Effort Certification

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Bridges Beyond the Classroom

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Departmental entry of Effort Certification

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Check to see who in your area hasn't certified effort

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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.policytech.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
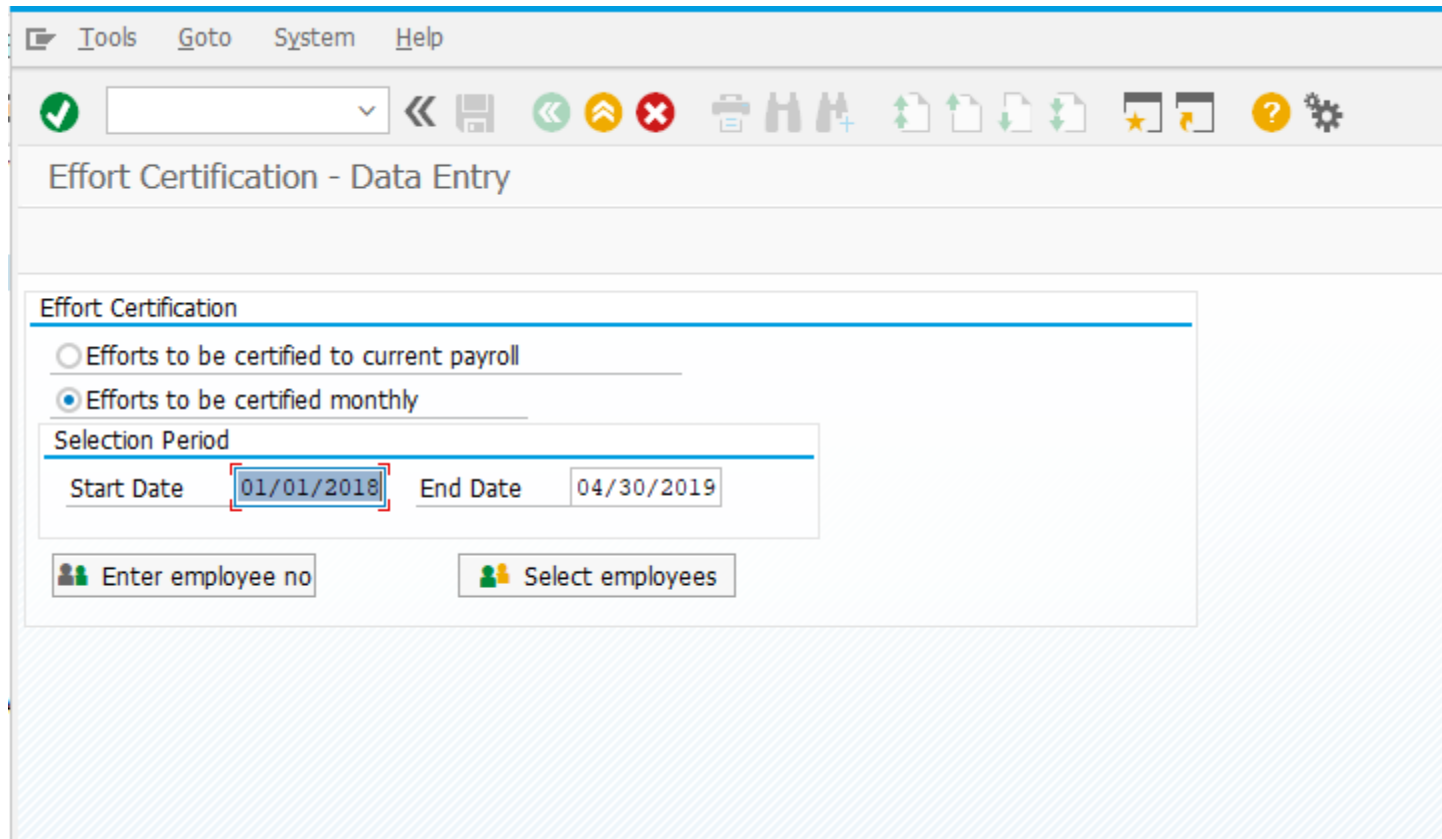
- If effort is certified on the website, the effort certification record will be posted directly into IRIS without approval by the department head if the following two conditions are met:
  - the percentage of new cost entered exactly matches the percentage of old cost for each salary source, and
  - 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

