Reviewing and Resolving Effort Tasks in the ecrt Effort Reporting System

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Objective of this Presentation

- Briefly cover an overview of effort and the effort certification process.

- Gain a better understanding of what causes an effort task to be generated and how to resolve those tasks in the ecrt system.

- Help effort coordinators work through the effort certification process more efficiently.

Effort Overview - What is Effort?

Effort is the portion of **time** spent on a given professional activity expressed as a percentage of the total professional activity for which an individual is employed by the University. (Total professional activity includes research, teaching, administration or other activities.)

Effort Overview – Calculating Effort

- Effort is calculated based on a reasonable estimate of **time** spent on a given professional activity.

- Not based on a standard 40-hour workweek. Based on the total hours worked by the employee during the 6-month period of performance.

- Total effort must equal 100%.

- Based on UNC definition of effort. Main exclusions are overload/additional duty payments, stipends, and compensation for outside activities such as consulting.

Effort Overview – Calculating Effort

[Example]

Employee 1
Base Salary: $100,000 + Supplement: $20,000 = **Total Institutional Base Salary (IBS): $120,000**

Reasonable Estimate of Total Hours Worked January-June 2023: 1,200 hours
Employee 1 Committed Effort to 2 Awards and various non-sponsored responsibilities.

Reasonable Estimate of Time Spent on Each Professional Activity:
Award A: 600 hours
Award B: 400 hours
Non-Sponsored: 200 hours

Percent Effort Allocated to Each Activity:
Award A: 50% (600 hours/1,200 hours = 50%)
Award B: 33% (400 hours/1,200 hours = 33%)
Non-Sponsored: 17% (200 hours /1,200 hours = 17%)

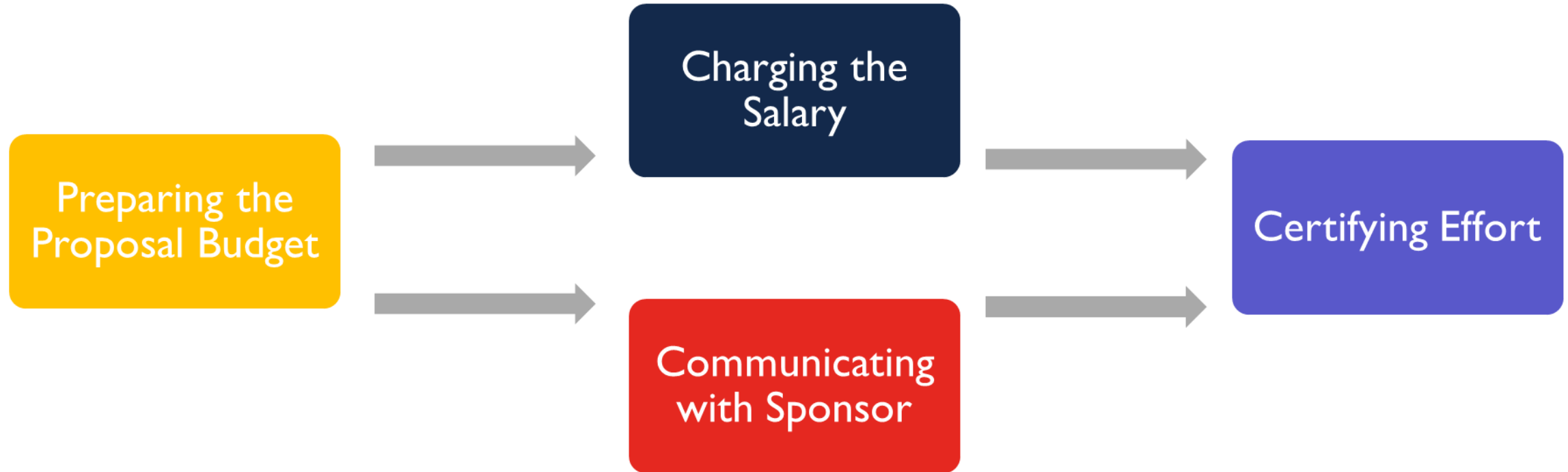**Effort Percentages Dictate Salary Charged to Each Activity:**
Award A: 50% ($120,000 (IBS) * 50% = $60,000)
Award B: 33% ($120,000 (IBS) * 33% = $39,600)
Non-Sponsored: 17% ($120,000 (IBS) * 17% = $20,400)

Effort Overview – The Effort Lifecycle

Effort Overview – Certification Timeline

- Effort Certification Period of Performance is divided into two 6-month periods from January-June and July-December.

