

Effort Certification



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Employees who don't have IRIS access can use IRIS Web Portal to certify their effort.

Effort Certification

- What is Effort Certification
 - Effort certification is the process of verifying that appropriate salary and wage expenses were charged to sponsored grants and contracts.
 - Effort certification also provides evidence of committed effort expended on sponsored projects that may or may not have been charged to the sponsor.
- Why must effort must certified?
 - As a condition to receive federal funding, the OMB Uniform Guidance requires institutions to maintain a stringent framework of **internal controls** to provide reasonable assurance that personnel charges are **accurate, allowable, and properly allocated**. The university uses as its internal control system the effort certification process to document after-the-fact work performance records for payroll distribution.
 - OMB Uniform Guidance §200.308 (c) states that recipients shall request prior approvals from Federal awarding agencies if there is a:
 - Change in a key person specified in the application or award document, or
 - Twenty-five percent reduction in effort devoted to the project or a disengagement for more than three months by the approved project director or principal investigator.

Link: <https://universitytennessee.policylech.com/dotNet/documents/?docid=45>

Effort Certification

- Who must certify effort?
 - Every monthly paid **exempt** employee who has committed work on a sponsored grant or contract, whether paid or unpaid, must certify his/her effort.
- When must effort be certified?
 - If an exempt employee has a Sponsored Project R account in his/her cost distribution then a monthly automated email will be generated to remind the employee to certify effort. Whether or not an email message is received, an employee who has committed work on a sponsored project has the responsibility for certifying his/her effort.
 - Effort should be certified regularly after the work has been performed, preferably the month after. At a minimum, effort must be certified within 30 days of the end of each semester or within 30 days after the sponsored grant or contract end date, whichever is earlier.
- How do I certify effort?
 - The university has provided two methods to accomplish effort certification: Individual PI certification on the web and Departmental certification via IRIS.
 - The individual employee or a supervisor with first-hand knowledge of all of an employee's effort can certify effort for the employee. Normally, the individual should certify for themselves. However, some departments may have designated a departmental administrator to enter the effort directly into IRIS. Departmental administrators do not have first-hand knowledge of all of an employee's effort; therefore, appropriate written documentation from the employee must be on file in the department to support the effort entered.

IMPORTANT WEBSITES

Fiscal Policy:

<https://universitytennessee.policytech.com/>



IRIS Help:

<https://irishelp.tennessee.edu/gm/workplace>

IRIS Web Portal:

<https://iris.tennessee.edu/my-iris-web-portal/>

- Great Resources
- Searchable
- Tutorials in IRIS Help

Effort Certification for Departments

ZECR_Enter Effort Certification transaction

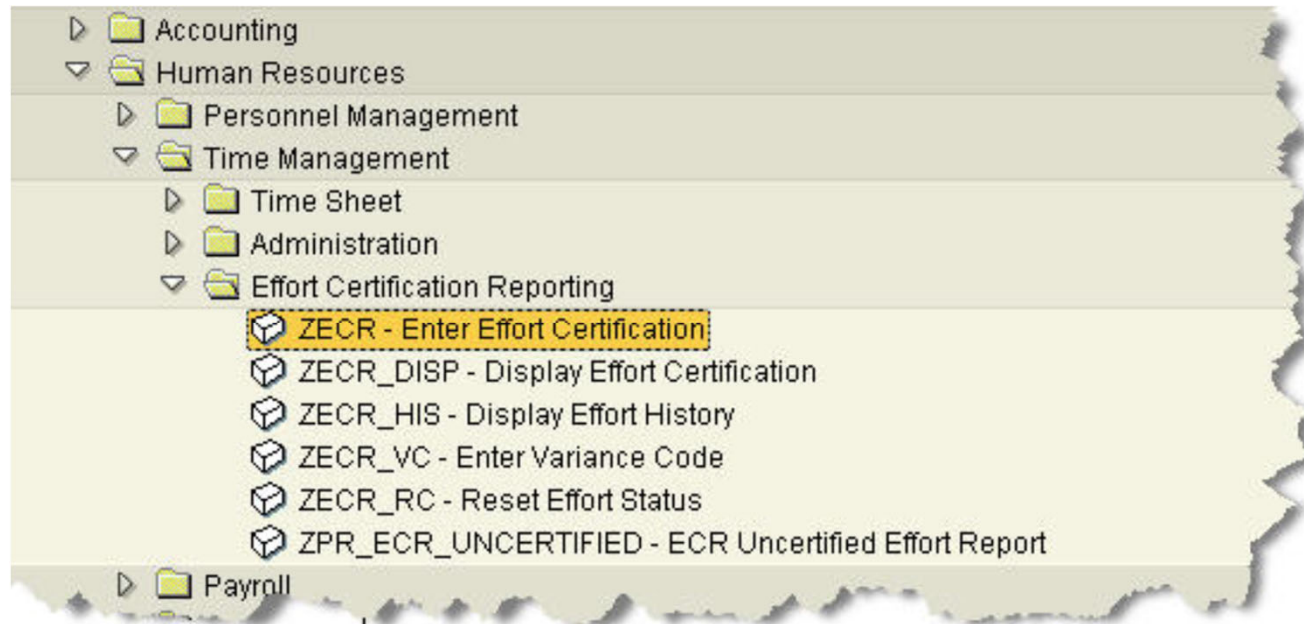
- allows the addition of new distributions, the deletion of existing distributions and the editing of several fields for existing distributions.
- should be used if you need to enter the effort or if you need to change information (other than variance codes) that has already been entered.
- will allow you to create an ECR record for a person who was not paid on a fund that requires effort certification during the certification period but who did spend effort on a project.
- also used to certify Additional Pay effort.

