OSP Effort Reporting/Payroll Action Team

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  - Phone: (919) 537-3367, email: ddbest@email.unc.edu

- Ryan Saunders, Central Effort Analyst
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- Latoia Smith, Lead Cost Accounting & Central Effort Analyst
  - Phone: (919) 962-6456, email: latoia@email.unc.edu

- J.R. Pike, Cost Accounting & Central Effort Manager
  - Phone: (919) 843-4825, email: james_pike@unc.edu

- Brian Bertlshofer, Director, Cost Analysis and Compliance
  - Phone: (919) 843-4891, email: bertlsbj@email.unc.edu
Overview

- ecrt Screens
- Certification Timeline
- Common Pitfalls
- Best Practices
Dissecting an Effort Statement
Upper Left Box

- Proxy Assignments

<table>
<thead>
<tr>
<th>Name</th>
<th>Major</th>
</tr>
</thead>
<tbody>
<tr>
<td>Aji, Adam Muhammad</td>
<td>Computer Science - 318400</td>
</tr>
<tr>
<td>Best, Andrew Phillip</td>
<td>Computer Science - 318400</td>
</tr>
<tr>
<td>Chisholm, Jeshurun</td>
<td>Computer Science - 318400</td>
</tr>
<tr>
<td>Dunn Rivera, Enrique</td>
<td>Computer Science - 318400</td>
</tr>
<tr>
<td>Heorhiai, Victor</td>
<td>Computer Science - 318400</td>
</tr>
</tbody>
</table>
Upper Right Box

- Effort Coordinator’s Name
- Department Name
- Certifier’s Email Address
- List of Effort Statements

### Effort Coordinator’s Name
- Williams, Annie

### Department Name
- Academic Support P...

### Certifier’s Email Address
- wleeanna@email.unc.edu

### List of Effort Statements

- **Interruption Temporarily Effort Coordinator:** Brian Bertishofer
  - **Base:** 3/30/2017, Building, No Action Required
  - **Base:** 6/26/2016, Certified
## Middle Box

- **Statements that have been Certified**: Who/When Statement was Certified

<table>
<thead>
<tr>
<th>Project IDs</th>
<th>Payroll</th>
<th>Cost Share</th>
<th>Computed Effort</th>
<th>Certified Effort</th>
<th>Certify?</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Sponsored</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>A12-1283 Upward Bound Program University of North Carolina at Chapel Hill</td>
<td>100%</td>
<td>0%</td>
<td>100%</td>
<td>100%</td>
<td></td>
</tr>
<tr>
<td>5032276 Upward Bound Program University of North Carolina at Chapel Hill</td>
<td>100%</td>
<td>0%</td>
<td>100%</td>
<td>100%</td>
<td></td>
</tr>
<tr>
<td><strong>Award Total</strong>:</td>
<td>100%</td>
<td>0%</td>
<td>100%</td>
<td>100%</td>
<td></td>
</tr>
<tr>
<td><strong>Non Sponsored</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>0000000 Non-Sponsored payroll transactions</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td></td>
</tr>
<tr>
<td><strong>Non Sponsored Total</strong>:</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td></td>
</tr>
<tr>
<td><strong>Grand Total</strong>:</td>
<td>100%</td>
<td>0%</td>
<td>100%</td>
<td>100%</td>
<td></td>
</tr>
</tbody>
</table>
Middle Box

- Statements Waiting to be Certified: Proxy information will appear here if employee has a proxy assigned to certify on their behalf.
Middle Box

- Icons for List of Available Reports and PDF of Statement (use this if manual certification is required)
Middle Box

- Icons for List of Available Reports and PDF of Statement (use this if manual certification is required)

![Payroll Report](image_url)

<table>
<thead>
<tr>
<th>ID</th>
<th>Cost Share</th>
<th>Computed Effort</th>
<th>Certified Effort</th>
<th>Certify?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Payroll</td>
<td>71%</td>
<td>0%</td>
<td>71%</td>
<td>71%</td>
</tr>
</tbody>
</table>
Middle Box

- Icons for List of Available Reports and PDF of Statement (use this if manual certification is required)

