to see commitments for multiple users should not be assigned this right. This right must be combined with the rights to view each report individually; if the rights to the reports are not assigned, the user will not be able to access those reports.</td>
<td>Certified Effort Less than Effort Commitment Report, Required Effort Greater Than 100% Report, Required Effort Greater Than Available Effort Report, Reports page</td>
</tr>
<tr>
<td>View Payroll and Cost Share Report</td>
<td>Allows a user to view the Payroll and Cost Share Report on the Reports page and at the top of the effort statement or in the Related Reports link on the effort statement depending on the institution's configuration. This report displays a summary of the payroll transactions and the cost share transactions for an employee for a given period. The report can be displayed by account or by pay period.</td>
<td>Certified Effort Less than Effort Commitment Report, Required Effort Greater Than 100% Report, Required Effort Greater Than Available Effort Report, Reports page</td>
</tr>
<tr>
<td>View Payroll Report on Reports Page</td>
<td>Allows a user to view the Payroll Report on the Reports page. This report displays a summary of the payroll transactions for an employee for a given period. The report can be displayed by account or by pay period. The report also can be run by individual or by department.</td>
<td>Payroll Report, Reports page</td>
</tr>
<tr>
<td>Right Name</td>
<td>Right Description</td>
<td>Pages Affected</td>
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</tr>
<tr>
<td>View Percent Column on Payroll Report</td>
<td>Allows a user to see an additional column on the Payroll Report. The column displays the percentage of the total for each payroll transaction on the Payroll Report. This right is typically assigned on an institution-wide basis, if at all.</td>
<td>Payroll Report</td>
</tr>
<tr>
<td>View Potential Certification Conflict Report on Reports Page</td>
<td>Allows a user to view the Potential Certification Conflict Report on the Reports page. The report shows all effort statements that were certified and approved by the same user. Auto-certified effort statements do not appear on the report. This right is typically given to central administrators responsible for compliance.</td>
<td>Potential Certification Conflict Report, Reports page</td>
</tr>
<tr>
<td>View Profile Cost Share Report on Reports Page</td>
<td>Allows a user to view the Profile Cost Share Report on the Reports page. This report shows how cost share transactions that were created on a user's Profile page apply to the relevant effort statements.</td>
<td>Profile Cost Share Report, Reports page</td>
</tr>
<tr>
<td>View Reports Page</td>
<td>Allows a user to see the Reports tab in the navigation bar to access the Reports page. In addition to this right, the user also will need the right to view that specific report or query.</td>
<td>Reports page</td>
</tr>
<tr>
<td>View Required Effort Greater Than 100% Report on Reports Page</td>
<td>Allows a user to view the Required Effort Greater Than 100% report on the Reports page. This report lists those researchers whose required effort (that is, the amount of effort required to meet a given commitment, based on previous certifications) is greater than 100%.</td>
<td>Required Effort Greater Than 100% Report, Reports page</td>
</tr>
<tr>
<td>View Required Effort Greater Than Available Effort Report on Reports Page</td>
<td>Allows a user to view the Required Effort Greater Than Available Effort Report on the Reports page. This report lists those researchers whose required effort (that is, the amount of effort required to satisfy a commitment, based on previous certifications) is greater than their available effort for the period, and takes into account all other effort commitments that the individual may have for a period.</td>
<td>Required Effort Greater Than Available Effort Report, Reports page</td>
</tr>
<tr>
<td>View SPES Report</td>
<td>Allows a user to view the Sponsored Project Employee Summary report from the Account Summary page, from the Department Dashboard page and on the Reports page. This report shows all employees that have payroll or cost sharing on the sponsored award or account, including all faculty and non-faculty employees. This right enables the report to be viewed with only percentages to safeguard salary information. This right is typically given to PIs and/or faculty that may not otherwise have access to salary information. To view the SPES Report with dollars, the user must have that specific right.</td>
<td>SPES Report, Reports page</td>
</tr>
<tr>
<td>View SPES Report with Dollars</td>
<td>Allows a user to view dollars on the Sponsored Project Employee Summary Report. This right does not allow a user to run the SPES Report; the user must have the View SPES Report right to do that. This right is typically given to department and central administrators who also have access to salary information.</td>
<td>SPES Report, Reports page</td>
</tr>
<tr>
<td>View Sponsored Project Activity Report on Reports Page</td>
<td>Allows a user to view the Sponsored Project Activity Report on the Reports page. This report returns a list of certifiers that have either Computed Effort or Certified Effort greater than a user-defined threshold. The user defines the effort parameter (Computed or Certified) and the threshold amount when generating the report.</td>
<td>Sponsored Project Activity Report, Reports page</td>
</tr>
<tr>
<td>Right Name</td>
<td>Right Description</td>
<td>Pages Affected</td>
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<tr>
<td>View TPE Report on Reports Page</td>
<td>Allows a user to view the Total Professional Effort Report on the Reports page. This report returns a list of users and their Total Professional Effort percentages and Total Professional Effort status for a selected period of time.</td>
<td>TPE Report, Reports page</td>
</tr>
</tbody>
</table>
### Department Management Rights

<table>
<thead>
<tr>
<th>Right Name</th>
<th>Right Description</th>
<th>Pages Affected</th>
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</thead>
<tbody>
<tr>
<td>Add Effort Coordinators</td>
<td>Allows a user to add effort coordinators for the individual's assigned departments. If this right is active, the user can add effort coordinators on the Department Dashboard page or from the Manage Users page. The user also must have one of the following rights to view one or both of those pages: 'Manage All Departments,' 'Manage All Non-Excluded Departments,' 'Manage My Departments,' or 'Manage Users.'</td>
<td>Department Dashboard page, Manage Users page</td>
</tr>
<tr>
<td>Add Restricted Effort Coordinator</td>
<td>Allows a user to assign Restricted Effort Coordinators on a Department Dashboard page using the Add Restricted button. This right requires the Individual Effort Coordinator Assignments setting on the Global Settings&gt;Certification Settings page be set to 'Yes.' If that setting is set to 'Yes,' then a Restricted Effort Coordinator that is assigned one or more individual certifiers will receive the Effort Processing Tasks resulting from the certifiers assigned. This right does not allow the user to assign secondary effort coordinators; that is controlled by the 'Add Effort Coordinators' right. The user also must have one of the following rights to view the Department Dashboard page: 'Manage All Departments,' 'Manage All Non-Excluded Departments,' or 'Manage My Departments.'</td>
<td>Department Dashboard page, Manage Users page</td>
</tr>
<tr>
<td>Add, Edit, and Delete a Department</td>
<td>Allows a user to add or delete departments and to change selected department information on the Department Dashboard page. The changes are made in the 'Department Basic Information' section on the Department Dashboard page. Departments can be added by placing a mark in the 'Active' check box or deleted by removing the check in the check box. The user also must have one of the following rights to view the Department Dashboard page: 'Manage All Departments,' 'Manage All Non-Excluded Departments,' or 'Manage My Departments.'</td>
<td>Department Dashboard page</td>
</tr>
<tr>
<td>Assign Primary Effort Coordinators</td>
<td>Allows a user to assign Primary Effort Coordinators for the department's to which the user has access. If this right is active, the user can assign a Primary Effort Coordinator on the Department Dashboard or Manage Users page. The user also must have one of the following rights to view one or both of those pages: 'Manage All Departments,' 'Manage All Non-Excluded Departments,' 'Manage My Departments,' or 'Manage Users.'</td>
<td>Department Dashboard page, Manage Users page</td>
</tr>
<tr>
<td>Delete Effort Coordinators</td>
<td>Allows a user to delete an effort coordinators assigned in the departments to which the user has access. If this right is active, the user can delete effort coordinators on the Department Dashboard page and Manage Users page. The user also must have one of the following rights to view one or both of those pages: 'Manage All Departments,' 'Manage All Non-Excluded Departments,' 'Manage My Departments,' or 'Manage Users.'</td>
<td>Department Dashboard page, Manage Users page</td>
</tr>
<tr>
<td>Right Name</td>
<td>Right Description</td>
<td>Pages Affected</td>
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</tr>
<tr>
<td>Manage All Departments</td>
<td>Allows a user to access the Department Dashboard page for all of an institution's departments. If this right is active, the 'Department Dashboard' link appears in the Manage navigation menu. The system's default security limits the departments that a user can select to those to which the user is associated, i.e. the 'home department' of the user or any other department to which the user is associated on the 'Manage Users' page. This setting overrides the default security to allow the user to select any institutional department from the department search box. This right is typically given to central administrators only.</td>
<td>Department Dashboard page</td>
</tr>
<tr>
<td>Manage All Non-Excluded Departments</td>
<td>Allows a user to access the Department Dashboard page for all of an institution's departments that are not on the Department Exclusion list. If this right is active, the 'Department Dashboard' link appears in the Manage navigation menu. The system's default security limits the departments that a user can select to those to which the user is associated, i.e. the 'home department' of the user or any other department to which the user is associated on the 'Manage Users' page. This setting overrides the default security to allow the user to select any institutional department that is not on the Department Exclusion list from the department search box and is superseded only by the 'Manage All Departments' right.</td>
<td>Department Dashboard page</td>
</tr>
<tr>
<td>Manage Department Viewers</td>
<td>Allows a user to assign and remove Viewers to departments. The user will be able to assign Viewers on the Department Dashboard page and the Manage Users page. Assigning a user as a Viewer to a department allows the user to access the Department Dashboard page for the department (assuming the user has one of the following rights: &quot;Manage My Departments, Manage All Departments, Manage All Non-Excluded Departments&quot;) and search for that department on the Reports page (assuming the user has the &quot;View reports on the Reports page&quot; right). This right must be combined with other rights to provide the ability to take actions on the Department Dashboard page; for instance, this right alone does not allow a user to view a certification statement of another individual, or run the FEI, ECPR, or SPES reports from that page. Those abilities are controlled by other rights. Likewise, the ability to run reports for the department does not control which reports can be run; those are controlled by other rights. This right is typically given to central or school-level administrators.</td>
<td>Department Dashboard page, Manage Users page</td>
</tr>
<tr>
<td>Manage My Departments</td>
<td>Allows a user to access the Department Dashboard page for the departments to which the user is associated. If this right is active, the 'Department Dashboard' link appears in the Manage navigation menu. The user is able to access her associated departments from any drop-down department list, as well.</td>
<td>Department Dashboard page</td>
</tr>
<tr>
<td>Right Name</td>
<td>Right Description</td>
<td>Pages Affected</td>
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</tr>
<tr>
<td>Manage Primary Effort Coordinator Overrides</td>
<td>Allows a user to assign and manage Primary Effort Coordinator Overrides on the Manage Users page. If this right is active, a user can assign a Primary Effort Coordinator Override to an individual certifier that differs from the Primary Effort Coordinator that is assigned to the individual's home department. The Primary Effort Coordinator Override will then be responsible for processing the effort statement of any certifier assigned to the PEC Override. A user also must have the 'Manage Users' right to access the Manage Users page to make these assignments.</td>
<td>Manage Users page</td>
</tr>
<tr>
<td>Manage Restricted Effort Coordinators</td>
<td>Allows a user to assign and manage Restricted Effort Coordinator assignments for the departments to which the user is associated. If this right is active, the user can assign individual certifiers to the Restricted Effort Coordinator, limiting the access of the coordinator to the appropriate information for those employees and not for any employees that are not assigned to the Restricted Effort Coordinator. The user also must have one of the following rights to view one or both of those pages: 'Manage All Departments,' 'Manage All Non-Excluded Departments,' 'Manage My Departments,' or 'Manage Users.'</td>
<td>Department Dashboard page, Manage Users page</td>
</tr>
<tr>
<td>Manage Department Exclusion List</td>
<td>Allows a user to see the Department Exclusion List button on the Global Settings page. If active, this right allows the user to modify the Department Exclusion List. The Department Exclusion list contains departments to which the institution wants to restrict access. Access to these restricted departments is granted only to those employees assigned to the departments as effort coordinators or through the 'Manage All Departments' and 'View All Departments' rights. This right is typically given to central administrators only.</td>
<td>Department Exclusion page, Global Settings page</td>
</tr>
<tr>
<td>Remove Restricted Effort Coordinator Assignment</td>
<td>Allows a user to remove the restricted assignment to effort coordinators assigned to a department to which the user has access. If this right is active, the user can remove the restriction on the Department Dashboard page and the Manage Users page. The user also must have one of the following rights to view one or both of those pages: 'Manage All Departments,' 'Manage All Non-Excluded Departments,' 'Manage My Departments,' or 'Manage Users.'</td>
<td>Department Dashboard page, Manage Users page</td>
</tr>
<tr>
<td>View Clinical Only Listing on Department Dashboard Page</td>
<td>Allows a user to see the Clinical Only grouping of employees associated to a department in the Covered Individuals list on the Department Dashboard page. The employees in this list are certifiers who reside in this department but have either Clinical activity only or Clinical and Non-Sponsored activity only. The institution must be using the Clinical designation for accounts to place these certifiers in this list compared to the Non-Sponsored list. The user also must have one of the following rights to view the Department Dashboard page: 'Manage All Departments,' 'Manage All Non-Excluded Departments,' or 'Manage My Departments.'</td>
<td>Department Dashboard page</td>
</tr>
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<td>Right Name</td>
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</tr>
<tr>
<td>View 'Non-Department Certifiers' Listing on Department Dashboard Page</td>
<td>Allows a user to see the Non-Department grouping of employees associated to a department in the Covered Individuals list on the Department Dashboard page. The employees in this list are certifiers whose home department is not the department being viewed but who are working on awards/accounts that are owned by the department. Effort coordinators are not responsible for processing these certified statements but may have to remind faculty/PIs in their departments to certify for the employees on this list. The user also must have one of the following rights to view the Department Dashboard page: 'Manage All Departments,' 'Manage All Non-Excluded Departments,' or 'Manage My Departments.'</td>
<td>Department Dashboard page</td>
</tr>
<tr>
<td>View Department Viewers on Department Dashboard Page</td>
<td>Allows a user to view the Department Viewers list on the Department Dashboard page. This right is typically given to administrators. The user also must have one of the following rights to view the Department Dashboard page: 'Manage All Departments,' 'Manage All Non-Excluded Departments,' or 'Manage My Departments.'</td>
<td>Department Dashboard page</td>
</tr>
</tbody>
</table>
8. **Admin**

**System Administration Rights**

<table>
<thead>
<tr>
<th>Right Name</th>
<th>Right Description</th>
<th>Pages Affected</th>
</tr>
</thead>
<tbody>
<tr>
<td>Add New Users</td>
<td>Allows a user to add employees not previously loaded into the system through the data load process. The ‘Add Users’ link appears in the Administration navigation menu. This right is typically given to central administrators only.</td>
<td>Add Users page</td>
</tr>
<tr>
<td>Disable ECRT</td>
<td>Allows a user to see the 'Application Enable/Disable' button on the Manage Global Settings page. This button allows the institution to prevent users from accessing the system when it is disabled. This right also allows a user to log in when the application is disabled. If the right is active, the user can log in even while the system is unavailable; if the right is inactive, the user is prevented from accessing the system when unavailable. This right is typically given to central administrators only.</td>
<td>Manage Global Settings page</td>
</tr>
<tr>
<td>Edit a User's Information</td>
<td>Allows a user to edit selected employee information on the Manage Users page. If this right is active, the user may edit information for an employee by selecting the magnifying glass icon on the Manage Users page. This right is typically given to central administrators only.</td>
<td>Manage Users page</td>
</tr>
<tr>
<td>Manage Data Load</td>
<td>Allows a user to manage the Data Load Integration settings that control the data load process in the system. If this right is active, the 'Data Load Management' link appears in the Administration navigation menu. This right is typically given to central administrators only.</td>
<td>Data Load Integration page, Manage Global Settings page</td>
</tr>
<tr>
<td>Manage Emails</td>
<td>Allows a user to see the 'Manage My Email' link in the Administration navigation menu. If this right is active, users can enter alternate email addresses for the system to use when sending emails to the users.</td>
<td>Manage My Email page</td>
</tr>
<tr>
<td>Manage Global Settings</td>
<td>Allows a user to configure global application preferences such as colors, fonts and labels from the Manage Global Settings page. If this right is active, the 'Manage Global Settings' link appears in the Administration navigation menu. This right is typically given to central administrators only.</td>
<td>Manage Global Settings page</td>
</tr>
<tr>
<td>Manage Roles and Rights</td>
<td>Allows a user to create and edit roles and assign rights to roles. If this right is active, the 'Manage Roles and Rights' link appears in the Administration navigation menu. This right is typically given to central administrators only.</td>
<td>Manage Roles and Rights page</td>
</tr>
<tr>
<td>Manage Sponsor Data</td>
<td>Allows a user to add and edit sponsor information such as sponsor code, name, description, and the status of the sponsor type. If this right is active, the 'Manage Sponsors' link appears in the Administration navigation menu. This right is typically given to central administrators only.</td>
<td>Manage Sponsors page</td>
</tr>
<tr>
<td>Manage User's Accounts Relationships</td>
<td>Allows a user to remove relationships between an employee and an account. If this right is active, the user will see a red 'X' in the Accounts list on the Manage Users page. This right is typically given to central administrators only.</td>
<td>Manage Users page</td>
</tr>
<tr>
<td>Right Name</td>
<td>Right Description</td>
<td>Pages Affected</td>
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</tr>
<tr>
<td>Manage User's Departments</td>
<td>Allows a user to manage relationships between an employee and a department or departments. If this right is active, the user can add department relationships for an employee on the Manage Users page. The 'Add Department' link appears in the Department Relationships section of the Manage Users page.</td>
<td>Manage Users page</td>
</tr>
<tr>
<td>Manage User's Roles</td>
<td>Allows a user to assign roles to a user on the Manage Users page. This right is typically given to central administrators only.</td>
<td>Manage Users page</td>
</tr>
<tr>
<td>Manage Users</td>
<td>Allows a user to manage employees in the system that are associated to the user in the system. If this right is active, the 'Manage Users' link appears in the Administration navigation menu. Unless combined with the View All Users in Lookups right, the user will be able to view only those employees to whom the user is associated through a Grant, PI, or Department relationship. This right is typically given to central administrators and/or department administrators. Other rights control the actions the user can take on the Manage Users page.</td>
<td>Manage Users page</td>
</tr>
<tr>
<td>Receive Activate New User Task</td>
<td>Allows a user to receive the Activate New User task. This task is created when a user is added to the system for the first time and the user is loaded without a username. This right should be assigned to Central Administrators only.</td>
<td>Home Page</td>
</tr>
<tr>
<td>Send Emails from within the System</td>
<td>Allows a user to send emails to other users from several pages with the application. If this right is active, email envelope icons appear on the following pages - Period Administration, Manage Roles and Rights, Department Dashboard, and Executive Dashboard. Additionally, this controls a user's ability to send emails when a statement is returned to a certifier during processing and when reopening a certified statement. A user still must have the rights to access these pages if necessary. This right is typically given to central and departmental administrators.</td>
<td>Period Administration, Roles and Rights, Department Dashboard, Executive Dashboard, Statement Processing, Effort Statement pages</td>
</tr>
<tr>
<td>Shared Services Administration</td>
<td>Allows a user to manage the Global Settings for all institutions in a shared services configuration. This right does not apply to institutions that are not using the shared services model. This right is typically given to central administrators only. A user must have the Manage Global Settings right as well.</td>
<td>Manage Global Settings page</td>
</tr>
<tr>
<td>View Activity Log on the Effort Statement</td>
<td>Allows a user to view the activity log section of effort statements. If this right is enabled, the activity log appears at the bottom of the effort statement.</td>
<td>Effort Statement</td>
</tr>
<tr>
<td>View All 'Manual Certification' Approval Tasks</td>
<td>Allows a user to receive all 'Manual Certification' review tasks in the Effort Tasks tab on the Home Page. A statement that is manually certified must be routed to an administrator for review. Like other review tasks, this task must be opened and processed to move the statement into a finalized status of 'Manually Certified, Processed.' This right is typically given to central administrators only.</td>
<td>Manage Effort Tasks page</td>
</tr>
<tr>
<td>Right Name</td>
<td>Right Description</td>
<td>Pages Affected</td>
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</tr>
<tr>
<td>View All 'No Certification Required' Approval Tasks</td>
<td>Allows a user to receive all 'No Certification Required' review tasks in the Effort Tasks tab on the Home Page (if the institution has configured those review tasks). Like other review tasks, this task must be opened and processed to move the statement into a finalized status of 'No Certification Required, Processed.' This right is typically given to central administrators only.</td>
<td>Manage Effort Tasks page</td>
</tr>
<tr>
<td>View All Associated Certifiers on the Associated Certifiers tab on the Home Page</td>
<td>Allows a user to view all Associated Certifiers on the Associated Certifiers tab on the Home Page. If this right is enabled, the Associated Certifiers tab will show uncertified statements for people that have payroll or cost share on an award or account in the departments to which the user is assigned as an Effort Coordinator in addition to the uncertified statements for people in the departments to which the user is assigned as an Effort Coordinator.</td>
<td>Home Page</td>
</tr>
<tr>
<td>View Associated Certifiers tab on the Home Page</td>
<td>Allows a user to view the Associated Certifiers tab on the Home Page. If this right is not assigned, the user will not be able to see the Associated Certifiers tab, which shows uncertified statements that need to be certified for all people in the departments to which the user is assigned as an Effort Coordinator.</td>
<td>Home Page</td>
</tr>
<tr>
<td>View Email Log on the Effort Statement</td>
<td>Allows a user to view the email log section of effort statements. If this right is enabled, the email log appears at the bottom of the effort statement.</td>
<td>Effort Statement</td>
</tr>
<tr>
<td>View Executive Dashboard Page</td>
<td>Allows a user to access the Executive Dashboard page to view certification statistics by employee types. If this right is active, the 'Executive Dashboard' link appears in the Administration navigation menu. This right is typically given to central administrators only.</td>
<td>Executive Dashboard page</td>
</tr>
<tr>
<td>View Manage Effort Notifications</td>
<td>Allows a user to view the work items created during the department's effort reporting process. If this right is active, the 'Manage Effort Notifications' link appears in the Manage navigation menu. This page allows a user to access the Sponsor Notifications that are generated within the system, the Cost Transfer Notifications that are generated, the TPE tasks that are generated, and the Clinical Activities tasks that are generated. This right is typically given to central administrators and department administrators.</td>
<td>Manage Effort Notifications page</td>
</tr>
<tr>
<td>View Transaction History on the Effort Statement</td>
<td>Allows a user to view the transaction history section on the effort statement. If this right is enabled, the transaction history appears at the bottom of the effort statement.</td>
<td>Effort Statement</td>
</tr>
</tbody>
</table>
9. **Dynamic**

Dynamic Rights – used to distribute queries created using the IQ Tool. Existing queries can be assigned by marking the associated check box.

<table>
<thead>
<tr>
<th>Right Name</th>
<th>Right Description</th>
<th>Pages Affected</th>
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<tbody>
<tr>
<td>View/Run ‘ARRA Reporting’ query</td>
<td>Query displays relevant information about all awards marked as ARRA awards.</td>
<td>Reports page</td>
</tr>
<tr>
<td>View/Run ‘Certifications with File Attachments’ query</td>
<td>Allows a user to run/view the query that displays all effort certifications that have file attachments.</td>
<td>Reports page</td>
</tr>
<tr>
<td>View/Run ‘Certifications with variances between Computed Effort and Certified Effort’ query</td>
<td>Allows a user to run/view the query that shows all effort certifications that have variances between Computed Effort and Certified Effort.</td>
<td>Reports page</td>
</tr>
<tr>
<td>View/Run ‘Certified Cost Share dollars by institution’ query</td>
<td>View/Run ‘Certified Cost Share dollars by institution’ query.</td>
<td>Reports page</td>
</tr>
<tr>
<td>View/Run ‘Certifiers Exceeding the NIH Salary Cap’ query</td>
<td>Allows a user to run/view the query that lists all certifiers whose salaries exceeds the NIH Salary Cap and who have payroll or cost sharing on an NIH award during the reporting period.</td>
<td>Reports page</td>
</tr>
<tr>
<td>View/Run ‘Certifiers Subject to a Salary Cap with New Payroll Added’ query</td>
<td>Allows a user to run/view the query that displays all effort certifications for certifiers whose payroll dollars exceed a salary cap and that had new payroll loaded after the effort statements was certified.</td>
<td>Reports page</td>
</tr>
<tr>
<td>View/Run ‘Certifiers with a Restricted Access Effort Coordinator’ query</td>
<td>Allows a user to run/view the query that displays all certifiers that have a Restricted Access Effort Coordinator assigned to them.</td>
<td>Reports page</td>
</tr>
<tr>
<td>View/Run ‘Certifiers with an Alternate Effort Coordinator’ query</td>
<td>Allows a user to run/view the query that lists all certifiers who have an Alternate Effort Coordinator assigned to them.</td>
<td>Reports page</td>
</tr>
<tr>
<td>Right Name</td>
<td>Right Description</td>
<td>Pages Affected</td>
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</tr>
<tr>
<td>View/Run 'Certifiers with an Incomplete Clinical Activities Statement' query</td>
<td>Allows a user to run/view the query that lists all certifiers with an incomplete clinical activities statement.</td>
<td>Reports page</td>
</tr>
<tr>
<td>View/Run 'Certifiers With Assigned Proxy' query</td>
<td>Allows a user to run/view the query that lists all certifiers with an assigned proxy.</td>
<td>Reports page</td>
</tr>
<tr>
<td>View/Run 'Certifiers with Commitments and No Payroll' query</td>
<td>Allows a user to run/view the query that shows all certifiers that have a commitment to an award/account but do not have any payroll on the award/account for the reporting period.</td>
<td>Reports page</td>
</tr>
<tr>
<td>View/Run 'Certifiers with Non-Sponsored Payroll less than Cost Share' query</td>
<td>Allows a user to run/view the query that displays all certifiers that have non-sponsored accounts that have cost share transactions that exceed the payroll for the reporting period.</td>
<td>Reports page</td>
</tr>
<tr>
<td>View/Run 'Certifiers with NSF Pay' query</td>
<td>Allows a user to run/view the query that lists all certifiers with payroll on an NSF award/account, the payroll for that award/account, their 12 month compensation, and the percentage of NSF pay for each award/account compared.</td>
<td>Reports page</td>
</tr>
<tr>
<td>View/Run 'Certifiers with Payroll loaded after Certification and before Processing' query</td>
<td>Allows a user to run/view the query that displays all certifiers with payroll that was loaded after the statement was certified but before the certified statement was processed as well as detailed information about each payroll transaction.</td>
<td>Reports page</td>
</tr>
<tr>
<td>View/Run 'Certifiers with statements certified after the certification end date' query</td>
<td>Allows a user to run/view the query that shows those certifiers who had a user-defined number of statements certified after the certification end date.</td>
<td>Reports page</td>
</tr>
<tr>
<td>View/Run 'Certifiers with Uncertified Payroll to be Transferred' query</td>
<td>Allows a user to run/view the query that shows all certifiers with payroll charges on a sponsored project that not been certified.</td>
<td>Reports page</td>
</tr>
<tr>
<td>Right Name</td>
<td>Right Description</td>
<td>Pages Affected</td>
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</tr>
<tr>
<td>View/Run 'Certifiers' Status by Reporting Period with Detailed Certifier Information' query</td>
<td>Allows a user to run/view the query that displays all certifiers within a reporting period and detailed information about each certifier, including status, department, username, and role.</td>
<td>Reports page</td>
</tr>
<tr>
<td>View/Run 'Clinical Activity Hours Validation Quarterly' query</td>
<td>Allows a user to run/view the query that lists by quarter those certifiers that have violated the year-end Clinical Activity threshold that was established by the institution. These individuals may need to adjust their confirmations in the future.</td>
<td>Reports page</td>
</tr>
<tr>
<td>View/Run 'Clinical Activity Hours Validation Yearly' query</td>
<td>Allows a user to run/view the query that lists those certifiers that have violated the year-end Clinical Activity threshold that was established by the institution.</td>
<td>Reports page</td>
</tr>
<tr>
<td>View/Run 'Clinical Activity Incomplete Data' query</td>
<td>Allows a user to run/view the query that lists those certifiers whose Clinical Activity data has not been completed for the departments for which the user is running the report.</td>
<td>Reports page</td>
</tr>
<tr>
<td>View/Run 'Commitments with no Effort Statements' query</td>
<td>View/Run 'Commitments with no Effort Statements’ query</td>
<td>Reports page</td>
</tr>
<tr>
<td>View/Run 'Cost Share Transactions entered through the User Interface' query</td>
<td>Allows a user to run/view the query that shows all cost share transactions that been entered or modified through the user interface, not the data load process.</td>
<td>Reports page</td>
</tr>
<tr>
<td>View/Run 'Effort Statement Columns’ query</td>
<td>Allows a user to run the query that displays all payroll information from the effort statement, including the employee’s ID, name, and department, total payroll dollars for the period, total payroll dollars for each account, the account name and number, and the award number.</td>
<td>Reports page</td>
</tr>
<tr>
<td>View/Run 'Effort Statements certified by someone other than the Statement Owner' query</td>
<td>Allows a user to run/view the query that displays all statements that were certified by someone other than the statement owner with detailed information about each statement, including whether the certifier was marked as the statement owner’s proxy.</td>
<td>Reports page</td>
</tr>
<tr>
<td>Right Name</td>
<td>Right Description</td>
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</tr>
<tr>
<td>View/Run 'Effort Statements on Hold' query</td>
<td>Allows a user to run/view the query that lists all effort statements that are on hold.</td>
<td>Reports page</td>
</tr>
<tr>
<td>View/Run Employees that changed employee types query</td>
<td>Allows a user to run the query that displays each individual's name, employee id, primary department, the date the individual changed employee types, the former employee type, and the current employee type.</td>
<td>Reports page</td>
</tr>
<tr>
<td>View/Run 'Faculty with no Sponsored Payroll or Sponsored Commitments' query</td>
<td>Allows a user to run/view the query that lists all certifiers with the 'Assign a User as Faculty' right that had no sponsored payroll or commitments to a sponsored project during a reporting period.</td>
<td>Reports page</td>
</tr>
<tr>
<td>View/Run 'Global Clinical Activity Incomplete Data' query</td>
<td>Allows a user to run/view the query that lists those certifiers whose Clinical Activity data has not been completed for the entire institution.</td>
<td>Reports page</td>
</tr>
<tr>
<td>View/Run 'Key Personnel without Primary Email Address or without Email Access' query</td>
<td>Allows a user to run/view the query that lists all certifiers with the Key Personnel role that do not have a primary email address or do not have email access assigned on the Manage Users page.</td>
<td>Reports page</td>
</tr>
<tr>
<td>View/Run 'List of All Awards and their Associated Accounts' query</td>
<td>Allows a user to run/view the query that lists all awards and the accounts associated to each award.</td>
<td>Reports page</td>
</tr>
<tr>
<td>View/Run 'List of All Effort Coordinators' query</td>
<td>Allows a user to run/view the query that lists all effort coordinators in the institution arranged by department, including an indicator of whether the coordinator is the Primary Effort Coordinator for the department.</td>
<td>Reports page</td>
</tr>
<tr>
<td>View/Run 'List of Global Settings (Activity Codes - Commitment Award Types)' query</td>
<td>Allows a user to run/view the query that lists the Global Settings values on the Global Settings pages Activity Codes through Commitment Award Types.</td>
<td>Reports page</td>
</tr>
<tr>
<td>View/Run 'List of Global Settings (Commitment Roles Types - Application On/Off)' query</td>
<td>Allows a user to run/view the query that lists the Global Settings values on the Global Settings pages Commitment Role Types through Application On/Off.</td>
<td>Reports page</td>
</tr>
<tr>
<td>Right Name</td>
<td>Right Description</td>
<td>Pages Affected</td>
</tr>
<tr>
<td>------------</td>
<td>-------------------</td>
<td>----------------</td>
</tr>
<tr>
<td>View/Run 'List of Global Settings (Template - Cost Sharing Types)' query</td>
<td>Allows a user to run/view the query that lists the Global Settings values on the Global Settings pages Template through Cost Sharing Types.</td>
<td>Reports page</td>
</tr>
<tr>
<td>View/Run 'List of PIs without Effort Statements' query</td>
<td>Allows a user to run/view the query that lists all certifiers that are marked as PIs on accounts or awards and that do not have effort statements.</td>
<td>Reports page</td>
</tr>
<tr>
<td>View/Run 'Primary Effort Coordinators without Primary Email Address' query</td>
<td>Allows a user to run/view the query that displays all Primary Effort Coordinators that do not have a primary email address.</td>
<td>Reports page</td>
</tr>
<tr>
<td>View/Run 'Roles and Rights' query</td>
<td>Allows a user to run/view the query that lists all roles and the associated rights for each of the roles.</td>
<td>Reports page</td>
</tr>
<tr>
<td>View/Run 'School-Level Certification Statistics' query</td>
<td>Allows a user to run/view the query that displays the certification statistics at the school level.</td>
<td>Reports page</td>
</tr>
<tr>
<td>View/Run 'Summary of Payroll Dollars per Period of Performance per Effort Statement Category' query</td>
<td>Allows a user to run/view the query that displays the summary of payroll dollars per Period of Performance for a selected effort statement category, i.e. Sponsored, Non-Sponsored, Clinical, etc.</td>
<td>Reports page</td>
</tr>
<tr>
<td>View/Run 'Users with Roles' query</td>
<td>Allows a user to run/view the query that lists all users with roles and their assigned roles.</td>
<td>Reports page</td>
</tr>
<tr>
<td>View/Run 'Users without Roles' query</td>
<td>Allows a user to run/view the query that lists all users without an assigned role.</td>
<td>Reports page</td>
</tr>
<tr>
<td>View/Run Certifiers with changed commitments on a historical statement query</td>
<td>Allows a user to run the query that lists the individuals whose commitments have changed on historical statements.</td>
<td>Reports page</td>
</tr>
<tr>
<td>Right Name</td>
<td>Right Description</td>
<td>Pages Affected</td>
</tr>
<tr>
<td>------------</td>
<td>-------------------</td>
<td>----------------</td>
</tr>
<tr>
<td>View/Run Hours per person per account for a date range and department query</td>
<td>Allows a user to run the query that displays the hours on a person's effort statement by account for a date range and for a department.</td>
<td>Reports page</td>
</tr>
<tr>
<td>View/Run Hours per person per account for a date range query</td>
<td>Allows a user to run the query that displays the hours on a person's effort statement by account for a date range and for a department.</td>
<td>Reports page</td>
</tr>
<tr>
<td>View K Award query</td>
<td>Allows a user to run/view the query that shows all certifiers that have effort on K awards and the amount of effort on those awards.</td>
<td>Reports page</td>
</tr>
</tbody>
</table>
E. Manage Global Settings