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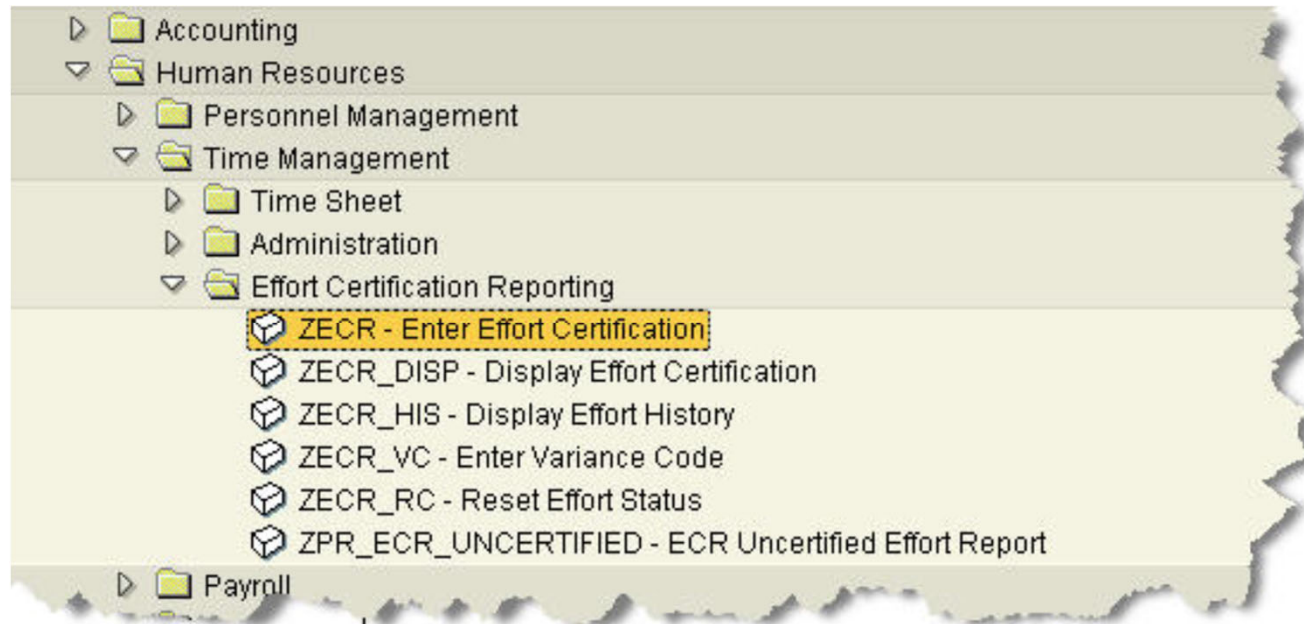
ZECR – Effort Certification – Data Entry
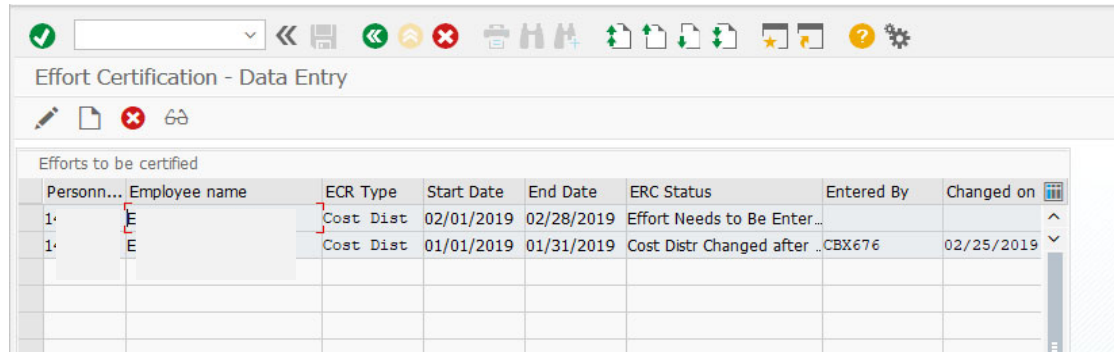
When you click the Matchbox this screen will appear and you can search:

A list will pull up like this:

Select the record you need to certify:

Certifying Effort already split…

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.