Effort Certification for Departments

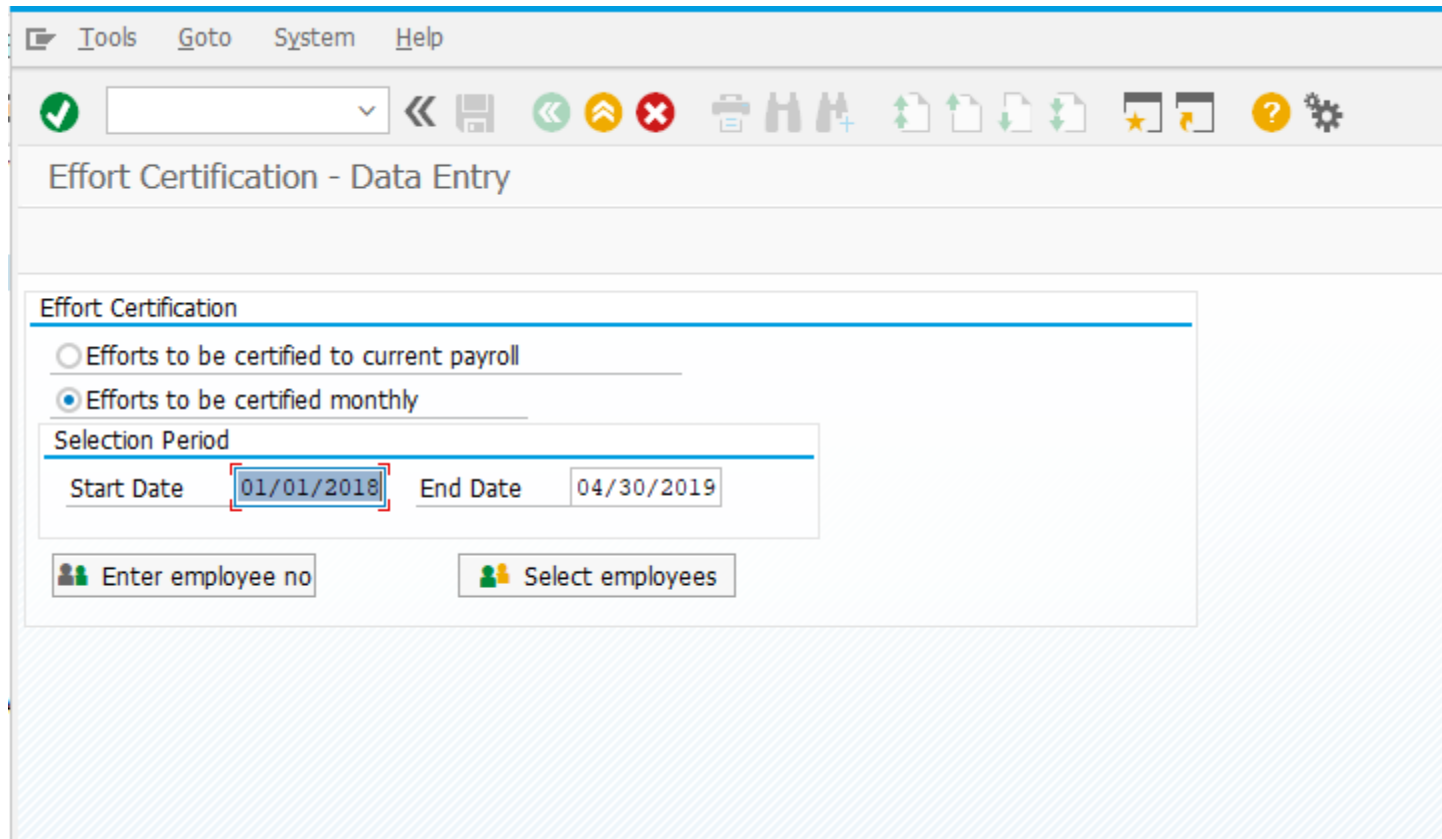
- If effort is certified on the website, the effort certification record will be posted directly into IRIS without approval by the department head if the following two conditions are met:
 - the percentage of new cost entered exactly matches the percentage of old cost for each salary source, and
 - the percentage of new cost and percentage of effort are exactly equal, or they are within 4.9 percentage points of each other and a variance code of A has been entered.
- These records will appear in both of the ZECR transactions for 14 days after the certification date in case they need to be edited.
- All of the screens shown are based on the test system. Some of the screens may be slightly different when you see them. Any known change between the two systems is noted in the manual.

Effort Certification for Departments

ZECR_ Enter Effort Certification IRIS Transaction



ZECR – Effort Certification – Data Entry



The screenshot shows a web browser window with the following elements:

- Browser tabs: Tools, Goto, System, Help
- Toolbar: A series of icons including a checkmark, a dropdown menu, navigation arrows, a printer, a refresh icon, a star, and a gear.
- Page Title: Effort Certification - Data Entry
- Form Section: Effort Certification
 - Radio buttons for selection:
 - Efforts to be certified to current payroll
 - Efforts to be certified monthly
 - Selection Period section:
 - Start Date: 01/01/2018
 - End Date: 04/30/2019
 - Buttons:
 - Enter employee no (with a person icon)
 - Select employees (with a group of people icon)