<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>Linaberger Comprehensive Cancer Center · 426801</td>
<td>426801</td>
<td>0000000 - Non-Sponsored payroll transactions</td>
<td>06/27/2016 to 07/10/2016</td>
<td>$268.40</td>
<td>15%</td>
<td>27110_14101_511190_427801_XXXXXXXX_VYYYY_CC1_CC2_CC3</td>
<td>SPA Employee</td>
<td>Base</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>06/27/2016 to 07/10/2016</td>
<td>$245.50</td>
<td>14%</td>
<td>27110_14101_511190_427801_XXXXXXXX_VYYYY_CC1_CC2_CC3</td>
<td>SPA Employee</td>
<td>Base</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>06/27/2016 to 07/10/2016</td>
<td>($513.70)</td>
<td>-20%</td>
<td>27110_14101_511190_427801_XXXXXXXX_VYYYY_CC1_CC2_CC3</td>
<td>SPA Employee</td>
<td>Base</td>
<td></td>
</tr>
<tr>
<td>Subtotal</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5033763 - SUBACCT: PROJ 3 GOALS</td>
<td>5033763</td>
<td>07/11/2016 to 07/24/2016</td>
<td>07/25/2016 to 06/07/2016</td>
<td>$680.40</td>
<td>48%</td>
<td>25210_46000_514510_427801_5033763_KCCRC_CC1_CC2_CC3</td>
<td>SPA Employee</td>
<td>Base</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>$400.60</td>
<td>25%</td>
<td>25210_46000_514510_426801_5033763_KCCRC_CC1_CC2_CC3</td>
<td>SPA Employee</td>
<td>Base</td>
<td></td>
</tr>
<tr>
<td>Subtotal</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>$1,180.00</td>
<td>71%</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Certifier Total for Period: $1,782.70 | 100%

Total Of All Certifiers: $1,782.70 | 100%
- $ Value link will show the dollars behind the percentages.
List of Sponsored Projects
Computed Effort = what is in payroll
Certified Effort = how employee certified statement
Yellow Circle displays the payroll report for that project ID.
Information Section

- Star Icon indicates more information will be displayed when expanded.
- Transactions log shows timestamp when payroll is loaded (including PAATs) and timestamp of certification.
Information Section

- Star Icon indicates more information will be displayed when expanded.
- Activity log shows timestamp when anyone looks at the statement or saves the statement (if computed effort and certified effort % do not match in pre-review, someone saved the statement that was building during the last certification period - need to reset % in pre-review).
Certifier Makes Changes

The table shows the effort distribution for different projects, with checkboxes for certifying the effort. The projects and their efforts include:

- **Sponsored**
  - A14-0522: North Carolina Translational & Clinical Sciences Institute (NC TraCS) 503787 CTSA Translational &
  - A18-0157: Radial Glial Development and Differentiation 5101524 Radial Glial Development and Differentiation
  - A17-0032: Regulation of the physiologic and pathologic activation of the NLRP3-inflammasome 5104593 Regulation of the physiologic and pathologic activation of the NLRP3-inflammasome

The total efforts are as follows:
- **Award Total**: 100%
- **Computed Effort**: 100%
- **Grand Total**: 100%

The certified efforts are marked with checkboxes:
- **Certified Effort**: 20%
- **55%**: 55%
- **25%**: 25%

The buttons **Certify** and **Save** are visible.
Effort Task is Generated for the PEC

<table>
<thead>
<tr>
<th>Type</th>
<th>Identifier</th>
<th>Name</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Process Certification Statement</td>
<td></td>
<td></td>
<td>01/27/2017 4:21 PM</td>
</tr>
</tbody>
</table>
# How to Process Effort Task

## Process Base Effort Statement (01/01/2016 to 06/30/2016)

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 thresholds, 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:** [Name] on 01/27/2017 4:21 PM