One of the hallmarks of the ecrt system is its configurability. The Global Settings control the appearance of the application, the presentation of the data, the settings and thresholds regarding the certification and monitoring processes, and the workflow, among other aspects. **NOTE:** These settings apply to all statement types used by the institution unless specifically stated otherwise.

To configure these settings, the user must have the appropriate right(s) to access the Global Settings page. These rights are assigned typically to System or Central Administrator roles. For more information about which rights affect this access, please refer to section VI-D-8.

To access the Global Settings Configuration page, the user will select the Manage Global Settings link from the Administration navigation box. The Global Settings menu appears (Figure 6.E.0.1 and 6.E.0.2).
Global Settings Configuration Instructions

As an administrator, ecrt System provides the capability to modify global settings that will affect the look and feel of the application. This feature will allow you to modify application colors, fonts, navigation links, labels, etc.

To begin, either press the Start button or select one of the buttons next to the description areas.

- **Template**
  - Click the Template button to customize application color and fonts.

- **Navigation Links**
  - Click the Navigation Links button to customize application navigation links and footer text.

- **Keyword Labels**
  - Click the Keyword Labels button to customize application labels for certification keywords.

- **Application Text**
  - Click the Application Text button to customize application text.

- **Certification Settings**
  - Click the Certification Settings button to customize certification settings.

- **Cost Transfer Types**
  - Click the Cost Transfer Types button to configure the justification types.

- **Effort Statement Statuses**
  - Click the Effort Statement Statuses button to customize the status labels and descriptions for certification status.

- **Cost Sharing Types**
  - Click the Cost Sharing Types button to configure the justification types.

- **Activity Codes**
  - Click the Activity Codes button to configure the activity codes.

- **Certification Activity Types**
  - Click the Certification Activity Types button to configure the certification activity types.

- **Task List Administration**
  - Click the Task List Administration button to configure the notification settings.

- **Effort Administration**
  - Click the Effort Administration button to configure the view of the Effort statement.

Figure 6.E.0.1 - Global Settings list
To activate the settings that are entered, the user must select the appropriate button at the bottom of the page that was changed. On some pages this is the Submit button while on others it is labeled Next Page. Navigating away from the page without selecting either Submit or Next Page will not activate the changes that were entered.

Once the initial settings are established for go-live, they can be modified from this page. Instead of going through all the settings, the user can navigate directly to a specific settings category from this page by selecting the button for the desired page.

If the user selects Start, the application leads the user through all the categories in the order in which they appear on the initial Global Settings page. The first is the Template category (Figure 6.E.0.1).
1. **Template**

The Template Administration settings (Figure 6.E.1.1) allow the institution to customize the look of the application to meet its specific requirements. The institution can load its own images to appear at the top of every screen in the system, determine the color of the pages, menus, and text, and set the font of the text.

**Logos**

The images to be uploaded as logos must conform to very specific requirements. They must be GIF files and they must be sized as specified to render correctly. Image files that are not GIF files will not upload to the system. Files that are not sized correctly will appear distorted.

**Template and Menu Colors**

To select a color, the user will click the paint palette icon next to the entry field. A selection of 216 color choices is presented (Figure 6.E.1.2). If none of these are adequate, the system uses standard hexadecimal color codes so any internet tool for color selection can be used to determine a color code. A web search for “web color chooser” will bring back many useful results.
Post Authentication Routing
The final setting determines whether an individual, when logging into the system, is taken directly to the effort statement, or to the Home Page.

If the radio button in the Template (Figure 6.E.1.1) is set to Route to Certification Statement and the user does not have a current effort statement, the message below (Figure 6.E.1.3) is displayed. After clicking the OK button the user is taken to the Home Page.

When the template settings are entered, the user can take one of three actions. The settings can be submitted, which means the settings will be put into effect; the entries can be canceled, in which case the changes will not take effect; or the administrator can reset the fields to the previous configuration.

If the settings are finalized, the administrator selects Submit at the bottom of the screen (Figure 6.E.1.1) to move to the next screen.
2. Navigation Links

The Navigation Links page allows the institution to configure the links that are available from the column on the left side of the home screen and the Links menu on the navigation bar. This will allow users to open a new browser for the link that is selected. The institution can determine the number and types of links offered (Figure 6.E.2.1).

![Navigation Links screenshot](image-url)

**Navigation Links**

To add a link, the administrator will select ‘Add’. A blank line appears in the ‘Navigation Links’ section and the user can enter the name of the link and the URL of the link. HTML commands may be utilized in the ‘Navigation Link Title’ column to change the appearance and formatting of the links. The icons on the right side of the screen allow the administrator to move the link up or down in the order of the links as well as to delete it.

---

**Figure 6.E.2.1 - Links**

**Navigation Links**

To add a link, the administrator will select ‘Add’. A blank line appears in the ‘Navigation Links’ section and the user can enter the name of the link and the URL of the link. HTML commands may be utilized in the ‘Navigation Link Title’ column to change the appearance and formatting of the links. The icons on the right side of the screen allow the administrator to move the link up or down in the order of the links as well as to delete it.
Custom Footer
This page also allows the administrator to customize the footer that appears at the bottom of the Site Map screen.

Once these settings are finalized, the administrator selects ‘Submit’ to move to the next screen.
3. **Keyword Labels**

The Keyword Label Customization page allows the institution to customize some of the terms that are used throughout the system to reflect the terminology that is used by the institution. Fourteen labels can be configured, shown in Figure 6.E.3.1.

### Figure 6.E.3.1 – Keyword Labels

The keywords are defined as:

- **Base**: The primary effort statement that reflects an individual’s Institutional Base Salary.
- **Non-IBS**: The secondary effort statement that may be used to reflect summary salary, supplemental pay, or other non-Institutional Base Salary payroll.
- **Account**: Project or financial line item where payroll expenses are incurred.
- **Effort**: The proportion of time spent on any activity expressed as a percentage of total institutional activities for which an individual is compensated. Total effort for an employee must always equal 100%, regardless of part-time or full-time status, and regardless of number of hours worked. Actual effort is not calculated on a 40-hour workweek or any other standard workweek. For example, if an individual averages 60 hours per week during the reporting period and spends an average of 15 hours on a sponsored project, that represents 25% actual effort (15/60) and
the other 45 hours, allocated to other institutional activities, represents 75% actual effort (45/60).

- **Department**: Organization level where Researchers and Awards reside.
- **Award**: Grant/Project that is provided to a researcher after submitting a proposal to a funding agency. Awards can also be accounts, or they can be the parent of an account in a parent/child relationship.
- **Researcher**: An employee who has allocated effort to a sponsored project, whether or not paid by the project.
- **Commitment**: The amount of effort proposed in a grant or other project application and accepted by a sponsor, regardless of whether salary support is requested for the effort.
- **Proposed**: The amount of effort that an individual submits on a project application. A researcher plans to devote this much effort on a sponsored project assuming the application is awarded and the project is funded.
- **Approver**: An individual who is responsible for reviewing and processing certain tasks during the post-certification process. Depending on an institution's configuration, an effort statement may have a single approver (Primary Effort Coordinator) or multiple approvers (any Effort Coordinator associated to a certifier by virtue of being an effort coordinator in the certifier’s home department or an effort coordinator in a department that houses a sponsored project on which the certifier has effort). An approver is responsible for processing various tasks in the Manage Effort Tasks page of ecrt, such as effort processing and payroll adjustment reconciliation tasks.
- **Cost Transfer**: An expense that is transferred from one account to another when an error has occurred in the amount initially charged to the first account. A retroactive salary distribution form is the mechanism for initiating a cost transfer.
- **Clinical Activity**: The time (or effort) spent on activities benefitting the patient care mission, e.g., Administration, Teaching, Quality Control, Autopsies, etc. This time (or effort) is given as part of the individual’s normal responsibilities associated with the individual’s institution-funded effort.
- **Sponsored**: An internally or externally funded activity that is governed by specific terms and conditions. Sponsored Projects must be separately budgeted and accounted for subject to terms of the sponsoring organization or unit. Sponsored Projects may include grants, contracts, and cooperative agreements for research, instruction and training, and other public service activities.
- **Non-Sponsored**: Project that has not been funded by an external grant or organization.
- **Clinical Only**: Department dashboard label for those employees that do not have sponsored research but do have clinical activity (as defined by the institution). These employees also may have non-sponsored activity in addition to clinical activity.
- **Non-Department**: Department dashboard label for those employees who are not assigned to a given department but have sponsored research on one of that department’s awards or accounts.
Once the keywords are entered, the user selects ‘Submit’ to proceed to the next screen.
4. Application Text

The Application Text Customization screen allows the user to set and update the text that appears on the Login/Welcome page and the legal text that appears on the certification confirmation screen. All of the text can be configured and updated at the institution’s preference (Figure 6.E.4.1).

**Application Text**

As an administrator you can change certain text within the application. The Login Welcome text is that language seen by the user when they first arrive at the login page. This text here can help the user become familiar with the basic use of the system.

The Certification legal text should be that language which the institution uses to convey the importance of certifying data. This text will be displayed as a certification period is being completed.

**Login Welcome Text**

Please enter your custom login welcome text. You may use any valid HTML within this text field.

I certify the salary charged, salary transfers processed and effort certified this period reasonably reflect the work performed in the designated period, and that I have sufficient technical knowledge and/or I am in a position that provides me with suitable means of verification that the work was performed.

**Certification Legal Text**

Please enter your custom certification legal text. You may use any valid HTML within this text field.

**Figure 6.E.4.1 – Text Settings**

**Login Welcome Text**

The institution can customize the Login Welcome text field to include any information – certification schedules, policies, general effort information, and so on. The text also can be updated periodically to keep it relevant.

**Certification Legal Text**

The Certification Legal Text, also known as the attestation statement, appears in a new window after a Base effort statement is certified and at the top of the PDF statement. This text is designed to remind the certifier of the significance of certifying effort. This text also can be updated as necessary.

The Text settings continue in the following screen (Figure 6.E.4.2).
Figure 6.E.4.2 – Text Settings continued

**Non-IBS Certification Legal Text**
The Non-IBS Certification Legal Text appears in a new window after a Non-IBS effort statement is certified and at the top of the PDF statement. This text is designed to remind the certifier of the significance of certifying effort. This text also can be updated as necessary.

**Clinical Activity Reporting Certification Legal Text**
The Clinical Activity Reporting Certification Legal Text, also known as the Clinical Activity Reporting Attestation Statement, appears at the top of the Clinical Activity Reporting Statement and can be customized on this screen. This text appears when the Clinical Activity Reporting Statement is confirmed and is designed to remind the certifier of the significance of confirming Clinical Activity. This text also can be updated as necessary.

The Text settings continue in the following screen (Figure 6.E.4.3).
Certification Instructional Text

The Certification Instructional Text appears at the top of the effort statement PDF (Figure 6.E.4.4). The institution can enter guidance to assist users in the certification process.

Base Process Approval Text

The Base Process Approval Text appears on the Process Effort screen (Figure 6.E.4.5). The institution can enter guidance and instructions about whether to process a statement, when to return it to the certifier(s) for correction, and how to handle any cost transfers that may have resulted from the certification.
**Process Effort**

Covered Individual: Jon Benjoy - jonbenjoy
Title: DEMO Rock 1 - Root and Roll Department 1
Email: jonbenjoy@test.net
Status: Certified, Not Processed

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The Process Effort screen provides you, the administrator, the ability to process or not process a certification. If an activity is above or below the configurable threshold, currently set at 25, then the activity will be highlighted in yellow. This is an indication to you that it may be necessary to contact the sponsor of that activity.

**Last Certified by - System User - 444-44-4444 on 10/03/2011 10:56 PM**

<table>
<thead>
<tr>
<th>Accounts</th>
<th>Payroll</th>
<th>Cost Share</th>
<th>Computed Effort</th>
<th>Certified Effort</th>
<th>Cost Transfer</th>
<th>Cost Share (for Cost Transfer)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sponsored</td>
<td>Grant 2 Lung, Grant 2 Lung</td>
<td>50.00%</td>
<td>0.00%</td>
<td>50.00%</td>
<td>25 %</td>
<td>$ -32,857.14</td>
</tr>
<tr>
<td></td>
<td>A2: Lung Development of Artificial Lung - NH1</td>
<td>50.00%</td>
<td>0.00%</td>
<td>50.00%</td>
<td>25.00%</td>
<td>$ 0.00</td>
</tr>
<tr>
<td></td>
<td>Award Total</td>
<td>50.00%</td>
<td>0.00%</td>
<td>50.00%</td>
<td>25.00%</td>
<td>$ 0.00</td>
</tr>
<tr>
<td></td>
<td>Grant 5 Hair, Grant 5 Hair</td>
<td>50.00%</td>
<td>0.00%</td>
<td>50.00%</td>
<td>75 %</td>
<td>$ 32,857.14</td>
</tr>
<tr>
<td></td>
<td>A5: Hair Regeneration - NH1</td>
<td>50.00%</td>
<td>0.00%</td>
<td>50.00%</td>
<td>75.00%</td>
<td>$ 0.00</td>
</tr>
<tr>
<td></td>
<td>Award Total</td>
<td>50.00%</td>
<td>0.00%</td>
<td>50.00%</td>
<td>75.00%</td>
<td>$ 0.00</td>
</tr>
<tr>
<td>Sponsored Total:</td>
<td></td>
<td>100.00%</td>
<td>0.00%</td>
<td>100.00%</td>
<td>100.00%</td>
<td>$ 0.00</td>
</tr>
<tr>
<td>Grand Total:</td>
<td></td>
<td>100.00%</td>
<td>0.00%</td>
<td>100.00%</td>
<td>100.00%</td>
<td>$ 0.00</td>
</tr>
</tbody>
</table>

**Attach file**

Attachments: N/A

Use the text field below to enter an Effort note (4000 character max): [Input Field]

**Effort Note History**

<table>
<thead>
<tr>
<th>Date</th>
<th>Note</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Save Effort Note**

**Figure 6.E.4.5 – Base Statement Process Approval Text Setting**

The Text settings continue in the following screen (Figure 6.E.4.6).
**Non-IBS Process Approval Text**

The Non-IBS Process Approval Text appears on the Non-IBS Process Effort screen. The institution can enter guidance and instructions about the effect of processing a Non-IBS statement.

One feature to note is that each of these text fields may be reset to the system defaults individually by selecting the link on top of each text box, or all of the fields can be reset by clicking the ‘Reset’ button at the bottom of the page.

**System Alert Message**

The System Alert Message allows the institution to create custom messages that appear for all users. For instance, institutions can use this feature to inform users of downtime, special instructions, reminders, or other special messages as necessary. The text of the message is entered on the Global Settings page.

When text is entered in this field, the System Alert Message indicator appears on the right side of the navigation header bar (Figure 6.E.4.7).
Selecting the indicator displays the System Alert Message in a pop-up window (Figure 6.E.4.8).

**Figure 6.E.4.8 – System Alert Message display**

**Home Page Message**
The Home Page Message allows the institution to customize the text that appears on the Home Page for all users. This text appears above the Work List (Figure 6.E.4.9).
Once the appropriate text fields are updated, the user selects ‘Submit’ to move to the next screen.
5. Certification Settings

The Certification Settings screen allows the administrator to customize most of the settings that impact the certification process. This page contains a great number of settings so it is broken into several screen shots and discussed below.

The first group of settings is shown in Figure 6.E.5.1 below.

**Certification Settings**

As an administrator, you can modify key system settings. Certification introduction text is language that accompanies the certification data to describe how a user should certify their effort. As an administrator, you can also modify the range acceptable to certify effort in a period. The lower and upper range allow for certification flexibility if a user does not have exactly 100% effort to certify. Along with configuring the percentage, you can create your own custom message which will be displayed to the user as a popup message box if their effort exceeds or falls below the range. This language should give the user an indication of what to do next if their data does not meet the acceptable range.

Certification Introduction Text

Please enter your certification introduction text (4000 character maximum, including including spaces.)

To certify your effort, type the percent of effort that you worked on each activity during the certification period in the box provided. Then click each of the certify checkboxes and press the ‘Certify’ button. Your certification statement needs to be certified and then approved for processing by your effort coordinator. Finally, all certification data must be entered as a whole number (i.e.

Certification Limits

Certification Upper Percentage:

Certification Upper Error Message: The certification is above the valid range of

Certification Lower Percentage:

Certification Lower Error Message: The certification is below the valid range of

Max Weekly Hours: 168

Certification Introduction Text

The instructional language that appears on the certification screen for the base effort statement can be configured by the institution. The top of Figure 6.E.5.1 is where the institution can enter the Certification Introduction Text – which is what will appear on an individual’s effort statement directly above the body of the effort statement. This text can be worded to provide certification directions, reminders, or other helpful information for the certifier.

Certification Limits

The Certification Limits allow the institution to set the range of the total effort that must be entered by a certifier before the certification statement will be accepted by the system. The institution can configure the maximum and minimum acceptable totals as well as the error messages that appear when the total certified effort does not fall within the acceptable range.

The “Max Weekly Hours” setting determines the maximum number of hours the effort calculator is allowed to use for calculations. This number serves as the denominator in
any calculations involving the effort calculator. Users can take advantage of the effort calculator to determine how the average hours worked in a week translates to effort percentages. If used, the 'Effort Calculator' link of the effort statement appears as a new pop-up window if the link is selected. The calculator allows the user to convert average weekly work hours to effort percentages and vice versa. For additional information on the Effort Calculator, See the Certification Statement Tools section of this document.

The “Maximum Activity Variance” setting determines how close to the certified effort the non-sponsored activity percentages must be to allow certification. By default, Activity Codes must exactly match the certified percentage to complete the certification. This setting was created to account for any rounding errors in Activity Codes introduced into the effort statement by the Profile. See the Profile Manager section of this document for more information on how to use the Profile.

The Certification Settings fields continue in the following screen (Figure 6.E.5.2).

Figure 6.E.5.2 - Certification Settings continued

This screen shows a series of questions relating to cost transfers. Questions pertaining to Proactive Cost Transfers need not be answered if Proactive Cost Transfers are not being used by the institution.

The first question on this screen controls whether a justification is required for a Proactive Cost Transfer that moves funding between sponsored projects.

The second question allows a Cost Transfer Days Threshold to be enabled. If the threshold is enabled, the user will enter the number of days in the box immediately following. This setting requires the date of a Proactive Cost Transfer to fall within this
range from the date the cost transfer is being created. For example, the threshold in the above example is 90 days. This means that a Proactive Cost Transfer that is created with a date more than 90 days from the date of creation will be required to include a justification. If justification is required, a pop-up appears within the Proactive Cost Transfer screen with the available reasons for justification. The reasons for justification are determined in the Cost Transfer Justification portion of the global settings.

The third question allows Cost Transfers to be exported from the ecrt system into the institution’s financial or payroll source system. If the institution is exporting cost transfers, then the next two questions become available to be answered.

The ecrt solution has the capability to create transaction identification codes for cost transfers that are to be exported to the institution’s financial or payroll system. This identification code allows the ecrt system to recognize the transaction when it is passed back into the ecrt solution through the data load process. The code prevents the transaction from being double counted. If the institution’s source system can accommodate an identification code, the user will select the “Yes” radio button for the fourth question in Figure 6.E.5.2. If “No” is selected, users will be required to enter transaction identification codes when they create cost transfers.

The last question displayed in Figure 6.E.5.2 determines whether exported cost transfers should be applied to the effort certification statement immediately following creation. If the cost transfers are not immediately applied, they will be required to flow into the ecrt system through the normal payroll data load process.

The next group of settings determines the point at which the system will calculate a cost transfer during processing, referred to as a “Reactive Cost Transfer” within this documentation (Figure 6.E.5.3).
Do you want to enable the Cost Transfer Relative Variance?

Cost Transfer Relative Variance Setting:
The Cost Transfer Review setting checks each line item on a certified Effort statement for a variance between the setting and the absolute value of Certified % minus Payroll %, then divided by the Payroll %. Scenario: Payroll is 20% and Certified equals 18%. The difference of 2% is then divided by the original 20% of payroll, which equals 10%. If the Cost Transfer Review value is less than 10%, a Cost Transfer is created.

Do you want to enable the Cost Transfer Threshold Setting?

Cost Transfer Threshold Setting:
The Cost Transfer Threshold setting checks each line item on the certified Effort statement for a variance between the setting and two sets of statement columns. The first check is the absolute value of the difference between Computed % and Certified %. Scenario: Computed Effort is 20% and Certified effort is 22%, a Cost Transfer Minimum setting less than 2% creates a cost transfer. The second check build upon the first and is performed only if Revised Payroll % is used; if Revised Payroll is not being used, the system only performs the Computed-to-Certified check above. The second check is the absolute value of the difference between Payroll % and Revised Payroll %. Scenario: Payroll of 20% is changed to a Revised Payroll of 22%. If the Cost Transfer Minimum setting is less than 2%, a Cost Transfer is created.

Figure 6.E.5.3 – Certification Settings continued

All of the enabled cost transfer thresholds work in conjunction with each other. As a result, at least one line on the effort certification statement must exceed all of the enabled thresholds to generate a cost transfer. The first setting governs the Cost Transfer Relative Variance. If enabled, the user will enter the appropriate percentage into the box immediately following. The Cost Transfer Relative Variance setting checks each line item on a certified effort statement for a variance between the setting and the absolute value of the Certified % minus the Payroll %, then divided by the Payroll %. For example, if the Payroll % is 20% and the Certified % equals 18%. The difference of 2% is then divided by the original Payroll 20%, which equals 10%. If the Cost Transfer Review value is less than 10%, a cost transfer is created.

The next setting enables the Cost Transfer Threshold, which is the second of the three cost transfer checks. If enabled, the administrator will enter the appropriate value into the box immediately following.

The Cost Transfer Threshold setting checks each line item on the certified effort statement for a variance between the setting and two sets of statement columns. The first check is the absolute value of the difference between Computed % and Certified %. For example, if Computed Effort is 20% and Certified Effort is 22%, the difference is 2%. If the Cost Transfer Minimum setting is less than 2%, a cost transfer is created.

The second check for the minimal threshold is built upon the first and is performed only if the Revised Payroll % column is being used; if Revised Payroll is not being used, the system only performs the Computed to Certified check above. The second check is the
The absolute value of the difference between Payroll % and Revised Payroll %. For example, assume Payroll of 20% is changed to a Revised Payroll of 22%. If the Cost Transfer Minimum setting is less than 2%, a cost transfer is created.

The Certification Settings fields continue in the following screen (Figure 6.E.5.4).

Cost Transfer Dollars Threshold Setting:
The Cost Transfer Dollars setting checks each line item on the Effort statement for a dollar variance between the setting and two sets of columns on a certified Effort statement. The first check is the absolute value of the difference in dollars created by the difference between Certified % and Computed %. Scenario: A certifier enters a Certified Effort of 22% compared to Computed Effort of 20%. If that variance generates a dollar difference greater than the Cost Transfer Dollars Threshold, then a Cost Transfer is created. The second check occurs if Revised Payroll % is used. If Revised Payroll is not being used, the system only performs the Computed-Certified check above. The second check is the dollars difference created by the difference between Revised Payroll % and Payroll %. Scenario: Payroll of 20% is changed to a Revised Payroll of 22%. If the absolute value of that dollar variance is greater than the Cost Transfer Dollars Threshold, then a cost transfer is created.

Do you allow the processing of Cost Transfers to non-sponsored accounts?  
- Yes  
- No

The dollar amount (i.e. plus or minus from $0.00) that the Cost Transfer column on the Effort statement processing screen will allow the Process button to display for making the Effort statement historical.

$ 0.10

Make Cost Transfer fields on Effort Statement Processing Screen read only

The final cost transfer setting is the Cost Transfer Dollars Threshold setting. With this setting, the system first computes the cost transfer for each line where the Certified % varies from the Computed % to see if the difference is greater than the number entered in this setting. If it is greater, then a cost transfer is created.