- Certification of effort expended in January-June occurs from September-October. Certification of effort expended in July-December occurs from March-April.

- Certification Consists of:
    - 14-day pre-review period
    - Certification Period of 60 days
    - Escalation of uncertified effort Statements
    - An additional period of approximately 30 days to submit adjustments to true-up effort statements.

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Effort Tasks

Effort Task Overview

- Effort tasks are generated when the certifier completes certification and enters a Certified Effort percentage that varies when compared to the Computed Effort Percentage.

- Effort tasks are generated and can only be reviewed and worked by the Primary Effort Coordinator (PEC).

- The purpose of the effort task is to provide the PEC the opportunity to review the change and follow up with the certifier if there are any questions or concerns.

Effort Task Overview

- Two distinct scenarios are created when a statement is certified with a variance.

- Scenario 1 occurs when a statement is certified with **less than** a 5 percent variance between the Certified Effort and Computed Effort on the statement.

- Scenario 2 occurs when a statement is certified with **greater than** a 5 percent variance between the Certified Effort and Computed Effort on the statement.

- Resolving the effort task is different for each scenario.

Effort Task List

The effort task list can be found by accessing the ecrt system and selecting the Effort Tasks tab.

Effort Tasks – Scenario 1

Scenario 1: Certified with Less Than 5% Variance

Work List

Statements Requiring Certification		
	Medicine-ID Transplant Compro...	

▶ Statement Owner ★	
▼ Effort Statements ★	
▶ Needing certification	
▶ In progress ★	
Base	10/31/2022	Certified, Not Processed
Base	4/29/2024	Building, No Action Required
▶ Historical ★	

▶ In Progress
▶ Recently Completed

(EPA)   Base Effort Period: 01/01/2022 to 06/30/2022   Status: Certified, Not Processed

$ Value

Project IDs [-]	Payroll	Cost Share	Computed Effort		Certified Effort	Certify?
Sponsored						
A20-0250 Modulation of CAR-T Cell Therapy Efficacy by the Intestinal Microbiome in Patients with Leukemia and Lymphoma						
5114904 Modulation of CAR-T Cell Therapy Efficacy by the Intestinal Microbiome in Patients with Leukemia and Lymphoma	4 %	0 %	4%	🟡	4%	☑
Award Total:	4%	0%	4%		4%	
A22-0291 EXAMINATION OF EFFICACY AND MECHANISMS OF NEWLY DESIGNED GUT-115 CONSORTIUM FOR IMMUNE CHECKPOINT INHIBITOR THERAPY IN SPF AND HUMANIZED MICE						
5122301 EXAMINATION OF EFFICACY AND MECHANISMS OF NEWLY DESIGNED GUT-115 CONSORTIUM FOR IMMUNE CHECKPOINT INHIBITOR THERAPY IN SPF AND HUMANIZED MICE	1 %	0 %	1%	🟡	1%	☑
Award Total:	1%	0%	1%		1%	
A22-0365 Precision characterization of antimicrobial resistance gene dynamics in bloodstream infection risk after hematopoietic stem cell transplantation						
5122505 Precision characterization of antimicrobial resistance gene dynamics in bloodstream infection risk after hematopoietic stem cell transplantation	67 %	8 %	75%	🟡	75%	☑
Award Total:	67%	8%	75%		75%	
Sponsored Total:	72%	8%	80%		80%	
Non Sponsored						
0000000 Non-Sponsored payroll transactions	20 %	0 %	20%	🟡	20 %	☑
Non Sponsored Total:	20%	0%	20%		20%	
Grand Total:	92%	8%	100%		100%	

Get Help   Do Not Process

Scenario 1: Certified with Less Than 5% Variance

Process Base Effort Statement (01/01/2022 to 06/30/2022)

[PDF] Effort Statement PDF   [$] Payroll Report

Covered Individual:	
Title:	Assistant Professor
Department:	411462 - Medicine-ID Transplant Compromised Host - 411462
Email:	
Status:	Certified, Not Processed