<table>
<thead>
<tr>
<th>Project IDs</th>
<th>Payroll</th>
<th>Cost Share</th>
<th>Computed Effort</th>
<th>Certified Effort</th>
<th>Cost Transfer Dollars</th>
<th>Cost Transfer Percentage</th>
<th>Cost Transfer as % of Cost Share</th>
</tr>
</thead>
<tbody>
<tr>
<td>A14-0523 North Carolina Translational &amp; Clinical Sciences institute (NC TrOSS)</td>
<td>503767 CTSA Translational &amp;</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>$4,225</td>
<td>20%</td>
<td>0.0%</td>
</tr>
<tr>
<td>A16-0157 Radial Glial Development and Differentiation</td>
<td>5101924 Radial Glial Development and Differentiation</td>
<td>100%</td>
<td>100%</td>
<td>100%</td>
<td>$15,844</td>
<td>100%</td>
<td>0.0%</td>
</tr>
<tr>
<td>A17-0032 Regulation of the physiologic and pathologic activation of the NLRP3-inflammasome</td>
<td>5104393 Regulation of the physiologic and pathologic activation of the NLRP3-inflammasome</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>$11,619</td>
<td>55%</td>
<td>30.0%</td>
</tr>
</tbody>
</table>

**Sponsored Total:**
- Payroll: 100%
- Cost Share: 100%
- Computed Effort: 100%
- Certified Effort: 100%
- Cost Transfer Dollars: $0.00
- Cost Transfer Percentage: 0.0%
- Cost Transfer as % of Cost Share: 0.0%

**Grand Total:**
- Payroll: 100%
- Cost Share: 100%
- Computed Effort: 100%
- Certified Effort: 100%
- Cost Transfer Dollars: $0.00
- Cost Transfer Percentage: 0.0%
- Cost Transfer as % of Cost Share: 0.0%

Options:
- Cost Transfer Needed
- Do Not Process
### Calculating a True-Up

#### Work List
- Statements Requiring Certification
  - Neuroscience Center - 428...

#### Effort Statement Instructions
- **Base Effort Period:** 01/01/2016 to 06/30/2016
- **Status:** Certified, Not Processed

#### Project IDs

<table>
<thead>
<tr>
<th>Project IDs</th>
<th>Payroll</th>
<th>Cost Share</th>
<th>Computed Effort</th>
<th>Certified Effort</th>
</tr>
</thead>
<tbody>
<tr>
<td>A14-0523 North Carolina Translational &amp; Clinical Sciences Institute (NC TraCS) 503376/7 CTSA Translational &amp;</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>20%</td>
</tr>
<tr>
<td>A16-0157 Radial Glial Development and Differentiation 5101924 Radial Glial Development and Differentiation</td>
<td>100%</td>
<td>0%</td>
<td>100%</td>
<td>25%</td>
</tr>
<tr>
<td>A17-0032 Regulation of the physiologic and pathologic activation of the NLRP3-Inflammasome 5104393 Regulation of the physiologic and pathologic activation of the NLRP3-Inflammasome</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>55%</td>
</tr>
<tr>
<td><strong>Sponsored Total:</strong></td>
<td><strong>100%</strong></td>
<td><strong>0%</strong></td>
<td><strong>100%</strong></td>
<td><strong>100%</strong></td>
</tr>
<tr>
<td><strong>Grand Total:</strong></td>
<td><strong>100%</strong></td>
<td><strong>0%</strong></td>
<td><strong>100%</strong></td>
<td><strong>100%</strong></td>
</tr>
</tbody>
</table>

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THE UNIVERSITY of NORTH CAROLINA at CHAPEL HILL
Calculating a True-Up

Increased Effort Scenario: Total Salary (21,124.98) X Certified Effort (20%) – Computed Effort ($0.00) = $4225 needs to be **charged** to the grant to true-up 5033787

Decreased Effort Scenario: Total Salary (21,124.98) X Certified Effort (25%) – Computed Effort ($21,124.98) = $15,843.74 needs to be **removed** from the grant to true-up 5101924

The remaining $11,618.74 should be charged to 5104393 ($21,124.98 X 55% = $11,618.74)
Look for icons under the sponsored and non-department sections that indicate changes were made to the statement that will require a PAAT.
Look for icons under the sponsored and non-department sections that indicate changes were made to the statement that will require a PAAT.
Statement Status

- Ready for Certification
- Certified, Not Processed (may require a PAAT)
- Certified, Awaiting Cost Transfer (most likely requires a PAAT)
- Certified
- Building, No Action Required
# Certifier Payroll Summary Report

![Run Report button]![Certifier Payroll Summary Report table]

Results of the Certifier Payroll Summary report are displayed in a scrollable window. Results are displayed 12 months from the selected date.