Effort Certification - Data Entry


Effort Certification

Efforts to be certified to current payroll

Efforts to be certified monthly

Selection Period

Start Date 01/01/2

 Enter employee no

Personnel number

Personnel number

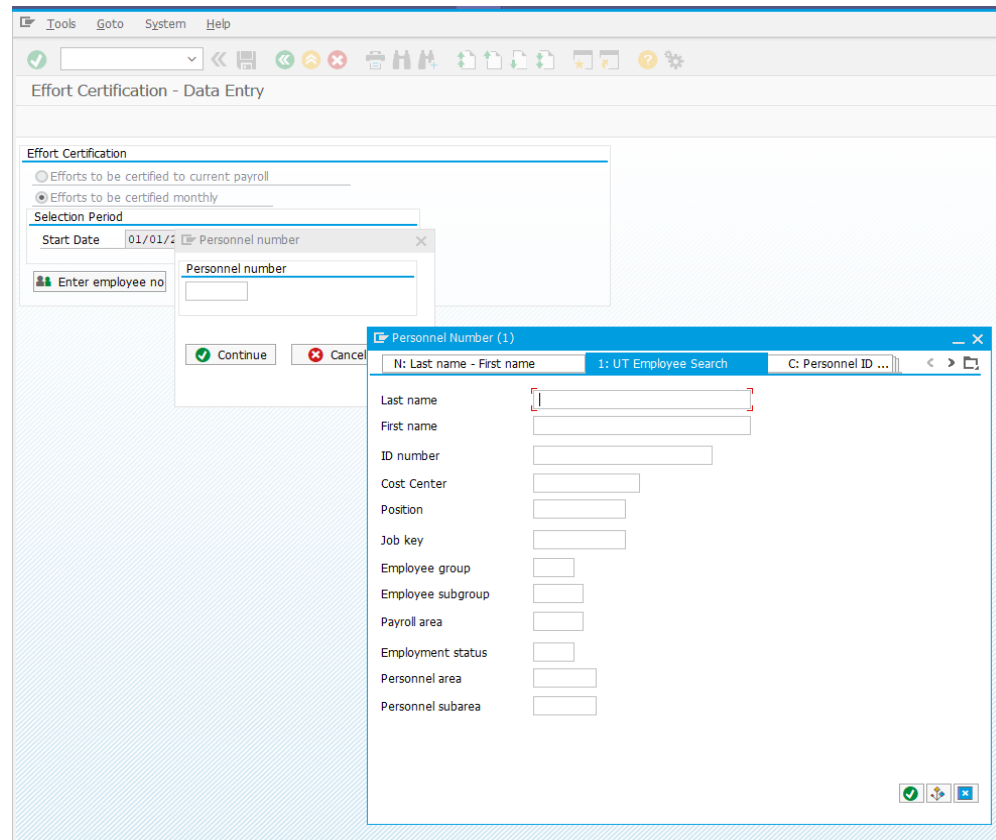
Continue Cancel

Click "Enter employee no"

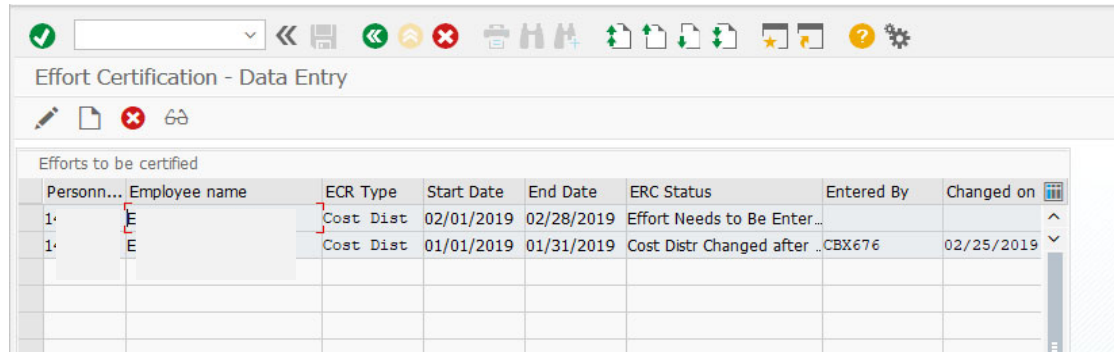
When the box appears enter in the "Personnel Number" and click Continue.

If you don't know the personnel # you can search by clicking on the matchbox

When you click the Matchbox this screen will appear and you can search:

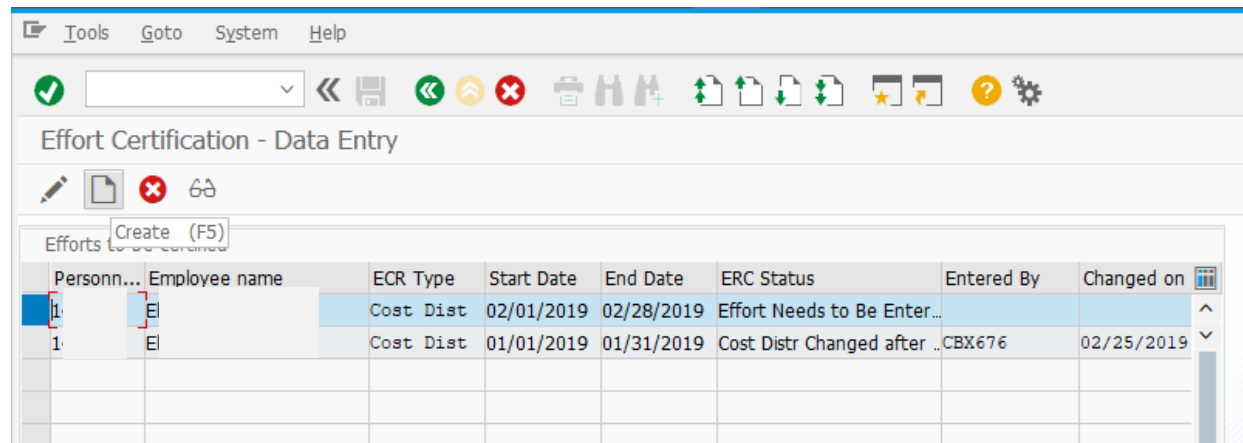


A list will pull up like this:



Personn...	Employee name	ECR Type	Start Date	End Date	ERC Status	Entered By	Changed on
1:	E	Cost Dist	02/01/2019	02/28/2019	Effort Needs to Be Enter...		
1:	E	Cost Dist	01/01/2019	01/31/2019	Cost Distr Changed after ..CBX676	CBX676	02/25/2019

Select the record you need to certify:



Personn...	Employee name	ECR Type	Start Date	End Date	ERC Status	Entered By	Changed on
1:	E	Cost Dist	02/01/2019	02/28/2019	Effort Needs to Be Enter...		
1:	E	Cost Dist	01/01/2019	01/31/2019	Cost Distr Changed after ..CBX676	CBX676	02/25/2019

Certifying Effort already split...

