Effort Reporting System – User Guide

Introduction

This manual provides descriptions and step-by-step instruction for the use of each functional area of the Effort Reporting System (ERS). The Effort Reporting System is a web-based application licensed for use by Yale University through an agreement with the MAXIMUS® Higher Education Group.

Eight sections contain the information necessary to complete each system-related task that pertains to the effort reporting certification cycle.

University procedure 1315 PR.04 outlines the roles and responsibilities, certification cycle tasks, monitoring and escalation, system access requirements, and other important concepts and processes associated with effort reporting. The procedure is the reference that assists with compliance to University Policy 1315.

Table of Contents

Getting Started

This section provides an overview of the system workflow, accessing the system, the application homepage, and menu function descriptions.

1.0   Process Flow Diagram

1.1   Accessing the System

1.2   Application Introduction (Home) Page

1.3   Menu Options

1.0   Process Flow Diagram

Central Administrator 1

| Extracts data from the Data Warehouse daily and during effort period creation | → | Initiates the effort reporting period and performs daily processing of retroactive cost transfers (RCT-) | → | Email is sent to all system administrative users upon initiation |

Administrative User 1

| Confirms correct assignments, reviews payroll, adds missing accounts, notes K awards, creates cost transfers | → | Review is complete | → | Bulk email notification sent to certifiers at |

Certifier 1

| Reviews and/or updates actual effort | → | Certifies the report | → | Was effort [Yes] → Email is sent to Post Reviewer |
[No] ↓

Administrative User 2

| Completes cost transfers to reconcile payroll to actual effort and/or determines the need for recertification | → | Effort report is complete |

System Production Processing

The Effort Reporting Central Administrator runs a set of daily processes, usually between 8:00AM and 10:00AM, to update information and transactions extracted from the Data Warehouse the prior evening. Information and transactions include new and updates to employees and organization hierarchy and chart of account segments, and retroactive cost transfers. On the day of effort period initiation, payroll information for the associated effort period start and end date is extracted from the Data Warehouse. Payroll information includes all labor transactions, original payroll and payroll adjustments, distribution adjustments and GSPS adjustments, which have posted up through the last Data Warehouse update prior to initiation. Initiation is normally scheduled for the Sunday or Monday immediately prior to effort report availability in accordance with the effort period release calendar. The system is not available during initiation.

Notifications
When a retroactive cost transfer (RCT) is processed and there is potential impact to an effort report form, an automated email notification is sent to the assigned Pre Reviewer.
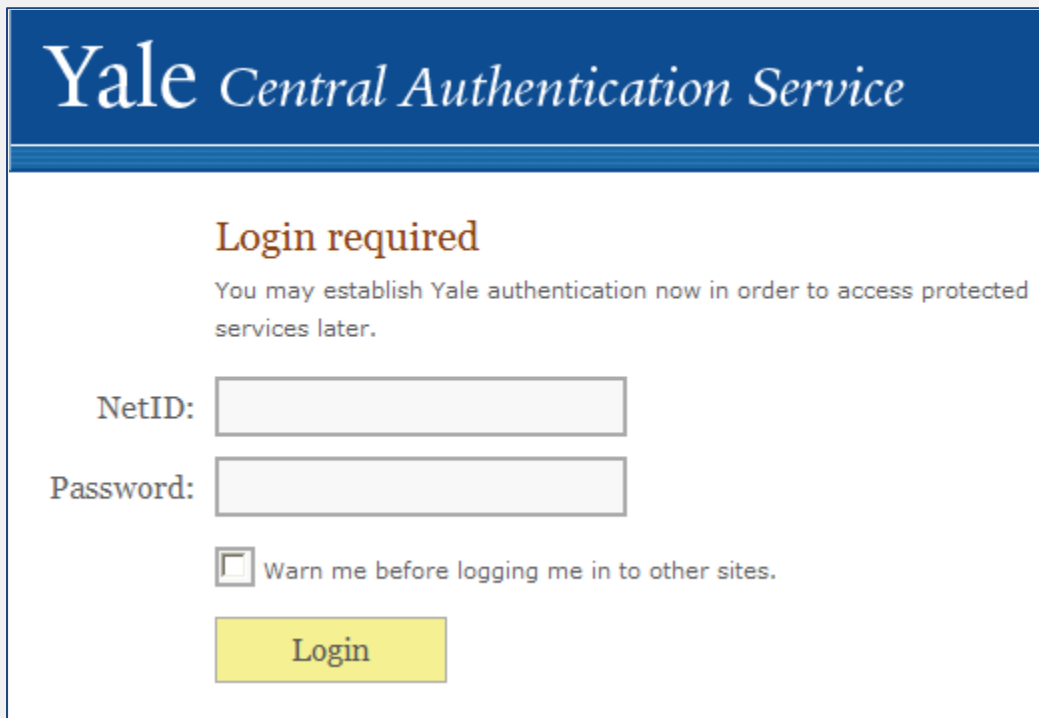
1.1 Accessing the System

The Effort Reporting System is available in the staff and faculty portal(s) under *Yale Services/Research*. It is also available from the GCFA effort reporting website: www.yale.edu/gcfa/effort. Login to the system requires authentication through the Central Authentication Service (CAS). Virtual Private Network (VPN) provides a method for connecting to campus resources from a non-Yale Internet Service Provider. VPN is required for access to ERS when connecting remotely.

Resources

VPN: Information - http://www.yale.edu/its/network/vpn.html Direct Login - http://access.yale.edu

ITS Help Desk: helpdesk@yale.edu; (203) 432-9000

ERS Help: effort.reports@yale.edu; www.yale.edu/gcfa/effort

Field Values

> **NetID**: The user enters a valid Yale NetID.
>
> **Password**: The user enters the password defined for the Yale NetID.

- If an invalid NetID or Password is entered, an error will display. To activate the NetID or reset a password go to: https://veritas.its.yale.edu/netid/ForgotNetIDPassword.do For assistance with a NetID, go here: http://www.yale.edu/its/accounts/netid.html
- If attempting to connect from a remote, non-Yale ISP, a common error indicates ERS has timed out. Connect VPN and attempt login again.
- Under no circumstance should individuals share their CAS credentials. Refer to Policy 1601 Information Access and Security.