Effort Coordinator:	
Period of Performance:	01/01/2022 to 06/30/2022

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	on 10/26/2022 7:25 AM

$ Value

Project IDs [-]	Payroll	Cost Share	Computed Effort	Certified Effort	Cost Transfer Dollars	Cost Transfer Percentage	Cost Share is Cost Transfer
Sponsored							
A20-0250 Modulation of CAR-T Cell Therapy Efficacy by the Intestinal Microbiome in Patients with Leukemia and Lymphoma							
5114904 Modulation of CAR-T Cell Therapy Efficacy by the Intestinal Microbiome in Patients with Leukemia and Lymphoma	4 %	0 %	4 % ⊙	4%	$ 0.00	0%	0.0 %
Award Total:	*4%*	*0%*	*4%*	*4%*	*$0.00*	*0%*	*0%*
A22-0291 EXAMINATION OF EFFICACY AND MECHANISMS OF NEWLY DESIGNED GUT-115 CONSORTIUM FOR IMMUNE CHECKPOINT INHIBITOR THERAPY IN SPF AND HUMANIZED MICE							
5122301 EXAMINATION OF EFFICACY AND MECHANISMS OF NEWLY DESIGNED GUT-115 CONSORTIUM FOR IMMUNE CHECKPOINT INHIBITOR THERAPY IN SPF AND HUMANIZED MICE	1 %	0 %	1 % ⊙	1%	$ 0.00	0%	0.0 %
Award Total:	*1%*	*0%*	*1%*	*1%*	*$0.00*	*0%*	*0%*
A22-0365 Precision characterization of antimicrobial resistance gene dynamics in bloodstream infection risk after hematopoietic stem cell transplantation							
5122505 Precision characterization of antimicrobial resistance gene dynamics in bloodstream infection risk after hematopoietic stem cell transplantation	67 %	8 %	75 % ⊙	75%	$ 0.00	0%	0.0 %
Award Total:	*67%*	*8%*	*75%*	*75%*	*$0.00*	*0%*	*0%*
Sponsored Total:	**72%**	**8%**	**80%**	**80%**	**$0.00**	**0%**	**0.00%**
Non Sponsored							
0000000 Non-Sponsored payroll transactions	20 %	0 %	20 % ⊙	20 %	$ 0.00	0%	0.0 %
Non Sponsored Total:	**20%**	**0%**	**20%**	**20%**	**$0.00**	**0%**	**0.00%**
Grand Total:	**92%**	**8%**	**100%**	**100%**	**$0.00**	**0.00%**	**0.00%**

[Get Help]   [Cancel] [Process] [Do Not Process]

Scenario 1: Effort Task Resolution

- Once the Process button has been selected the status of the effort statement will update to Certified and no further action is required.

Effort Tasks – Scenario 2

Scenario 2: Certified with Greater Than 5% Variance

Work List

Statements Requiring Certification

Psychiatry - Research - 412250

- Statement Owner ★
- ▼ Effort Statements ★
  - ▶ Needing certification ★
  - Base   10/30/2023   🗐 Ready for Certification
  - ▶ In progress ★
  - Base   10/31/2022   🖫 Certified, Not Processed
  - Base   4/29/2024   🖫 Building, No Action Required
  - ▶ Historical ★

- ▶ In Progress
- ▶ Recently Completed

(SPA)   Base Effort Period: 01/01/2022 to 06/30/2022   **Status: Certified, Not Processed**

$ Value

Project IDs [-]	Payroll	Cost Share	Computed Effort	Certified Effort	Certify?
Sponsored					
A19-1178 Safeguarding Two Lives: Expanding Early Identification & Access to Perinatal Mental Health & Substance Abuse					
5122059 Safeguarding Two Lives: Expanding Early Identification & Access to Perinatal Mental Health & Substance Abuse	7 %	0 %	7 % 🪙	7 %	☑
5125262 Safeguarding Two Lives: Expanding Early Identification & Access to Perinatal Mental Health & Substance Abuse	14 %	0 %	14 % 🪙	93 %	☑
Award Total:	21%	0%	21%	100%	
Sponsored Total:	21%	0%	21%	100%	
Non Sponsored					
0000000 Non-Sponsored payroll transactions	79 %	0 %	79 % 🪙	0 %	☑
Non Sponsored Total:	79%	0%	79%	0%	
Grand Total:	100%	0%	100%	100%	

Get Help   Do Not Process

Scenario 2: Certified with Greater Than 5% Variance

Process Base Effort Statement (01/01/2022 to 06/30/2022)

📄 Effort Statement PDF   💲 Payroll Report

Covered Individual:
Title: SPA Student Assistant
Department: 460101 – School of Public Health – Deans Office – 460101   Effort Coordinator:
Email: Period of Performance: 01/01/2022 to 06/30/2022
Status: ⚠ Certified, Not Processed