Infotype Edit Goto Extras System Help

Create Effort Certification Save (Ctrl+S)

14 E11 Monthly Active Not on Leave

R Regular 01 Faculty - 9 month Subarea 1040 Chattanooga Empl. % 100.00

Position 20029308 Professor Job Professor E0

From 04/01/2019 To 04/30/2019

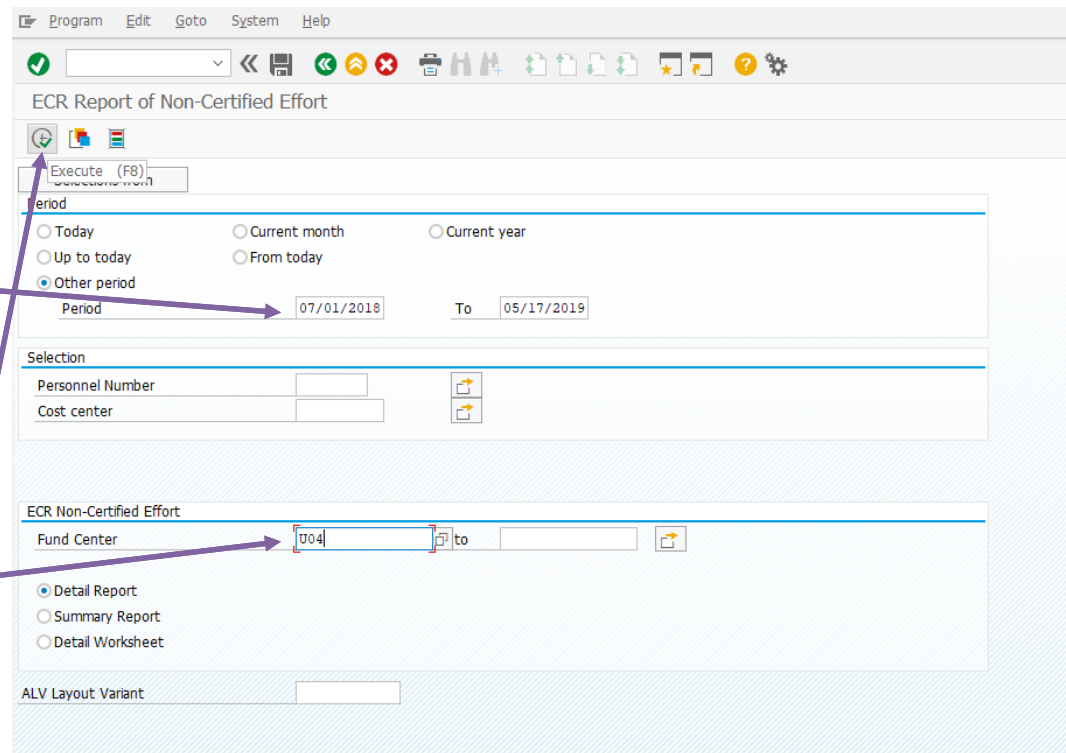
ECR Status: Effort Entered-No PR Upd.

Position	Position Text	Co...	Bu...	Cost Center	WBS Element	Cost Object Name	W...	CST ...	NCS PCT	ECR PCT	VRC...	PR UPD
20029308	Professor	UT	1104	E0		Sc	1REG	62.50	62.50	62.50		
20029308	Professor	UT	1104	E0		ED	1REG	25.00	25.00	25.00		
20029308	Professor	UT	2104		R04	AA	1REG	12.50	12.50	12.50		

Note: An orange callout box with arrows pointing to the NCS PCT and ECR PCT columns contains the text: "If effort matches the NCS PCT column then enter same numbers in the ECR PCT column."

ZPR_ECR_UNCERTIFIED - Uncertified Effort Report

Use this report to see who in your area needs to certify effort.



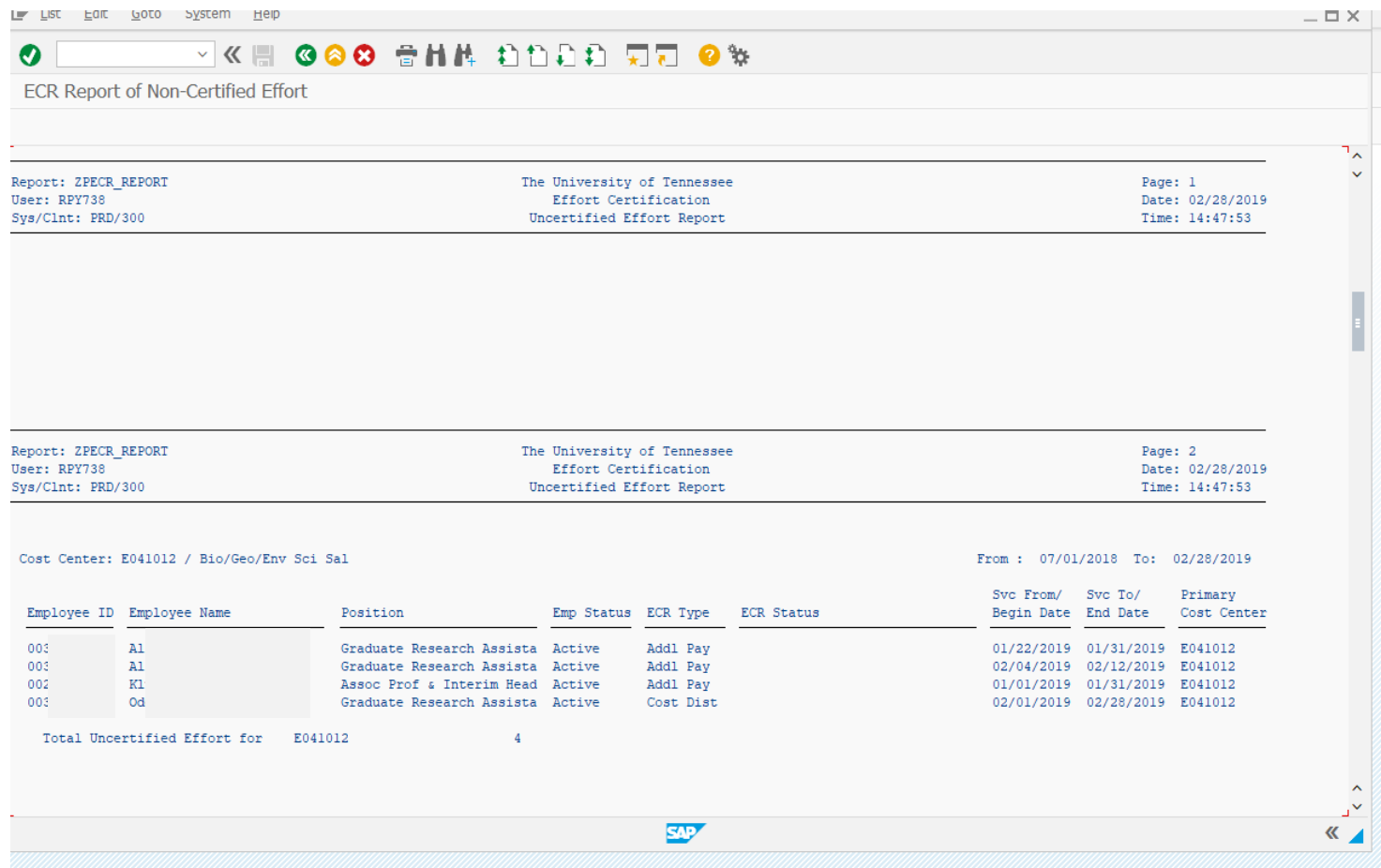
The screenshot shows the SAP ZPR_ECR_UNCERTIFIED report interface. The title bar reads "Program Edit Goto System Help". Below the title bar is a toolbar with various icons. The main window title is "ECR Report of Non-Certified Effort". The interface includes an "Execute (F8)" button, a "Period" section with radio buttons for "Today", "Current month", "Current year", "Up to today", and "From today", and a selected "Other period" option with date input fields for "Period" (07/01/2018) and "To" (05/17/2019). There is a "Selection" section with input fields for "Personnel Number" and "Cost center". Below that is the "ECR Non-Certified Effort" section with a "Fund Center" input field containing "004" and a "to" field. At the bottom, there are radio buttons for "Detail Report" (selected), "Summary Report", and "Detail Worksheet", and an "ALV Layout Variant" input field.