1.2 Application Introduction (Home) Page

Once logged into the system, the user is identified in the introduction page by name and specific role assignment (i.e., Departmental Coordinator, Certifier, etc.). Depending on role, users have access to certain options under the **CERT** menu. Coordinators can access a list of departments or organizations assigned to them for monitoring and oversight purposes through the link provided. A completion status bar is presented that provides a quick view of the current reporting period. If the individual has pending effort report forms assigned, a **My Status/To Do** box will display. The **Search Employee Effort Forms** feature provides a quick way to search for effort reports for an individual.

Along the top of the application introduction page, the user has additional menu options: Home, My Profile, and Tutorial, Help, About, and Log Off.

Menu Descriptions

◆ <u>Home</u>: Use the home button when navigating within the application. Do not use the web browser 'back' button.

◆ <u>My Profile</u>: My Profile is not used by Yale University.

◆ <u>Tutorial</u>: This tutorial will introduce the user to the system and is useful guidance for the certification process.

◆ <u>Help</u>: The Help menu provides direct links to effort reporting associated policies and procedures.

◆ <u>About</u>: Provides an overview of the effort certification process and the system.

◆ <u>Log Off</u>: Always log off the system when work is complete. Do not "x"-out of the web-browser. Using the Log Off button also logs the user out of CAS.

1.3   Menu Options

CERT

- Assignment
- Pre Review
- Certify
- Post Review
- Reporting

Assignment: Coordinators can change the Pre and Post Reviewers and Certifiers for all covered individuals within the user's domain. Coordinators can designate certain individuals to Multiple PI Line Item certification and assign individuals to alternate organizations for assignment and review tasks.

Pre Review: Coordinators and Reviewers can perform effort report form review. Coordinators can view forms for the domain under the *Pre Review All* link and view forms assigned outside of the domain for individuals with payroll charged to an account within the domain under *View Read Only Effort Forms.*

Post Review: Coordinators and Reviewers can perform effort report form post review. Coordinators can view forms for the domain under the *Post Review All* link.

Reporting: This module provides role specific reports designed to assist in certification monitoring.

Role	Menu Options
Central Auditor	Reporting
Division Head (DH)	Assignment, Notification, Reporting
Departmental and Sub Department Coordinators (DC and Sub DC)	Assignment, Pre Review, Certify, Post Review, Reporting
Pre Reviewer (PRE)	Pre Review, Reporting
Post Reviewer (POST)	Post Review, Reporting
Pre and Post Reviewer (PREPOST)	Pre Review, Post Review, Reporting
Certifier (CERT)	Certify
Employee (NONE)	None

Search Employee Effort Forms

Employee Id 777777001   [Search]

Employee Id: 777777001   Name: Ford, Michael

RpCode	Sub Department	Form Status	Effort Form Link	
093007	9000001	Pending Certification	View	Modify

The Search Employee Effort Forms section allows the user to search for a list of all effort forms of an individual using the employee ID (Yale UPI) or employee name as the search criteria. Depending on the user role, a "Modify" link may also be available that will allow the user to access the form.

Note: The Modify link is only available if the effort form status is pending Pre Review or Post Review.
4/24/12: Do not use the Modify link at this time.

Assignments

2.0   Assignment Task Overview

The first task that must be completed **prior** to Pre Review of effort report forms is the review and/or assignment of the appropriate certifier. The Effort Reporting System defaults the covered individual as the certifier of his/her own effort report form unless previously changed. This assignment may or may not be appropriate. For example, faculty members (individuals where the job code = FAC), must certify their own reports; therefore, the certifier for a faculty member should not (and due to a system restriction, cannot) be changed. If an individual was previously not Faculty, for example job title code changed from PDA to FAC, the department should communicate to the Central Administrator that a change in certifier is necessary.

Assignments can be updated by either the DC or the Sub DC. Upon completion of this task, the DC and/or Sub DC should notify Pre Reviewers to proceed with review.

2.1   Change Assignments for Department or Sub Departments

Departmental Coordinators (DC) have access through the Assignment menu to *Change Assignments for Department or Sub Departments*. This function allows DCs to define Sub Department Coordinators and default Pre and Post Reviewers. It also provides the ability for the DC to define whether or not the Sub DC should have the option to change Reviewers and Certifiers.

This section of the Assignment module is not used by Departmental Coordinators at Yale. Access for Sub Department Coordinators and default Reviewers is managed by the Central Administrator.
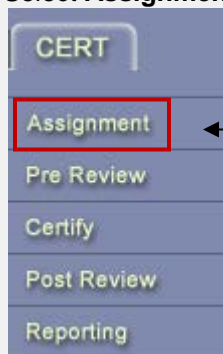
2.2 Change Individual Assignments

Prior to the assignment of system Reviewers, DCs and Sub DCs must ensure that the individual being assigned has completed the requisite training. Refer to the Access to ERS section of Procedure 1315 PR.04 – Effort Reporting Using the Effort Reporting System. Certifier assignments must be made in accordance with Policy 1315 – Effort Reporting: Certifying Effort on Sponsored Projects, *Who Can Certify Effort Reports?*
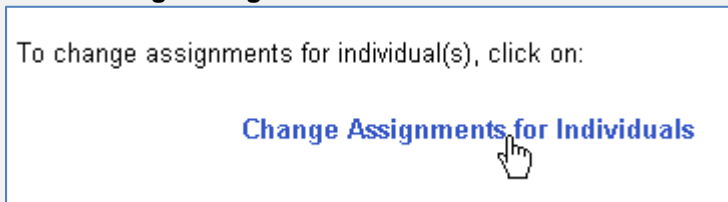
The Assignment module provides reviewer, certifier and alternate sub department information for each covered individual in the domain that has an active (unarchived) effort report form.

Change Assignments for Individuals

Select **Assignment** from the left menu bar.

Select **Change Assignments for Individuals**.

Depending on role, a list of Departments or Sub Departments within the user's domain will be provided. Select one or more Departments or Sub Departments from the list displayed, by either selecting each check box under the Selection heading or using the *Check All* feature.