<table>
<thead>
<tr>
<th>Employee ID</th>
<th>First Name</th>
<th>Last Name</th>
<th>Department</th>
<th>Type</th>
<th>Project ID</th>
<th>Jan($)</th>
<th>Jan (%)</th>
<th>Feb($)</th>
<th>Feb (%)</th>
<th>March($)</th>
<th>March (%)</th>
<th>April($)</th>
<th>April (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>5039738</td>
<td></td>
<td></td>
<td>Medicine-Internal Medicine - 411430</td>
<td>Base</td>
<td>5039738</td>
<td>$1,873.75</td>
<td>10</td>
<td>$1,873.75</td>
<td>10</td>
<td>$1,873.75</td>
<td>10</td>
<td>$1,873.75</td>
<td>10</td>
</tr>
<tr>
<td>5041559</td>
<td></td>
<td></td>
<td></td>
<td>Base</td>
<td>5041559</td>
<td>$1,873.78</td>
<td>10</td>
<td>$1,873.78</td>
<td>10</td>
<td>$1,873.78</td>
<td>10</td>
<td>$1,873.78</td>
<td>10</td>
</tr>
<tr>
<td>5100244</td>
<td></td>
<td></td>
<td></td>
<td>Base</td>
<td>5100244</td>
<td>$1,873.75</td>
<td>10</td>
<td>$1,873.75</td>
<td>10</td>
<td>$1,873.75</td>
<td>10</td>
<td>$1,873.75</td>
<td>10</td>
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<tr>
<td>5101341</td>
<td></td>
<td></td>
<td></td>
<td>Base</td>
<td>5101341</td>
<td>$5,809.07</td>
<td>31</td>
<td>$5,809.07</td>
<td>31</td>
<td>$5,809.07</td>
<td>31</td>
<td>$5,809.07</td>
<td>31</td>
</tr>
<tr>
<td>5104101</td>
<td></td>
<td></td>
<td></td>
<td>Base</td>
<td>5104101</td>
<td>$5,837.30</td>
<td>31</td>
<td>$5,837.30</td>
<td>31</td>
<td>$5,837.30</td>
<td>31</td>
<td>$5,837.30</td>
<td>31</td>
</tr>
<tr>
<td>0000000</td>
<td></td>
<td></td>
<td></td>
<td>Base</td>
<td>0000000</td>
<td>$5,433.70</td>
<td>29</td>
<td>$5,374.37</td>
<td>29</td>
<td>$5,374.37</td>
<td>29</td>
<td>$5,374.37</td>
<td>29</td>
</tr>
</tbody>
</table>

**Base Pay Totals:**

- January: $18,737.80, 100%
- February: $18,737.80, 100%
- March: $18,737.80, 100%
- April: $18,737.80, 100%

**Grand Totals:**

- January: $18,737.80
- February: $18,737.80
- March: $18,737.80
- April: $18,737.80

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**THE UNIVERSITY OF NORTH CAROLINA AT CHAPEL HILL**
Spring 2024: Effort Certification Period: Timeline

- Thursday, February 15, 2024: Pre-Review Begins.
- Friday, March 1, 2024: Certification Period Begins.
- Monday, April 1, 2024: Escalation Period Begins.
- Monday, April 29, 2024: Certification Period Ends at 5pm.
- Friday, May 24, 2024: All True-Ups Due in OSP’s Queue.
Common Pitfalls

- Not monitoring effort tasks on ecrt worklist (only on PEC’s worklist)

- Not researching payroll before making changes to statements

- Not checking non-department employees on dashboard
Consider…

- Effort statements cannot be created after certification period is over.
- Stipends are not considered effort (RNF earn code or 568xxx account code).
- Department is determined by information in global directory.
Best Practices

- Only assign proxies for inactive employees (exception for undergraduate students - see next slide).
- Request employee to certify statement before termination.
  - Send request to ecrt_help@unc.edu to flip statement to *Ready for Certification*, as soon as you are notified that a Certifier is leaving the university, graduating, etc. Such statements should be opened for certification before the period begins.
- Review *Non-Department* statement status on dashboard.
- Monitor worklist in ecrt.