1. Enter a date range

2. Enter responsible fund center (departmental U account)

3. Click the Execute Icon (the clock)

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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:

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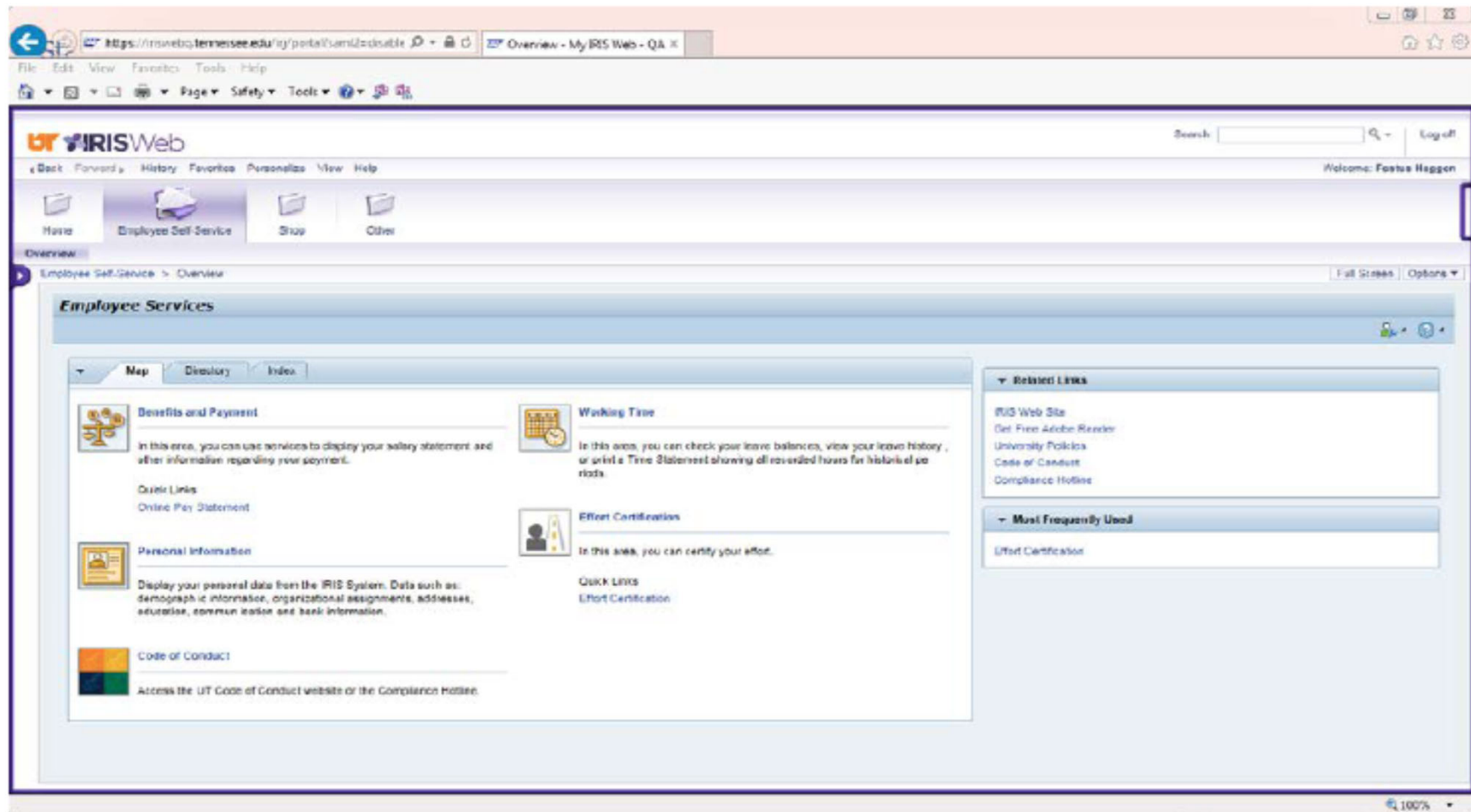

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**Employee Self-Service
Certifying Effort**

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.

**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.

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

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		

Efforts to Certify:

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

3. Click **Certify Effort** .

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.

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- 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 [Save] to save the changes made to the *Certified* status.

6. Click [Return] 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?