The system will display 50 results per page. To decrease or increase the display, use the Per Page option.
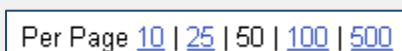
Alternatively, navigate to the specific department (code) or organization (number) using the links provided at the top of the screen.

The *Change Individual Assignments* screen displays a list of covered individuals within the domain(s) selected. The list includes individuals that have an <u>unarchived</u> effort report.

Icons indicate new employees, faculty, line item eligibility, and if the individual has been assigned from another sub department.

New Employee: The individual has not had a previous effort report. This does not indicate the person is new to Yale.

Assigned to an Alternate Sub Department: This individual was assigned into the domain from another domain.

Faculty: Faculty member **certifier** information cannot be changed by the DC/Sub DC. If a change is required, contact the Central Administrator.

Eligible for PI Line Item: The individual's salary is charged to more than one sponsored project and may be certified by more than one individual.

♦ <u>Note</u>: Line Item Eligibility does not necessarily indicate that line item certification should be enabled. There are many cases where an individual works on several projects for one Principal Investigator (PI). When a form is to be certified by one individual, line item should **not** be enabled.

The *Filter by* drop-down list of values provides the ability to limit the list of individuals based on these indicators.

The list of covered individuals (i.e., individuals in the selected domain(s) that have an **unarchived** effort report is displayed in alphabetical order by last name. Information about the current administrator(s) assigned to Pre and Post Review and the current assigned Certifier(s) is provided. The Assignment listing also provides a reference to the covered individual's home sub

department (organization), job title code (e.g., CT, FAC, STN) and, if the individual is assigned from another domain, the originating home organization.

When an individual is assigned for certification by multiple certifiers, a hyperlink will appear in the Certifier column. Upon selection of the hyperlink, a new window will open and a listing of each certifier assigned to each line on the effort report form will display.

	Employee Name	Sub Department	Title Code	Pre Reviewer	Certifier	Post Reviewer	Alternate Sub Dept
☐	Barnes, James F	9000012	FAC	Adams, Gregory	Barnes, James	Adams, Gregory	
☐	Blincoe, Carrie P	9000012	CT	Adams, Gregory	Blincoe, Carrie	Adams, Gregory	
☐	Davis, Karen A	9000012	CT	Adams, Gregory	Davis, Karen A	Adams, Gregory	
☐	Davis, Karen B	9000012	CT	Adams, Gregory	Davis, Karen B	Adams, Gregory	
☐	Evans, Jennifer P	9000012	CT	Adams, Gregory	(2 PI's)	Adams, Gregory	
☐	Ford, Michael F	9000012	FAC	Adams, Gregory	Ford, Michael	Adams, Gregory	
☐	Phillips, Emory	9000012	STN	Adams, Gregory	Phillips, Emory	Adams, Gregory	

Check All   Clear All

List of Covered Individuals 1

Employee Name	Sub Department	Sponsored Account	Certifier
Evans, Jennifer	9000012	1000000.A00012 - NIH Project	Smith, David
Evans, Jennifer	9000012	4000000.D00012 - NSF Project	Barnes, James
Evans, Jennifer	9000012	6000000.440x12 - Clinical Trial Project	Smith, David

Close Window

Display of Line Certifiers 1

To make changes to the assignments of Pre and Post Reviewer, Certifier or select an alternate sub department, select the check box next to the Employee Name column.

Updates can be made for multiple individuals at the same time provided the change being made is applicable to all of the selected individuals.

If the change applies to all individuals within the selected domain(s), the *Check All* link can be utilized for automatic selection of the entire list.

- This feature is especially useful, for example:
  - When a new individual will be performing Pre and Post Review;
  - When multiple individuals need to be enabled for line item certification (filter by Line Item Eligible > select Check All);
  - When multiple individuals require a change to the same certifier.

Once the individual(s) for which a change is required are selected, continue with the assignment change by selecting **Proceed**. The Proceed button will be located at the bottom of the list of individuals.
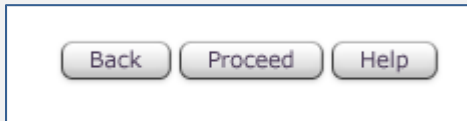
- ✛ The **Back** button will direct the user back to the previous screen or phase within the Assignment module. Information will not be saved.
- ✛ The **Help** button provides information about the process being performed.

Upon proceeding, the next screen will display the list of individuals selected and the available assignment options.

	Change Pre Reviewer: The individual appropriate to perform Pre Review can be someone within or outside of the domain. Change Certifier: Refer to Policy 1315 for guidance on the appropriate certifier. <u>Note</u>: When working with a form enabled for line item certification, the option changes to 'Change Account Certifiers'. Change Post Reviewer: The individual appropriate to perform Post Review should be within or outside of the domain. Assign to a different Sub Department: In some cases, it may be appropriate for a different domain administrator to perform assignment and review. Enable Selected Forms as Line Item Forms: When a staff member is supported by multiple PIs, it may be necessary to have each PI certify the effort to his/her award. <u>Note</u>: When line item has already been enabled, the option will change to 'Disable Line Item Forms'.

2.2A Change Pre or Post Reviewer

○	Change Pre Reviewer. ←
○	Change Certifier.
○	Change Post Reviewer. ←
○	Assign to a different Sub Department.
○	Enable Selected Forms as Line Item Forms

Once the individual(s) for which a change in Pre or Post Reviewer is required are selected, choose the radio button next to the applicable role to assign and **Proceed**. When both the Pre and Post Reviewer must be updated, the user will need to make two assignment changes.

- The Post Reviewer can be assigned in the home domain to enable assistance with cost transfers when/if the certifier makes a change to actual effort.

The next screen will display a list of individuals available in the selected domain(s). This listing is **not** limited to individuals that either have a role in the Effort Reporting System or are devoting effort to sponsored projects; the listing reflects all individuals within certain job categories in the home domain. If the individual that is to perform the role (Pre or Post Review) is listed, select the radio button next to his/her name.