The dollar amount variance allows cost transfers on the processing screen total an amount other than $0.00. Due to rounding, there may be situations where cost transfers on the processing screen do not always balance. Typically, a variance in this situation amounts to only pennies. This setting will reduce the number of times the effort coordinator will need to adjust the numbers in the cost transfer column to get the cost transfers to net to zero. NOTE: The “process” button will not appear on the processing screen until the cost transfer amount is at or below this threshold.

The next question determines whether an institution allows cost transfers that result from certification to be processed to non-sponsored accounts. This setting impacts the data that is shown to a Primary Effort Coordinator on the certified statement “Process” screen. If this setting is marked ‘No’, then a Primary Effort Coordinator will not see any cost transfers on the “Process” screen if a non-sponsored account is involved. For instance, if a certifier has two accounts on a statement, one sponsored and one non-
sponsored, and the certifier certifies each to a different amount than the computed effort, neither of these cost transfers will appear on the “Process” screen to the Primary Effort Coordinator if this is set to ‘No’. In the same example, if both accounts are sponsored accounts, then the cost transfers would be presented to the Primary Effort Coordinator because a non-sponsored account is not involved. Answering this question with ‘Yes’ will present all calculated cost transfers on the “Process” screen to the Primary Effort Coordinator.

The next setting establishes the variance that will be accepted on all cost transfers that are calculated for a certified statement. The total cost transfers between accounts ideally should balance and net to $0.00. There are some instances where rounding would cause the calculated amounts to result in a small variance for the total cost transfer amount. This setting controls what amount of variance is acceptable. If it is set to $0.00, then the total dollars have to match exactly, which might require some intervention by the Primary Effort Coordinator that is processing the statement.

The following question in this section determines whether effort coordinators are allowed to edit the cost transfer amounts that are calculated. It is extremely important that the prior setting be set to at least $0.02 if this box is checked; otherwise, there may be some effort certification statements that cannot be processed.

The Certification Settings fields continue in the following screen (Figure 6.E.5.5).

![Figure 6.E.5.5 - Certification Settings Continued](image)

The first setting, “Enable the cost transfer worksheet on Effort Processing Screen and Historical Effort Statements” will display a link for the Cost Transfer Worksheet on the effort processing screen. If enabled, the Cost Transfer and Cost Share (for Cost Transfer) columns will not be displayed on the effort statement processing screen.

The next setting allows the institution to set the desired decimal precision on the cost transfer worksheet. The institution can select whole numbers, tenths, and hundredths.
The third setting controls the pay type that must be passed over in the Payroll file to have the payroll be “Read Only” on the cost transfer worksheet. If the pay type does not match, then the new pay type will be loaded into the system and will not be “Read Only” on the Cost Transfer Worksheet.

The next setting controls how accounts are displayed on the cost transfer worksheet. The user can select to display the Account Number and Account Name, the Account Number only, or the Account Name only to identify each payroll line item.

The fifth setting controls whether the Cost Transfer Worksheet Submission Summary is displayed at the top of the Cost Transfer Worksheet. If this answer is ‘Yes,’ a summary of the transactions that were sent to the institution’s source system is displayed.

The next setting in this section determines whether Payroll Reconciliation Items (i.e. cost transfers that are loaded into the system and affect a statement that has already been certified) that only affect non-sponsored accounts are automatically applied to the effort certification without any intervention. This allows institutions to limit the Payroll Adjustment Reconciliation reviews for Primary Effort Coordinators to those items that affect sponsored accounts only.

The following setting works in conjunction with the auto-process setting by establishing a threshold that applies to transactions when the auto-process feature is not being used. If the auto-process setting is enabled, the transactions are applied without review when they are brought into the system. If the auto-process feature is disabled, then the threshold is used to determine whether the transaction must be reviewed. If the net change of the loaded non-sponsored transactions is less than the threshold, then it is applied with no additional review required. If, however, the amount of the transfer exceeds the threshold, then the Payroll Adjustment Reconciliation work item must be reviewed even if it affects only non-sponsored accounts. This ensures that significantly large cost transfers, even for non-sponsored accounts, receive the appropriate level of review before they are applied to the statement while small differences, such as those that may occur with rounding or differing levels of precision, do not require review.

The final two settings in this section allows an institution to auto-process ‘true-up’ Payroll Adjustment Reconciliation transactions that are loaded after an effort statement has been certified. The first setting applies to ‘true-up’ payroll adjustments that match exactly the amount of the cost transfer that was created when the effort coordinator processed the effort statement. For example, an individual certifies two accounts on an effort statement at a difference of 10% from what was originally calculated based on their payroll. When the effort coordinator reviews the effort certification, the 10% difference translates to a cost transfer of $1,050.31 moving from one account to another. The effort coordinator then processes the cost transfer of exactly $1,050.31 in the institution’s source payroll system. The next time payroll is loaded the system will automatically apply that payroll adjustment to the closed effort statement without any
additional review because the amount exactly matches what was calculated within the ecrt system.

The second ‘true-up’ setting is a threshold that controls whether transactions that bring the new Computed Effort within an acceptable variance of Certified Effort will be automatically applied, as well. While these transactions are not actual ‘true-up’ transactions, the institution can determine that anything within this threshold is close enough to a true-up transaction to be automatically applied. For transactions to be automatically applied, the variance between the new Computed Effort and Certified Effort must be less than or equal to this threshold value. The statement will move into a Certified, Processed status and will be removed from the PAR Task List.

The Certification Settings fields continue in the following screen (Figure 6.E.5.6).

![Figure 6.E.5.6 - Certifications Settings Continued](image)

**Auto Processing of Certification**

The Auto Certify settings determine whether statements that have only non-sponsored effort are closed by the system without certification being required. If this setting is enabled, any effort statement that has only non-sponsored activity for the entire certification period is closed automatically when the Certification Period opens.

The next setting is the Auto Process On feature. This setting controls whether all certification statements must be reviewed by the primary effort coordinators or only those statements where changes have been made. If this setting is turned on, only effort statements where the certified effort differs from computed effort, where a note was entered, or where an attachment was uploaded will need to be processed by the Primary Effort Coordinator.

The next threshold determines the acceptable variance for auto processing. The Certified Effort and Computed Effort can vary by an amount less than or equal to the percentage entered in the threshold box and still be auto processed.
The next setting is the Auto Process Double Asterisk Task On feature. This feature will route a task to the effort coordinator even when a certified effort statement had no changes between computed and certified effort. The task will display in the Effort Processing Work Items list of the effort coordinator with ‘**’ at the end on the task. When an effort coordinator selects the task, it will be immediately removed from the list. The purpose of this feature is to show the effort coordinator an individual has certified an effort statement without them having to take any additional review action other than clicking the item to remove it from the list.

The Sponsored Threshold Exceeded setting controls whether statements can be auto-processed if the certified effort on a line on a statement exceeds the sponsor notification threshold. If ‘Yes’ is marked, statements will be auto-processed even if a sponsor notification is created as a result of certification.

The Auto Process Statements with Notes setting allows an institution to override the default logic that prevents auto-processing when a statement contains a note, including those notes generated by the system when a statement is reopened.

**Cost Share/Companion Accounts**
The next setting controls the display of cost sharing accounts on the certification statement according to whether the institution uses companion cost sharing accounts. To see examples of the impact of the two cost sharing methodologies, please refer to the ‘Certification’ section of this document (Section III-A-1-c-iii). This setting impacts the data loading process and should be configured prior to go live and not changed thereafter. Please contact Huron for assistance before any change is made to this setting following go live.

The following setting controls whether negative values can be displayed on the effort statement when companion accounting is used. This may occur when a cost transfer is loaded to a companion cost share account that does not have sufficient payroll to accommodate the cost transfer. The Computed Effort will be shown as zero (0) in this instance but the display of this information allows administrators and certifiers to see that there is a problem on the statement.

The Certification Settings page is continued in Figure 6.E.5.7.
Certifier Proxy

Do you want the Certification Proxy Created email turned on?  
Yes  No
Proxy Created Email Subject:  
Proxy created
Proxy Created Email Body:  
Certifier proxy assignment created.

Do you want the Certification Proxy Updated email turned on?  
Yes  No
Proxy Updated Email Subject:  
Proxy updated
Proxy Updated Email Body:  
Certifier proxy assignment updated.

Do you want the Certification Proxy Removed email turned on?  
Yes  No
Proxy Removed Email Subject:  
Proxy Terminated
Proxy Removed Email Body:  
A Proxy was terminated

Figure 6.E.5.7 - Certifications Settings Continued

Certifier Proxy
When the proxy feature is enabled, the institution can configure three system-generated emails sent throughout the proxy assignment lifecycle.

The Certification Proxy Created email goes to both the proxy and the individual for whom the proxy has been assigned, informing them both that the assignment has been made. The institution can configure the subject line and body of the email.

The Certification Proxy Updated email is sent if and when the proxy assignment has been updated. This email is sent to the original proxy, the new proxy, and the individual for whom the proxy has been assigned, informing all of them about the updates. The institution can configure the subject line and body of the email.

The Certification Proxy Removed email is sent when the proxy assignment has been terminated. This email is sent to both the proxy and the individual – communicating that the proxy relationship no longer exists. The institution can configure the subject line and body of the email.

The Certification Settings continue in Figure 6.E.5.8.
Payroll Adjustment Reconciliation Routing

The Payroll Adjustment Reconciliation Routing setting determines who will review the transactions that appear in the Payroll Adjustment Reconciliation table. If the Centralized option is chosen, all cost transfer reconciliation transactions will go to the central administrator. The Decentralized option routes all cost transfer transactions to the department's primary effort coordinator.

The institution will then specify a Certified Effort Variance, which validates the magnitude of payroll adjustments that are allowed to be posted to closed certification statements without requiring the statement to be certified again. If the reconciliation transaction affects the Computed Effort percentage by an amount less than or equal to this setting, the statement does not have to be reopened and recertified. Since this setting performs a similar function as the “Cost Transfer Minimal Threshold” discussed above, it is typically set at the same level.

Exception Account Removal Threshold

The Exception Account Removal Threshold allows the institution to remove exception accounts from the effort statement if the payroll on the account is less than the threshold. An exception account is a suspense account that holds payroll that must be moved to a different account to ensure proper certification and should not be certified itself. This threshold allows an account to be removed from the statement when the payroll amount remaining on the account is under the configured threshold. If the payroll amount is negative, then the account will be removed when the value is less than the absolute value of the threshold. The account is removed from the statement and the statement’s percentages are recalculated based on the payroll on the accounts that
remain on the statement. The difference between the certified payroll and the total payroll loaded may differ by the amount of the threshold.

Create Account/Award Number Mask
The next setting on this screen allows the institution to hide or truncate characters of the account or award number. In certain situations institutions may have characters in the account or award number that do not need to be displayed to the end users. In these situations the mask can be used to prevent those characters from being displayed in all locations where the account or award number is displayed except for IQ Tool query results.

The first step is for the user to define the account or award numbering structure. To do this the user selects the icons for letters, numbers, or both, depending on the nature of the data elements to be displayed and the length of the string. The setting displays the number of characters that will be visible to users. For instance, if the institution's account number is eight numbers long but the institution does not want to display the last two numbers, then the user can create a mask of six numbers using the # sign, as shown above in Figure 6.E.5.8.

The Advanced Settings – Truncation allows an institution to cut a set number of characters from the beginning (left) or end (right) of the account or award number. The user must first define the entire length and the nature of the account or award number in the mask field, then configure how many characters to truncate using the up and down arrows. The truncation settings are most used when cutting data elements from the beginning (left) of an account or award number.

The institution can set masks or truncation rules for both accounts and awards if necessary. If the mask that was built contains an error or the user does not want to apply it as created, the user selects Reset or Remove.

Entering the settings and selecting the Submit button at the bottom of the Certification Settings page activates the mask(s).

The Certification Settings continue in Figure 6.E.5.9.
Department Configurations
The Department Configurations section contains two settings. The first setting, asking whether to show the Department relationships on the report page, enables an institution to run reports for a department and all of the sub-departments associated with it instead of running the report for the department and each sub-department individually. Any report run for a department that has sub-departments will include the results for all sub-departments if this setting is enabled.

The second setting controls the number of effort statements that are shown in the Statements column on the People tab of the Department Dashboard. The institution can enter a number between one and eight for this setting.

Effort Statement
The settings in this section impact the multiple statement view on the effort statement page.

The Pagination Limit setting determines how many employees are shown on the multiple certification view on the effort statement. This setting limits the number of people that are shown at any one time using the multiple certification view, not the number of statements. The view will show all the open statements for the number of people entered in this setting. The more people included on a page, the longer it will take for the page to load. For performance reasons, the system will not allow more than 25 people per page.

The next setting determines whether the certifier has access to all lines on the certification statements or only to the lines for which the certifier is responsible. If “Yes” is selected, the user will have access to all lines; if “No” is selected, then access is limited to the authorized lines. If this setting is set to “Yes”, then it overrides the next setting, which controls access to the Non-Sponsored lines.

The following setting controls whether the certifier has access to all Non-Sponsored lines. If the checkbox is marked, certifiers will be able to certify all Non-Sponsored lines.
on a statement. If the checkbox is not marked, the certifier will be able to certify only those lines to which the certifier is associated, whether as the PI/account owner or the Effort Coordinator of the department that owns the Non-Sponsored account.

The final setting determines which users will be displayed on an effort coordinator’s page. The three choices are:

- Certifiers on accounts in the department - displays all non-self-certifiers being paid on any non-sponsored account in a department regardless of the certifier’s home or primary department;
- Certifiers in the department - displays all non-self-certifiers with non-sponsored effort in the effort coordinator’s department, regardless of whether they are working on any non-sponsored account in the department; or
- Certifiers in the department and certifiers with effort on accounts in the department.

The Certification Settings fields continue in the following screen (Figure 6.E.5.10).

### Email Server Configurations

<table>
<thead>
<tr>
<th>Setting</th>
<th>Example</th>
</tr>
</thead>
<tbody>
<tr>
<td>SMTP Authorization</td>
<td>Yes/No</td>
</tr>
<tr>
<td>Secure SMTP</td>
<td>Yes/No</td>
</tr>
<tr>
<td>Non-Secure SMTP TLS Enabled</td>
<td>Yes/No</td>
</tr>
<tr>
<td>SMTP Mail Server</td>
<td>mpecert95.huronconsultinggroup.com</td>
</tr>
<tr>
<td>SMTP Mail Port</td>
<td>25</td>
</tr>
<tr>
<td>SMTP Mail Username</td>
<td><a href="mailto:tkarol@mpecert95.huronconsultinggroup.com">tkarol@mpecert95.huronconsultinggroup.com</a></td>
</tr>
<tr>
<td>SMTP Mail Password</td>
<td>**********</td>
</tr>
<tr>
<td>Support Email Address</td>
<td><a href="mailto:ECERT@huronacrt.edu">ECERT@huronacrt.edu</a></td>
</tr>
<tr>
<td>Website Address</td>
<td><a href="https://www.huronecrt.com/ecert/">https://www.huronecrt.com/ecert/</a></td>
</tr>
</tbody>
</table>

Note: The website address can be set to an external portal or external site. If not applicable, it should be set to the ecrt application url with ending /.

Application Website Address:

Note: The application website address should always be set to the ecrt application url with ending /.

### Data Load Error Log Retention Duration

- Duration: 5 day(s)

### Years to display inactive Award or Account

- Years to show inactive Award or Account: 3 year(s)

**Figure 6.E.5.10 - Certification Settings continued**

**Email Server Configurations**

The next group of settings controls the email settings used by the system. The five settings – SMTP Authorization, Secure SMTP, Non-Secure SMTP TLS Enabled, SMTP Mail Server, SMTP Mail Port, SMTP Mail Username, and SMTP Mail Password - are information about the email server that the system will use to send e-mails. This information must come from the institution’s IT department. These settings have a significant impact on the functionality of the system and should not be changed after being established during system configuration. Please contact Huron for assistance before any changes are made to these settings after go-live.
The support email address is used as the email address from which system messages are generated. This should be an actual address used by the institution for support. It is recommended that the institution set up an email address specifically for ecrt support messages.

The website address is included in e-mails to certifiers, facilitating easy access to log in to the system. This address should be the URL for the application. If an institution uses a portal and would like a link to the ecrt system from the portal, this address can be used to direct users to the portal.

The application website address is used to access the application. This address always must be the URL for the application.

**Data Load Error Log Retention Duration**
The error log retention duration determines how long ecrt keeps the logs that record the results of a data load. These logs are displayed in the Data Load Statistics section of the Data Load Management page.

**Years to display Inactive Awards or Accounts**
The institution can determine for how many years after the end date of an award or account the system displays the award or account on the Department Dashboard page. The institution will enter the number of years in this setting.

The Certification Settings fields continue in the following screen (Figure 6.E.5.11).
Figure 6.E.5.11 - Certification Settings continued

**During Period of Performance Email Reminder**
The During the Period of Performance Email Reminder allows an institution to configure a periodic email to certifiers during the Period of Performance to review their effort statements. Like the notification email, when the setting is enabled this email will only be sent if the recipient has certification responsibility for an uncertified statement.

The first section determines whether the institution will send out the periodic notice email and when. If ‘Yes’ is selected to enable the reminder email, the user can then define the days interval to send out the periodic notice. A calculator tool is available by selecting the “i” icon to help the user determine the day interval to ensure the email is sent out on the desired date (Figure 6.E.5.11 - A). The calculator will appear in a popup (Figure 6.E.5.12).

![Periodic Reminder Message Scheduling Calculator](image)

For example, based on a period of performance of 7/1/2010 – 6/30/2011, the desired reminder date was 6/15/2011 and the days interval was 90. The calculator will output the period start and end date entered. It will also output a cut-off date. No reminder emails will go out after the reminder date if the amount of time between the cutoff date and the period of performance is less than the interval value.
The next setting allows the institution can determine who will receive the Period Of Performance Reminder email - Primary Effort Coordinators only or all Effort Coordinators.

The last two fields allow the user to define the subject line and the text of the email. This email also can be up to 4,000 characters in length.

**End of Period of Performance Email Reminder**

An institution can configure an email that is sent out to all Effort Coordinators to remind them of the Pre-Certification Review period. The Pre-Certification Review period is the institution-defined time period between the end of a Period of Performance and the beginning of a Certification Period. During this time, Effort Coordinators can review the effort statements before the statements are available to be certified. The messages will be sent only if the recipient has certification responsibility for an uncertified statement. That is, the message will go to an Effort Coordinator only if the Effort Coordinator has associated researchers and has not yet certified any of the accounts owned by the Effort Coordinator.

The first setting turns the Pre-Certification Review notification email on or off. If it is turned on (Yes), then the notification email will be sent following the end of the Period of Performance. This Pre-Certification Review period allows the institution to finish loading payroll to the system after a Period of Performance has ended, followed by review of the statements, and then the beginning of the Certification Period. This setting should be reviewed along with the Period Administration dates to ensure appropriate timing of the Pre-Certification Review and Certification Period start dates.

The second setting allows the institution to configure the number of days after the end of the Period of Performance when the Pre-Certification Review notification email is sent.

The third setting allows the institution to determine which Effort Coordinators will receive the email – Primary Effort Coordinators only or all Effort Coordinators.

The last two fields allow the user to define the subject line and the text of the email. This email also can be up to 4,000 characters in length.

The Certification Settings continue in the following screen (Figure 6.E.5.13).
Certification Email Notifications
The Certification Email Notifications settings control the contents of the emails that are sent by the system pertaining to the certification period and the timeline for reminder emails sent by the system. These emails are sent to employees that have certification statements that need to be completed, either their own statements or the statements of those researchers that work for the employees if the employees are designated as PIs. If a proxy certifier has been assigned for an employee who would normally certify her own statement, the proxy certifier will receive the reminder email(s) rather than the original certifier employee. If an employee or her proxy certifier has completed the certification, the employee or proxy will not receive a reminder email.

The “Enable Certification notifications” setting enables the emails that are sent at the beginning of the certification period. These emails are sent to all individuals that either have sponsored effort or are designated as PIs and have researchers that have sponsored effort on their accounts/awards. If “Yes” is marked, the emails are sent at the appropriate time.

The “Show List of Certifiers on all notifications” setting controls whether the list of researchers that needs to be certified by the employee receiving the email is included in the email. If a recipient is a PI, the email will show all researchers that have sponsored effort on the PI’s accounts/awards and need to be certified, in whole or in part, by the PI. If “Yes” is marked, the emails include this list.

The “Show Certifier Effort Statement links on all notifications” setting allows the recipient to click on any individual for whom the recipient is listed to be responsible for certifying
in the recipient’s email – regardless of whether the individual is shown in the recipient’s list of researchers, designees, or proxies - and go directly to that individual’s open effort statement(s) to certify. If an individual is displayed in the Researchers list, after clicking the name of the individual, the recipient will be directed to either the ‘Certify My Researchers - Single View’ page or the ‘Certify My Researchers - Group View’ page, based on which rights the recipient is assigned. If the recipient has both CMR Single and CMR Group rights, the link will direct the recipient to the recipient’s ‘Certify My Researchers - Group View’ page. If the recipient does not have the rights to either CMR Single or CMR Group, neither link will be displayed in the email that is received as an indication that the recipient does not have the appropriate rights to certify for those individuals listed. If an individual is shown in the Designees list, after clicking the name of the individual, the recipient will be directed to the individual's effort statement. If an individual is included in the Proxy list, after clicking the name of the individual, the recipient will be directed to the recipient’s ‘Certify My Proxies’ page. If “Yes” is marked, the emails include these links.

The “Show Period of Performance on all notifications” setting determines whether the notification email contains the period of performance listed for each effort statement to be certified. If “Yes” is marked, the emails include the date range.

The “Show certification due date on all notifications” setting controls whether the notification email contains the due date of the effort statement to be certified. If “Yes” is marked, the emails include this figure.

The recipient may be required to authenticate prior to being directed to these pages but these links allow the recipient to access the statements that the recipient needs to certify from the email message.

Certification Period Opening Email
The “Certification Period Opening Email” is sent when the Certification Period opens. The subject line and the text of the email can be configured by the institution. The text is limited to 4,000 characters in length, including spaces and punctuation. Additionally, the email has a drop-down selection box that lets the user determine whether the link within the email will route the user to the Home Page, the Effort Card, or the ‘Total Professional Effort’ statement.

Certification Period Opening Summary Email
The “Certification Period Opening Summary Email” is sent to Effort Coordinators when the Certification Period is opened. The email contains two lists – one list being those people within the Effort Coordinator’s department(s) that were auto-processed and the other being those people within the Effort Coordinator’s department(s) that were sent the Certification Period Opening email. The subject line and the text of the email can be configured by the institution. The text is limited to 4,000 characters in length, including spaces and punctuation.
The Certification Settings continue in the following screen (Figure 6.E.5.14).

**Figure 6.E.5.14 - Certification Settings Continued**
The subject line and text of each of the reminder emails can be customized independently of the others but the text is limited to 4,000 characters in length, including spaces and punctuation. The three reminders are sent at configured intervals based on the end of the certification period. The institution will enter a positive number, which will cause the emails to be sent prior to the end of the certification period, or a negative number, which will cause the emails to be sent after the end of the certification period. The settings for the reminder emails can be adjusted throughout a certification period to allow the institution to send as many reminders as it desires.

Additionally, each email has a drop-down selection box that lets the user determine whether the link within the email will route the user to the Home Page, the Effort Card, or the 'Total Professional Effort' statement.

The subject line and text of the reminder summary emails also can be configured. These emails are sent to Effort Coordinators after each reminder email is sent and contains the list of those people within the Effort Coordinator’s department(s) that have not completed their certifications.

The Certification Settings continue in the following screen (Figure 6.E.5.15).

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**Clinical Activity Reporting Calendar Email Reminders**

The institution can configure an email that is sent to certifiers that need to complete Clinical Activity time reports. The Clinical Activity Reporting Calendar Email is dependent upon the institution setting up the Clinical Activity calendar on the Global Settings>Period Administration page.
The first setting of this section allows the institution to define the subject and the second allows the institution to enter the email body of the Clinical Activity reminder email. This email can be up to 4,000 characters in length.

The third setting controls when the email is sent. The user will enter the number of days after the end of the planning period (i.e. Period of Performance for the Clinical Activity calendar) that the email is sent. The final setting turns the Clinical Activity Reporting Calendar notification email on or off.

**Payroll Reconciliation Email Notification**

The institution can configure an email that is sent to Primary Effort Coordinators to notify them that a Payroll Adjustment Reconciliation task has been created for a certification statement in the ‘Certified, Processed’ status. This notification makes the Effort Coordinators aware that one or more cost transfers have been loaded and a Payroll Adjustment Reconciliation Task has been created as a result. The email is sent for each task that is created by the Payroll Adjustments that are loaded, not for each adjustment, which means that if multiple cost transfers are loaded over time and the initial task has not been resolve, no new notification is sent because the original task remains unresolved. If the institution is using the List of Approvers functionality to route processing tasks to all effort coordinators associated to a Sponsored account on the effort statement, the email will be sent to all effort coordinators in the List of Approvers. For more information about this setting please refer to the “Certification Processing Workflow” settings in section VI-E-12 of this guide.

The first setting of this section activates this email reminder.

The remaining two settings allow the institution to define the subject and the text of the Payroll Reconciliation Notification email. This email can be up to 4,000 characters in length.

An email is only sent when a PAR task is created for an individual’s effort statement; if a cost transfer is auto-processed a task will not be created and an email will not be sent.

The Certification Settings continues in the following screen (Figure 6.E.5.16).
Certification Returned Email Notification

The institution can configure an email that is sent when a certified statement is returned to the certifiers by the Effort Coordinator on the Process Effort screen. The settings determine whether the email is sent, whether it can be edited before it is sent, who will receive it, and who will be copied on it. The institution can define the subject and the text of the email, as well. This email can be up to 4,000 characters in length.

Certification Reopened Email Notification

The institution can configure an email that is sent when a certified statement is reopened for recertification. The settings determine whether the email is sent, whether it can be edited before it is sent, who will receive it, and who will be copied on it. The institution can define the subject and the text of the email, as well. This email can be up to 4,000 characters in length.

The Certification Settings continues in the following screen (Figure 6.E.5.17).
### Data Load Completed Email Notification
The institution can configure the subject line for the email that is sent to an institution-defined address when the data load is completed. There is no text to this email so the subject line is the only configurable element.

### Daily Task Email Notification
An email can be sent to effort coordinators that informs them whether any tasks have been created in the last 24 hours and, if there have been, what kind of tasks they are. The email is distributed based on the Email Scheduler settings. The settings determine whether the email is sent, the subject line, and the text of the email. This email can be up to 4,000 characters in length.

### Email Copies
The Email Copies list allows the institution to configure additional email addresses to be copied on every email that is sent within the system. The institution can add as many email addresses as it wishes in this field, each separated by a comma.

### Email Override
The Email Override field allows an institution to have all emails sent from within the system to a single email address. This feature is best used for testing purposes.

The Certification Settings conclude in the following screen (Figure 6.E.5.18).
Figure 6.E.5.18 - Certification Settings conclusion

Profile
The Profile settings impact how the current payroll distribution information is presented on the Profile page.

The Duration of Payroll Period to Load setting specifies how far back in time the system will look to find payroll for an individual. If there is no payroll for the person in that timeframe, the system will not display payroll percentages.

The Payroll Date Adjustment Variance is used to include payroll that may have been loaded overnight (and so split between two days). The Payroll Adjustment Variance should always be set at either “1” or “0”. The setting of “1” will accommodate an overnight data load in the calculation of the payroll percentages. The system will take the newest payroll, and any within the variance number of days, to compute the distribution. For more information about the Profile, please refer to section III-E of this manual.

Effort Statement Related Reports Links
The first question in the Effort Statement Related Reports links section determines whether the Payroll Report or the Payroll and Cost Share Report link is displayed at the top of the Effort Statement page. If displayed, the user will be able to run the report for
an individual for the Period of Performance by selecting this icon at the top of the effort statement.

The second question determines which report will be shown at the top of the effort statement. Only one of the reports – either the Payroll Report or the Payroll and Cost Share Report – can be displayed. The institution will mark the radio button next to the report it wishes to display.

The third question is related to how the Payroll Report is displayed. The institution can select either the ‘Account’ view or the ‘Pay Period’ view as the default view when the report is accessed. The ‘Account’ view is sorted by accounts then pay periods, the ‘Pay Period’ view by pay periods then accounts.

**Account Sponsor Reporting**
This setting influences the data loading process and how an institution marks within the system which accounts are effort reportable. Institutions have the option of making this designation using the system’s category labels or they can include a data element in the data load for accounts.

If the institution uses the Category methodology, then any statement with sponsored payroll, sponsored cost sharing, or a commitment on a sponsored account will not be auto-processed if the auto-processing feature is enabled. If the institution is using the Account methodology, then any statement with sponsored payroll or sponsored cost sharing will not be auto-processed if the auto-processing feature is enabled.

Regardless of which method is used, this setting should be configured during implementation. This setting has a significant impact on the functionality of the system and should not be changed after being established during system configuration. Please contact Huron for assistance before any changes are made to these settings after go-live.

**Cost Share Report Configuration**
This setting deals with the Cost Share Report and controls whether cost sharing is displayed in dollars only, percentages only, or both.