ASK QUESTIONS! ecrt_help@unc.edu
Updates to Proxy Assignments

- At the discretion of the department, an appropriate proxy may be assigned for undergraduate students, regardless of employment status in ConnectCarolina.
- PECs cannot be assigned as a proxy.
- A proxy must have first hand knowledge of how the employee spent their time.
Certifiers that are fully funded by non-federal clinical trials and/or non-sponsored sources will not be required to certify an effort statement.
Non-Federal Clinical Trials on Statement

<table>
<thead>
<tr>
<th>Project IDs</th>
<th>Sponsored</th>
<th>Payroll</th>
<th>Cost Share</th>
<th>Computed Effort</th>
<th>Certified Effort</th>
<th>Payroll</th>
<th>Cost Share</th>
<th>Computed Effort</th>
<th>Certified Effort</th>
</tr>
</thead>
<tbody>
<tr>
<td>A10-1220</td>
<td>Home Collected Blood Spots to Increase HPV Test Frequency among Young Black MSM</td>
<td>50%</td>
<td>15%</td>
<td>65%</td>
<td>65%</td>
<td>50%</td>
<td>15%</td>
<td>65%</td>
<td>65%</td>
</tr>
<tr>
<td>A17-0395</td>
<td>UNC/Emory Center for Innovative Technology (Tech) across the prevention and care continuum</td>
<td>10%</td>
<td>0%</td>
<td>10%</td>
<td>10%</td>
<td>10%</td>
<td>0%</td>
<td>10%</td>
<td>10%</td>
</tr>
</tbody>
</table>

**Sponsored Total:**

<table>
<thead>
<tr>
<th>Award Total</th>
<th>Payroll</th>
<th>Cost Share</th>
<th>Computed Effort</th>
<th>Certified Effort</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>60%</td>
<td>15%</td>
<td>75%</td>
<td>75%</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Non-Sponsored</th>
<th>Payroll</th>
<th>Cost Share</th>
<th>Computed Effort</th>
<th>Certified Effort</th>
</tr>
</thead>
<tbody>
<tr>
<td>Non-Sponsored</td>
<td>23%</td>
<td>0%</td>
<td>23%</td>
<td>23%</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Protocol</th>
<th>Payroll</th>
<th>Cost Share</th>
<th>Computed Effort</th>
<th>Certified Effort</th>
</tr>
</thead>
<tbody>
<tr>
<td>M14-750</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

WARNING - You cannot certify this Effort Statement because you only have the right to save other users' Statements.
INFO - This Effort Statement cannot be certified because it is in the Building, No Action Required status.

THE UNIVERSITY of NORTH CAROLINA at CHAPEL HILL
Other

- Please add Notes to payroll actions - especially PAATs.

- If Certifiers are having trouble accessing the ecrt system, the issue may be related to registration for Duo 2-step verification. The following links will allow the user to register for Duo to access ecrt. If further issues are encountered, contact ecrt_help@unc.edu

https://its.unc.edu/onyen-services/ (Registration)
https://help.unc.edu/help/duo/ (Registration Help & Support)
Additional Effort Coordinator Responsibilities

- During the period of performance, the departmental Effort Coordinator (EC) is expected to regularly review, with the Certifier (at least monthly), salary charges and cost share for all sponsored projects.

- The PEC should ensure all salary charges and cost share are accurate in accordance with committed effort.

- If a discrepancy is noted between salary charges and cost share and expended effort, the departmental Effort Coordinator is responsible for affecting the appropriate adjustment(s) in ConnectCarolina.
Additional Effort Coordinator Responsibilities

- Shortly after the conclusion of the effort reporting period of performance, the departmental Effort Coordinator will receive a notification to access the eCRT system and **Pre-Review** the statements of all Certifiers in his/her dept. to ensure committed salary charges and cost share are consistent (based on prior discussions with the Certifier during the period of performance).

- If adjustments are necessary, the Effort Coordinator should make the adjustments to the certified effort percentages on the statement and follow-up with corresponding adjustments in ConnectCarolina.
Additional Effort Coordinator Responsibilities

- During the certification period, the EC is responsible for ensuring the timely certification of all statements by Certifiers assigned to his/her department, and for effecting appropriate adjustments in ConnectCarolina if changes are made to the statement by the Certifier.

- All adjustments in ConnectCarolina must be completed within 30 days after the end of the certification period to **True-up** variances between the certified and calculated (computed) effort percentages.

- The departmental EC is also responsible for informing the OSP Central Effort Manager if he/she leaves the university or moves to another position within the university (and will no longer be serving as the department’s EC).