1. Enter a date range

2. Enter responsible fund center
(departmental U account)

3. Click the Execute Icon
(the clock)

A list will pull up like the one below. You may need to scroll down if you are looking up more than one account. This list tells you who's left that needs to be certified:



ECR Report of Non-Certified Effort

Report: ZPECR_REPORT The University of Tennessee Page: 1
 User: RPY738 Effort Certification Date: 02/28/2019
 Sys/Clnt: PRD/300 Uncertified Effort Report Time: 14:47:53

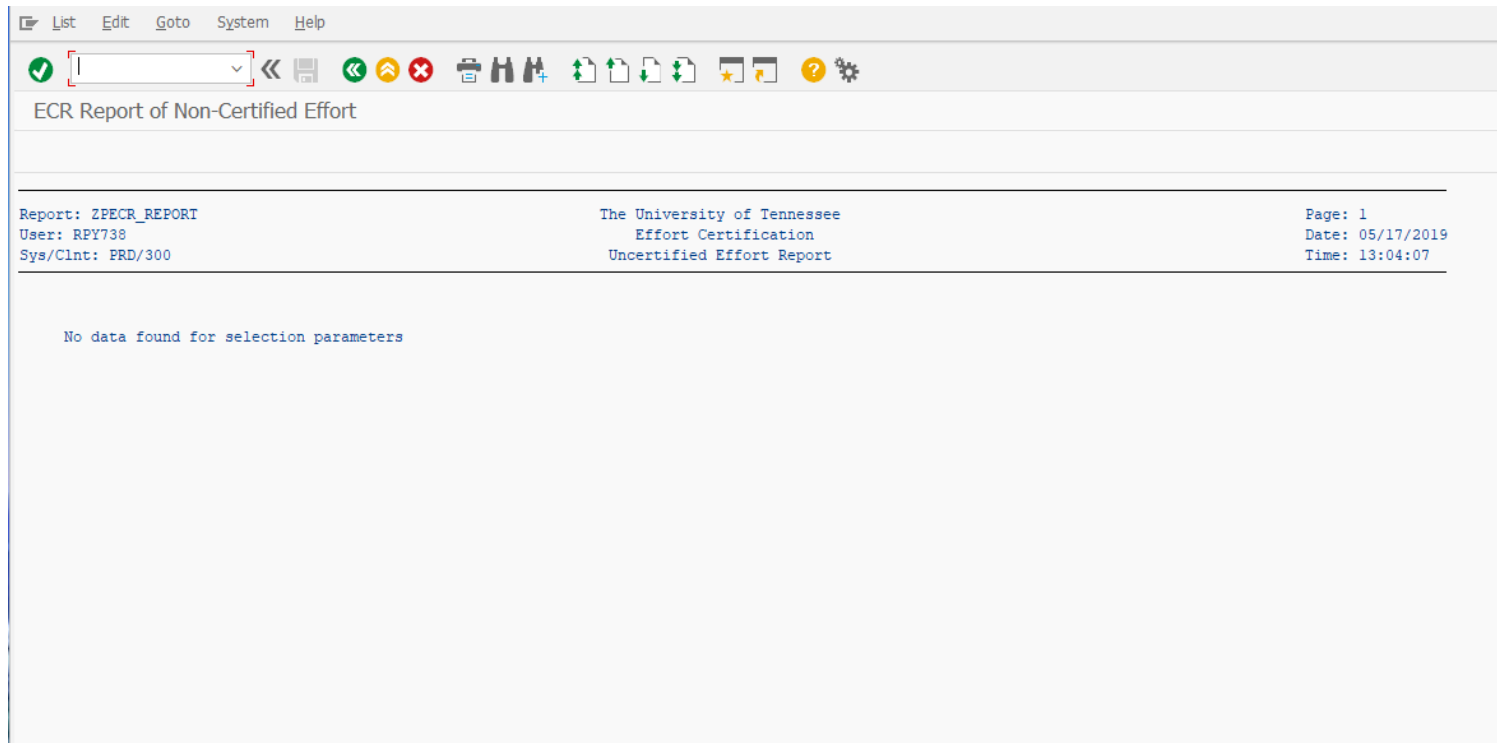
Report: ZPECR_REPORT The University of Tennessee Page: 2
 User: RPY738 Effort Certification Date: 02/28/2019
 Sys/Clnt: PRD/300 Uncertified Effort Report Time: 14:47:53