**Effort Statement Workflow**
This setting controls which institutional employees are available to be designated as reviewers on the Effort Statement Work Flow page. If ‘Yes’ is selected, only individuals that have been assigned a role that has been designated as an ‘Effort Coordinator’ role on the Roles and Rights page will be available on the Reviewer list for selection (for more information about roles please refer to section VI-B). If ‘No’ is selected all individuals that the user is allowed to see will be available on the reviewer list for selection.
Individual Effort Coordinator Assignments
This setting concerns Individual Effort Coordinator Assignments. Restricted Access or Secondary Effort Coordinators may be assigned to individual certifiers within a department. If these Effort Coordinators are assigned individual certifiers, the institution can configure whether the tasks for those individuals are routed to the Restricted Access or Secondary Effort Coordinators (Yes) or to the Primary Effort Coordinators for the individuals’ department (No).

NOTE: this setting must be set to ‘Yes’ for a Secondary Effort Coordinator to be available for assignment to individual certifiers. A Restricted Access Effort Coordinator is available for assignment on the Department Dashboard whether set to ‘Yes’ or ‘No’.

Non-Sponsored Certification
The Non-Sponsored Certification setting allows an institution to configure Effort Statements to display a single checkbox at the Non-Sponsored category total line. This setting is only applicable for institutions that use the “Certify Checkbox” column on their effort statements.

When this setting is enabled, the statement will display with checkboxes at every account line in the Sponsored category but only a single checkbox on the category total line in the Non-Sponsored section (Figure 6.E.5.19). A user still may edit the Non-Sponsored percentages at the account level, but the user has to mark one checkbox only for all Non-Sponsored activity on the statement.

Figure 6.E.5.19 – Non-Sponsored Certification Checkbox Setting

Enabling this setting also determines how Non-Sponsored activity is reconciled during the Payroll Adjustment Reconciliation process. When this setting is enabled, the
comparison that is performed between Certified Effort and New Computed Effort is done at the Non-Sponsored category total level.

For example, in Figure 6.E.5.21, the Non-Sponsored category total line was certified at 34%. If a cost transfer that applies to this statement is loaded into the system after the statement was certified, the Payroll Reconciliation Process performs a comparison between the new Non-Sponsored total Computed Effort percentage and the Certified Effort value of 34%. The account detail is not compared - the Computed Effort for the two Non-Sponsored accounts on this statement could change to 30% and 4% or 15% and 19% (each totaling 74%) and the reconciliation process still would show the Computed Effort of 34% matching the Certified Effort of 34%. The PAR item then would be resolved according to the institution’s configuration settings for True Up Transactions and Cost Transfer Variances as described earlier in this section.

Once the certification settings have been established, the user must commit those changes by clicking Submit. Clicking cancel will not commit the changes and will route the user back to the Home Page. Reset will change all values to their state after the last change was submitted.

After finalizing these settings, the administrator will select Submit to save the Certification Settings and to advance to the next screen.
6. Cost Transfer Types

As part of the cost transfer process, an institution can use cost transfer justification types to standardize information related to cost transfers. If cost transfers are exported to the institution’s source system, it is crucial for the information to be standardized to ensure successful exporting. The cost transfer justification types will ensure the information is standardized.

Cost transfer types are entered on the Cost Transfer Justification Type Administration screen (Figure 6.E.6.1):

![Figure 6.E.6.1 – Cost Transfer Types](image)

To enter a cost transfer justification type, the user will enter a unique code, a name, a description, and mark the Active checkbox. Each code must be unique or the user will receive an error and the system will not permit the justification type to be entered. Once the data is entered for the justification type, the user will select Enter to finalize the type. If during the data entry the user makes an error, the user can select the Reset button to clear the data that has been entered.

Once the code has been entered, the user will see some familiar icons in the ‘Action’ column at the right of the screen. The user can activate the justification type by selecting the magic wand, deactivate it by selecting the red X and edit the information related to the type by selecting the magnifying glass icon.

After finalizing these settings, the user will select ‘Next’ to save the settings and to advance to the next screen.
7. Effort Statement Statuses

The ecrt application includes default images and descriptions for the status icons that are used throughout the system. Each institution is able to modify the name of the status for each icon to fit the institution’s terminology preferences, so the user may see different names for the icons listed below. The purpose of the actual icon within the system remains consistent, however.

The institution can customize both the image and the label for any and all status icons on the Certification Status Icon Settings page (Figure 6.E.7.1).

**Effort Statement Statuses**

As an administrator you can modify the certification status descriptions and associated images from the packaged system. This allows each institution to customize the system to match your desired look and feel.

***Note: All uploaded images MUST be 24x24 pixels***

<table>
<thead>
<tr>
<th>Current Description</th>
<th>New Image</th>
<th>New Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Default, Incorrect</td>
<td>Browse...</td>
<td>Default, Incorrect</td>
</tr>
<tr>
<td>Building</td>
<td>Browse...</td>
<td>Building</td>
</tr>
<tr>
<td>Profile Generated</td>
<td>Browse...</td>
<td>Profile Generated</td>
</tr>
<tr>
<td>Certified, Not Reviewed, Not Processed</td>
<td>Browse...</td>
<td>Certified, Not Reviewed, Not Processed</td>
</tr>
<tr>
<td>Manual Certification, Not Processed</td>
<td>Browse...</td>
<td>Manual Certification, Not Processed</td>
</tr>
<tr>
<td>Manual Certification, Processed</td>
<td>Browse...</td>
<td>Manual Certification, Processed</td>
</tr>
<tr>
<td>Manual Certification, Processed, Payroll Pending</td>
<td>Browse...</td>
<td>Manual Certification, Processed, Payroll Pending</td>
</tr>
<tr>
<td>No Certification Required, Not Processed</td>
<td>Browse...</td>
<td>No Certification Required, Not Processed</td>
</tr>
<tr>
<td>No Certification Required, Processed</td>
<td>Browse...</td>
<td>No Certification Required, Processed</td>
</tr>
<tr>
<td>No Certification Required, Processed, Payroll Pending</td>
<td>Browse...</td>
<td>No Certification Required, Processed, Payroll Pending</td>
</tr>
<tr>
<td>Certified, Approved, Transfer in Progress or Pending</td>
<td>Browse...</td>
<td>Certified, Approved, Transfer in Progress or Pending</td>
</tr>
<tr>
<td>Not Certified, Not Processed, Clinical Only</td>
<td>Browse...</td>
<td>Not Certified, Not Processed, Clinical Only</td>
</tr>
<tr>
<td>Not Certified, Not Processed</td>
<td>Browse...</td>
<td>Not Certified, Not Processed</td>
</tr>
<tr>
<td>Certified, Not Processed, Clinical Only</td>
<td>Browse...</td>
<td>Certified, Not Processed, Clinical Only</td>
</tr>
<tr>
<td>Certified, Not Processed</td>
<td>Browse...</td>
<td>Certified, Not Processed</td>
</tr>
<tr>
<td>Certified, Processed</td>
<td>Browse...</td>
<td>Certified, Processed</td>
</tr>
<tr>
<td>Transfer in Progress or Pending</td>
<td>Browse...</td>
<td>Transfer in Progress or Pending</td>
</tr>
<tr>
<td>Auto Approved</td>
<td>Browse...</td>
<td>Auto Approved</td>
</tr>
<tr>
<td>Certified, Processed, Payroll Pending</td>
<td>Browse...</td>
<td>Certified, Processed, Payroll Pending</td>
</tr>
<tr>
<td>Not Certified, Not Processed, Re-Opened</td>
<td>Browse...</td>
<td>Not Certified, Not Processed, Re-Opened</td>
</tr>
<tr>
<td>Not Certified, Not Processed, Re-Opened by Payroll Adjustment Reconciliation</td>
<td>Browse...</td>
<td>Not Certified, Not Processed, Re-Opened by Payroll Adjustment Reconciliation</td>
</tr>
</tbody>
</table>

**Figure 6.E.7.1 – Certification Statement Statuses**

To upload a new image for a status, the user selects the Browse button to search for the desired image file. Once the file is located, the user attaches the file to the system.
The institution also can change the description for a status to incorporate its own terminology or make it more descriptive, if it desires.

The Reset button allows the user to restore the default images and descriptions.

A description of each status is documented in the chart below.

<table>
<thead>
<tr>
<th>Status</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Default, Incorrect</strong></td>
<td>This status only displays if there is a critical error associated with an effort statement. If you see this status, please contact the Huron ecrt Help Desk immediately.</td>
</tr>
<tr>
<td><strong>Building</strong></td>
<td>This status indicates that an Effort Statement is not yet ready for certification. This occurs during the Period of Performance, when payroll and profile data are being loaded and the Effort Statements are being built.</td>
</tr>
<tr>
<td><strong>Profile Generated</strong></td>
<td>This status displays when an effort statement is generated from a Profile and before payroll or cost sharing has been loaded into the system.</td>
</tr>
<tr>
<td><strong>Certified, Not Reviewed, Not Processed</strong></td>
<td>This status displays when an effort statement has been certified but has not been reviewed as part of the assigned workflow process, which must occur before the statement can be processed.</td>
</tr>
<tr>
<td><strong>Manual Certification, Not Processed</strong></td>
<td>This status is when an effort statement has been marked as Manual Certification by an Effort Coordinator but has not yet been reviewed and Processed by the Central Administrator.</td>
</tr>
<tr>
<td><strong>Manual Certification, Processed</strong></td>
<td>This status is when an effort statement has been marked as Manual Certification by an Effort Coordinator and then Processed (finalized) by the Central Administrator.</td>
</tr>
<tr>
<td><strong>Manual Certification, Processed, Payroll Pending</strong></td>
<td>This status is when an effort statement has been marked as Manual Certification by an Effort Coordinator and then Processed (finalized) by the Central Administrator. After being finalized, an additional payroll transaction has been loaded to this effort statement, which needs to be reviewed and posted to the statement by the Effort Coordinator.</td>
</tr>
<tr>
<td>Status</td>
<td>Description</td>
</tr>
<tr>
<td>-------------------------------------------</td>
<td>-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>No Certification Required, Not Processed</td>
<td>This status is when an effort statement has been marked as No Certification Required by an Effort Coordinator but has not yet been reviewed and Processed by the Central Administrator.</td>
</tr>
<tr>
<td>No Certification Required, Processed</td>
<td>This status is when an effort statement has been marked as No Certification Required by an Effort Coordinator and then Processed (finalized) by the Central Administrator.</td>
</tr>
<tr>
<td>No Certification Required, Processed, Payroll Pending</td>
<td>This status is when an effort statement has been marked as No Certification Required by an Effort Coordinator and then Processed (finalized) by the Central Administrator. After being finalized, an additional payroll transaction has been loaded to this effort statement, which needs to be reviewed and posted to the statement by the Effort Coordinator.</td>
</tr>
<tr>
<td>Certified, Approved, Transfer in Progress or Pending</td>
<td>This status displays when a certified effort statement has Certified Effort that differs from Computed Effort. When reviewing the certified effort statement, the Effort Coordinator moves the statement into this status to mark it as a statement where the certification is correct, but a cost transfer needs to be loaded to properly align Computed and Certified Effort.</td>
</tr>
<tr>
<td>Not Certified, Not Processed, Clinical Only</td>
<td>This status displays only for statements that have Clinical category activity that needs to be certified. These statements do not contain any Sponsored activity but may contain Non-Sponsored activity, as well as Clinical. Statements can have this status only if the institution runs a query to set the status.</td>
</tr>
<tr>
<td>Not Certified, Not Processed</td>
<td>This is the status that the Effort Statement is ready to be certified. Effort Statements move to this status when the Certification Period begins and the statement requires an individual to certify.</td>
</tr>
<tr>
<td>Certified, Not Processed, Clinical Only</td>
<td>This status displays only for statements that have Clinical category activity that has been certified but not yet processed. These statements do not contain any Sponsored activity but may contain Non-Sponsored activity, as well as Clinical. Statements can have this status only if the institution runs a query to set the status.</td>
</tr>
<tr>
<td>Status</td>
<td>Description</td>
</tr>
<tr>
<td>--------------------------------------------</td>
<td>---------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Certified, Not Processed</td>
<td>This status indicates that an individual certified his/her Effort Statement, and has been routed for review/approval to the Effort Coordinator. The Effort Statement will remain in this status until that review has been performed.</td>
</tr>
<tr>
<td>Certified, Processed</td>
<td>When the Effort Coordinator reviews and processes an Effort Statement, the status changes to this. All certified Effort Statements should change into this status by the end of the certification period.</td>
</tr>
<tr>
<td>Transfer in Progress or Pending</td>
<td>This status is for effort statements where an ecrt created cost transfer was created but not yet applied to the statement. This status will only be displayed for institutions who utilize the ecrt created cost transfers functionality.</td>
</tr>
<tr>
<td>Auto Approved</td>
<td>This status is for effort statements that are Auto Approved by the system. This occurs only when the institution utilizes the auto-certification functionality in the system, which automatically moves effort statements that have no sponsored payroll or cost share associated to them into this status. This will occur on the Certification Period Start Date.</td>
</tr>
<tr>
<td>Certified, Processed, Payroll Pending</td>
<td>This is the status that a Certified, Processed Effort Statement moves into automatically when a cost transfer has been loaded after that statement was finalized. Effort Coordinators will review these cost transfers in the Payroll Adjustment Item Task List and post the items to the Effort Statement.</td>
</tr>
<tr>
<td>Not Certified, Not Processed, Re-Opened</td>
<td>This is the status of an Effort Statement that has been re-opened by an Effort Coordinator or Central Administrator. Effort Coordinators will only be able to re-open an effort statement during the certification period; Central Administrators will be able to re-open an effort statement at any time.</td>
</tr>
<tr>
<td>Not Certified, Not Processed, Re-Opened by Payroll Adjustment Reconciliation</td>
<td>This is the status of an Effort Statement where a cost transfer was applied and the statement needs to be re-certified by the individual due to changes in the payroll percentages on the Effort Statement.</td>
</tr>
</tbody>
</table>

No statements should reflect the Default, Incorrect status. If there are statements in this status, please contact the ecrt Help Desk to report this problem.
There is another status that may appear if the institution uses both Base and Non-IBS statements. This status, called Multiple Certification Statuses ( ), cannot be renamed or have a new image uploaded. This status indicates that an individual has a Base statement and a Non-IBS statement for the same Period of Performance in different statuses. For simplicity, the existing statuses have been mapped to three general categories – Not Certified; Certified, Not Processed; and Certified, Processed.

**Not Certified:**
- Not Certified, Not Processed
- Not Certified, Not Processed, Clinical Only
- Not Certified, Not Processed, Re-Opened
- Not Certified, Not Processed, Re-Opened by Payroll Adjustment Reconciliation
- Transfer in Progress or Pending

**Certified, Not Processed:**
- Certified, Not Processed
- Certified, Not Reviewed, Not Processed
- Certified, Not Processed, Clinical Only
- Manual Certification, Not Processed
- No Certification Required, Not Processed

**Certified, Processed:**
- Auto Approved
- Certified, Processed
- Certified, Processed, Payroll Pending
- Certified, Approved, Transfer in Progress or Pending
- Manual Certification, Processed
- Manual Certification, Processed, Payroll Pending
- No Certification Required, Processed
- No Certification Required, Processed, Payroll Pending

The following rules determine which status icon is shown on the Department Dashboard. All rules assume the presence of two statements (Base and Non-IBS). If there is only one statement, the normal status rules apply.

- If both statements are in the Not Certified group regardless of which individual status each statement is in, the Not Certified, Not Processed icon appears.
- If both statements are in the Certified, Not Processed group regardless of which individual status each statement is in, the Certified, Not Processed icon appears.
- If both statements are in the Certified, Processed group regardless of which individual status each statement is in, the Certified Processed icon appears.
- If one status is in a status in one group and one status is in a status in a different group, the Multiple Statuses icon appears.
There is no workflow in the application that will assign the two Clinical Only statuses – Not Certified, Not Processed, Clinical Only and Certified, Not Processed, Clinical Only – to statements automatically. Statements enter these statuses when the institution runs a query to assign these statuses. For more information about these statuses and how they may be used, please contact Huron either during or after implementation of the system.

Once the icons and descriptions are set, the user selects Submit to continue to the next screen.
8. Cost Sharing Types

The Cost Sharing Types screen allows an institution to track cost sharing data by categorizing the different types of cost sharing used by the institution. The types that are entered in the Global Settings page must correspond to the cost sharing types being used in the Cost Share data extract that is loaded, as well. If the types are not consistent, non-fatal errors will appear during the data load process and the cost share data that is loaded will not be able to be tracked. Cost sharing types also apply to cost share transactions that are added through the user interface, i.e. the Add Cost Share page.

The Cost Sharing Types screen displays the current types and allows a user to add new types (Figure 6.E.8.1).

![Figure 6.E.8.1 – Cost Sharing Types](image)

To enter a cost share type, the user enters a name, a unique code, a description, and mark the Active checkbox. Each code must be unique or the user receives an error and the system prevents the cost share type from being entered. Once the data is entered, the user selects Enter to finalize the type. If during the data entry the user makes an error, the user can select the Reset button to clear the data that has been entered.

Once the code is entered, the user sees some familiar icons in the Action column at the right of the screen. The user can activate the cost share type by selecting the magic wand, deactivate it by selecting the red X and edit the information related to the type by using the magnifying glass icon.
After finalizing these settings, the user selects Next to save the settings and to advance to the next screen.
9. **Activity Codes**

Activity Codes can be used by institutions to track non-sponsored effort by institution-defined categories. These categories are set up on the Activity Code screen and appear on the effort certification statement to allow certifiers to allocate their non-sponsored effort to one or more of these activity categories. Statements can be certified without completion of Activity Codes unless the statement owner has been assigned a right requiring completion of Activity Codes for certification to occur. The use of Activity Codes by the institution is optional; if an institution does not wish to use activity codes, the user will select ‘Next.’

To enable activity codes, a type code and name must be created and activated on this screen (Figure 6.E.9.1).

**Activity Codes**

This screen allows an administrator to manage activity code information. Enter a new activity code by entering the information into the empty fields below. You must enter a unique code, name, and active flag for the activity code.

Each activity code must have a unique code because it identifies the type of activity code when making an activity code association on your statement. Making a valid activity code type active, by clicking the active checkbox, will allow the ECRT application to use that activity code as a valid choice when creating a new activity code entry on your statement. Once you have entered all the data elements, press the Enter button to save the addition. Use the Reset button to clear any activity code data.

To modify an existing activity code, click on the ‘Edit’ icon on the corresponding row. To deactivate or activate the activity code, click on the corresponding icon on the row.

The Next button, located on the bottom right of the page, will navigate you to the next global setting wizard screen.

<table>
<thead>
<tr>
<th>Code</th>
<th>Name</th>
<th>Active</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>002</td>
<td>Department Research</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>003</td>
<td>Teaching</td>
<td>Yes</td>
<td></td>
</tr>
</tbody>
</table>

**Figure 6.E.9.1 – Creating an activity code**

To enter an activity code, the user enters a unique code, a name, and mark the ‘Active’ checkbox (Figure 6.E.9.1 – A). Each code must be unique or the user receives an error and the system prevents the activity type from being entered. Once the data is entered, the user selects “Enter” to finalize the activity. If during the data entry the user makes an error, the user can select the “Reset” button to clear the data that has been entered.

Once the activity code is entered, the user sees some familiar icons in the ‘Action’ column at the right of the screen (B). The user can activate the activity code by selecting the magic wand, deactivate it by selecting the red ‘X’ and edit the information related to the type by using the magnifying glass icon.

After finalizing these settings, the user selects ‘Next to save the settings and advance to the next screen.
For more information about completing activity codes on the effort certification statement, please refer to section III-A-1-c-iii of this document. For more information about making activity codes required, please refer to the Rights section of this document (section VI-B-2).
10. Certification Activity Types

The Certification Activities functionality allows an institution to gather more information about how certifiers spent their time on each sponsored project that appears on their effort statements. This information must be provided at the time of certification and certification cannot be completed until it has been done.

Certification Activities only apply to sponsored projects; they are not available for non-sponsored work. The feature for capturing information for non-sponsored activities is the Activity Type functionality (please see section VI-E-9 of this manual).

The use of certification activity types is optional. If an institution does not wish to use activity types, the user selects ‘Next.’ To enable activity types a type code and name must be created and activated on this screen.

To enable the Certification Activities feature, the user navigates to the Global Settings>Effort Administration page (Figure 6.E.10.1) first.

- Click the Certification Activity Types button to configure the certification activity types.
- Click the Task List Administration button to configure the notification settings.
- Click the Effort Administration button to configure the view of the Effort statement.
- Click the VA MOU Administration button to configure the view of the VA MOU statement.
- Click the Effort Statement Work Flow button to configure the reviewer/reviewee hierarchy of the Effort workflow.

Figure 6.E.10.1 – Global Settings page – Effort Administration

In the ‘Certification Activities’ section, the user marks the checkbox next to the “Enable certification activities” setting (Figure 6.E.10.2).
Figure 6.E.10.2 – Certification Activities setting

Once the setting is enabled, the user needs to enter the Certification Activity Types. These are the categories that the institution has created that best describe the day-to-day activities that certifiers perform. There are no limits on the number of Certification Activity Types that can be entered by the institution. To enter types, the user goes to the Manage Global Settings>Certification Activity Types page (Figure 3.A.10.3).

1. **Cost Sharing Types**
   - Click the Cost Sharing Types button to configure the justification types.

2. **Activity Codes**
   - Click the Activity Codes button to configure the activity codes.

3. **Certification Activity Types**
   - Click the Certification Activity Types button to configure the certification activity types.

4. **Task List Administration**
   - Click the Task List Administration button to configure the notification settings.

5. **Effort Administration**
   - Click the Effort Administration button to configure the view of the Effort statement.

Figure 6.E.10.3 – Manage Global Settings page – Certification Activity Types

The Certification Activity Types page displays the activity types that have been entered and allows the user to add more types. In the example in Figure 3.A.10.4 below, a Certification Activity Type called “Research Activities #1” was created (A).
Certification Activity Types

This screen allows an administrator to manage certification activity information. Enter a new activity code by entering the information into the empty fields below. You must enter a unique name and an active status for the certification activity.

Making a certification activity type active, by clicking the active checkbox, will allow the ECRT system to use that certification activity as a valid choice when creating a new certification activity entry on your statement.

Certification Activity Types:

<table>
<thead>
<tr>
<th>Name</th>
<th>Active</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes, Gotta Secret</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>Research Activities</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>Research Activities #3</td>
<td>Yes</td>
<td></td>
</tr>
</tbody>
</table>

We see that the type is active, meaning this will be one of the options for users to select. The final column, ‘Action’, displays two familiar icons that allow a user to deactivate the type (the red ‘X’) or edit the name of the type (the magnifying glass). Below the display of the existing types is the entry screen for creating new activity types.

To add a new Certification Activity, the user enters a new, unique name for the type and marks the ‘Active’ checkbox. In the example below, we are adding a type called “Research Activities #3” and making the type active. To finalize the type, the user selects the ‘Enter’ button.

When the type has been added, the user sees a confirmation message saying “Your update has been saved.” on the screen. The user does not have to...
select ‘Next’ to finalize the activity types that have been added or edited on this screen; selecting ‘Enter’ does that.

**Certification Activity Types**

This screen allows an administrator to manage certification activity information. Enter a new activity code by entering the information into the empty text fields below. You must enter a unique name and an active status for the certification activity.

Making a certification activity type active, by clicking the active checkbox, will allow the ECRT application to use that certification activity as a valid choice when creating a new certification activity entry on your statement.

Once you have entered all the data elements, press the Enter button to save the addition. Use the Reset button to clear any certification activity data. To modify an existing certification activity, click on the “Edit” icon on the corresponding row. To inactivate or activate the certification activity, click on the corresponding icon on the row.

The Next button, located on the bottom right of the page, will navigate you to the next global setting wizard screen.

**Your update has been saved.**

**Certification Activity Types**

<table>
<thead>
<tr>
<th>Name</th>
<th>Active</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Data Collected</td>
<td>No</td>
<td><img src="edit.png" alt="Edit" /></td>
</tr>
<tr>
<td>Research Activities #2</td>
<td>Yes</td>
<td><img src="edit.png" alt="Edit" /></td>
</tr>
<tr>
<td>Research Activities #1</td>
<td>Yes</td>
<td><img src="edit.png" alt="Edit" /></td>
</tr>
<tr>
<td>Research Activities #3</td>
<td>Yes</td>
<td><img src="edit.png" alt="Edit" /></td>
</tr>
</tbody>
</table>

You are creating a new Certification Activity: New Certification Activity

Name: 
Active: 

**Figure 6.E.10.6 – Adding a Certification Activity Type**

If the user is finished adding Certification Types, then the user can navigate away from this page.

Once the Certification Activity has been entered, the user sees some familiar icons in the ‘Action’ column at the right of the screen. The user can activate the activity code by selecting the magic wand, deactivate it by selecting the red ‘X’ and edit the information related to the type by using the magnifying glass icon.

After finalizing these settings, the user selects ‘Next’ to save the settings and advance to the next screen.
11. Task List Administration

The Task List Administration page allows the institution to configure resolution checklists for two scenarios that may result from certified statements. The first tab is for sponsor notifications - where sponsors may need to be notified that a commitment is not being met based on the certified effort. The second tab is for cost transfers that have been created as a result of certification. The notification checklists are optional. If an institution does not wish to use them, the user should select ‘Next’ without creating any checklist steps.

Once the notification lists are enabled and have steps configured, users that are required to complete the checklists will see the items appear on their Manage Notifications pages.

Each of these checklists has its own tab for configuration - Sponsored Activity Notification (Figure 6.E.11.1) and Cost Transfer Notification (Figure 6.E.11.2).

**Task List Administration**

The notification settings entry page provides a means for system administrator to define a resolution checklist that consist of a series of steps that will meet institution guidelines on Sponsored Activity and Cost Transfers.

**Figure 6.E.11.1 – Sponsored Activity Notification List**
The first step in establishing a Sponsored Activity Notification list is marking the ‘Enable Potential Sponsor Notifications’ checkbox at the top of the form. From there, the user enters explanatory text that informs and instructs the end user about the process. Once the text is finalized, the user selects ‘Save Checklist Text.’

To create the steps in the notification process, the user enters a name, a unique code, and a description for each step. Once the information is entered for a step, the user selects the ‘Add To/Edit Checklist’ button to save the step to the process checklist. The ‘Clear Form’ button allows the user to start the process again by deleting any text that was entered on the screen but not saved to the checklist.

The user sees some familiar icons in the ‘Actions’ column. To edit the selected step the user selects the magnifying glass icon; to delete the step the user selects the red ‘X’; and to toggle the step from active to inactive the user selects the magic wand icon.

If the user does not wish to add a cost transfer notification checklist, the user selects the ‘Next’ button to save the Sponsored Activity Notification steps and advance to the next page.

If the user wishes to establish a cost transfer notification checklist, the user selects the ‘Cost Transfer Notification’ tab at the top of the screen.

The process for creating a Cost Transfer Notification list is similar to the Sponsored Activity Notification list (Figure 6.E.11.2).
Task List Administration

The notification settings entry page provides a means for system administrator to define a resolution checklist that consist of a series of steps that will meet institution guidelines on Sponsored Activity and Cost Transfers.

![Cost Transfer Notification Checklist](image)

### Figure 6.E.11.2 – Cost Transfer Notification Checklist

The user must mark the ‘Enable Cost Transfer Notifications’ checkbox at the top of the form and enter explanatory text that instructs and informs the end user about the process. Once the text is finalized, the user selects ‘Save Checklist Text.’

Creating the steps in the Cost Transfer Notification process is the same as creating steps in the Sponsored Activity Notification task list. The user enters a name, a unique code, and a description for each step and selects the ‘Add To/Edit Checklist’ button to save the step to the process checklist. The ‘Clear Form’ button allows the user to start the process again by deleting any text that was entered on the screen but not saved to the checklist.

The user sees the familiar icons in the ‘Action’ column. To edit the selected step the user selects the magnifying glass icon; to delete the step the user selects the red ‘X’; and to toggle the step from active to inactive the user selects the magic wand icon.
Once the user has completed configuration of the notification checklists to be used, the user selects the 'Next' button to save the notification processes that were entered and advance to the next page of settings.
12. Effort Administration

The Effort Administration page contains settings that affect the appearance of the Base Effort statement, the Supplemental Pay effort statement, the Total Professional Effort statement, and the Clinical Activity statement. Each of the four statements have their own unique settings, including the formula used as the starting point for certification, the columns that appear on the effort statement, and other information that appears on the statement.

The first section of the Effort Administration page allows the institution to select the formula that will be used on the effort statement to provide the reference point for certification (Figure 6.E.12.1).

![Effort Administration](image)

**Figure 6.E.12.1 – Effort Administration**

Prior versions of the system have supported only one calculation - Computed Effort = Payroll + Cost Share. New calculations, however, permit certifiers to enter desired payroll percentages (Revised Payroll column) and desired cost share percentages (Revised Cost Share column). These two new columns can be displayed on the effort statement and the values can be edited to ensure total accuracy of these values. The ability to edit the values in these columns is controlled by rights. For more information about these rights, please refer to section VI-B of this document.