Change Individual Assignments

You have selected the option - **Change Pre Reviewer for the selected employees.**

To change Pre Reviewer, you may choose one from the following options:
- Assign No Pre Reviewer (Certifiers can certify the forms without Pre Reviewer reviewing the forms), or
- Assign somebody not in your domain , or
- Assign somebody from the following list:

Ad - Ph

○	Adams, Gregory	9000012
○	Barnes, James	9000012
○	Blincoe, Carrie	9000012
○	Davis, Karen A	9000012
○	Davis, Karen B	9000012
○	Evans, Jennifer	9000012
○	Ford, Michael	9000012
○	Phillips, Emory	9000012

Ad - Ph

[Back] [Proceed]

Note: The listing will be separated alphabetically. If the list is extensive, hyperlinks will be provided at the top and bottom of the screen for easy navigation.

Aa - Al	Al - An	An - Ar	Ar - Ba	Ba - Ba	Ba - Be	Be - Be	Be - Bl	Bl - Bo	Bo - Br	Br - Bu	Bu - Ca	Ca - Ca	Ca - Ce	Ce - Ch	Ch - Cl	Cl - Co	Co - Co

Co - Cr Cr - Da Da - De De - De De - Di Di - Do Do - Dy Dy - Em En - Fa Fa - Fe Fe - Fl Fl - Fr Fr - Ga Ga - Ge Ge - Gi Gi - Go Go - Gr Gr - Gu Gu - Ha Ha - Ha Ha - He He - Ho Ho - Ho Ho - Hu Hu - Ja Ja - Jo Jo - Ju Ju - Ka Ka - Ki Ki - Kn Kn - Ku Ku - La La - Le Le - Le Le - Li Li - Lo Lo - Ly Ly - Ma Ma - Ma Ma - Ma Ma - Mc Mc - Me Me - Mi Mi - Mo Mo - Mo Mo - Mu Mu - Ne Ne - No No - Ol Ol - Pa Pa - Pa Pa - Pe Pe - Pl Pl - Pr Pr - Ra Ra - Re Re - Ri Ri - Ro Ro - Ru Ru - Sa Sa - Sa Sa - Sc Sc - Sh Sh - Si Si - Sk Sk - Sn So - St St - St St - Su Su - Ta Ta - Th Th - Tr Tr - Va Va - Ve Ve - Wa Wa - Wa Wa - We We - Wi Wi - Wu Wu - Za Za - Zy

Example of Alpha Listing 1

Assign No Pre Reviewer: The *Assign No Pre Reviewer* option is not used at Yale.

Assign somebody not in your domain: If the individual appropriate to perform the task (Pre or Post Review) is **not** listed, select the *Assign somebody not in your domain* hyperlink.
 - Even if the individual is in the department, s/he may not be in the domain selected at the beginning of the assignment task.

Upon selection of *Assign somebody not in your domain*, a search screen will display. The most common search is by Name. To search, enter the full or partial last name, first name and select the **Search** button. A list of individuals matching the search criteria will display. Select the radio button next to the correct individual and then **Proceed**.

Change Individual Assignments

Search For An Employee

(Complete or Partial) **Employee ID:** [   ]

(Complete or Partial) **Name:** [   ]

(Complete or Partial) **Sub Department:** [   ]

Please input complete or partial Employee ID, Name or Sub Department information and click on **Search** button to search the employee you want to assign as the Pre Reviewer.

[Back] [Search]

When the new reviewer has been selected, the following screen will display a confirmation of the Pre or Post Review assignment. The Role Adjustment will identify the individual's prior role and what the role will be after the assignment is made. *If the current role indicates 'No Role in ERS', please confirm access requirements have been met.* Select **Apply** to complete the role adjustment.

Change Individual Assignments

You have selected Evans, Jennifer to be the Pre Reviewer for following employees:

Employee Name	Sub Department
Blincoe, Carrie	9000012

Role Adjustment for Evans, Jennifer

Current Role for Evans, Jennifer is:	No Role in ERS
Role for Evans, Jennifer after assignment will be:	Pre Reviewer

To select another employee, click **Back**.

[Back] [Apply]

Upon application of the change, a confirmation will display that indicates any role adjustment for the individual previously assigned to the role of Pre or Post Reviewer for the selected individual(s). Select **Apply** to complete the assignment.

Change Individuals Assignments

The role(s) of the following employee(s) for ERS Access may be updated as shown in the table below. Please click on **Apply** to complete this assignment.

Employee	ERS role will be
Adams, Gregory	DC

Apply

When the assignment change is complete, the system provides a confirmation.

Change Individual Assignments

Evans, Jennifer has been successfully assigned as Pre Reviewer for the following employees.

Employee Name	Sub Department	Pre Reviewer	Certifier	Post Reviewer	Alternate Sub Dept
Blincoe, Carrie	9000012	Evans, Jennifer	Blincoe, Carrie	Adams, Gregory	

To continue to work on the same individual(s) listed above in the Employee Name column with additional assignment options, click on **Continue**
To work on another individual in the previously selected Sub Departments, please click on **Return**
To exit to the assignments main page, click on **Exit**

Exit   Return   Continue

Continue: To continue work on the same individual(s), select Continue

Return: To work on another individual in the previously selected sub departments, select Return.

Exit: To exit the assignments main page, select Exit.

Notifications

Assignment of a Pre or Post Reviewer does not initiate a notification email. If the Pre or Post Reviewer is outside of the department, a follow-up with the assigned individual is necessary to ensure awareness of the associated review task.

Assignment of a Pre or Post Reviewer Outside of the Home Organization

The Department and/or Sub Department Coordinator, in collaboration with the charging organization, may assign a Pre/Post Reviewer outside of the home organization. It is important to note that communication between the two departments MUST occur.

Pros	Cons
Allows for the review of the effort report by the grant accountant.	There is no system notification to the Pre Reviewer that this assignment has occurred. Therefore, it is up to the DC or Sub DC to contact the department BEFORE the assignment is made. Certifier assignment must also occur in coordination with the charging organization.
Works well for individuals covered 100% by another unit's funds.	The home organization is still responsible (in University review of effort reporting progress) for the person.
	The DC or Sub DC of the charging organization will not have reporting capability on the individual and will not be aware of the Pre Review assignment unless explicitly informed by the home organization

Pros	Cons
	DC or Sub DC.
	Assignment of multiple Pre and Post Reviewers is not available.
	Pre and Post Reviewer assigned may not have knowledge of the "whole" person.
	The home organization is still responsible for any labor adjustments needed for the individual.