Cost Center: E041012 / Bio/Geo/Env Sci Sal From : 07/01/2018 To: 02/28/2019

Employee ID	Employee Name	Position	Emp Status	ECR Type	ECR Status	Svc From/ Begin Date	Svc To/ End Date	Primary Cost Center
003	A1	Graduate Research Assista	Active	Addl Pay		01/22/2019	01/31/2019	E041012
003	A1	Graduate Research Assista	Active	Addl Pay		02/04/2019	02/12/2019	E041012
002	K1	Assoc Prof & Interim Head	Active	Addl Pay		01/01/2019	01/31/2019	E041012
003	Od	Graduate Research Assista	Active	Cost Dist		02/01/2019	02/28/2019	E041012
Total Uncertified Effort for		E041012	4					

SAP

If there's no Effort to be certified the report will look like this:



The screenshot shows a web application interface for an ECR Report of Non-Certified Effort. The interface includes a menu bar with 'List', 'Edit', 'Goto', 'System', and 'Help'. Below the menu is a toolbar with various icons for navigation and actions. The main content area displays the report title 'ECR Report of Non-Certified Effort' and a message: 'No data found for selection parameters'. The footer contains report details: 'Report: ZPECR_REPORT', 'User: RPY738', 'Sys/Clnt: PRD/300', 'The University of Tennessee', 'Effort Certification', 'Uncertified Effort Report', 'Page: 1', 'Date: 05/17/2019', and 'Time: 13:04:07'.

ECR Report of Non-Certified Effort

Report: ZPECR_REPORT
User: RPY738
Sys/Clnt: PRD/300

The University of Tennessee
Effort Certification
Uncertified Effort Report

Page: 1
Date: 05/17/2019
Time: 13:04:07

No data found for selection parameters

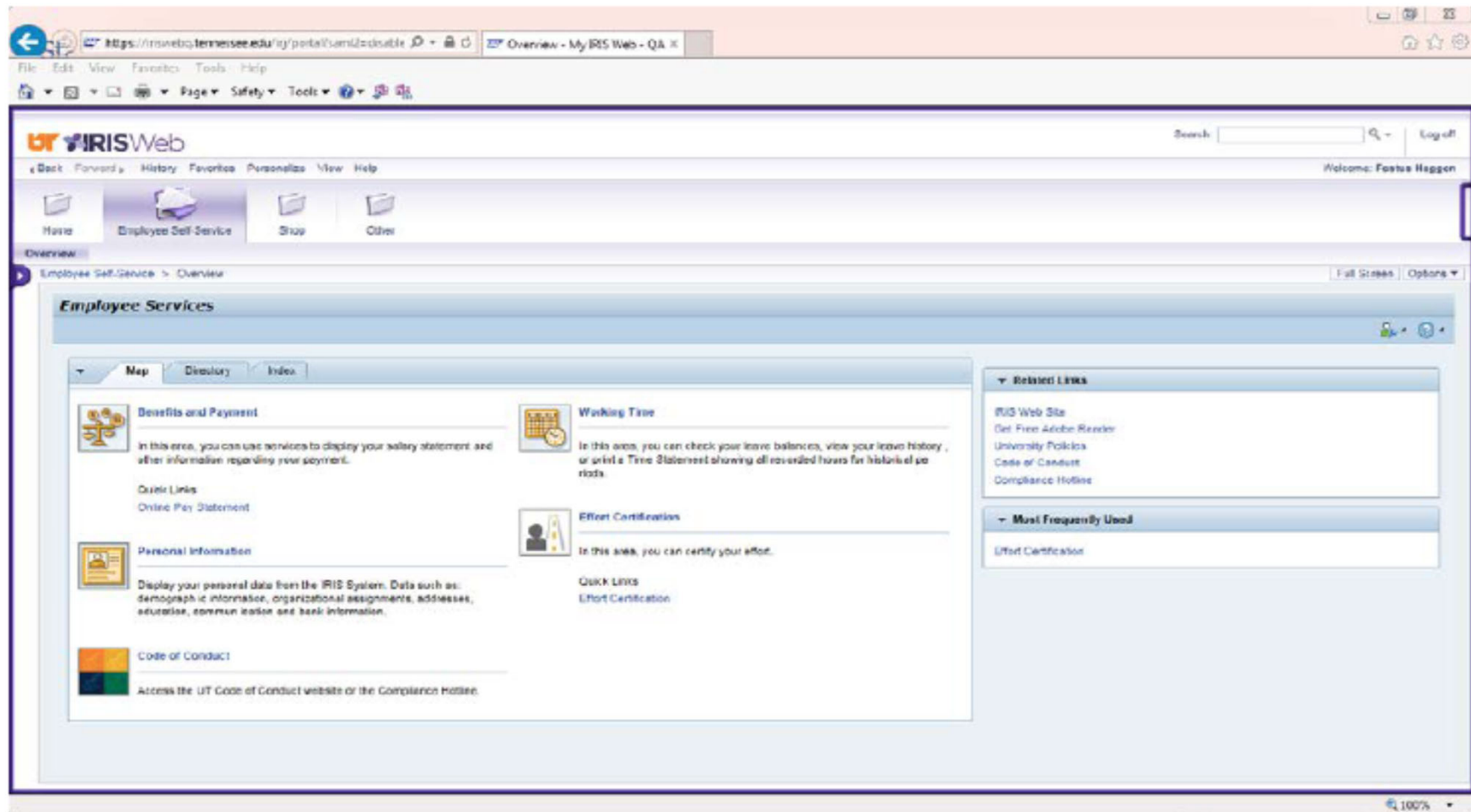
Employee Self-Service Certifying Effort

For Certifying Effort to verify percentage of time worked:

Certification of time confirms that the sponsored project charged and amount previously approved are correct, that any requirements for the time worked have been met, and that you have received payment.