Once the desired calculation is specified, the institution determines which columns and other information will be shown on the certification statements, beginning with the columns (Figure 6.E.12.2).
Customize Columns

These settings allow the institution to determine which columns appear on the effort statement. Clicking on the value in the ‘Column Label’ column allows the column name to be changed to an institution-specific value. The ‘Column Wrapping’ value determines how many characters are displayed on each line in the selected column. The name will be wrapped when there are multiple words and truncated if there are too many characters in a single word. There are five required columns that cannot be removed or moved around the effort statement. Additionally, the columns that are listed in the selected equation are required to be on the effort statement. Their visibility box will be checked and grayed out. The remaining columns can be displayed on the effort statement, or not, by clicking the visibility box for each setting.

NOTE: The Required Effort and Average Effort columns contain calculated values based on the commitment data that is present in the system and any certification values that may apply to the periods of performance covered by the commitments.
columns always will reflect the commitment data that is present in the system. If commitments affecting certified statements change after the statements have been certified, these calculations will reflect the data as it exists at the time the statement is being viewed and may differ from the calculations that appeared on the statement when it was certified.

The ‘Actions’ column allows the order of the columns to be rearranged. Moving the column up in this list moves the column to the left on the effort statement. The columns appear on the effort statement, starting with the Accounts on the far left and each additional column following in order.

The Effort Administration settings continue on the next screen (Figure 6.E.12.3).
Commitment

The Commitment setting determines whether commitment related data will appear in a pop-up window when the cursor is placed on an account name or in a column on the effort statement.

Certify at Award Level

The Certify at Award Level setting allows institutions to certify sponsored projects at the award level rather than the individual account level. This setting must be combined with
a setting controlled by Huron during the installation of the application. If the institution wishes to use this functionality please contact Huron for more information.

Additionally, the application now allows for multiple ways to certify categories of activity (Figure 6.E.12.4). The default paradigm is to certify all accounts individually (A). The institution also can certify at the award level (B). This typically applies only to sponsored projects, which have an award to account relationship hierarchy; non-sponsored accounts typically are not associated awards. The final paradigm allows the institution to certify at the category level (C).

Figure 6.E.12.4 – Certifying at different levels

Each of these paradigms uses a checkbox for each account that must be marked; the difference between the three is where the certifier enters the Certified Effort amount. When certifying at the Award or Category level, the Certified Effort that is entered is distributed according to the weighted percentage for each account associated to the Award or Category, as appropriate. Additionally, the Payroll Adjustment Reconciliation process occurs at the account line in each of these paradigms.

The differences between these settings and the Non-Sponsored Certification setting in the Global Settings>Certifications Settings are threefold. First, the Certify at the
Category level uses checkboxes at each account line, rather than a single checkbox at the Category total line. Second, the Certify at the Category level does not allow the certifier to enter Certified Effort for each line. It allows a single Certified Effort value at the Category level and that value is distributed proportionally among the affected accounts. Finally, the Payroll Adjustment Reconciliation occurs at the account level when using the Certify at the Category level. For more information about the Non-Sponsored Certification setting, please refer to section VI-E-5 of this document.

**PI Certifier**
The PI Certifier settings allow the institution to configure what information is displayed on the statement in the rollover messages. The ‘Mouse Over’ setting allows the institution to display information about the award’s PI in the same pop-up window when it is enabled. If this setting is checked, the PI’s full name, email address, and phone number will appear in each pop up.

The next setting lets you determine what information to display for the PI. An institution can display a PI’s full name, email address, and phone number in each pop up. The institution can also determine if they want to pop-up to appear at the award or the account level.

**Account/Award Management**
The Account/Award Management setting determines whether an icon appears on the effort statement next to an account that is past its end date. The default icon is an exclamation mark in a yellow triangle (⚠).

To load a different icon, the user selects Browse to find the file and upload it, and selects the disk icon to save the icon. The screen refreshes and the icon appears next to the text box.

**Certified Effort Column Format**
The Certified Effort Column Format setting controls whether the ‘Certified Effort’ column will be pre-populated with the ‘Computed Effort’ values. Marking the checkbox pre-populates the ‘Certified Effort’ column. Since negative effort cannot be entered in ‘Certified Effort’, any effort line that has negative ‘Computed Effort’ will have ‘Certified Effort’ pre-populated with a zero (0). If a statement is returned to the certifier from the ‘Effort Processing’ screen or reopened for recertification, the ‘Certified Effort’ column will be pre-populated with the current ‘Computed Effort’ value. If a statement has been saved, the values in the ‘Certified Effort’ column are saved and will not refresh in the future.

The second setting in the section determines how percentages less than 0.5% are auto-populated in the Certified Effort Column. Enabling this setting allows percentages that are greater than 0% but less than .50% to be rounded up to 1%. All other rounding in the statement will remain as natural rounding; this only applies to percentages in the range of 0.01% to 0.49%. **Note:** The auto-populate setting must be turned on for this.
setting to be active AND the institution must be certifying at the whole number level (also configured on this page of settings). If the institution is certifying at the hundredths or tenths levels, this rounding will not occur. Additionally, the pre-population only occurs the first time the statement is opened. Once a change to certified effort is certified or the statement is saved to be completed later, then the rounding logic no longer occurs. This rounding logic may result in statements that exceed 100% when the statement is opened, requiring the certifier(s) to adjust the Certified Effort amounts to an amount that does not violate the maximum allowed Certified Effort.

The next setting allows an institution to automatically check the checkboxes in the ‘Certify’ column for its certifiers. This setting only applies when the institution enables the auto-population setting in this section, as well. When this setting is enabled and an individual opens an effort statement, the ‘Certified Effort’ column will be auto-populated with the ‘Computed Effort’ value and the checkbox in the ‘Certify’ column will be checked. This allows the individual simply to click the ‘Certify’ button to proceed if there are no changes to be made. If this setting is not enabled, the certifier will have to mark each of the checkboxes individually or use the “All” link to check all of the boxes at once to certify the statement.

The Effort Administration settings continue below (Figure 6.E.12.5).
Revised Payroll Column Format
If the Revised Payroll column is being used, the institution has the ability to pre-populate the Revised Payroll column with the Payroll values. If the checkbox is marked, the Revised Payroll is pre-populated.

Certification Activities
The Certification Activities setting is used to require Certification Activities to be entered by all individuals when certifying an effort statement. The individual must select from a pre-populated list of activities to certify the effort statement. For more information about configuring these activities, please see section VI-E-10.

Show Award
The Show Award setting determines whether the effort statement will display awards with the associated accounts indented or whether accounts will be displayed without the corresponding awards.

Link to Account/Award Summary Page
The ‘Link to Account/Award Summary page’ setting allows the user to determine if the account, award, or both are available to hyperlink to the Award/Account Summary page.

Show Activity Code details on the statement
If the institution is using Activity Codes to gather more information about activity on non-sponsored accounts, the institution has the option to display the activity types directly on the effort statement or to require the user to complete the information in the Activity Code pop-up screen. If the checkbox is marked, the activity codes appear on the effort statement below the non-sponsored account for which the activity information must be entered. For more information about Activity Codes, please refer to section VI-E-9.

Effort Statement Column Precision
The institution can choose the number of decimal places to which effort must be certified. The institution can choose ‘Whole Number’, ‘Tenths’, or ‘Hundredths’. The administrator will mark the radio button next to the correct setting to establish this setting.

The Effort Administration settings continue below (Figure 6.E.12.6).
Apply Effort Statement Column Precision
The Apply Effort Statement Precision setting determines whether the decimal precision applies to the Certified Effort column only or to all Effort Statement columns.
- Apply to Certified Effort column only
- Apply to all Effort Statement columns

Cost Share Distribution
The 'Cost Share Distribution' setting (Figure 6.E.12.6) affects cost sharing that is revised or added on the effort statement in the Revised Cost Share column and on the Profile. All cost share transactions in the ecrt system must associate a specific non-sponsored source with a sponsored destination. This setting determines how the institution views their cost sharing relationships, i.e. whether a cost share transaction is distributed from a Non-Sponsored to a Sponsored account, or from a Sponsored Account to a Non-Sponsored account.
- Distribute from Non-Sponsored Account to list of Sponsored Account
- Distribute from Sponsored Account to list of Non-Sponsored Account

Refresh the Effort Statement
The Refresh the Effort Statement setting determines whether the effort statement is recalculated every time it is opened to be viewed. Although transactions are applied during the data load process, checking this box allows users to refresh the statement to ensure the values on the statement are the most accurate and up to date with any data that was entered through the user interface.

Effort Statement Reviewers
If the Effort Statement Reviewers checkbox is selected, the effort statement will be routed to different reviewers based on the settings configured in the Effort Statement Workflow section of this document. For more information about the Effort Statement Work Flow functionality, please refer to section VI-E-14.
The Effort Administration settings continue on the next screen (Figure 6.E.12.7).

**Effort Statement Hold Options**

The first Effort Statement Hold Options setting activates the On Hold functionality for the institution. Additional rights must be configured for a user to place an effort statement on hold – typically only Central Administrators and Effort Coordinators are given the right to place an effort statement on hold. For more information about the On Hold functionality, please see section IV-H.

The next two settings control email notifications for statements that are placed on hold. The first setting controls whether an email is sent to the certifier when his/her effort statement is placed on hold.

The following setting is related to the certification start date email that is sent out to all individuals who need to certify. If an individual’s effort statement is on hold on the day the certification start date email is sent out, the individual will NOT receive the email. Instead, that email will be held in suspense until the hold is removed from the effort statement. At that time, the individual will receive the email. Enabling this setting makes sure that the individual does not receive the email while the effort statement is still on hold and unable to be certified.

The final On Hold setting allows the institution to require a justification when placing an effort statement on hold.
Show Certification Period in Title
The next settings in the Effort Administration page are a number of items that the institution can choose to display on the PDF version of effort statement. Show Certification Period in Title displays the Certification Period dates in bold letters at the top of the effort statement PDF, as well as the External Audit Report.

Show Employee Type
The Show Employee Type setting displays the employee type along with the other metadata at the top of the effort statement PDF and the External Audit Report.

Show Due Date
The Show Due Date setting displays the last day of the certification period on the effort statement PDF and the External Audit Report. The font will display in blue color before the due date and change to red after the due date as a visual indicator.

The Effort Administration settings continue below (Figure 6.E.12.8).

Show Location
Please use the checkbox below to indicate if you would like to show the location at the top of the effort statement PDF and processing screen.

Show Location at the top of Effort Statements

Show Commitment Level
Please use the checkbox below to indicate if you would like to show the commitment level at the top of the effort statement PDF and processing screen. Please note that the commitment level will only be shown if this setting is checked and your institution is using commitment levels.

Show Commitment Level at the top of Effort Statements

Show Appointment
Please use the checkbox below to indicate if you would like to show the appointment at the top of the effort statement PDF and processing screen.

Show Appointment at the top of Effort Statements

Account / Award Name Information
Please use the radio buttons below to indicate what Account / Award information you would like to append to the Account / Award name.

Account / Award Number
Account / Award Owner

Account Sponsor Number Information
Please use the checkbox below to indicate if you would like to show the Account Sponsor Number next to the Account Number on the effort statement (if applicable).

Show Account number next to Account Number

Show Payroll Report or Payroll and Cost Share Report icon for every Account
Please use the checkbox below to indicate if you would like to show the Payroll Report or Payroll and Cost Share Report icon for every Account on the effort statement.

Show Payroll Report or Payroll and Cost Share Report for every Account

Figure 6.E.12.8 - Effort Administration continued

Show Location
The Show Location setting allows an institution to display the statement owner’s location in the metadata displayed at the top of the effort statement PDF and the External Audit Report. Location is a data element that is loaded in the Certifier data load file.
Show Commitment Level
The Show Commitment Level setting displays the commitment level for an individual at the top of the effort statement PDF and the External Audit Report. This information will be displayed only if the institution is using Commitment Levels. For more information about Commitment Levels, please refer to section VI-E-16 of this document.

Show Appointment
The Show Appointment setting displays an individual’s appointment along with the other metadata at the top of the effort statement PDF and the External Audit Report.

Account/Award Name Information
The Account Name Information setting allows an institution to display additional information along with the Account Name in the body of the effort statement. The institution can chose to include either the account number or the account owner. The settings selected in this area will also apply to the way accounts appear on the PDF version of the effort statement, which is available via a link on the top, right-hand corner of each individual’s effort statement.

Account Sponsor Number Information
The Account Sponsor Number Information setting provides the institution with the ability to display the sponsor number next to the grant number in the body of the effort statement. This can be used to provide additional detail for certifiers and effort coordinators.

Show Payroll Report or Payroll and Cost Share Report icon for every Account
The Show Certification Payroll Report Icon for Every Grant setting places a Certification Payroll Report icon next to the payroll percentage on each line of an individual’s effort statement. Selecting this icon allows the individual to see the Certification Payroll Report for that account only (this displays all payroll loaded to that account over the period of performance). This gives users the flexibility to run the Certification Payroll report by each line, while still allowing them to run the report for the entire statement through the link at the top of the screen or the Related Reports link and through the Reports section of the ecrt system.

The Effort Administration settings continue on the next screen (Figure 6.E.12.9).
Enable Stepdown Totaling

Please use the checkbox below to indicate if you would like to enable Stepdown Totaling on the Effort statement. Please note that enabling this option will change your calculation from Payroll = Computed Effort + Cost Share.

Enable Stepdown Totaling

Effort Statement and External Audit PDF Settings

Please use the checkbox below to indicate if you would like to show the institution name in the title at the top of the Effort statement PDF.

Show Institution Name at the top of the Effort Statement PDF

Please use the checkbox below to indicate if you would like to show the employee ID on the Effort statement PDF and external audit PDF.

Show Employee ID

Highlight Effort Statement Category Totals

Please use the checkbox below to indicate if you would like to highlight the category totals in gray on the Effort statement.

Highlight Category Totals

Figure 6.E.12.9 - Effort Administration continued

Enable Stepdown Totaling

The Enable Stepdown Totaling setting was specifically designed for an institution to allow them to display sub-totals on the effort statement based on the data loaded. Please contact Huron if you would like additional information about the step-down totaling feature.

Effort Statement and External Audit PDF Settings

The Effort Statement and External Audit PDF Settings section allows an institution to display the institution name and the individual's employee ID number on the PDF versions of effort statements and the external audit report.

Highlight Effort Statement Category Totals

The Highlight Effort Statement Category Totals setting of this group allows institutions who use the categories within ecrt to display the category total lines on the effort statement with a highlight.

The Effort Administration settings continue on the following screen (Figure 6.E.12.10).
Display Main Account Before Cost Share Account
The Display Main Account Before Cost Share Account setting controls the display of the accounts on the effort statement for those institutions using the companion accounting model. If the checkbox is marked the cost share account will be displayed after the main account. If it is not checked accounts are sorted by account number first, then account name.

Partial Certification
The Partial Certification setting determines whether a user can certify individual lines on a statement to which the user has access or whether the user must certify all the lines to which the user has access on the statement at once. When the setting is enabled, individual lines can be certified and the system does not require that all checked lines on the statement total within the institution’s acceptable range. After a partial certification, the next user to access the statement sees the previously certified lines with checkboxes in the ‘Certified’ column. The partial certification is also documented in the Transaction History at the bottom of the statement. To complete the certification and subject the statement to the system’s validation rules, all lines on the statement must be certified and the Certified Effort values must total within the institution’s acceptable range. Once all lines have been certified the statement moves into the “Certified, Not Processed” status and can be processed by an Effort Coordinator. Partial certification is not allowed when the Certify Checkboxes column is not used.

No Certification Required Workflow
The No Certification Required Workflow setting determines the routing of a ‘No Certification Required’ effort statement. If the setting is disabled, when the user selects
the “Complete” button from the confirmation window, the statement automatically moves into the “No Certification Required, Processed” status.

If this setting is enabled a task is created in the Effort Processing Work List of any user that has the “View All ‘No Certification Required’ Approval Tasks” right. Users with this right are responsible for reviewing and approving the statement, just as they are responsible for doing for any other certified statement. The statement moves into “No Certification Required, Not Processed” status until the statement is reviewed and approved. After the statement has been reviewed and approved, it moves into a final status of “No Certification Required, Processed”. Typically only Central Administrators are given the right to review and approve No Certification Required statements, as it enables the user to view all No Certification Required tasks for the institution.

**Manual Certification Justification**
The final setting of this group relates to the ‘Manual Certification’ process. The setting determines whether an effort note, an attachment, or both are required before a statement can be moved to the “Manual Certification, Not Processed” status.

The next group of settings on the Effort Administration page is displayed in Figure 6.E.12.11.

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**List of Potential Certifiers/Approvers Account Display**
Institutions who display the Approvers section on the Effort Statement are able to display the account name and number in the list (Figure 6.E.12.12). If the checkbox is not marked the account name and number will not be shown.
Enable Cost Transfer Needed button
The Enable Cost Transfer Needed button setting controls (Figure 6.E.12.11) whether the “Cost Transfer Needed” button is displayed on the “Effort Processing” screen for Effort Coordinators. This button allows a certified statement to be processed and moved into the “Certified, Processed, Cost Transfer in Progress or Pending” status. If the institution uses this approach the statement will be marked for easier tracking of those cost transfers that still need to be created and applied and/or reconciled to the certification statement.

Enable both the “Process” button and the “Cost Transfer Needed” button
There is also a setting that allows both the “Process” button and the “Cost Transfer Needed” buttons to be shown on the Processing screen. If the certified statement has a cost transfer associated to it, enabling these two buttons simultaneously allows the Effort Coordinator to choose whether to use the “Certified, Processed” status or the “Certified, Processed, Cost Transfer in Progress or Pending” status to track the outstanding required cost transfers. Please discuss the implications of this setting with your Huron implementation team prior to activating this setting.

Certification Processing Workflow
The Certification Processing Workflow setting deals with the work flow for the certification processing tasks associated with certified statements. When effort statements are certified, review tasks are created in the Effort Processing Task List of the Manage Effort Tasks Page. When cost transfers that affect an effort statement in a historical status are loaded into the system, review tasks are created in the Payroll Adjustment Task List of the Manage Effort Tasks page. The ‘Certification Processing Workflow’ setting allows an institution to determine which Effort Coordinators receive these review tasks.

The first option is the default system functionality where a single Primary Effort Coordinator is assigned to each department and only the PEC receives the review tasks. This option populates the List of Approvers with only the Primary Effort Coordinator of the individual’s home department. The second option allows not only the Primary Effort Coordinator to receive review tasks, but also any secondary Effort Coordinator associated to the individual’s home department as well as all Effort Coordinators associated to a sponsored account on the individual’s effort statement. The second option populates the List of Approvers with all Effort Coordinators from the individual’s home department (Primary and Secondary) and all Effort Coordinators associated to sponsored projects on the individual’s effort statement (in different departments). This setting is beneficial for institutions where the “Home Department”
concept is not strongly maintained and Effort Coordinators outside of the individual’s home department may have a better idea of how the individual spent his/her time. When any one of the Effort Coordinators has reviewed and processed a task for an effort statement, that task is removed from the task lists of all other Effort Coordinators associated to that statement. If a new Effort Coordinator is added to a department, that coordinator will receive all of the outstanding review tasks at the time of assignment. If an Effort Coordinator is deleted from a department, all of the review tasks based on the association to that department will be removed.

The last group of settings on the Effort Administration page is displayed in Figure 6.E.12.13.

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Figure 6.E.12.13 – Effort Administration Continued
No Certification Required Configuration
The No Certification Required Configuration settings determine when the No Certification Required button is displayed. The institution can use the radio buttons to display the button during the Certification Period only or during the Certification Period and Period of Performance. If the institution chooses to display the button during the Certification Period only, the button is displayed when the Certification Period begins. The button will display until the statement has been certified or marked as No Certification Required. A finalized statement that is re-opened for certification will also display the No Certification Required button.

Manual Certification Configuration
The first Manual Certification Configuration setting determines when the Manual Certification button is displayed. The institution can use the radio buttons to display the button during the Certification Period only or during the Certification Period and Period of Performance. If the institution chooses to display the button during the Certification Period only, the button is displayed when the Certification Period begins. The button will display until the statement has been certified or marked as Manual Certification. A finalized statement that is re-opened for certification will also display the Manual Certification button.

The second Manual Certification Configuration setting permits institutions to enter and store values in the Certified Effort column on a statement that has the Manual Certification status. It is important to note that capturing the Certified Effort value on a Manual Certification statement will not calculate a cost transfer when Certified Effort differs from Computed Effort and the Required Effort calculation will not take the Certified Effort value into account.

Effort Statement to Department Assignments
The Effort Statement to Department Assignments setting determines when statements are related to departments. There are two choices that determine when these relationships occur. The first choice assigns the statement to the department to which the statement owner is assigned when the statement is created. The second choice assigns the statement to the department to which the statement owner is assigned when the statement is certified.

Salary Cap Settings
The Salary Cap Settings control when the salary cap icon is displayed on the statement and when the statement can be certified. The salary cap functionality and the Manage Sponsors functionality work in combination to achieve these ends. For more information about the Manage Sponsors feature, please refer to section IV-C of this guide.

For this functionality to work, the institution must establish salary cap amounts for the appropriate sponsors on the Manage Sponsors page and the Sponsor data load file must include the same sponsor ID field that is entered on the Manage Sponsors page. If the sponsors in the Sponsor file do not tie to the sponsors and salary caps established
on the Manage Sponsors page, or if a sponsor does not have a salary cap value on the Manage Sponsors page, the calculation cannot be performed.

Additionally, the functionality requires that an annual salary amount and an FTE value greater than zero (0) and less than or equal to one (1) is loaded for certifiers. The system will adjust the annual salary based on the FTE value that is loaded. If the FTE value is less than one (1), the system will calculate an Adjusted Cap Salary value that corresponds to an FTE value of one (1). For instance, if a certifier has an annual salary of $200,000 and an FTE value of 0.75, the Adjusted Cap Salary is $266,667.

If a certifier’s salary is not loaded (i.e. $0), then the calculation will use the certifier’s total payroll loaded for the Period of Performance.

If an FTE value is not loaded for an individual, is loaded as 0, or is loaded as greater than 1, the system will default the FTE value to 1.

As with the previous functionality, the icon to indicate that salary cap cost sharing is required will appear on the statement next to the appropriate account name only if the Adjusted Cap Salary exceeds the salary cap amount associated to the sponsor for the Period of Performance. The icon is the word “CAP”, which replaces the previous icon of “NIH”. The icon is not configurable at the present time.

If the cost sharing amount on the statement exceeds the calculated salary cap cost sharing amount, the icon will be green. If the cost sharing amount is less than the calculated salary cap cost sharing amount, the icon will be red. The color of the text on the top of the Cap Calculator page, which is accessed by clicking on the CAP icon, will be green or red, based on the same logic that determines the color of the CAP icon.

When a user hovers over the CAP icon, the sponsor name, sponsor type, and the calculated minimum required cost share will be displayed. The system also will show the two possibilities for the salary cap calculation. In all cases, the system will calculate the amount of cost sharing that should be present based on the payroll dollars present. The second calculation calculates the distribution between payroll and cost sharing based on the total Computed Effort amount. Both calculations are shown on the Cap Calculator page, as well.

The first Salary Cap setting determines how the required salary cap cost sharing amount will be calculated. There are three choices:

1) by Payroll dollars only,
2) by Computed Effort, and by Payroll dollars, or
3) by Computed Effort only.

The examples below illustrate the formulas used in each calculation. For these examples, we will use the following information:

Annual Salary (loaded value) = $200,000
FTE (loaded value) = 0.75
Salary Cap -- $199,700
Adjusted Cap Salary -- $266,667.

Payroll dollars calculation
The Payroll dollars calculation uses the dollars that have been charged to payroll and determines the amount of cost sharing that has to be added to the statement to satisfy the requirement. For example, if an account subject to a salary cap has 10% payroll, then the calculated cost share requirement is 3.35%.

Cost share percent required =
((266,667 *10%) / 199,700) – 10%
(26,667 / 199,700) – 10%
13.35% - 10%
3.35%

Computed Effort calculation
The Computed Effort calculation uses the Computed Effort value to determine the distribution between payroll and cost share to validate that the amount of cost sharing on the statement satisfies the required salary cap amount. For example, if an account subject to a salary cap has 10% Computed Effort, then the calculated cost share requirement is 2.51%.

Payroll percent required = (199,700/266,667) * 10%
(74.88) * 10%
7.49%
Cost share percent required = 10% - 7.49% = 2.51%

If a historical statement has pending payroll adjustments, the pending payroll adjustments affect one or more accounts subject to a salary cap, and the Adjusted Cap Salary is greater than the cap, the following language is displayed at the top of the Payroll Adjustment Reconciliation page.

The payroll transaction that has been loaded affects an account that is subject to a salary cap. Please ensure that the appropriate amount of cost sharing has been included on the statement prior to it being recertified.

The second Salary Cap setting determines whether the statement can be certified when the account does not reflect enough cost sharing to satisfy the calculated salary cap cost sharing amount. If the setting is not marked, the statement cannot be certified if the cost share amount for the account is less than the calculated cost sharing amount. The Certify button on the certification statement is disabled and a warning message is displayed when a user accesses the statement. If the setting is marked, the statement can be certified even when the cost sharing amount shown does not satisfy the calculated salary cap cost sharing amount.
Account load selection (for Cost Transfer Administration)
The Account load selection setting controls the accounts that appear when a cost transfer is created from an effort statement using the Create Cost Transfer link. This setting determines whether only active accounts are available for a cost transfer, only expired accounts, or both.

Once the base effort statement settings have been configured, the user will select either the ‘Supplemental Pay Effort’ tab to configure those settings if the institution is certifying Supplemental Pay or the ‘Next’ button to save the settings that were entered and advance to the next page of settings.

a. Total Professional Effort
The Total Professional Effort tab contains the settings that control the Total Professional Effort statement and process (Figure 6.E.12.15).

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**Figure 6.E.12.15 – Total Professional Effort settings**

**Professional Effort Confirmation Text**
The Professional Effort Confirmation Text setting allows the institution to configure the institution-specific text that is displayed on the TPE statement. This text provides instructions and other information about the TPE confirmation process. The text field has a 4,000 character limit.

**Show Average Weekly Hours Input Box on Total Professional Effort**
The next setting asks whether the institution wants to display the Average Weekly Hours input box on the TPE statement. This field allows certifiers to enter their average weekly hours directly onto the TPE statement. This entry is used to validate VAMOU entries (when that functionality is completed). If the Average Weekly Hours are displayed on the TPE statement, this value is compared to the Average Weekly Hours calculated from the Clinical Activity statement for further consistency.

**Global Average Weekly Hours for Total Professional Effort**
If the Average Weekly Hours input box is not enabled on the TPE statement, the institution can enter a ‘Global Average Weekly Hours’ value to use in TPE validations of the VAMOU entries (if used). This value cannot be seen by end users and currently is not applicable since the VAMOU functionality is not complete.

**Column Aliases for Total Professional Effort Form**
The final setting allows the institution to choose an alias for the Current % and Average % that is displayed on the TPE statement. The alias is used on the TPE statement and is displayed if the institution uses names other than ‘Current %’ or ‘Average %’ to describe the TPE percentages.

Total Professional Effort entities are a way to identify the organizations to which individuals at the institution may have appointments (Figure 6.E.12.16). TPE Entities can be classified either as related to the University or to the VA and are used to validate the different components of an individual’s total effort against validation limits for each organization.
Entities are created by entering the name of the entity, a unique code, description of the entity, selecting whether the entity is VA or University applicable (only one can be chosen for each entity), an acceptable range threshold, and a hard stop threshold. The acceptable range threshold and hard stop threshold are ranges to which the system validates the Clinical Activity statement confirmation or VAMOU statement acknowledgement (when the functionality is completed). After this information is entered, the user will select the ‘Save’ button. Once an entity is saved it will appear in the Total Professional Entity list. Entities can be edited by clicking the magnifying icon under ‘Action’.

If an entity is designated as “University” the threshold will be used for Clinical Activity statement validation. If an entity is designated as “VA” the threshold will be used for VAMOU validation (when the functionality is completed). If an entity is selected for University, it will be used for Clinical Activity validation.

Additional metadata entities can be created for data gathering and reporting purposes (Figure 6.E.12.17). These entities are not used in validation but may be used as a notes
field or other field in which an institution could capture institution-relevant data. These entities are created by entering a name, unique identifier code, and a description. Metadata entities can be edited by clicking the magnifying icon under ‘Action’.

**Total Professional Effort Metadata:**

<table>
<thead>
<tr>
<th>Name</th>
<th>Code</th>
<th>Description</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>No Total Professional Effort Metadata found to display.</td>
<td></td>
</tr>
</tbody>
</table>

**You are creating a new Total Professional Effort Metadata:** New Total Professional Effort Metadata

<table>
<thead>
<tr>
<th>Name:</th>
<th>Code:</th>
<th>Description:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

![Save Clear Form Next Page](image)

Figure 6.E.12.17 – TPE Metadata

Once the TPE settings have been configured, the user will select either the ‘Clinical Activity Reporting Effort’ tab to configure those settings if the institution is certifying Clinical Activity Effort or return to the ‘Base Effort’ tab and select the ‘Next’ button to save the settings that were entered and advance to the next page of settings.

b. **Clinical Activity Reporting Statement Administration**

The Clinical Activity Reporting Effort tab contains the settings that control the Clinical Activity Reporting statement and process. An institution will configure these settings if it uses Clinical Activity Reporting (Figure 6.E.12.18).