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 | on 10/27/2022 9:04 AM |

$ Value

Project IDs [-]	Payroll	Cost Share	Computed Effort		Certified Effort	Cost Transfer Dollars		Cost Transfer Percentage	Cost Share is Cost Transfer
Sponsored									
A19-1178 Safeguarding Two Lives: Expanding Early Identification & Access to Perinatal Mental Health & Substance Abuse									
5122059 Safeguarding Two Lives: Expanding Early Identification & Access to Perinatal Mental Health & Substance Abuse	7 %	0%	7 %	💲	7 %	$	0.00	0%	0.0 %
5125262 Safeguarding Two Lives: Expanding Early Identification & Access to Perinatal Mental Health & Substance Abuse	14 %	0%	14%	💲	93 %	$	5,692.46	79%	0.0 %
Award Total:	21%	0%	21%		100%		$5,692.46	79%	0%
Sponsored Total:	**21%**	**0%**	**21%**		**100%**		**$5,692.46**	**79%**	**0.00%**
Non Sponsored									
0000000 Non-Sponsored payroll transactions	79%	0%	79%	💲	0 %	$	-5,692.46	-79%	0.0 %
Non Sponsored Total:	**79%**	**0%**	**79%**		**0%**		**$-5,692.46**	**-79%**	**0.00%**
Grand Total:	**100%**	**0%**	**100%**		**100%**		**$0.00**	**0.00%**	**0.00%**

| Get Help | | Cancel | Cost Transfer Needed | Do Not Process |

Scenario 2: Certified with Greater Than 5% Variance

- Selecting Cost Transfer Needed will cause the status of the effort statement to be updated to Certified, Awaiting Cost Transfer.

- The statement will remain in this status until you submit a PAAT to true-up the effort statement and the PAAT is fully approved and uploaded into the ecrt system. Payroll is loaded into ecrt every weekend.

Calculating a True-Up

% Value

Project IDs [-]	Payroll	Cost Share	Computed Effort	Certified Effort
Sponsored				
A14-0523 North Carolina Translational & Clinical Sciences Institute (NC TraCS)				
5033787 CTSA Translational &	$ 0.00	$ 0.00	$ 0.00 Ⓢ	20%
Award Total:	$0.00	$0.00	$0.00	20%
A16-0157 Radial Glial Development and Differentiation				
5101924 Radial Glial Development and Differentiation	$ 21,124.98	$ 0.00	$ 21,124.98 Ⓢ	25%
Award Total:	$21,124.98	$0.00	$21,124.98	25%
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	$ 0.00	$ 0.00	$ 0.00 Ⓢ	55%
Award Total:	$0.00	$0.00	$0.00	55%
Sponsored Total:	$21,124.98	$0.00	$21,124.98	100%
Grand Total:	$21,124.98	$0.00	$21,124.98	100%

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)

2023 **SYMPOSIUM**
FOR RESEARCH ADMINISTRATORS

Scenario 2: Certified with Greater Than 5% Variance

- Once the PAAT has been uploaded to the ecrt system you will see the status change to Certified, Processed, Payroll Pending. Effort statements in this status create an effort task to be worked by the Office of Sponsored Programs (OSP) Effort team.

Scenario 2: Certified with Greater Than 5% Variance

- OSP has two options when processing the effort task: Post Without Re-opening or Post and Re-open.

- Post Without Re-opening will result in the effort statement moving to a status of Certified and no further action is needed.

- Post and Re-open will result in the statement being re-opened for certification and your help will be needed to ensure that the certifier completes the certification process within 21 days.

- Once the statement is re-certified the status will show as Certified and no further action is required.

- Statements that are not re-certified within the 21-day window will require all sponsored payroll and the associated benefits to be moved to departmental funds.

Effort Tasks – Unique Circumstances

- There are circumstances that may occur which will result in a statement remaining in a status other than Certified after working the effort task.

- Payroll or a dock in pay related to one period but captured in the following period of performance.

- Certifiers that move between SHRA and EHRA classifications during the period of performance.

- Each situation requires further review, and a manual adjustment of the effort statement will likely be required to ensure accurate effort certification.

Contact the Cost Analysis and Compliance Effort Team with any questions ecrt_help@unc.edu

Questions?

I had a question about the 1% minimum effort required for a PI during a six month period. Under UNC policy, if a project is fortwo years, does this mean that a minimum of 1% is required for only one of the six-month ecrt periods and the PI effort can bezero for the other three six-month periods?

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