1. Log into the IRIS Web Portal <https://iris.tennessee.edu/> and click on IRIS Web Portal on the right hand side and navigate to *Effort Certification* to view your *Efforts List*. Use your UTC ID and password to login.
2. Click the selection box for the “Addl Pay” *ECR type* line.


Select **Employee Self-Service (ESS)** from the group of folders at the top of the screen.



The screenshot shows a web browser window displaying the IRIS Web portal. The address bar shows the URL <https://irisweb.tennessee.edu/portal/saml2/disable>. The browser's menu bar includes File, Edit, View, Favorites, Tools, and Help. The toolbar shows navigation icons and a search bar. The portal header includes the IRIS Web logo, a search bar, and a "Log off" link. Below the header, there are navigation tabs: Home, Employee Self-Service (highlighted), Shop, and Other. The main content area is titled "Employee Services" and contains several service tiles: Benefits and Payment, Working Time, Personal Information, Effort Certification, and Code of Conduct. A "Related Links" section on the right lists: IRIS Web Site, Get Free Adobe Reader, University Policies, Code of Conduct, and Compliance Notices. A "Most Frequently Used" section lists: Effort Certification. The browser's status bar at the bottom right shows "100%".

Effort Certification - My IRIS Web - DEV - Windows Internet Explorer

Change Effort

THE UNIVERSITY of TENNESSEE 

Name: Whelan, Jay G **Begin Date:** 05/01/2013 **End Date:** 05/31/2013
Pernr: 00100063 **Changed on:** **Changed by:** **Status:** Effort Needs to be Entered

Effort Distributions Detail

Posillon	Posillon Text	Cost Center	WBS Element	Cost Center / WBS Description	Wage Type	Cost %	New Cost %	ECR %	Variance
20001407	Professor & Head	E011770		NUTRITION	1ADA	2.19	2.19		▼
20000032	Professor	E111605		ANIMAL SCIENCE	1REG	25.50	25.50		▼
20001407	Professor & Head	E125315		FAMILY&CONSUMER SCIE	1ADA	1.64	1.64		▼
20000032	Professor		R084005024	ROBERT H COLE CHAIR	1REG	61.93	61.93		▼
20000032	Professor	E125315		FAMILY&CONSUMER SCIE	1REG	5.83	5.83		▼
20000032	Professor		R011405030	ACCOUNTING DEVELOPME	1REG	0.73	0.73		▼
20000032	Professor		R011405027	ERNST & YOUNG PROFES	1REG	2.18	2.18		▼
Total:						100.00	100.00	0.00	

Comments: (limit 3000 characters)

Certification Statement

By submitting this information, you are certifying that you have reviewed your distribution of salary payments for the period shown and certify, with first hand knowledge, all work performed as represented by your percent of effort entered.

By checking you agree to the above Certification Statement

Fill out the ECR % with the correct percentages of effort.

At the bottom check the box agreeing to the above certification statement.

Once the box is checked the submit button becomes active as shown on the next slide.

Effort Certification - My IRIS Web - DEV - Windows Internet Explorer

Change Effort THE UNIVERSITY of TENNESSEE **UT**

Name: Whelan, Jay G **Begin Date:** 05/01/2013 **End Date:** 05/31/2013
Pernr: 00100083 **Changed on:** **Changed by:** **Status:** Effort Needs to be Entered

Effort Distributions Detail

Position	Position Text	Cost Center	WBS Element	Cost Center / WBS Description	Wage Type	Cost %	New Cost %	ECR %	Variance	Payroll Upd
20001407	Professor & Head	E011770		NUTRITION	1ADA	2.19	2.19	2.19		<input type="checkbox"/>
20000032	Professor	E111805		ANIMAL SCIENCE	1REG	25.50	25.50	25.50		<input type="checkbox"/>
20001407	Professor & Head	E125315		FAMILY&CONSUMER SCIE	1ADA	1.64	1.64	1.64		<input type="checkbox"/>
20000032	Professor		R084005024	ROBERT H COLE CHAIR	1REG	61.93	61.93	61.93		<input type="checkbox"/>
20000032	Professor	E125315		FAMILY&CONSUMER SCIE	1REG	5.83	5.83	5.83		<input type="checkbox"/>
20000032	Professor		R011405030	ACCOUNTING DEVELOPME	1REG	0.73	0.73	0.73		<input type="checkbox"/>
20000032	Professor		R011405027	ERNST & YOUNG PROFES	1REG	2.18	2.18	2.18		<input type="checkbox"/>
Total:						100.00	100.00	100.00		

Comments: (limit 3000 characters)

Certification Statement

By submitting this information, you are certifying that you have reviewed your distribution of salary payments for the period shown and certify, with first hand knowledge, all work performed as represented by your percent of effort entered.

By checking you agree to the above Certification Statement

Once you have entered the ECR%'s for the selected time, click the box agreeing to the certification and the submit button will become active. Click submit to send it through workflow for approvals.