![Clinical Activity Reporting Statement Administration](image)

Figure 6.E.12.18 –Clinical Activity Reporting Statement Administration screen
Clinical Activity Reporting Statement Redirect URL
The first setting on this page allows the user to establish a URL (web address) to which certifiers will be routed after successful confirmation of their Clinical Activity Reporting Statements. This website can be used to route users away from the ecrt system if access to Clinical Activity Reporting Statements is limited to the reminder emails.

Clinical Activity Reporting Category Display
The next setting determines whether the category name or the category name and code will be displayed on the Clinical Activity Reporting Statements. These categories are where the user enters percentages of time on the Clinical Activity Reporting Statement. The categories are defined within the Clinical Activity Administration Global Settings.

Clinical Activity Reporting Category Sorting
The final setting in this grouping determines how the categories on the Clinical Activity statement are sorted. Categories can be sorted by name, code, or the date the categories were created.

The Clinical Activity settings continue on the following screen (Figure 6.E.12.19).

Figure 6.E.12.19 – Threshold Violation text
Threshold Violation Text
The last group of settings allow the institution to configure messages to users whose Clinical Activity statements violate the threshold validations. There are four potential violations – High Hard, High Soft, Low Hard and Low Soft. Each warning message can be up to 4000 characters and must be saved by selecting the disk icon below the text entry box. For more information about the threshold validation functionality, please refer to Section III-C-4.

Once the user has configured the applicable Effort Administration tabs, the user selects the Next button at the bottom of any of the tabs to save the settings that were entered and advance to the next page of settings.
13. Effort Statement Work Flow

The ecrt solution can now accommodate multiple levels of review within the certification process. Any number of additional reviewers (beyond an individual’s or a department’s Primary Effort Coordinator) can be established. This review becomes part of the effort certification finalization process and builds off of existing system workflow.

It is important to note, however, that the use of additional approvers is not necessary for compliance as described in the OMB Circulars. Another important consideration is that any additional individuals brought into the certification process, such as these additional approvers, are likely to be subject to inquiries or investigation by external auditors, agencies, or investigators. Additionally, using this functionality may result in the overall certification process taking more time to complete.

To configure the multi-level review, the user must first turn on the Effort Statement Work Flow functionality on the Effort Administration page. For more information about this setting and how to configure it, please see section VI-E-12 of this document.

Once the Effort Statement Reviewers has been activated, the user must establish the specifics of the multi-level review on the Effort Statement Work Flow page.

On the Effort Statement Work Flow page, the user will select either the Fine Grain workflow or the Course Grain workflow. The Fine Grain settings are displayed by default (Figure 6.E.13.1).
Effort Statement Work Flow

This client-specific modification to ECRT incorporates additional, independent approvers in the certification process. Use of independent approvers is not necessary for compliance with the requirements of Effort reporting, as conceptually discussed in the OMB Circulars.

The inclusion of additional, independent approvers brings those additional approving individuals into the certification process and potentially makes them subject to an inquiry or investigation by external auditors, agencies, or investigators. Further, use of this functionality may result in additional time required to complete an individual certification, thus affecting the outcomes for the institution’s certification process as a whole.

When using this functionality it is suggested that the institution implement additional controls to monitor the timely completion of the required Effort certifications.

- Fine Grain Certification Reviewer Work Flow

  - Fine Grain Certification Reviewer Work Flow

    Select Reviewers
    Select School/Department Name

    Certifier List
    [Certifiers associated to selected department] [Certifiers to be reviewed]

    Reviewers List
    [Selected certifiers to be reviewed]

    Submit Certification Workflow

- Coarse Grain Certification Reviewer Work Flow

  - Coarse Grain Certification Reviewer Work Flow

    Review Workflow Linear Parallel
    Please use the checkbox below to indicate if you would like to make the review workflow linear.
    Make Review Workflow Linear

Figure 6.E.13.1 – Effort Statement Work Flow screen initial settings

  a. Fine Grain Review

The Fine Grain workflow allows an institution to assign multiple reviewers to an individual’s effort certification. The default workflow within the ecrt system accommodates only a single review performed by the certification statement owner’s Primary Effort Coordinator. The Fine Grain review workflow allows an institution to assign additional approvers at the individual level. For instance, each individual within a department could have different reviewers prior to their certifications being routed to the department’s Primary Effort Coordinator.

To assign an additional reviewer to an individual, the user first enters the name of the additional reviewer in the Select Reviewer search box (Figure 6.E.13.2). When the user enters enough characters for the system to prompt a suggested match, the user selects the reviewer from the list. In our example we will assign Landon Donovan as an additional reviewer.
Figure 6.E.13.2 – Selecting a Reviewer

If the reviewer has any previously established reviewer relationships, the relationships appear in the Reviewee List. If there are no previously established relationships, the Reviewee List is empty.

Once a reviewer has been selected, the user enters the name of the organizational unit, e.g. school, department, sub department, in which the individual who is being assigned the additional reviewer resides (Figure 6.E.13.3). When the user has entered enough characters for the system to respond with a suggestion, the user selects the name of the organizational unit from the list of suggestions.
Effort Statement Work Flow

This effort-specific modification to ECRT incorporates additional, intermediate approvers in the certification process. Use of intermediate approvers is not necessary for compliance with the requirements of Effort reporting, as conceptually discussed in the OMB Circulars.

The inclusion of additional, intermediate approvers brings those additional approving individuals into the certification process and potentially makes them subject to an inquiry or investigation by external auditors, agencies, or investigators. Further, use of this functionality may result in additional time required to complete an individual certification, thus affecting the outcomes for the institution’s certification process as a whole.

When using this functionality it is suggested that the institution implement additional controls to monitor the timely completion of the required Effort certifications.

Select Reviewers

Select School/Department Name

Soccer Dept

Support Department

Certifiers associated to selected department

Submit Certification Workflow

Figure 6.E.13.3 – Selecting a Department

Once the unit is selected, the list of eligible individuals appears in the Certifier List (Figure 6.E.13.4).
In the example shown in Figure 6.E.13.4, there are a handful of individuals assigned to the Soccer Department that can be assigned to Landon Donovan for additional review.

To add an individual to the Reviewee List, the user selects the individual from the Certifier List and selects the button with the single rightward facing arrow on it (Figure 6.E.13.5).
Figure 6.E.13.5 – Adding Reviewees

When the user’s cursor is hovering over this button, a pop up message is displayed, reading “Move selected item in left list to right list.” Selecting the button with the two rightward facing arrows moves all of the items in the left list to the right list.

Once the user clicks the appropriate button with the rightward facing arrow(s), the selected individual is added to the Reviewee List. At this point, the user can add more individuals from the Certifier List to the Reviewee List from the same or additional departments. There is no limit to the number of individuals that can be added to a Reviewee List, nor to the number of departments from which the reviewees can be selected.

Continuing the example in Figure 6.E.13.7, the user is adding another reviewee (Tim Howard) to Landon Donovan’s Reviewee List, this one from the Soccer Department, which has many individuals from which to select. The user then selects the arrow button to move Howard to the list on the right.
Effort Statement Work Flow

This client-specific modification to ECRT incorporates additional, intermediate approvers in the certification process. Use of intermediate approvers is not necessary for compliance with the requirements of Effort reporting, as conceptually discussed in the OMB Circulars.

The inclusion of additional, intermediate approvers brings those additional approving individuals into the certification process and potentially makes them subject to an inquiry or investigation by external auditors, agencies, or investigators. Further, use of this functionality may result in additional time required to complete an individual certification, thus affecting the outcomes for the institution's certification process as a whole.

When using this functionality it is suggested that the institution implement additional controls to monitor the timely completion of the required Effort certifications.

Figure 6.E.13.7– Adding additional Reviewees

To remove an individual from the Reviewee List the user will select the individual from the list and click the button with the single leftward facing arrow (Figure 6.E.13.8). Selecting the button with the two leftward facing arrows will remove all of the items in the right list.
**Effort Statement Work Flow**

This effort-specific modification to ECRT incorporates additional, intermediate approvers in the certification process. Use of intermediate approvers is not necessary for compliance with the requirements of effort reporting, as conceptually discussed in the OMB Circulars.

The inclusion of additional, intermediate approvers brings those additional approving individuals into the certification process and potentially makes them subject to an inquiry or investigation by internal auditors, agencies, or investigators. Further, use of this functionality may result in additional time required to complete an individual certification, thus affecting the outcomes for the institution’s certification process as a whole.

When using this functionality, it is suggested that the institution implement additional controls to monitor the timely completion of the required effort certifications.

**Select Reviewer**

Dunnovan Landon - landonandvb

**Select School/Department Name**

Soccer Department

**Certifier List**

- Aldoza, Joe - joeyaldoza
- Beckham, David - davidbeckham
- Beconegro, Carlos - carlosbeconegro
- Bradley, Michael - michaelbradley
- Budele, Edson - edsonbudele
- Cambry, Marcus - marcuscamby
- Corrigher, Jamie - jamiecorrigher

**Reviewee List**

- Corrigher, Jamie - jamiecorrigher
- Demerit, Joe - joedemerit
- Dempsey, Clint - clintdempsey
- Howard, Tim - timhoward
- Specter, Jonathan - jonathanspecter

**Submit Certification Workflow**

**Course Grain Certification Reviewer Work Flow**

**Review Workflow Linear/Parallel**

Please use the checkbox below to indicate if you would like to make the workflow linear.

Make Review Workflow Linear

**Figure 6.E.13.8 – Removing Reviewees**

Once the user has clicked the appropriate button with the leftward facing arrow(s), the selected individual is removed from the Reviewee List (Figure 6.E.13.9). At this point, the user can add more individuals from the Certifier List to the Reviewee List from the same or additional departments.
Effort Statement Work Flow

This client-specific modification to eCRT incorporates additional, intermediate approvers in the certification process. Use of intermediate approvers is not necessary for compliance with the requirements of Effort Reporting, as conceptually discussed in the OMB Circulars.

The inclusion of additional, intermediate approvers brings those additional approving individuals into the certification process and potentially makes them subject to an inquiry or investigation by external auditors, agencies, or investigators. Further, use of this functionality may result in additional time required to complete an individual certification, thus affecting the outcomes for the institution's certification process as a whole.

When using this functionality, it is suggested that the institution implement additional controls to monitor the timely completion of the required Effort certifications.

Fine Grain Certification Reviewee Work Flow

Select Reviewer
Donovan, Landon - landordonovan

Select School/Department Name
Soccer Department

Certifier List
Donovan, Landon - landordonovan
Howard, Tim - TimHoward

Reviewee List
Carragher, Jamie - jamiencarragher
DeMerit, Jay - jaydeMerit
Dempsey, Clint - clintdempsey
Spector, Jonathan - jonathanspector

Figure 6.E.13.9 – Saving the work flow

If no other individuals need to be added to the Reviewee List, then the user will select the Submit Certification Workflow button to finalize the additions and the new workflow (Figure 6.E.13.9). Failing to click the Submit Certification Workflow button will not save the changes.

Additionally, all changes to the Reviewee List should be saved as they are made. If a reviewee is removed, the user should select Submit Certification Workflow prior to adding any other reviewees.

Once the Submit Certification Workflow button has been selected, the changes will take effect. In our example, Landon Donovan will now be responsible for reviewing all of Jay DeMerit's certification statements. Once Landon Donovan reviews the statements, the statements will be routed to the statement owner's Primary Effort Coordinator.

Additionally, this process establishes the review hierarchy that determines the sequence of review steps in a linear process. In our example, if Jay DeMerit is only a certifier and not an additional reviewer, then we would have one additional level of review by Landon Donovan before DeMerit's certification statement was routed to DeMerit's Primary Effort Coordinator. If, however, DeMerit was also a reviewer, then any statements that were reviewed by DeMerit would be directed to Landon Donovan after DeMerit accepted the
review. Then, once Landon Donovan accepted the review and concluded the second level of review, the certification statements would be routed to the statement owner’s Primary Effort Coordinator(s).

b. Coarse Grain Review

The Coarse Grain workflow allows an institution to assign multiple reviewers to all effort certifications from a specific organizational unit, e.g. school, department, or sub department. The default workflow within the ecrt system allows for a single review performed by the certification owner’s Primary Effort Coordinator. The Coarse Grain workflow allows an institution to assign additional approvers at the unit level. For instance, every individual within a department could be routed to additional reviewers besides the department’s Primary Effort Coordinator.

The Coarse Grain Review initial settings are displayed below (Figure 6.E.13.10).

**Effort Statement Work Flow**

This client-specific modification to ECRT incorporates additional intermediate approvers in the certification process. Use of intermediate approvers is not necessary for compliance with the requirements of Effort reporting, as conceptually discussed in the OMB Circulars.

The inclusion of additional, intermediate approvers brings those additional approving individuals into the certification process and potentially makes them subject to an inquiry or investigation by internal auditors, agencies, or investigators. Further, use of this functionality may result in additional time required to complete an individual certification, thus affecting the outcomes for the institution’s certification process as a whole.

When using this functionality it is suggested that the institution implement additional controls to monitor the timely completion of the required Effort certifications.

![Figure 6.E.13.10 – Coarse Grain Work Flow initial settings](image-url)
To assign an additional reviewer to an organizational unit, the user first enters the name of the additional reviewer in the Select Reviewer search box and the organizational unit to be assigned in the Select School/College Name search box (Figure 6.E.13.11). In this example we are going to assign Landon Donovan as an additional reviewer for a department.

Once the organizational unit is selected in the Select School/College Name search box, the list of associated child units are listed in the Departments list on the left side of the screen.

**Effort Statement Work Flow**

This client-specific modification to ECRT incorporates additional, intermediate approvers in the certification process. Use of intermediate approvers is not necessary for compliance with the requirements of Effort reporting, as conceptually discussed in the OMB Circulars.

The inclusion of additional, intermediate approvers brings those additional approving individuals into the certification process and potentially makes them subject to an inquiry or investigation by internal auditors, agencies, or investigators. Further, use of this functionality may result in additional time required to complete an individual certification, thus affecting the outcomes for the institution’s certification process as a whole.

When using this functionality it is suggested that the institution implement additional controls to monitor the timely completion of the required Effort certifications.

- **Fine Grain Certification Reviewer Work Flow**
- **Coarse Grain Certification Reviewer Work Flow**

![Selecting departments](image)

**Figure 6.E.13.11 – Selecting departments**

To add a department to the Reviewee List, the user selects the department from the Departments list and selects the button with the single rightward facing arrow on it (Figure 6.E.13.12). Selecting the button with the two rightward facing arrows will move all of the items in the left list to the right list.
Figure 6.E.13.12 – Adding departments

Once the user has clicked the appropriate button with the rightward facing arrow(s), the selected department is added to the Reviewee List (Figure 6.E.13.13). At this point, the user can add more departments from the Departments list to the Reviewee List or from another school or college. There is no limit to the number of departments that can be added to a Reviewee List.
Effort Statement Work Flow

This effort specific modification to ECRT incorporates additional, intermediate approvers in the certification process. Use of intermediate approvers is not necessary for compliance with the requirements of Effort reporting, as conceptually discussed in the OMB Circular.

The inclusion of additional, intermediate approvers brings these additional approving individuals into the certification process and potentially makes them subject to an inquiry or investigation by external auditors, agencies, or investigators. Further, use of this functionality may result in additional time required to complete an individual certification, thus affecting the outcomes for the institution’s certification process as a whole.

When using this functionality it is suggested that the institution implement additional controls to monitor the timely completion of the required Effort certifications.

- Fine Grain Certification Reviewee Work Flow

- Coarse Grain Certification Reviewee Work Flow

Figure 6.E.13.13 – Removing departments

To remove a department from the Reviewee List, the user will select the department from the list and click the button with the single leftward facing arrow. Selecting the button with the two leftward facing arrows will remove all of the items in the right list.

Once the user has clicked the appropriate button with the leftward facing arrow(s), the selected department is removed from the Reviewee List (Figure 6.E.13.14).
Effort Statement Work Flow

At this point, the user can add more departments from the Departments list to the Reviewee List or from another school or college.

Additionally, all changes to the Reviewee List should be saved as they are made. If a reviewee is removed, the user should select Submit Certification Workflow prior to adding any other reviewees.

Once the Submit Certification Workflow button has been selected, the changes take effect. In our example, since we removed the Soccer Department from the Reviewee list, Landon Donovan is no longer responsible for reviewing all the certifications coming from the Soccer Department organizational unit. If we had not removed the department, however, he would review the statements first and then the statements are routed to the Primary Effort Coordinator for the Soccer Department.

Additionally, this process establishes the review hierarchy that determines the sequence of review steps in a linear process. If, in our example, Landon Donovan is the only additional reviewer, then we would have one additional level of review by Landon.
Donovan before the Soccer Department certification statements are routed to the Primary Effort Coordinator for the Soccer Department. If, however, we assigned a reviewer to Landon Donovan using the Fine Grain functionality, then the department’s certification statements would go to Donovan for review, then to Donovan’s reviewer before going to the Primary Effort Coordinator of the Soccer Department.

The combination of these additional levels of review can provide greatly enhanced oversight. For example, a reviewer can be assigned to review individual statements; all statements associated to specific effort coordinators; all statements associated to effort coordinators in a department or school; or to review other reviewers.

c. Linear or Parallel Workflow

The final setting to be established for the workflow is whether the reviews will be conducted in a linear or parallel process. The default setting is for a parallel process. To change the setting to be linear, the user will click the checkbox next to the Make Review Workflow Linear label (Figure 6.E.13.15).
Effort Statement Work Flow

This client-specific modification to ECRT incorporates additional, intermediate approvers in the certification process. Use of intermediate approvers is not necessary for compliance with the requirements of Effort reporting, as conspically discussed in the OMB Circulars.

The inclusion of additional, intermediate approvers brings those additional approving individuals into the certification process and potentially makes them subject to an inquiry or investigation by external auditors, agencies, or investigations. Further, use of this functionality may result in additional time required to complete an individual certification, thus affecting the outcomes for the institution’s certification process as a whole.

When using this functionality it is suggested that the institution implement additional controls to monitor the timely completion of the required Effort certifications.

Select Reviewer
Donovan Lendon - leldon@doveen

Select School/College Name
Soccer Department

Deprtments

Review Workflow Linear/Parallel
Please use the checkbox below to indicate if you would like to make the review workflow linear.
Make Review Workflow Linear

Submit Certification Workflow

Figure 6.E.13.15 – Linear work flow check box

This setting applies to all workflow that exists in the system at any given time. There is no ability to configure a linear process for some workflow and a parallel process for other workflow; this is an “all or nothing” setting.

In a linear process, each added reviewer must approve the effort certification statement in sequence until the top of the hierarchy is reached and the statement is routed to the statement owner’s Primary Effort Coordinator.

In a parallel process, there is no sequence of required steps before the statement is routed to the statement owner’s Primary Effort Coordinator. Rather, the review tasks are sent to all reviewers and the Primary Effort Coordinator simultaneously. If any one of the reviewers does not accept the certification, then the task items for all other reviewers will be removed from their respective owner’s Manage Effort Task lists and the certification will be returned to the Not Certified, Not Processed status to be certified again.
14. Period Administration

The Period Administration page is used to enter the base Effort and Clinical Periods of Performance and Certification Periods for each of an institution’s employee types.

An employee type is a grouping of the institution’s employees that certify effort on a regular frequency. An institution can have as many employee types as necessary to accommodate its different groups of certifiers. For example, an institution can have an Annual employee type for those employees that certify on an annual basis; a Semi-Annual employee type for employees that certify twice a year; a Semester employee type for employees that certify three times a year (after each academic semester period); a Quarterly employee type for employees that certify every 3 months; a Monthly employee type for employees to certify each month; and so on. The mix of employee types actually used is unique for each institution based on the institution’s effort reporting policies. For more information about your institution’s employee types, or which employees are included in an employee type, please contact your institution’s Central Administrator.

At times, some users may change appointments that require them to begin certifying their own effort when they have not previously, or certifying more or less frequently than they have in their past role. For example, if a graduate student at an institution is assigned an employee type that does not require him to certify his own effort, but then joins the faculty and is assigned an employee type that certifies semi-annually, an effective date for this change in employee type will be recorded in the system based on the data loaded into the application through the Certifier.xml data file. The effective dating of employee types may create two or more effort statements for a specific period of the calendar year, depending on the certification frequency of a certifier’s previous and current employee types. The effective dating, however, ensures that payroll charges are allocated properly between the statements based on the payroll transaction dates and the employee type effective dates.

a. Effort Periods of Performance

To add Periods of Performance and Certification Periods, the user selects the magnifying glass icon in the ‘Action’ column (Figure 6.E.14.1).
Period Administration

As an administrator, you can manage pay periods for the institution’s different classes of employees. For instance, your institution may have users who certify their data on a quarterly basis while others may certify on a Semi-Annual basis. This screen should be used to manage pay periods and the corresponding certification periods.

Emails can be sent to a specific ECRT Employee Type by pressing the Envelope icon in the Actions column for that Employee Type. You’ll need to enter an email subject and a message, and that email will be sent to everyone in that Employee Type.

Emails can also be sent to certifiers for a given period of performance by pressing the envelope icon in the Statements column for that period of performance.

<table>
<thead>
<tr>
<th>Code</th>
<th>Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>year</td>
<td>Annual</td>
<td>Annual Certifier</td>
</tr>
<tr>
<td>FYSA</td>
<td>Semi Annual Certifier</td>
<td></td>
</tr>
<tr>
<td>FYQ</td>
<td>Quarterly Certifier</td>
<td></td>
</tr>
</tbody>
</table>

**Figure 6.E.14.1 - Pay Periods**

The notepad icon (the first icon) allows a user to revise the code, name, and description of the employee type and the envelope icon (the last icon) allows a user to send an email to all employees of that employee type.

In the example below (Figure 6.E.14.2 - A), we selected the magnifying glass icon for the Semi-Annual employee type.

**Figure 6.E.14.2 - Effort Periods**

When the magnifying glass icon is selected, a table appears displaying the Periods of Performance and Certification Periods that have been entered in the system. In this example, periods from 2010 to 2011 have been entered for the Semi-Annual certifiers. To add new periods for this employee type, the user will select the ‘Add Period’ button.

The following pop-up appears (Figure 6.E.14.3):
To add more periods, the user will place the cursor in the appropriate date field. Once the cursor is in the field, the user will directly enter or select the correct period dates from the calendars that appear. The start date of the Period of Performance is automatically set as the day after the end of the prior Period of Performance and cannot be changed. Once the dates are entered, the user will select I Agree to save the dates and return to the Period Administration main page. If new periods were added, the user will select Refresh Data to update the page with the new periods that were entered.

It is vital that the institution continue to add Periods of Performance and Certification Periods on a regular basis. Payroll transactions cannot be added to the system if there are no Periods of Performance to which to associate the transactions and the effort certification notification email is sent on the Certification Start date. The reminder emails also depend on the Certification End Date (in addition to the reminder settings in Global Settings>Certification Settings).

The institution will repeat this process for each employee type to ensure that each type has relevant and accurate periods in place.

When reviewing the Periods of Performance and Certification Periods for a particular Employee Type, the user has the ability to delete the Period of Performance and corresponding Certification Period by clicking the red X icon (Figure 6.E.14.2 – B). A Period can be deleted ONLY if there are zero statements associated to the period, and the period is the last period in the system. Otherwise, the red X will not appear.
The user also has the ability to edit the dates by clicking the Edit Period note pad icon in the Actions column. When that icon is selected, a pop-up window will appear (Figure 6.E.14.4) that allows the user to change the dates of the Period of Performance and/or Certification Period.

The Period of Performance is only editable if there are zero (0) effort statements associated to that period. In addition, only the End Date of the last Period of Performance that has been set up will be editable to ensure that when multiple periods have been set up there are no overlaps or gaps in the start and end date of the periods. If changes need to be made to a Period of Performance other than the last Period of Performance listed, the user will have to delete the last Period of Performance(s) listed until the Period of Performance that needs to be modified is the last Period of Performance and can be edited or deleted.

Certification Period start and end dates can be changed as often as necessary.

b. Clinical Activity Reporting Periods of Performance

By clicking on the magnifying glass in the 'Actions' column the user will see the various periods of performance for the selected employee type. Below the listed periods of performance is a separate section for Clinical Activity Reporting Period of Performance. To create a Clinical Activity Reporting Calendar, the user will click on the Add Reporting Calendar button (Figure 6.E.14.5).
Figure 6.E.14.5 – Creating a Clinical Activity Reporting calendar

To add a Clinical Activity Reporting calendar the user will place the cursor in the appropriate date field (Figure 6.E.14.6). Once the cursor is in the field, the user will directly enter or select the correct period dates from the calendars that appear. The start date of the Period of Performance is set automatically to the day after the end of the prior Period of Performance and cannot be changed.

Once the end date and the Certification Period dates are entered, the user will select Submit to save the dates and return to the Period Administration page.
If new periods were added, the user will select ‘Refresh’ to update the page with the new periods that were entered.

It is vital that the institution continue to add Clinical Activity Reporting Calendars and Certification Periods on a regular basis. Effort and Clinical Activity statements cannot be created in the system if there are no Periods of Performance to which to associate the payroll transactions that comprise those statements.

The institution will repeat this process for each employee type to ensure that each type has relevant and accurate periods in place.

Once the Period of Performance is in place, the institution can define Individual Reporting Calendar periods that require confirmation during the Period of Performance. These sub-confirmation calendars will create an average Clinical Activity statement that the certifier will confirm at the end of the year. An institution can define an unlimited number of confirmation periods during the Period of Performance.

To add a Clinical Activity Reporting Calendar Period the user will click on the pen and paper icon to the right of the Periods of Performance (Figure 6.E.14.7).
Figure 6.E.14.7 – Adding a Reporting Calendar Period

This icon will open a new window that will allow the user to define periods (Figure 6.E.14.8).

Each Reporting Calendar Period must occur entirely within the Period of Performance dates. A Reporting Calendar Period cannot have an overlapping date with the Period of Performance. Reporting Calendar Periods do not need to be consecutive, however. Each Reporting Calendar Period must have a unique code (Figure 6.E.14.9). A user can add multiple periods by using the green + icon and delete periods by using the red X icon.
After all periods have been added the user can click Submit to have the Reporting Period Calendars take effect (Figure 6.E.14.10).

Clinical Activity Reporting Calendars for Annuals:
A highlighted row indicates that the user is within the range of that data period range, giving you a quick summary of the current periods.

<table>
<thead>
<tr>
<th>Code</th>
<th>Name</th>
<th>Start Date</th>
<th>End Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>pd1</td>
<td>Clinical Period 1</td>
<td>07/01/2012</td>
<td>09/30/2012</td>
</tr>
<tr>
<td>pd2</td>
<td>Clinical Period 2</td>
<td>10/01/2012</td>
<td>12/31/2012</td>
</tr>
</tbody>
</table>

Figure 6.E.14.10 – Clinical Activity Reporting Calendars

Once the Periods of Performance and Certification Periods have been defined, the user will select the Next button to advance to the next page of settings.
15. Commitments

The Commitments setting page allows an institution to configure how the commitment status functionality will be used and to set a commitment review threshold to notify administrators of employees that may be unable to satisfy their effort commitments.

The first decision the institution must make regarding commitments is whether the user institution will use one set of commitment warning values for all users, which is called Commitment Limits, or develop multiple sets of commitment warning values for different groups of employees, called Commitment Levels. Commitment Levels allow an institution to configure a different set of commitment limits for as many different employee groups as the institution wishes to define. The user will select the radio button next to the appropriate setting – Limits or Levels - at the top of the screen (Figure 6.E.15.1).

Commitment

This screen allows an administrator to manage Commitment information.

The Commitment certification settings allow the system to validate Commitment thresholds at a low level or a high level. Commitment Limits provide boundaries that can be used to warn Department administrators on whether certifiers are on track with their Commitment. The Commitment Levels provide the boundaries but allow the institution to validate Commitment based on

Specify whether to use Commitment Limits or Commitment Levels by clicking the corresponding radio button below:
- Commitment Limits  OR  Commitment Levels

<table>
<thead>
<tr>
<th>Global Commitment Threshold</th>
</tr>
</thead>
<tbody>
<tr>
<td>Commitment Review Percentage:</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Sponsor Notification Confirmation Text</th>
</tr>
</thead>
<tbody>
<tr>
<td>When sponsor notification is enabled, this message may be displayed when the user is prompted to confirm whether or not to send a notification letter to the sponsor.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Commitment Limits</th>
</tr>
</thead>
<tbody>
<tr>
<td>Commitment Effort On Track value:</td>
</tr>
<tr>
<td>Commitment Effort Potential Concerns value:</td>
</tr>
</tbody>
</table>

Commitment percentages greater than this value will be shown with a red indicator.

Figure 6.E.15.1 – Commitments Settings - Limits

Global Commitment Threshold

The Global Commitment Threshold section contains the Commitment Review Percentage. This review percentage pertains to all employees with commitments in the system and determines the acceptable variance between the commitment and certified effort before a Sponsored Notification task is created and appears in the primary effort coordinator’s Manage Notifications list. If the variance between the certified effort and the commitment exceeds the threshold value, the notification is triggered and the Sponsored Notification process begins. This alerts the primary effort coordinator of a
certifier to determine whether a sponsor needs to be notified about an employee who is unable to meet the effort commitment on the award.