- Review the option to assign the individual to an alternate sub department.

2.2B Change Certifier

○	Change Pre Reviewer.	
○	Change Certifier. ←	
○	Change Post Reviewer.	
○	Assign to a different Sub Department.	
○	Enable Selected Forms as Line Item Forms	

Once the individual(s) for which a change in Certifier is required are selected, choose the radio button next to the applicable role to assign and **Proceed**.

Change Certifier

The next screen will display a list of individuals available <u>in the selected domain(s)</u>. This listing is **not** limited to individuals that either have a role in the Effort Reporting System or are devoting effort to sponsored projects; the listing reflects all individuals within certain job categories in the home domain. If the individual that is to perform the role (Certification) is listed, select the radio button next to his/her name.

Change Individual Assignments

You have selected the option - Change Certifier for the selected employees.

To change Certifier, you may choose one from the following options:
- Assign somebody not in your domain , or
- Assign somebody from the following list:

Ad - Ph

○	Adams, Gregory	9000004
○	Barnes, James	9000004
○	Blincoe, Carrie	9000004
○	Davis, Karen A	9000004
○	Davis, Karen B	9000004
○	Evans, Jennifer	9000004
○	Ford, Michael	9000004
○	Phillips, Emory	9000004

Ad - Ph

[Back] [Proceed]

<u>Note</u>: The listing will be separated alphabetically. If the list is extensive, hyperlinks will be provided at the top and bottom of the screen for easy navigation.

Aa - Al   Al - An   An - Ar   Ar - Ba   Ba - Ba   Ba - Be   Be - Be   Be - Bl   Bl - Bo   Bo - Br   Br - Bu   Bu - Ca   Ca - Ca   Ca - Ce   Ce - Ch   Ch - Cl   Cl - Co   Co - Co   Co - Cr   Cr - Da   Da - De   De - De   De - Di   Di - Do   Do - Dy   Dy - Em   En - Fa   Fa - Fe   Fe - Fl   Fl - Fr   Fr - Ga   Ga - Ge   Ge - Gi   Gi - Go   Go - Gr   Gr - Gu   Gu - Ha   Ha - Ha   Ha - He   He - Ho   Ho - Ho   Ho - Hu   Hu - Ja   Ja - Jo   Jo - Ju   Ju - Ka   Ka - Ki   Ki - Kn   Kn - Ku   Ku - La   La - Le   Le - Le   Le - Li   Li - Lo   Lo - Ly   Ly - Ma   Ma - Ma   Ma - Ma   Ma - Mc   Mc - Me   Me - Mi   Mi - Mo   Mo - Mo   Mo - Mu   Mu - Ne   Ne - No   No - Ol   Ol - Pa   Pa - Pa   Pa - Pe   Pe - Pl   Pl - Pr   Pr - Ra   Ra - Re   Re - Ri   Ri - Ro   Ro - Ru   Ru - Sa   Sa - Sa   Sa - Sc   Sc - Sh   Sh - Si   Si - Sk   Sk - Sn   So - St   St - St   St - Su   Su - Ta   Ta - Th   Th - Tr   Tr - Va   Va - Ve   Ve - Wa   Wa - Wa   Wa - We   We - Wi   Wi - Wu   Wu - Za   Za - Zy

Example of Alpha Listing 2

Assign somebody not in your domain: If the individual appropriate to perform the task (Certification) is **not** listed, select the *Assign somebody not in your domain* hyperlink.

- ⊕ Even if the individual is in the department, s/he may not be in the domain selected at the beginning of the assignment task.

Upon selection of *Assign somebody not in your domain*, a search screen will display. The most common search is by Name. To search, enter the full or partial last name, first name and select the **Search** button. A list of individuals matching the search criteria will display. Select the radio button next to the correct individual and then **Proceed**.

Change Individual Assignments
Search For An Employee
(Complete or Partial) **Employee ID:**
(Complete or Partial) **Name:**
(Complete or Partial) **Sub Department:**
Please input complete or partial Employee ID, Name or Sub Department information and click on **Search** button to search the employee you want to assign as the Pre Reviewer.
Back   Search

When the new certifier has been selected, the following screen will display a confirmation of the Certification assignment. The Role Adjustment will identify the individual's prior role and what the role will be after the assignment is made. *If the current role indicates 'No Role in ERS', this is not an indicator of an access training requirement. Certifiers are not required to take system training. It is strongly encouraged that Department and Sub Department Coordinators provide a periodic reminder to certifiers about the functionality of the system/actions required to complete certification.* Select **Apply** to complete the role adjustment.

Change Individual Assignments

You have selected Ford, Michael to be the Certifier for following employees:

Employee Name	Sub Department
Davis, Karen B	9000004

Role Adjustment for Ford, Michael

Current Role for Ford, Michael is:	Certifier
Role for Ford, Michael after assignment will be:	Certifier

To select another employee, click **Back**.

Back   Apply

⊕ For assistance in the selection of an appropriate certifier, consult Policy 1315.

Upon application of the change, a confirmation will display that indicates any role adjustment for the individual previously assigned to the role of Certifier for the selected individual(s). Select **Apply** to complete the assignment.

Change Individuals Assignments

The role(s) of the following employee(s) for ERS Access may be updated as shown in the table below. Please click on **Apply** to complete this assignment.

Employee	ERS role will be
Barnes, James	CERT

Apply

When the assignment change is complete, the system provides a confirmation.

Change Individual Assignments					
Ford, Michael has been successfully assigned as Certifier for the following employees.					
Employee Name	**Sub Department**	**Pre Reviewer**	**Certifier**	**Post Reviewer**	**Alternate Sub Dept**
Davis, Karen B	9000004	Adams, Gregory	Ford, Michael	Adams, Gregory	

To continue to work on the same individual(s) listed above in the Employee Name column with additional assignment options, click on **Continue**
To work on another individual in the previously selected Sub Departments, please click on **Return**
To exit to the assignments main page, click on **Exit**

(Exit) (Return) (Continue)

Continue: To continue work on the same individual(s), select Continue

Return: To work on another individual in the previously selected sub departments, select Return.