Employee Self-Service Certifying Effort

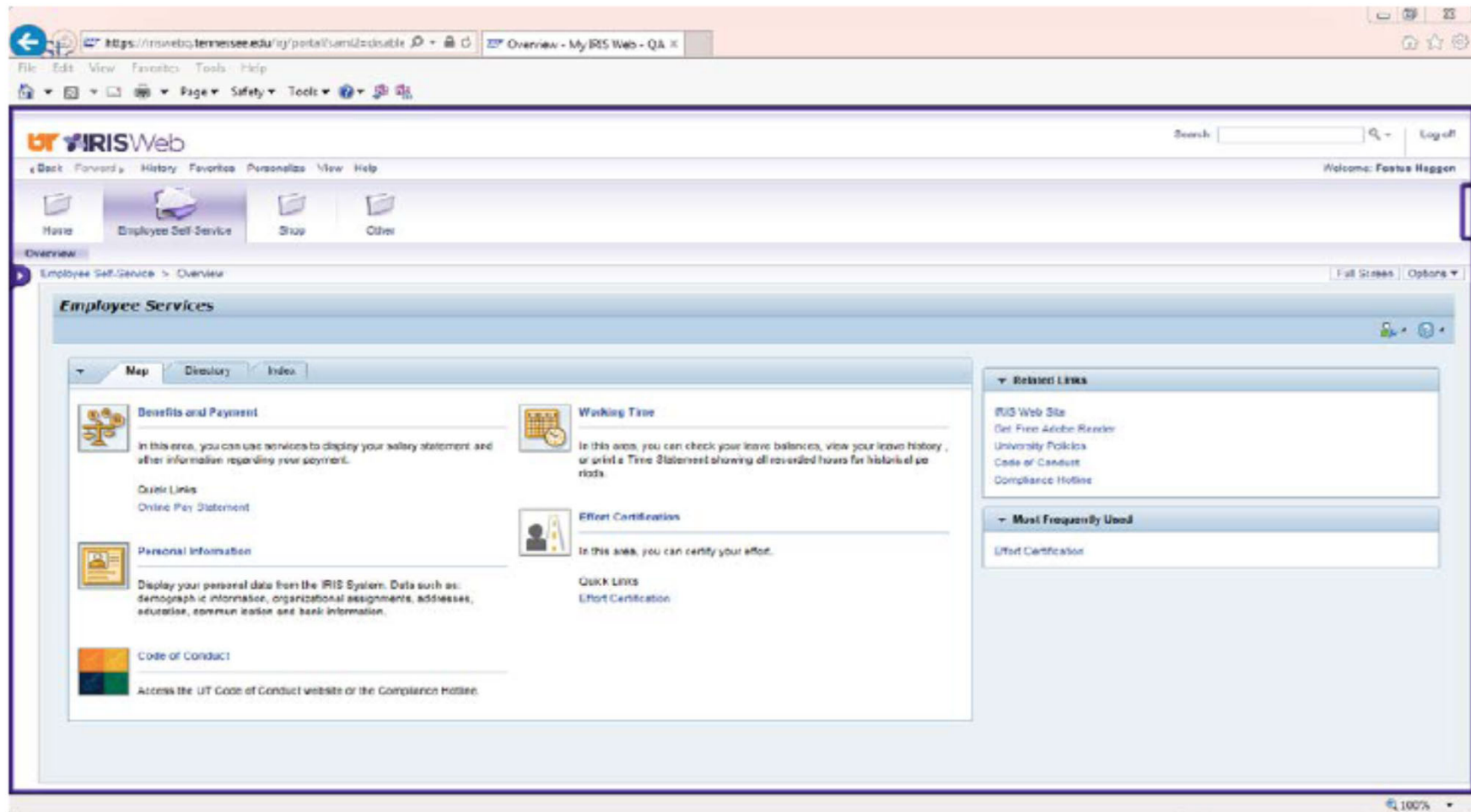
For Certifying Additional Pay:

Persons who work on a sponsored project that requires certification of effort must certify specific *Additional Pay* wage types charged to that sponsored project, effective May 1, 2018.

Certification of the additional pay confirms that the sponsored project charged and amount previously approved are correct, that any requirements for the additional pay have been met, and that you have received payment.

1. Log into the IRIS Web Portal <https://iris.tennessee.edu/> and click on IRIS Web Portal on the right hand side and navigate to *Effort Certification* to view your *Efforts List*. Use your UTC ID and password to login.
2. Click the selection box for the “Addl Pay” *ECR type* line.

Select **Employee Self-Service (ESS)** from the group of folders at the top of the screen.



The screenshot shows a web browser window displaying the IRIS Web portal. The address bar shows the URL <https://irisweb.tennessee.edu/portal/saml2/disable>. The browser's menu bar includes File, Edit, View, Favorites, Tools, and Help. The toolbar shows navigation icons and a search bar. The portal header includes the IRIS Web logo, a search bar, and a "Log off" button. Below the header, there is a navigation bar with "Home", "Employee Self-Service", "Shop", and "Other" folders. The "Employee Self-Service" folder is highlighted with a blue border. The main content area is titled "Employee Services" and contains several service tiles: "Benefits and Payment", "Working Time", "Personal Information", "Effort Certification", and "Code of Conduct". A "Related Links" section on the right lists "IRIS Web Site", "Get Free Adobe Reader", "University Policies", "Code of Conduct", and "Compliance Notices". A "Most Frequently Used" section lists "Effort Certification". The browser's status bar at the bottom indicates 100% zoom.

Close Window Display Effort Certify Effort Refresh List Select: List Efforts Requiring Certification

Efforts to Certify:

Name	ECR Type	Start Date	End Date	Status	Changed on	Changed by
Smith, Joe	Cost Dist	05/01/2018	05/31/2018	Effort Needs to be Entered		
Smith, Joe	Addl Pay			Pay Needs To Be Certified		

3. Click



4. Each line of additional pay requires certification. In the *Certified* column, select “Yes”, “No”, or leave the field blank.

Return Save


Effort Certification (Additional Pay)

Fund	Wage Type	Service from:	Service to:	Amount	Certified	Changed On	Entered By
E112602	2ADL	01/01/2018	05/31/2018	100.00			

Select “Yes” in the *Certified* column if you met the requirements for the additional pay, have received payment, and there were no changes to funding or amount of the additional pay since it was approved.

- Leave the *Certified* column blank if research is needed to confirm information before certifying or if you haven't received payment yet. The additional pay record will be available for certification when you return to the screen.
- Select "No" in the *Certified* column if information is incorrect, if the wrong sponsored project has been charged, or you did not receive the correct payment. A system generated email will be sent to the bookkeeper of the sponsored project where the additional pay was charged.

5. Click  to save the changes made to the *Certified* status.

6. Click  to navigate back to additional records requiring certification.

Additional Pay effort certifications marked as "Yes" are now complete. No additional approval is required.

Additional Pay effort certifications left blank or marked as "No" will continue to appear in your *Efforts List* screen and on the **ZPR_ECR_UNCERTIFIED – ECR Uncertified Effort Report** run by your departmental staff until any issues are corrected and the additional pay is certified "Yes".



QUESTIONS?