**Sponsor Notification Confirmation Text**
The Sponsor Notification Confirmation Text section allows the institution to define the message that is displayed when the variance between the certified effort and commitment exceeds the threshold. The primary effort coordinator will have to fulfill the steps spelled out by the institution in the Sponsored Activity Notification process to resolve the work item.

**Commitment Limits**
Commitment limits is the default setting and uses the ecrt system's stoplight functionality. The institution configures values that are associated to the green, yellow, and red stoplight indicators. To activate this functionality, the user enters a value for the Commitment Effort On Track value, or the green stoplight. The value entered in this field serves as the upper limit of the On Track range, meaning any employee whose commitment calculation is equal to or less than this value will have a green stoplight indicator. Likewise, the value entered in the Commitment Effort Potential Concerns value is the upper limit of the Potential Concerns range, meaning any employee whose commitment calculation is equal to or less than this value will have a yellow stoplight indicator. The red stoplight indicator, which corresponds to the Needs Review status message, is displayed for any employee whose commitment calculation exceeds the Commitment Effort Potential Concerns value as entered here.

The commitment limits values are used in two areas. The first area is the Department Dashboard page. The Action column in the Covered Individual list displays the appropriate stoplight indicator based on the employee’s average required effort for all active commitments. The average required effort calculation is based on the effort that has been certified for an account on which the employee has an active commitment. For instance, if a certifier has a commitment of 10% on account A for an entire budget year, the calculation will look at any effort that has been certified towards that 10% and determine the average required effort that must be certified for the remainder of the recorded commitment to satisfy the commitment. If there is no certified effort for the account, or any accounts such as when the institution first goes live, then the average required effort calculation is the total amount of the commitment. This may result in an inflated average required effort, and thus a stronger review warning, until there is certified effort for the account. Then the calculation will more accurately reflect whether the employee’s commitments need to be reviewed. For more information about the required effort calculation, please refer to section IV-B-2 of this document.

The commitment limits values are displayed on the Commitment Detail report also. This report is accessed from the Commitments report and shows all of an employee’s commitments over the course of a twelve-month time period. The chart shows the sum of the commitments of record for an employee and displays the commitment limits.
values to allow anyone viewing the report to determine whether the employee’s commitments exceed the limits that are in place for the institution.

**Commitment Levels**

Commitment levels are similar to commitment limits. The primary difference between the two is that commitment levels allow an institution to define different groups of employees, with different commitment thresholds for each group. Commitment levels allow an institution to define values for types of commitments, such as sponsored, non-sponsored, and clinical (Figure 6.E.15.2).

**Commitment Levels**

- Values to allow anyone viewing the report to determine whether the employee’s commitments exceed the limits that are in place for the institution.

- Unlike with commitment limits, there are only two statuses for commitment levels – either an employee is meeting the requirements set for the employee’s level or not. If a user’s commitment calculation does not exceed a threshold for a commitment category, then the stoplight indicator will be green and the user will see a message On Track. If a user’s commitment calculation does exceed a threshold for a commitment category, then the indicator will be red and the user will see a message Needs Review.

- For example, an institution can say a full professor is only allowed to commit to a maximum of 90% sponsored activity, while a graduate researcher can commit to 100% sponsored activity. Creating two levels allows different employees to have different allowable amounts of sponsored activity. The commitment level group, such as Faculty or Graduate Student, is assigned to each user during data load or through the Manage Users page.

- Another difference between commitment levels and commitment limits is on the Commitment Detail report. When commitment levels are being used, the report displays the sum of an employee’s total commitments for a given twelve-month period compared to the system default review values of 85% and 100%.
When the Commitment Levels radio button is selected, the user will be asked, ‘Do you want to apply this change in Commitment validation now?’ If the user selects ‘Yes,’ then all employees with commitments in the system will have their commitment statuses validated when the user completes the configuration on the Commitments settings page. If the user selects ‘No,’ the validation will not occur until the next time each employee certifies an effort statement.

Once the validation question is answered, the user is prompted to enter a commitment level code, name, and description (Figure 6.E.15.3). After that information is entered, the user will enter (in whole numbers) the acceptable percentage for sponsored, non-sponsored, and clinical commitment categories. The total must equal 100% or the user will receive an error.

You are creating a new Commitment Level: New Commitment Level

Code: 
Name: 
Description: 

The threshold settings must total 100%.

Sponsored 0 % + Non Sponsored 0 % + Clinical 0 % = Total 0 %

Figure 6.E.15.3 – New commitment level

After the values are entered, the user will determine the validation method for each category (sponsored, non-sponsored, clinical). Select the Category from the drop-down box, and then select the radio button for the validation that you would like to have performed for that category. The system can validate whether an employee is over-committed, i.e. the average required effort calculation exceeds the threshold for the commitment category; under-committed, where the average required effort calculation falls below the thresholds; or both (Figure 6.E.15.4). If none of the categories violates the validation rules, then the stoplight indicator will be green. If any one category violates its validation rule, however, the stoplight indicator will turn from green to red to indicate the violation and prompt a review.
Commitment Threshold Settings:

This section allows an administrator to define whether the system should validate if a certifier is over-committed, under-committed, or both.

<table>
<thead>
<tr>
<th>Category</th>
<th>Validate if Commitment</th>
</tr>
</thead>
</table>
| Sponsored | ○ Exceeds threshold settings.  
|           | ○ Falls below threshold settings.  
|           | ○ Exceeds or falls below threshold settings. |

Figure 6.E.15.4 – New Commitment Level – Setting Validation for Each Category

Once the level is completely configured, the user will select the “Enter” button and the level will appear in the Commitment Level list (Figure 6.E.15.5). Additional levels can be added by entering the new code, name, description, commitment mix, and validation rules.

Figure 6.E.15.5 – New Commitment Level Submitted

Existing levels can be adjusted or deleted by selecting the corresponding icon in the Action column. To edit a level, the user will select the magnifying glass icon. This allows a user to change any of the information associated with the level and save it by selecting “Enter.” To delete the level, the user will select the familiar red ‘X’ icon.

Once the commitment settings have been configured, the user selects the Next button to advance to the next page of settings.
16. Commitment Award Types

The Commitment Award Types section of Global Settings allows an institution to specify the type of commitment that is being added or modified through the user interface. At this point in time, the full functionality of the Commitment Award Types has not been completed. As such, it is currently treated as metadata and has no current significance.

To setup a Commitment Award Type, the user first enters a name for the type (Figure 6.E.16.1).

Next, a code is required. The code must be unique – the system will not allow multiple commitment award types with the same code to be entered. Next, a description of the award type is entered, followed by selecting the ‘Active’ checkbox if the user would like to make this an active award type. Once this data has been entered, selecting the ‘Enter’ button will save the information and populate the award type in the list above. When reviewing the list of award types, a user can see the familiar icons in the ‘Actions’ column. The red ‘X’ allows the user to deactivate the award type, the magnifying glass allows the user to edit the details of the award type, and if there is a magic wand icon, that icon will allow the user to activate the award type.
17. Commitment Role Types

The Commitment Role Types section of Global Settings allows an institution to specify the type of commitment that is being added or modified through the user interface. At this point in time, the full functionality of the Commitment Role Types has not been completed. As such, it is currently treated as metadata and has no current significance.

To setup a Commitment Role Type, the user first enters a name for the type (Figure 6.E.17.1).

Next, a code is required. The code must be unique – the system will not allow multiple commitment role types with the same code to be entered. Next, a description of the role type is entered, followed by selecting the Active checkbox if the user would like to make this an active role type. Once this data has been entered, selecting the Enter button will save the information and populate the role type in the list above. When reviewing the list of role types, a user can see the familiar icons in the Action column. The red ‘X’ allows the user to deactivate the role type, the magnifying glass allows the user to edit the details of the role type, and if there is a magic pen icon, that icon will allow the user to activate the role type.
18. Clinical Activity Administration

For Clinical Activity Reporting Statements to be created the institution first must create clinical entities on the Clinical Activity Administration page. These entities should reflect the institution’s high-level categories, such as Research, Instruction, and Supervision, for capturing the percentage of a certifier’s time on accounts that have been designated for clinical reporting. These categories and sub-categories are institution-specific, defined by the institution, and unlimited in number.

To add a category, the user will enter a category code, category name, and category description, and mark whether the category is active (Figure 6.E.18.1).

**Clinical Activity Administration**

**Add Category**

<table>
<thead>
<tr>
<th>Code</th>
<th>Name</th>
<th>Description</th>
<th>Status</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Administration</td>
<td>Administration and Other</td>
<td>Administration and Other</td>
<td>Active</td>
<td><img src="icon" alt="Action" /></td>
</tr>
<tr>
<td>Education</td>
<td>Education</td>
<td>Education</td>
<td>Active</td>
<td><img src="icon" alt="Action" /></td>
</tr>
<tr>
<td>Research</td>
<td>Research</td>
<td>Research</td>
<td>Active</td>
<td><img src="icon" alt="Action" /></td>
</tr>
</tbody>
</table>

**Figure 6.E.18.1 – Adding a Clinical Activity Category**

Once the user has entered the information, the user will select Save to add the category. The categories that have been created will display below the Add Category form. The category list will show the code, category name, description, the status of the category, the number of Sub-Categories, and a button in the Actions column. Categories are sorted in alphabetical or numerical order on the Clinical Activity Reporting Statement based on the category’s code.

The Actions button allows the user to define sub-categories for entering percentages (Figure 6.E.18.2). Sub-categories are used to capture effort percentages related to Clinical Activity designated accounts on the Clinical Activity Reporting Statement. These sub-categories typically pertain to specific activities or types of activities that need to be easily identified. Clinical Activity sub-categories are also displayed in a hover over on the Clinical Activity Reporting Statement.
Clicking on the ‘+ Add a Sub-Category’ will display a pop-up where the user can define the sub-category (Figure 6.E.18.3). To define a sub-category the user will enter a unique code for the sub-category, name, description, and mark whether the sub-category is active.

Further information on the Clinical Activity Reporting Statement can be found in the Effort Certification section (section III-D) and Global Settings>Effort Administration>Clinical Activity section of this document (section VI-E-12).
19. Institution

The Institution settings page is where the institution defines several key pieces of data about itself that impact the data load process. These fields include the name of the institution, the code for the institution, and the location of the data load files for the institution are maintained. In a single-institution installation these are the only three values that need to be set. The institution's Central or System Administrator should be the only one to make changes to these settings if necessary and any changes should be communicated to everyone involved in the data loading process, especially the employees responsible for data file creation and placement of the data files in the polling directory.

The Institution page collects three key pieces of information (Figure 6.E.19.1).

![Institution](image)

This screen allows an administrator to manage institution information. Enter a new institution by entering the information into the empty text fields below. You must enter a unique code, name, and polling directory for the institution.

Each institution must have a unique code because it identifies the institution when making any associations to your institution, such as certificates, departments, etc.

Once you have entered all the data elements, press the Enter button to save the addition of a new institution or to save changes made to an existing institution. Use the Reset button to clear any institution data.

The Next button, located on the bottom of the page, will navigate you to the next global setting screen.

![Figure 6.E.19.1 – Single Institution Settings](image)

The Name field is a text entry field where the institution's name is entered.

The Code field is used in the data load process. By default, a single institution has a code value of "DEFAULT". This can be changed, but it has a ripple effect into the ecrt data load XML files. The institution code in the XML files must match the institution code on this screen. If this value is changed from “DEFAULT”, the user that makes this change must communicate the new value to the employees involved in the data file creation process.

The last field in these settings is the Data Polling Directory field. The polling directory is the pathname for the folder that houses the data files that will be loaded into the system. If the institution is using the Data Integration Scheduler, this is the folder in which the system will look for the data files when the data load process is triggered. If the institution is manually loading its data, the system will look in this folder to verify there are files present so that the data load can begin. If this pathname is changed, the user...
that makes this change must communicate the new pathname to the employees that are responsible for placing the data files in the directory and for loading the data.

The power behind the Name and Code relationship comes into play for a shared services, or multiple institution, installation. In a shared services installation, several distinct institutions will share one installation of the software. For instance, a university system comprised of several different campuses all can use the same single instance of the application. Each institution can manage its own global settings and data; however, the data for each campus is contained in a single software instance, allowing users at the university system level to monitor the processes for all campuses and report on data for all campuses.

In a shared services installation with multiple institutions each institution will enter its own name, code, and polling directory. This information is populated during the implementation and can be populated by the Huron/West Monroe Partners technical team or by the institution’s System Administrator. For more information about the values that appear on this screen, please contact your Central Administrator or System Administrator.

Once the institution settings are chosen, the user selects the Next button to advance to the next page of settings.
20. Email Notification Scheduler

The Email Integration Scheduler determines at what time the ecrt system sends system-generated messages and triggers the Pre-Review period and the Certification Period opening process. During the Certification Period opening process, the statements are assigned statuses according to the activity on the statements, i.e. statements with Sponsored activity move to the Not Certified, Not Processed status, and statements with exclusively Non-Sponsored activity are auto-approved, and the email notifications are created, sent, and written to the logs. The automatic trigger is controlled by the settings entered on this page.

The Email Integration Scheduler settings should be configured during implementation and should not be changed frequently. The institution’s Central Administrator should be the only one to make changes to these settings if necessary.

The scheduler will run every day so the institution simply needs to configure the time of day at which the process will start. The user will enter an hour (x:xx) and select AM or PM from the drop-down menu (Figure 6.E.20.1).

![Email Notification Scheduler](image)

Automated emails generated by and within the system are sent on a daily basis. The Email Notification Scheduler allows institutions to define the time of day when these emails are sent by the system.

**Figure 6.E.20.1 – Email Notification Scheduler - Daily**

Once the settings are entered, the user will select the Schedule Job button and receive a confirmation that the job was scheduled (Figure 6.E.20.2).
Automated emails generated by and within the system are sent on a daily basis. The Email Notification Scheduler allows institutions to define the time of day when those emails are sent by the system.

The Current Scheduled Task is:

Institution: Callepas
Frequency: Daily
Start Time: 04:00 AM

Figure 6.E.20.2 – Email Notification Scheduler – Schedule Confirmed

Once the job is scheduled, the details are displayed on the this page. Additionally, the user has the ability to cancel or change the scheduled process by selecting the Cancel Scheduled Job button that appears on the screen. This deletes any previous job schedule and allows the user to enter a new schedule.

The user also can review the details of the scheduled job by selecting the View Scheduler Details link in the heading at the top of the section (Figure 6.E.20.3).
Once the institution settings are finalized, the user selects the Next button to advance to the next page of settings.
21. Department Exclusion List

The Department Exclusion List allows an institution to provide additional protection for selected departments. For example, if an institution uses confidential payroll or has confidential or administrative departments that are not required to perform effort certification, the institution can restrict access to these departments while providing other administrators with the ability to view all of the remaining departments within the institution.

Excluding a department means that users will not be able to see any information about the department unless they have a new right that governs access to excluded departments. If they do not have that right, users will not be able to see the department, any awards or accounts that are associated to that department, and any people that are associated to that department. These restrictions are most apparent when running reports but also impact other pages, such as the Award/Account Summary pages. Additionally, if there are people that are associated to multiple departments, including at least one department that is excluded, then those people will not be visible in any of the departments to which they are associated.

To add a department to the excluded list, a user will access the Department Exclusion List page from the Global Settings. The page displays a department search box into which the user will type the name of the school, department, or sub department to be excluded (Figure 6.E.21.1).
Department Exclusion List

This page is used to restrict the department data visible to users empowered with the "View All Non-Excluded Departments on View Reports Page" right. Departments added to this list are excluded from selection lists and reports. The intended use of this list is to restrict Central Administration staff from accessing data-related administrative departments not required to perform effort certification.

To add departments to the exclusion list, key the name of the institution or school into the upper search box. When selected, the department will be visible in the box on the left. Highlight the desired department and click the single arrow to move them to the box on the right. When all departments have been added, click the "Refresh Cached Exclusion List" button on the bottom for the changes to the list to take effect.

To remove a department from the Exclusion List, click the red "x" next to that department’s name in the Department Exclusion List table at the bottom of the page.

To add a department to the exclusion list, the user will enter the name of the school, department, or sub department to be excluded in the search box (Figure 6.E.21.2).
Department Exclusion List

This page is used to restrict the department data visible to users empowered with the "View All Non-Excluded Departments on View Reports Page" right. Departments added to this list are excluded from selection lists and reports. The intended use of this list is to enable Central Administration staff from accessing data-related administrative departments not required to perform system certification.

To add departments to the exclusion list, key the name of the institution or school into the upper search box. When selected, the department will be visible in the box on the left. Highlight the desired department and click the single arrow to move them to the box on the right. When all departments have been added, click the Refresh Cached Exclusion List button on the bottom for the changes to the list to take effect.

To remove a department from the Exclusion List, click the red "X" next to that department's name in the Department Exclusion List table at the bottom of the page.

Select School/Department Name

Soccer Dept.

Successful Department Result

Additions to Department Exclusion List

[Department Search Results]

[Selected Departments to be added]

Add to Exclusion List

Department Exclusion List:

<table>
<thead>
<tr>
<th>Name</th>
<th>Code</th>
<th>Action</th>
</tr>
</thead>
</table>

Refresh Cached Exclusion List

Finish

Figure 6.E.21.2 - Department Exclusion List page

When the department to be excluded appears in the search results, the user will select the department name. Once selected, the department will be visible in Department Search Result box on the lower left side (Figure 6.E.21.3).
**Department Exclusion List**

This page is used to restrict the department data visible to users empowered with the "View All Non-Excluded Departments on View/Reports Page" right. Departments added to this list are excluded from selection lists and reports. The intended use of this list is to restrict Central Administration staff from accessing data-related administrative departments not required to perform effort certification.

To add departments to the exclusion list, key the name of the institution or school into the upper search box. When selected, the department will be visible in the box on the left. Highlight the desired department and click the single arrow to move them to the box on the right. When all departments have been added, click the Refresh Cached Exclusion List button on the bottom for the changes to take effect.

To remove a department from the Exclusion List, click the red "X" next to that department's name in the Department Exclusion List table at the bottom of the page.

Once the selected department appears in the Department Search Result box on the left, the user will need to select the department and move the department to the Additions to Department Exclusion List box on the right. To do this, the user will select either the single rightward facing arrow button or the double rightward facing arrows button. After the user selects one of the rightward facing arrow buttons, the selected department will appear in the Additions to Department Exclusion List box on the right (Figure 6.E.21.4).

![Department Exclusion List](image)

**Figure 6.E.21.3 - Department Exclusion List page**
Department Exclusion List

This page is used to restrict the department data visible to users empowered with the "View All Non-Excluded Departments on View Reports Page" right. Departments added to this list are excluded from selection lists and reports. The intended use of this list is to restrict Central Administration staff from accessing data-related administrative departments not required to perform effort certification.

To add departments to the exclusion list, key the name of the institution or school into the upper search box. When selected, the department will be visible in the box on the left. Highlight the desired department and click the single arrow to move them to the box on the right. When all departments have been added, click the Refresh Cached Exclusion List button on the bottom for the changes to the list to take effect.

To remove a department from the Exclusion List, click the red "X" next to that department's name in the Department Exclusion List table at the bottom of the page.

To remove a department from the Additions to Department Exclusion List, the user will select either the single leftward facing arrow to remove a single department or the double leftward facing arrow to remove all of the departments from the exclusion list.

If the user has added all departments to be excluded, then the user will select the Add to Exclusion List button below the Additions to Department Exclusion List box. Selecting this button will finalize the list and the department will appear in the Department Exclusion List at the bottom of the screen (Figure 6.E.21.5).
Department Exclusion List

This page is used to restrict the department data visible to users empowered with the "View All Non-Exclusive Departments on View Reports Page" right. Departments added to this list are excluded from selection lists and reports. The intended use of this list is to restrict Central Administration staff from accessing data-related administrative departments not required to perform their duties.

To add departments to the exclusion list, key the name of the institution or school into the upper search box. When selected, the department will be visible in the box on the left. Highlight the desired department and click the single arrow to move them to the box on the right. When all departments have been added, click the Refresh Cached Exclusion List button on the bottom for the changes to the list to take effect.

To remove a department from the Exclusion List, click the red "X" next to that department's name in the Department Exclusion List table at the bottom of the page.

The ability to manage the Department Exclusion List is a controlled by a right. A user must have this right to add or remove departments from this list. The ability to view the excluded departments in the system is also controlled by a right. For further information about these rights, please refer to section VI-B-7 of this document.

The Department Exclusion List is the final page of settings in the Global Settings Wizard. To complete the exclusion process the user selects the Finish button, which returns the user to the Global Settings page. While there are two additional Global Settings, Cache and Application On/Off, each performs an action when selected.
22. Cache

The Cache button on the Global Settings page refreshes the stored information that populates the drop-down menus within the application.

During a data load, the values that are populated in drop-down menus, such as employees, awards, accounts, and departments, may change. As a result, the system’s memory, which contains these values, needs to be refreshed to ensure the most recent data is available in the drop-down menus. To refresh the system’s memory after a data load, a user needs to select the Cache button. If the memory is not refreshed, any new or changed data that was loaded into the system will not be visible in the drop-down menus.

To refresh the cache, the user can select the Cache button on the Global Settings page (Figure 6.E.22.1).

Upon clicking on the Cache button, the pop-up message below (Figure 6.E.22.2) will appear. Once the user has clicked OK, the cache will be refreshed.

The cache can also be refreshed from the Data Load Management page.
23. Application On/Off

The last button on the Global Settings page is the Application On/Off button. This button allows a user to prevent the application from being accessed by any users that do not have the ‘Disable ecrt’ right. If a user is in the application when the system is turned off, the next action taken by a user will render a new screen stating the application is down.

The institution can use this to control access to the system during data loads or at strategic times prior to certification periods to ensure data is accurate and certification statements are ready to be certified and following certification periods to verify that certification were completed in a timely fashion.

If the application is on, the button will read “Application ON” in green text (Figure 6.E.23.1).

**Figure 6.E.23.1 – ‘Application ON’ button**

If the application is off, the button will read “Application OFF” in red text (Figure 6.E.23.2).

**Figure 6.E.23.2 – ‘Application OFF’ button**
F. Manage Sponsors

The system allows institutions to enter information specific to a particular sponsor to better manage awards associated with a sponsor that has a salary cap. To capture this specific information, the user first must create a sponsor type before entering information such as salary cap and salary cap override values, and the effective dates for the salary cap. The institution must create the sponsor type and sponsor in the system and assign the sponsor type to sponsors in the data load process for the salary cap functionality to work properly.

To enter a new sponsor type and sponsor, the user selects the Manage Sponsors link from the Manage navigation menu. The following screen appears (Figure 6.F.1).

![Manage Sponsor Types Instructions](image)

You are creating a new Sponsor Type: New Grant Sponsor Type

<table>
<thead>
<tr>
<th>Code</th>
<th>Name</th>
<th>Description</th>
<th>Active</th>
</tr>
</thead>
<tbody>
<tr>
<td>OTHR</td>
<td>Other/Default</td>
<td>Default type for when no type is sent via XML</td>
<td>No</td>
</tr>
<tr>
<td>NIH</td>
<td>NIH</td>
<td>NIH</td>
<td>Yes</td>
</tr>
</tbody>
</table>

Figure 6.F.1 - Add New Sponsor Type

The user creates a new sponsor type by entering a sponsor type code, sponsor type name and description. Depending on how the institution captures sponsor information in its source system, the sponsor type should be broad enough to encompass as many sponsors that are subject to the same rules as possible. For instance, if the institution tracks NIH sponsors at the individual institute level, each institute should have the same ‘NIH’ sponsor type in the data load to ensure that all NIH awards are all subject to the same information entered for the ‘NIH’ sponsor type. Lastly, to activate the sponsor type, the user marks the Active check box.

The Action column contains three icons that relate to tasks. To modify an existing sponsor type, the user will select the familiar magnifying glass icon in the Action column. Clicking this will automatically populate the form and allow the fields to be modified. Selecting the red X in the Action column will deactivate a sponsor type. Deactivating a sponsor type changes the icon in the Action column to a magic wand; selecting the magic wand will activate the sponsor type.
If the information entered is correct, the user will select the 'Enter' button at the bottom of the screen (Figure 6.F.2).

**Manage Sponsor Types Instructions**

**Sponsor Types:**

<table>
<thead>
<tr>
<th>Code</th>
<th>Name</th>
<th>Description</th>
<th>Active</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>OTHR</td>
<td>Other/Default</td>
<td>Default type for when no type is sent via XML.</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>NIH</td>
<td>NIH</td>
<td>NIH</td>
<td>Yes</td>
<td></td>
</tr>
</tbody>
</table>

**You are creating a new Sponsor Type:** New Grant Sponsor Type

- **Code:** SGK
- **Name:** Susan G. Komen for the Cure
- **Description:** Susan G. Komen for the Cure grants
- **Active:** Yes

Selecting the 'Reset' button will clear any information that was entered. When all the data is entered, the user selects the “Enter” button. The screen refreshes to display a message that the sponsor type information was added (Figure 6.F.3).

**Manage Sponsor Types Instructions**

**Your update has been successfully committed to the database.**

**Sponsor Types:**

<table>
<thead>
<tr>
<th>Code</th>
<th>Name</th>
<th>Description</th>
<th>Active</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>OTHR</td>
<td>Other/Default</td>
<td>Default type for when no type is sent via XML.</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>NIH</td>
<td>NIH</td>
<td>NIH</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>SGK</td>
<td>Susan G. Komen for the Cure</td>
<td>Susan G. Komen for the Cure grants</td>
<td>Yes</td>
<td></td>
</tr>
</tbody>
</table>

**You are creating a new Sponsor Type:** New Grant Sponsor Type

- **Code:**
- **Name:**
- **Description:** (255 characters max.)
- **Active:**

Selecting the 'Enter' button will commit the changes to the database.
After entering the data in the Sponsor Type form, the user will select the ‘Next’ button to input the information specific to the sponsor (Figure 6.F.4).

### Manage Sponsor Types Instructions

<table>
<thead>
<tr>
<th>Sponsor Types:</th>
<th>[Select Type]</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number</td>
<td>OTHR - Other / Default Type</td>
</tr>
<tr>
<td></td>
<td>NIH - NIH</td>
</tr>
<tr>
<td></td>
<td>SGG - Susan G. Komen for the Cure</td>
</tr>
</tbody>
</table>

### Manage Sponsor Information Screen

The Manage Sponsor Information screen is where the user can enter salary cap information for each sponsor. To start, the user will select the correct Sponsor Type from the Sponsor Type drop-down list.

Once the sponsor type is selected from the drop-down list, the system will display all of the sponsors that are associated with that sponsor type. If no sponsors exist for that sponsor type, the user can add a sponsor using the form below the sponsor listing. The user can add a sponsor number and name, activate the sponsor, and add a salary cap, a salary cap override amount (this allows you to set a cap amount different than the actual cap amount), and the effective dates for the salary cap. When the data is entered, the user selects Enter to save the information in the system. In addition to entering a salary cap amount on this page, the institution can load the data in the Sponsor file through the data load process.

The system’s salary cap functionality is available for any sponsor with a salary cap. The system compares an individual’s payroll in the system to the salary cap that is effective for the same period. If the individual’s salary exceeds the entered salary cap or override, then the CAP indicator is present on the statement (see section III-A-1-c-iii for
more information). These values also are used in the salary cap calculations on the Salary Cap Calculator page accessed via the CAP indicator and link.

If there is only one salary cap value loaded, all payroll is compared to that value. If there are multiple salary caps, then each will have an effective date and the system will compare payroll for each period of performance to the effective salary cap for that period. The salary cap for the most recent period will remain in effect until a new salary cap value is added.

The salary cap override will replace any salary cap amount that is in effect for the specified time period. The override will be in effect for the same period to which the salary cap applies. If an override amount is entered in the middle of the calendar year, then the amount will apply for the whole calendar year.

Selecting the Reset button will clear any information that was entered. The Home button directs the user to the Home Page Work List. After entering the data in the Sponsor form, the user selects the Enter button (Figure 6.F.5).

The screen refreshes to display a message that the sponsor information was added (Figure 6.F.6).

Figure 6.F.5 – Modifying a Sponsor’s Salary Cap

The screen refreshes to display a message that the sponsor information was added (Figure 6.F.6).
To modify information about an existing sponsor within that sponsor type, the user can select the magnifying glass in the Action column (See above). The sponsor form is automatically populated and the information can be modified. Selecting the red X in the Action column will deactivate a sponsor. Deactivating a sponsor changes the icon in the Action column to a magic wand; selecting the magic wand will activate the sponsor. Selecting the “+” in the Action column allows a user to change the salary cap that is associated with the sponsor.

The sponsor information that is entered on these two screens is displayed on any Award Summary screens for awards associated with the sponsor. This information can be retrieved through the IQ Tool to build more powerful management reports showing people associated to awards from sponsors that have salary caps to ensure compliance with those salary caps.
G. Manage My Email

Since the system generates many emails to the users in the system, it is important that users have accurate email addresses in the system. To facilitate this accuracy, users may be given the ability to add, modify, or change email addresses that are attributed to them if given the appropriate right. Additionally, the user can choose whether to receive certain email messages from the system. To manage the email addresses and settings, the user will select Manage My Email from the navigation menu.

The following screen appears (Figure 6.G.1):

![Manage My Email Instructions](image)

**Figure 6.G.1 - Managing Email Settings**

The “Receive emails?” setting limits the system-generated emails that a user may receive. This flag also can be set during the data load process in the Certifier file.