Exit: To exit the assignments main page, select Exit.

Enable Selected Forms as Line Item Forms

The indication of line item eligibility is a validation on the number of sponsored accounts to which an individual has salary allocated; if an individual is paid from two or more distinct sponsored accounts, the assignment may be set for line item certification.

The system icon P will distinguish individuals available for line item certification.

☐	Evans, Jennifer P

- Note: Line Item Eligibility does **not** necessarily indicate that line item certification should be enabled. There are many cases where an individual works on several projects for one Principal Investigator (PI). When a form is to be certified by one individual, line item should **not** be enabled.

○	Change Pre Reviewer.
○	Change Certifier.
○	Change Post Reviewer.
○	Assign to a different Sub Department.
○	Enable Selected Forms as Line Item Forms

Once the individual(s) for which a change in Certifier is required are selected, choose the radio button next to the applicable role to assign and **Proceed**.

The next screen will display the certifier for each sponsored account present on the covered individual's current period effort report. The certifier for each account is defaulted by the system to be the award Principal Investigator (PI).

Individual Assignments - Line Item Forms

You have selected to make the form for the following individuals a line item form.

The Certifier for the following employees will be changed to the PI by each account on the form.

Employee Name	Sub Department	Sponsored Account	Certifier
Evans, Jennifer	9000004	1000000.A00004 - NIH Project	Smith, David
Evans, Jennifer	9000004	4000000.D00004 - NSF Project	Barnes, James
Evans, Jennifer	9000004	6000000.440x04 - Clinical Trial Project	Smith, David

☐ Check this box, if you would like to change the certifiers for each line item.

Please click **Proceed** to continue with assignment process. To Select another Individual, click **Back**

Back   Proceed

If the default PIs are the identified certifier for the accounts, select **Proceed** to continue with the assignment. When the assignment change is complete, the system provides a confirmation. There is no role adjustment confirmation for the line item process.

Change Individual Assignments

The forms for the following individuals have been re-assigned to be line item forms with the PI's identified by account for certification.

Employee Name	Sub Department	Sponsored Account	Certifier
Evans, Jennifer	9000004	1000000.A00004 - NIH Project	Smith, David
Evans, Jennifer	9000004	4000000.D00004 - NSF Project	Barnes, James
Evans, Jennifer	9000004	6000000.440x04 - Clinical Trial Project	Smith, David

To continue to work on other assignment options for the same group of individuals, please click on **Continue**

To work on another individual in the previously selected sub departments, please click on **Return**

To exit to the assignments main page, click on **Exit**

Exit   Return   Continue

Continue: To continue work on the same individual(s), select Continue

Return: To work on another individual in the previously selected sub departments, select Return.

Exit: To exit the assignments main page, select Exit.

If the default PI is not the identified certifier for the account, select *Check this box, if you would like to change certifiers for each line item*. To change one or more account certifiers, select the check box next to the account and **Proceed**. Note: The certifier must be the same for the account(s) selected.

- When line item certification has already been enabled, *Change Certifier* will display as *Change Account Certifiers* and *Enable Selected Forms as Line Item Forms* will display as *Disable Line Item Forms*. The Change Account Certifiers function works as shown above, and the Disable Line Item Forms will default the certifier back to the covered individual.

Faculty Restriction

In the example shown below, the selected individuals are Faculty; therefore, the certifier cannot be changed and the assignment cannot be enabled for line item certification. A statement '***All the selected employees above are faculty and their certifier cannot be changed***.' will display, and the Enable Selected Forms as Line Item Forms radio button will by grayed out. If an individual was previously not Faculty, for example job title code changed from PDA to FAC, the department should communicate to the Central Administrator that a change in certifier is necessary.

Change Individual Assignments					
You have selected to change the assignment setting for the following employees.					
If this is correct, select the option and click **Proceed**. If this is not correct, please click **Back** to select other employees.					
Employee Name	Sub Department	Pre Reviewer	Certifier	Post Reviewer	Alternate Sub Dept
Barnes, James	9000012	Adams, Gregory	Barnes, James	Adams, Gregory	
Ford, Michael	9000012	Adams, Gregory	Ford, Michael	Adams, Gregory	

You have following rights to change the assignment settings for the above individuals. Please select an appropriate option to continue:

- ◉ Change Pre Reviewer.
- ○ *All the selected employees above are faculty and their certifier can not be changed.*
- ○ Change Post Reviewer.
- ○ Assign to a different Sub Department.
- ○ Enable Selected Forms as Line Item Forms

[Back] [Proceed]

Example of Faculty Assignment Restriction 1

Notifications

Assignment of a Certifier does not initiate a notification email. Notifications to certifiers are processed upon completion of Pre Review. If a change in certifier is made after Pre Review, use standard, personal e-mail to notify the new certifier.

2.2C Assign to an alternate sub department (organization)

There may be situations when an individual may be working on accounts that belong to another department. The "home" department may not necessarily be aware of how the individual spent the time on these activities and whether any adjustments need to be made to correctly represent the individual's effort form.   To assist institutions with this process, ERS provides an "Alternate Sub Department" functionality, which will allow departments to temporarily assign individuals to other units to ensure the accurate and timely completion of their effort forms.

○	Change Pre Reviewer.
○	Change Certifier.
○	Change Post Reviewer.
○	Assign to a different Sub Department.
○	Move back to original Sub Department.
○	Enable Selected Forms as Line Item Forms

Once the individual(s) for which a change in Sub Department is required are selected, choose the radio button next to the applicable role to assign and **Proceed**.

The next screen will list Yale departments in order by department code. To quickly search for the award owning department, use Ctrl-F to bring up the web browser find function. Type the name of the department; for example, MIMED Internal Medicine or Internal Medicine. *For assistance in identifying the award owning department and associated organization, refer to the Ad Hoc reporting section in this manual.*

Change Individual Assignments

You have selected the option - Assign the selected employees to another Sub Department.

To assign an alternate Sub Department, please click on ⊞ sign to expand the group list, then click on the **link of the Sub Department** to continue. Click on **Back** button to select other individual assignment options.

⊞ 6000000 - Demo Department2 00
⊞ 6000001 - Demo Department2 01
⊞ 6000002 - Demo Department2 02
⊞ 6000003 - Demo Department2 03
⊞ 6000004 - Demo Department2 04

Expand the list of organizations within the department.

Select the organization that will be the alternate for Pre Review and, possibly, certifier assignment purposes. Once selected, the system will provide a confirmation that includes the individual now assigned to Pre and Post Review and Certifier. The Pre and Post Reviewer will be the individual assigned as a default to the organization; the certifier will default to the covered individual (unless line item certification is enabled). Select **Apply** to complete the alternate organization assignment.

Upon application of the change, a confirmation will display that indicates any role adjustment for the individual(s) previously assigned to the role of Pre and Post Review and Certifier for the selected individual(s). Select **Apply** to complete the assignment.

When the assignment change is complete, the system provides a confirmation.

Change Individual Assignments					
6000000 has been successfully assigned as Alternate Sub Dept for the following employees.					
Employee Name	Sub Department	Pre Reviewer	Certifier	Post Reviewer	Alternate Sub Dept
Davis, Karen B	9000004	Adams, Gregory 2	Davis, Karen B	Adams, Gregory 2	6000000

To continue to work on the same individual(s) listed above in the Employee Name column with additional assignment options, click on **Continue**
To work on another individual in the previously selected Sub Departments, please click on **Return**
To exit to the assignments main page, click on **Exit**

[Exit] [Return] [Continue]

Continue: To continue work on the same individual(s), select Continue

Return: To work on another individual in the previously selected sub departments, select Return.

Exit: To exit the assignments main page, select Exit.

Notifications

An email notification is sent to the Department Coordinator of the alternate sub department indicating the new assignment. In addition, the system icon [A] will appear next to the name of the covered individual in the new organization's Assignment module.

Considerations for Alternate Organization Assignments

1. The **Home Department** will be able to view the effort forms for the individual who has been reassigned via Pre Review All or Post Review All menu options.
2. The transferred individual(s) will still appear on all the reports for the **Home Department**, however, will not be listed under Change Assignments for Individuals or the My Status/To Do box.
3. If the Home Department decides to transfer the individual back to their domain, the department must contact the Alternate Sub Department and request that the individual be reassigned back to the home sub department. Otherwise, the Central Administrator will clear the Alternate Sub Department assignment upon initiation of the next effort reporting period.
4. The **Home Department** may utilize the *Alternate Organization- Assignments* report to identify individuals that have been reassigned; however, this report is by effort period.
5. The **Alternate Sub Department** DC and Sub DC will not see the individual under the Pre Review menu (unless s/he is also the assigned Pre Reviewer) or on *any* reports.
6. The **Alternate Sub Department** is responsible for the certifier assignment.

Assigning the Individual Back to the Home Organization

The option of "Move back to Original Sub Department" allows the Department Coordinator or Sub Department Coordinator to move the user assigned to an alternate sub department back to the user's home sub department.

Pre Review

3.0   Pre Review Task and Form Overview

Prior to performing the Pre Review task, the Pre Reviewer should ensure proper certifier assignments by reviewing the certifiers listed in the Pre Review worklist. If any certifier assignment seems incorrect, the Pre Reviewer should assist the DC/Sub DC by notifying him/her that a change in certifier is necessary.

Pre Review should generally be complete within **fifteen days** of effort report availability.

Pre Review is a confirmation that effort reports reflect planned salary allocation corresponding to work performed on sponsored projects. Pre Review is **not** a method to monitor salary charged to sponsored (and non-sponsored) projects, the mechanism for identifying labor suspense, or certification or "pre-certification".

Note: If an effort report form contains **labor suspense**, Pre Review cannot continue. Labor suspense must be cleared.

The Pre Review Effort Form screen will display the following information:

- Yale University within the header
- Reporting Period: the name of the reporting period and associated date range (when applicable)
- Name: the name of the covered individual
- SubDept: home organization name
- Employee ID: the covered individual's Yale UPI (University Personal Identifier)
- Department: home department name
- Title: job title
- Title Code: for example, FAC for faculty member
- Payroll dollars and related percentage by account
- Account numbers: Project and Award only
- Account Description: Project name and sponsor award number
- Award PI
- Award Org: the award owning organization (sponsored accounts only)

In addition, the Pre Review Effort Form screen *may* also display the following, as applicable:

- Sponsored imposed salary cap: if the individual is paid from an account typically subject to a sponsored imposed salary rate cap (e.g., NIH, SAMHSA, AHRQ), a view to that year's salary rate cap is provided. This is for informational purposes only and is not based on a calculation.
- Career development award(s): if the individual is paid from a NIH career development award (commonly referred to as a "K" award), an indicator will display. The indicator is for informational purposes only and is not based on a calculation.
- CAP, C, CS, K icons: these icons will display next to an account number if 1) the account is subject to a sponsored imposed rate cap (CAP), 2) the account is a cost sharing account in support of the cap (C), 3) the account is a companion cost sharing account (CS) or 4) the account is a NIH career development award (K).

Yale University
Reporting Period: 063008 (01/01/2008 - 06/30/2008)

This form contains an award(s) subject to a sponsor imposed salary cap. To view salary cap rates, click here.
This Effort Form has a K-Award. The K-Award is identified with *K*.