If the user has only one email address listed, it will be highlighted in yellow. The highlighted email address is the primary email address and will be used for all notifications generated by the system. If the user wants the notifications to be sent to a different address, then the user will select Add Email Address link.

The email address changes performed on this page will appear on the Manage Users page, as well. Likewise, any changes performed on the Manage Users page are reflected on this page.

A new window will open and the user will enter the new email address into the ‘Enter an Email Address’ box and click Submit (Figure 6.G.2).
After the user enters the new email address and presses submit, a confirmation message is displayed (Figure 6.G.3).

The email address was successfully added. If you would like to add another email address, please enter the new email address and click Submit. Otherwise, click Close to return to the previous page.

The user selects Close to return to the Manage My Email screen, which now displays two email addresses in the list (Figure 6.G.4).
**Figure 6.G.4 – Adding an Email Address**

When there are two addresses in the system, as in Figure 6.G.4, one will be highlighted and one will not. As stated before, the highlighted email address is the primary email address to be used for notifications by the system. The icons on the right – the yellow highlighter and the red X – are only visible when more than one email address is listed and appear next to the address that is not designated as the primary address.

The yellow highlighter icon allows the user to change the email address that is designated as the primary address. When a new address is designated the primary address, the icons move to the address that is not designated as primary.

The red X icon allows the user to remove an address. When the user selects this icon, the address is deleted from the screen and the system.
H. Change My Password

Most users will connect to the **ecrt** system through their institution’s authentication process. This method allows users to connect through their institution’s portal or access similar to other applications used by the institution and affords users the opportunity to use the same username and password for all of the institution’s applications. For those institutions that do not use their own authentication process, users have the ability to change their passwords at will if given the appropriate right.

To change a password, the user will select Change My Password from the Administration navigation menu. The following screen appears (Figure 6.H.1):

![Change My Password Instructions for System User - 444-44-4444](image)

Figure 6.H.1 - Changing a Password

There are three pieces of information required to change a password. The user must first enter the old password, then a new password, and finally confirm the new password by re-entering it. If the new password is the same as the old password, the user will see an error and must either change the new password to be different or cancel the action. When the new password has been finalized, the user will select ‘Save’ and the change will take effect.

When the change has been made successfully, a confirmation message will appear along with a button that, when clicked, returns the user to the Home Page. Pressing Cancel returns the user to the Home Page, while clicking Clear deletes any text that may have been entered in the three boxes.
I. **Add Users**

There may be instances in which not all ecrt system users are captured in the data load process. As such, the system allows administrators to add users manually. The ability to add users is controlled by rights. For more information about the applicable rights, please refer to **VI-B-8**.

To add a user manually, the user will select Add Users from the Administration navigation menu. The following screen appears (Figure 6.I.1):

![Add User Instructions](image)

There are seven pieces of information that are required to add a new user – first name, last name, employee ID, employee type, email address, username, and password. For the addition to be processed, the password must be confirmed. If the ecrt system has been integrated with the institution’s authentication system, the password entered here will not be valid and will not change the password used in the authentication system and for any and all other systems used by institution.

An administrator has three options once the Add User process has begun. Once the information is entered, the administrator can select Save and the addition will be processed. The administrator can select Cancel, which will return the administrator to the home page and void any data that has been entered, or Clear, which clears all the fields of any text that has been entered and allows the administrator to start anew.
When all of the information has been entered and the user has selected Save, the user is directed to the Manage Users page to set the access and role(s) for the newly added user.
J. **Manage Effort Statement Work Flow**

An additional link has been provided to allow access to the Effort Statement Work Flow configuration page. This will allow users that do not have access to the Global Settings page to configure the work flow for their departments and users. This link is controlled by a right. Users also must have either the Manage Effort Statement Work Flow – Course Grain and Manage Effort Work Flow – Fine Grain rights to be able to configure work flow. For information about this functionality, please refer to section [VI-E-13](#) of this guide.
Appendix A: Glossary of Terms

Attached are frequently used terms and definitions found while using the ecrt system and documentation.

Adjusted Cap Salary: The Annual Salary Amount converted proportionally based on a 1.0 FTE. The Adjusted Cap Salary is used in the salary cap cost sharing calculations and validations.

Annual Salary Amount: The amount of compensation the covered individual will receive based on the fractional FTE appointment.

Account: Project or financial line item where payroll expenses are incurred.

(Actual) Effort: The proportion of time spent on any activity expressed as a percentage of total institutional activities for which an Individual is compensated. Total effort for an employee must always equal 100%, regardless of part-time or full-time status, and regardless of number of hours worked. Actual Effort is not calculated on a 40-hour workweek or any other standard workweek. For example, if an Individual averages 60 hours per week during the reporting period and spends an average of 15 hours on a Sponsored Program, that represents 25% Actual Effort (15/60) and the other 45 hours, allocated to other institutional activities, represents 75% Actual Effort (45/60).

Approver: An individual who is responsible for reviewing and processing certain tasks during the post-certification process. Depending on an institution’s configuration, an effort statement may have a single approver (Primary Effort Coordinator) or multiple approvers (any Effort Coordinator associated to a certifier by virtue of being an effort coordinator in the certifier’s home department or an effort coordinator in a department that houses a sponsored project on which the certifier has effort). An approver is responsible for processing various tasks in the Manage Effort Tasks page of ecrt, such as effort processing and payroll adjustment reconciliation tasks.

Award: Grant/Project that is provided to a researcher after submitting a proposal to a funding agency. Awards can also be accounts, or they can be the parent of an account in a parent/child relationship.

Base, Base Effort, Base Effort Statement: The primary effort statement that reflects an individual’s Institutional Base Salary.

Certifier: Primary individual who has responsibility for certifying his or her effort.

Certified Effort: The time, stated as a percentage of total professional time, that an individual actually devoted to a particular Sponsored Project or other activity during the effort reporting period.
Certification Period: The 30-day period of time during which all individuals must certify their own effort.

Clinical Activity: The time (or effort) spent on activities benefitting the patient care mission, e.g., Administration, Teaching, Quality Control, Autopsies, etc. This time (or effort) is given as part of the individual’s normal responsibilities associated with the individual’s institution-funded effort.

Committed Cost Sharing: That portion of the total project costs of a sponsored agreement that is not reimbursed by the sponsor of the project. These costs are borne by the institution or other non-federal third parties in direct support of the project, rather than by the sponsor. Committed Cost Sharing is promised by the institution in the project proposal itself.

Committed Effort: The amount of Effort proposed in a grant or other project application and accepted by a sponsor, regardless of whether salary support is requested for the Effort.

Covered Individuals: Individuals with payroll and/or cost share on a grant, contract, and other agreement with the Federal Government of the United States, subjecting them to Federal effort reporting requirements.

Cost Transfers: An expense that is transferred from one account to another when an error has occurred in the amount initially charged to the account. A retroactive salary distribution form is the mechanism for initiating a cost transfer.

Department: Organization level where Researchers and Awards reside.

Departmental Effort Coordinator: The departmental person responsible for coordination between Grants and Contracts and faculty and research staff in their departments to facilitate administration of the effort commitment, charging, and certification process.

Effort: The proportion of time spent on any activity expressed as a percentage of total institutional activities for which an individual is compensated. Total effort for an employee must always equal 100%, regardless of part-time or full-time status, and regardless of number of hours worked. Actual effort is not calculated on a 40-hour workweek or any other standard workweek. For example, if an individual averages 60 hours per week during the reporting period and spends an average of 15 hours on a sponsored project, that represents 25% actual effort (15/60) and the other 45 hours, allocated to other institutional activities, represents 75% actual effort (45/60).

Effort Reporting Periods: Any time period over which effort is reported at a given institution.
Individual: Anyone who has salary and/or Committed Effort on a Sponsored Program.

Institutional Base Salary (IBS): The total guaranteed annual compensation an Individual receives. The IBS is used to compute salaries charged to Sponsored Programs unless sponsor policies limit the maximum annual compensation rate. IBS includes compensation for instruction, public service, research, clinical, and/or other activities, as well as supplements for administrative assignments included in an individual's annual appointment.

Maximum Level of Effort: The maximum level of effort tenured or tenure-track faculty may commit to sponsored projects (90%).

Medicare Cost Reporting: Providers of service participating in the Medicare program are required to submit information to achieve settlement of costs relating to health care services rendered to Medicare beneficiaries [42 U.S.C. 1395g (section 1815(a) of the Social Security Act).

Minimum Level of Effort: The minimum level of effort faculty must commit to each sponsored project for which they serve as a Primary Individual or as Key Personnel (1%). Equipment and instrumentation grants, doctoral dissertation grants, and augmentation grants excepted.

Non-IBS, Non-IBS Effort, Non-IBS Effort Statement: The secondary effort statement that may be used to reflect summary salary, supplemental pay, or other non-Institutional Base Salary payroll.

Non-Sponsored Individuals: Individuals in a department who have effort and salary exclusively on non-sponsored accounts. These people are not required to certify their effort. Effort statements are prepared by the system, but they are auto processed.

Override Effort Coordinator: Effort coordinator that is given the responsibility of processing the effort statement of certifiers that are specifically assigned to them through the Manage Users page.

PI: A person listed as a principal investigator, project director, co-investigator, co-project director, or someone with comparable responsibilities on a sponsored project.

Post-Certification Period: The designated period of time when the certified and processed effort statements are reviewed and evaluated for need for either retroactive salary adjustments or sponsor letters.

Pre-Review Period: The two week period of time following the end of the effort reporting period when the Effort Coordinator reviews compiled Effort statements, and enters any needed revisions in preparation for certifiers’ review.
**Primary Effort Coordinator:** Individual effort coordinator in a department responsible for all effort tasks related to that department. These tasks include processing effort statements, cost transfer tasks, sponsored activity tasks, and processing payroll adjustments.

**Primary Individual:** A person listed as a principal investigator, project director, co-investigator, co-project director, or someone with comparable responsibilities on a sponsored project. A Primary Individual is usually a faculty member.

**Proactive Cost Transfers:** Cost transfers that occur before the effort statement is certified.

**Proposed:** The amount of effort that an individual submits on a project application. A researcher plans to devote this much effort on a sponsored project assuming the application is awarded and the project is funded.

**Reactive Cost Transfers:** Cost transfers that occur after the effort statement has been certified. Reactive cost transfers are performed when the effort that was certified differs from computed effort.

**Researcher:** An employee who has allocated effort to a sponsored project, whether or not paid by the program.

**Restricted Access Effort Coordinator:** Effort coordinator that can view only the effort statements of certifiers that have been specifically assigned to them on the Department Dashboard.

**Sponsor Type:** The unique identifier for a sponsor that is defined by the institution on the Manage Sponsors section of the application. This is used to associate a unique salary cap value to a specific Sponsor.

**Sponsored Project:** An internally or externally funded activity that is governed by specific terms and conditions. Sponsored Projects must be separately budgeted and accounted for subject to terms of the sponsoring organization or unit. Sponsored Projects may include grants, contracts, and cooperative agreements for research, instruction and training, and other public service activities.

**Supplemental Effort:** is categorized as effort that is outside the scope of IBS, such as one time payments and bonuses that are not required to be certified as part of the IBS salary.

**Supporting Individual:** A non-primary individual who has allocated effort to a sponsored project.
Total Professional Effort: The representation of 100% of an individual’s working time. This representation includes all appointments for an individual such as University, Clinical, and VA time.
Appendix B: Data Element Display Columns

The effort statement can accommodate numerous configurations that enable and disable a multitude of functionality. The effort statement today offers 15 potential columns:

1. Accounts
2. Account Number
3. Average Effort
4. Certified Effort
5. Certified Hours
6. Certify Checkboxes
7. Committed Hours
8. Computed Effort
9. Cost Share
10. Cost Share (for Cost Transfer)
11. Cost Transfer Dollars
12. Cost Transfer Percentage
13. Effort by Category
14. Payroll
15. Profile Cost Share
16. Project Breakdown
17. Required Effort
18. Revised Cost Share
19. Revised Payroll

Within these 19 columns there are 7 columns that may be marked as editable or not editable:

1) Certified Effort
2) Certified Hours
3) Computed Effort
4) Cost Share (for Cost Transfer)
5) Cost Transfer
6) Revised Cost Share
7) Revised Payroll

The effort statement – 19 Columns Defined

1. Accounts – displays the account name as loaded into ecrt. The label of this column value also is displayed in the list of Potential Certifiers & Approvers.
2. Account Number – displays the account number as loaded into ecrt
3. Average Effort – Weighted average of all in-effect commitments for an account during a period of performance; expressed as a percentage
4. Certified Effort – the amount of effort that the certifier enters and attests as a reasonable approximation of his/her effort for the period at issue; entered and displayed as a percentage
5. Certified Hours – the amount of effort that the certifier enters and attests as a reasonable approximation of his/her effort for the period at issue; entered and displayed as hours
6. Certify Checkboxes – used to identify which specific accounts/awards are being certified at the time of completion by the certifier
7. Committed Hours – total hours of all in-effect commitments for an account during a period of performance
8. Computed Effort – the starting point of expected total effort for an account/award for a particular user, calculated based on the effort statement equation; displayed as a percentage
9. Cost Share – summarizes the cost share distribution during the period of performance; displayed as a percentage
10. Cost Share (for Cost Transfer) – amount of a payroll adjustment that will be charged to the institution rather than the sponsor; displayed as a dollar amount; displayed only on the Primary Effort Coordinator’s view of the effort statement that is certified but not yet processed
11. Cost Transfer Dollars – amount of payroll adjustment calculated based on the certifier’s salary, payroll distribution, and Certified Effort; displayed as a dollar amount; displayed only on the Primary Effort Coordinator’s view of the effort statement that is certified but not yet processed
12. Cost Transfer Percentage – amount of payroll adjustment calculated based on the certifier’s salary, payroll distribution, and Certified Effort; displayed as a percentage; displayed only on the Primary Effort Coordinator’s view of the effort statement that is certified but not yet processed
13. Effort by Category – the total effort for a user defined category of effort. This is a subtotal of effort such as sponsored or non-sponsored.
14. Payroll – summarizes the payroll distribution during the period of performance; displayed as a percentage
15. Profile Cost Share – the weighted average of all cost share distributions for the period that were created in the PI Profile; displayed as a percentage
16. Project Breakdown – percent of salary, by account, when more than one account is shown for an award. Project breakdown lines can include cost sharing companion accounts if applicable.
17. Required Effort – displays the amount of effort needed over the remaining periods of performance to meet the in-effect commitment
18. Revised Cost Share – allows user to enter the percentage of cost sharing that should be allocated to an account; compare to the Cost Share column, which displays percentage that was actually allocated.

19. Revised Payroll – allows user to enter the percentage of payroll that should be charged to an account; compare to the Payroll column, which shows percentage that was actually charged.
Appendix C: System Email Messages

The ecrt solution sends a number of system-generated email messages. Many elements of these messages are configurable and are described < >. These emails are listed below.

<table>
<thead>
<tr>
<th>Email</th>
<th>When/How Sent</th>
<th>Recipient</th>
<th>Configurable?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Proxy Created Email</td>
<td>If on, automatically sent when a proxy relationship is established on the Manage Users Page.</td>
<td>Proxy and the employee being assigned the proxy both receive the email.</td>
<td>Subject and text are configurable on the Certification Settings page.</td>
</tr>
<tr>
<td>Proxy Updated Email</td>
<td>If on, automatically sent when a proxy relationship is changed on the Manage Users Page.</td>
<td>Proxy and the employee being assigned the proxy both receive the email.</td>
<td>Subject and text are configurable on the Certification Settings page.</td>
</tr>
<tr>
<td>Proxy Removed Email</td>
<td>If on, automatically sent when a proxy relationship is terminated on the Manage Users Page.</td>
<td>Proxy and the employee formerly assigned the proxy both receive the email.</td>
<td>Subject and text are configurable on the Certification Settings page.</td>
</tr>
<tr>
<td>Pre Review Email Subject and Body</td>
<td>If on, automatically sent based on the &quot;days after the PoP&quot; setting on the Certification Settings page.</td>
<td>Only PECs or all ECs - configurable on the Certification Settings page.</td>
<td>Subject and text are configurable on the Certification Settings page.</td>
</tr>
<tr>
<td>During Period of Performance Email Reminder Subject and Body</td>
<td>If on, automatically sent based on settings on the Certification Settings page.</td>
<td>Only PECs or all ECs - configurable on the Certification Settings page.</td>
<td>Subject and text are configurable on the Certification Settings page.</td>
</tr>
<tr>
<td>Certification Period Opening Email Subject and Body</td>
<td>Automatically sent based on settings on the Certification Settings page.</td>
<td>All individuals with a personal statement(s), CMR statement(s), Proxy Statement(s), or Designee Statement(s)</td>
<td>Subject and text are configurable on the Certification Settings page.</td>
</tr>
<tr>
<td>Certification Period Opening Summary Email</td>
<td>Automatically sent containing a list of the individuals who received the above emails.</td>
<td>All ECs.</td>
<td>Subject and text are configurable on the Certification Settings page (includes list of all individuals that were Auto Approved and list of all individuals to whom the reminder email was sent).</td>
</tr>
<tr>
<td>Reminder Email 1 Subject and Body</td>
<td>If on, automatically sent based on settings in the Certification Settings page.</td>
<td>All individuals with a personal statement(s), CMR statement(s), Proxy Statement(s), or Designee Statement(s)</td>
<td>Subject and text are configurable on the Certification Settings page.</td>
</tr>
<tr>
<td>Reminder Email 1 Summary Email</td>
<td>Automatically sent containing a list of the individuals who received the above emails.</td>
<td>All ECs.</td>
<td>Subject and text are configurable on the Certification Settings page (includes list of all individuals that were Auto Approved and list of all individuals to whom the reminder email was sent).</td>
</tr>
<tr>
<td>Email</td>
<td>When/How Sent</td>
<td>Recipient</td>
<td>Configurable?</td>
</tr>
<tr>
<td>--------------------------------------------</td>
<td>-------------------------------------------------------------------------------</td>
<td>---------------------------------------------------------------------------</td>
<td>----------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Reminder Email 2 Subject and Body</td>
<td>If on, automatically sent based on settings in the Certification Settings page.</td>
<td>All individuals with a personal statement(s), CMR statement(s), Proxy Statement(s), or Designee Statement(s)</td>
<td>Subject and text are configurable on the Certification Settings page.</td>
</tr>
<tr>
<td>Reminder Email 2 Summary Email</td>
<td>Automatically sent containing a list of the individuals who received the above emails.</td>
<td>All ECs.</td>
<td>Subject and text are configurable on the Certification Settings page.</td>
</tr>
<tr>
<td>Reminder Email 3 Subject and Body</td>
<td>If on, automatically sent based on settings in the Certification Settings page.</td>
<td>All individuals with a personal statement(s), CMR statement(s), Proxy Statement(s), or Designee Statement(s)</td>
<td>Subject and text are configurable on the Certification Settings page.</td>
</tr>
<tr>
<td>Reminder Email 3 Summary Email</td>
<td>Automatically sent containing a list of the individuals who received the above emails.</td>
<td>All ECs.</td>
<td>Subject and text are configurable on the Certification Settings page.</td>
</tr>
<tr>
<td>Clinical Activity Reporting Calendar Email</td>
<td>If on, automatically sent based on settings in the Certification Settings page.</td>
<td>Certifiers with an outstanding Clinical Statement.</td>
<td>Subject and text are configurable on the Certification Settings page.</td>
</tr>
<tr>
<td>Payroll Reconciliation Email Notification</td>
<td>If on, automatically sent when a cost transfer is loaded to a historical statement that results in the creation of a PAR task.</td>
<td>Only PECs or all ECs - configurable on the Certification Settings page.</td>
<td>Subject and text are configurable on the Certification Settings page.</td>
</tr>
<tr>
<td>Certification Returned Email Notification</td>
<td>If on, automatically generated when an EC selects the &quot;Return to Certifier&quot; button on the Effort Processing page; user determines whether to send.</td>
<td>Statement Owner, Last Certifier, Statement Owner and All Certifiers - configurable on the Certification Settings page.</td>
<td>Subject and text are configurable on the Certification Settings page.</td>
</tr>
<tr>
<td>Certification Returned Email copies</td>
<td>Automatically sent when a statement is returned to a certifier.</td>
<td>Statements Owner’s PEC only or all ECs - configurable on the Certification Settings page.</td>
<td>Subject and text are configurable on the Certification Settings page.</td>
</tr>
<tr>
<td>Certification Reopened Email Notification</td>
<td>If on, automatically generated when an EC selects the &quot;Return to Certifier&quot; button on the Effort Processing page; user determines whether to send.</td>
<td>Statement Owner, Last Certifier, Statement Owner and All Certifiers - configurable on the Certification Settings page.</td>
<td>Subject and text are configurable on the Certification Settings page.</td>
</tr>
<tr>
<td>Certification Reopened Email copies</td>
<td>Automatically sent when a statement is re-opened.</td>
<td>Statements Owner’s PEC only or all ECs - configurable on the Certification Settings page.</td>
<td>Subject and text are configurable on the Certification Settings page.</td>
</tr>
<tr>
<td>Email</td>
<td>When/How Sent</td>
<td>Recipient</td>
<td>Configurable?</td>
</tr>
<tr>
<td>-------</td>
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<td>---------------</td>
</tr>
<tr>
<td>Data Load Completed Email Notification</td>
<td>Automatically sent at the completion of a data load.</td>
<td>All individuals who were configured to receive this email at the time the application was built for your institution.</td>
<td>Subject is configurable on the Certification Settings page, email text is not configurable.</td>
</tr>
<tr>
<td>Pen and Envelope Icon from Roles and Rights</td>
<td>Manually sent by selecting the Pen and Envelope Icon on the Roles and Rights page.</td>
<td>All individuals assigned to a particular role, depending on which icon is selected.</td>
<td>Subject and text are entered in the pop-up window.</td>
</tr>
<tr>
<td>Pen and Envelope Icon from Department Dashboard Summary Chart</td>
<td>Manually sent by selecting the Pen and Envelope icon next to any of the statuses in the Summary Chart on the Department Dashboard page.</td>
<td>User selects in the pop-up window - Statement Owner, all ECs associated to the statement, only PIs associated to the statement.</td>
<td>Subject and text are entered in the pop-up window.</td>
</tr>
<tr>
<td>Pen and Envelope Icon from Department Dashboard Covered Individuals List</td>
<td>Manually sent by selecting a Pen and Envelope icon from the Covered Individual List on the Department Dashboard page.</td>
<td>All individuals in the Sponsored, Non-Sponsored, Non-Department, or Supplemental sections of the dashboard, depending on which icon is selected.</td>
<td>Subject and text are entered in the pop-up window.</td>
</tr>
<tr>
<td>Pen and Envelope Icon from Executive Dashboard</td>
<td>Manually sent by selecting the Pen and Envelope icon next to any of the statuses in the Summary Chart on the Executive Dashboard page.</td>
<td>User selects in the pop-up window - Statement Owner, all ECs associated to the statement, only PIs associated to the statement.</td>
<td>Subject and text are entered in the pop-up window.</td>
</tr>
</tbody>
</table>
Appendix D: Effort Reporting Rules and Regulations

This appendix is designed to provide the user with the requirements and nuances of effort certification and effort reporting. This may be used in explaining effort reporting to faculty or departmental administrators that are less familiar with the requirements related to effort reporting. We have provided references to Federal guidelines that govern effort reporting and have indicated, where possible, how ecrt addresses these guidelines. In addition, we have provided answers to some frequently asked questions related to effort reporting.

1. Federal regulations

OMB Circular A-21, Section J.10 (Compensation for Personal Services)

Key points of this section that are relevant to effort certification are in the following sections:

(1) General Principles.

(a) The distribution of salaries and wages, whether treated as direct or F&A costs, will be based on payrolls documented in accordance with the generally accepted practices of colleges and universities. Institutions may include in a residual category all activities that are not directly charged to sponsored agreements, and that need not be distributed to more than one activity for purposes of identifying F&A costs and the functions to which they are allocable. The components of the residual category are not required to be separately documented.

(b) The apportionment of employees' salaries and wages which are chargeable to more than one sponsored agreement or other cost objective will be accomplished by methods which will-

   (1) be in accordance with Sections A.2 and C;
   (2) produce an equitable distribution of charges for employee's activities; and
   (3) distinguish the employees' direct activities from their F&A activities.

(c) In the use of any methods for apportioning salaries, it is recognized that, in an academic setting, teaching, research, service, and administration are often inextricably intermingled. A precise assessment of factors that contribute to costs is not always feasible, nor is it expected. Reliance, therefore, is placed on estimates in which a degree of tolerance is appropriate.

(d) There is no single best method for documenting the distribution of charges for personal services. Methods for apportioning salaries and wages, however, must meet the criteria specified in subsection (2). Examples of acceptable methods
are contained in subsection c. Other methods that meet the criteria specified in subsection b.(2) also shall be deemed acceptable, if a mutually satisfactory alternative agreement is reached.

(2) Criteria for Acceptable Methods.

(a) The payroll distribution system will

   (i) be incorporated into the official records of the institution;
   (ii) reasonably reflect the activity for which the employee is compensated by the institution; and
   (iii) encompass both sponsored and all other activities on an integrated basis, but may include the use of subsidiary records.

   (Compensation for incidental work described in subsection a need not be included.)

(b) The method must recognize the principle of after the fact confirmation, or determination so that costs distributed represent actual costs, unless a mutually satisfactory alternative agreement is reached...

Other relevant components of A-21, Section J.10 are summarized below:

- A-21 accepts that there is not a standard method for reporting effort; instead, the regulation states the effort reporting must: "reasonably reflect the activity for which the employee is compensated by the institution." This means that all of the researcher’s effort in teaching, research, service, and administrative activities must be included in the effort report. Sponsored research projects, scholarly activities, mentoring graduate students, service on departmental, college, or university committees or panels, etc. are all part of an employee’s “total institutional effort,” and time spent on these activities must be included on the effort report.

- The signature of the employee or person having direct knowledge of the work, confirming that the record of activities is allocable as direct cost of each sponsor agreement is appropriate.

- To confirm that the distribution of activity represents a reasonable estimate of the work performed by the employee during the period the reports will be signed by the employee, principal investigator, or responsible official(s) using suitable means of verification that the work was performed.
OMB Circular A-110: Uniform Administrative Requirements for Grants and Agreements Sub-Part C.25 Post Award Administration

- A-110 sets forth standards for obtaining consistency and uniformity among federal agencies in the administration of grants to, and agreements with, institutions of higher education, hospitals, and other non-profit organizations.

- Limits the degree of tolerance stated in A-21 above by stating: “the absence for more than three months, or a 25 percent reduction in time devoted to the project by the approved project director or principal investigator” requires the prior approval of the federal sponsoring agency.

- Requires record retention for a period of three years from the date of submission of the final expenditure report.

- Requires that grantee financial management systems provide accurate and current disclosure of financial results of each project, and that the accounting records be supported by source documentation.

- Defines Cost Sharing as:

  “All contributions, including cash and third party in-kind, shall be accepted as part of the recipient's cost sharing or matching when such contributions meet all of the following criteria.

  (1) Are verifiable from the recipient's records.

  (2) Are not included as contributions for any other federally-assisted project or program.

  (3) Are necessary and reasonable for proper and efficient accomplishment of project or program objectives.

  (4) Are allowable under the applicable cost principles.

  (5) Are not paid by the Federal Government under another award, except where authorized by Federal statute to be used for cost sharing or matching.

  (6) Are provided for in the approved budget when required by the Federal awarding agency.

  (7) Conform to other provisions of this Circular, as applicable.”

OMB Circular A-133

Non-Federal entities that expend $500,000 or more in a year in Federal awards are required to have a single or program-specific audit conducted for that year. While A-133 currently has no specific requirements related to effort reporting, the term “level of effort” is mentioned in several different sections of the Circular. Typically, auditors will at least ensure that an effort certification mechanism is in place, and will likely perform some testing to see if (a) effort certifications have been completed for
personnel charging salary to selected sponsored programs, and (b) certifications reflect the appropriate percentage of salary that was ultimately charged to the sponsored program.

2. Frequently Asked Questions related to Effort Reporting

a. What is Effort Certification?
   - Effort Reporting is a reasonable reflection and confirmation of effort expended on specific sponsored research awards and other activities based on the individual’s institutional based time.
   - Effort Reporting is a record of 100% of an individual’s institutional based effort expended over a pre-determined period of time.

b. Why Must We Certify Effort?
   - It is required by Federal Regulations, (for education institutions, specifically ‘OMB Circular A-21, Section J.10, Compensation for Personal Services’).
   - Federal Regulations require that all individuals that are paid from, or have commitments on sponsored projects confirm their institutional based time.
   - Federal Regulations require recipients of federal funding to have a method to document and certify all effort expended on sponsored research and other institutional activities.
   - Effort Reporting proves that effort was expended towards a sponsored project as stated in the proposal.
   - Effort Reporting provides official documentation that can be used during an audit.

c. Why is Effort Reporting important?
   - Labor Charges (effort) represent 60-75% of all expenditures charged to grants.
   - Over-commitments serve as a red flag to auditors.
   - Sponsoring agencies expect those with federal funding to meet their commitments.
   - The Office of the Inspector General has cited effort reporting as an action item in its Work plan since 2005.