Pre Review Effort Form

Name: Smith, David
SubDept: 6000010
View Previously Certified Effort Statements

Employee ID: 555555010
Department: Demo Department2 10

Title: Professor
Title Code: FAC

Add Account

Payroll	Accounts		Award PI	Award Org
	Sponsored Accounts			
$19,129.98	16% 1000000.A000xx **CAP**	NIH Project - 1 R21 NS 056876-01	Smith, David	Medical School Organization 707001
$4,870.02	4% 1000000.0061AM **C**	NIH Project	Smith, David	Medical School Organization 707001
$37,200.00	31% 3000000.K00001 *K*	Career Development - 5 K08 AR 051092-04	Smith, David	Medical School Organization 707001
$52,800.00	44% 3000000.0061AM **CS**	Career Development	Smith, David	Medical School Organization 707001
$114,000.00	**95%**	**Total Sponsored Accounts**		
	Non-Sponsored Accounts			
$6,000.00	5% 7000000.0061AM	CRTF		
$6,000.00	**5%**	**Total Non-Sponsored Accounts**		
$120,000.00	**100%**	**Grand Total**		

Notes
Maximum 800 characters

3.1   Pre Review
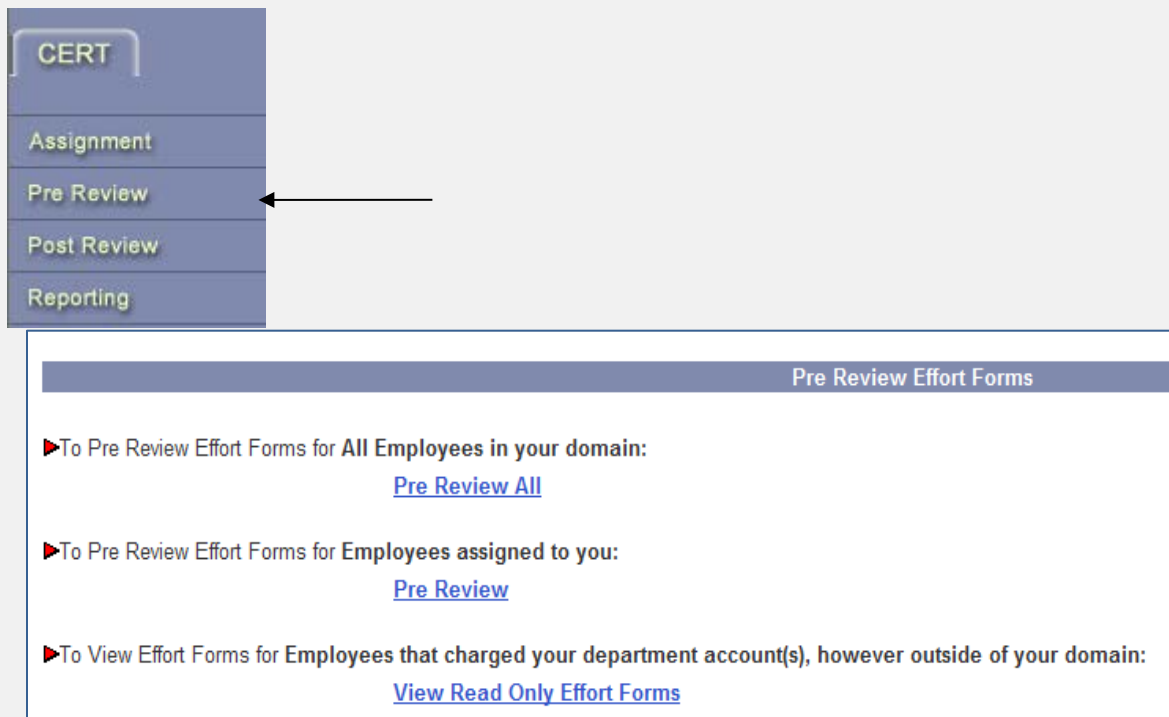
Pre Review All: From the Pre Review menu, the **Pre Review All** option provides the user with a listing of all covered individuals for the period that are *within the user's domain*.

Pre Review by Assignment: The **Pre Review** option provides a listing of all covered individuals that are assigned directly to the user.

- Effort report forms assigned directly to a user can also be accessed through the Pre Reviewer's My Status/To Do box available from the *home page*. From this interface, the user is brought directly to a worklist (reporting period selection is not applicable).

View Read Only Effort Forms: The **View Read Only Effort Forms** option provides a list of covered individuals outside of the user's domain but charged to a sponsored award within the user's domain. This option provides an opportunity to enter a comment to the home domain Pre Reviewer within the form, *Notify* the home domain Pre Reviewer via email message and/or confirms the individuals charged to a specific sponsored project have an effort report.

Upon selection of any of the three menu options, the user will be directed to a listing of effort reporting periods. Select the reporting period being reviewed. <u>Note</u>: The current period will be highlighted with an arrow and 'Current Period' designation.

	Reporting Period	Start Date	End Date
Current Period ▶	Fall 2011	2011-07-01	2011-12-31
		2011-07-01	2011-12-31
	Spring 2011	2011-01-01	2011-06-30
		2011-01-01	2011-06-30

Once the applicable reporting period has been selected, the list of departments or sub departments assigned to the Pre Reviewer will be provided. Select one, many or all from the list.

Pre Review Effort Forms

You are in charge of the following sub department(s). Please select from the following list and click **Continue** to proceed with the Pre Review process. You can optionally apply the Filter options to narrow down the selection.

Apply Filter: No ⌄ No ⌄

	Check All		Clear All		
▲	Sub Dept ▼	Sub Dept Name ▲ ▼	Dept ▲ ▼	Division ▼	
☐	9000010	SubDept Demo 10	9000010	9000010	

[Back] [Continue] [Help]

Apply Filter: Using a drop-down list of values, effort report forms can be filtered by department on Pre Review and Certify status.

Check All: The check boxes of the listed departments or sub departments will be populated.

Clear All: The check boxes of the listed departments or sub departments will be deselected.

Up/Down Arrows: The displayed information will be sorted according to the selected column in an ascending or descending manner by line entry.

Continue: Once the departments or sub departments are selected, the user must select Continue to proceed with the Pre Review process.

The next screen will provide the Pre Review worklist specific to the option selected from the menu (Pre Review All, Pre Review, and View Read Only Effort Forms). The listing may be provided in multiple screens. As seen in the Assignment module, ERS provides a dynamic alphabetical listing for navigation through the list.

The Pre Review worklist provides form status and the name of the certifier(s) currently assigned. Two distinct worklists will be provided when there are individuals assigned for certification by multiple certifiers.

Pre Review Effort Forms

Reporting Period Fall 2011

Please click on an employee's name to Pre Review the Effort Form

Name	Sub Dept	Title Code	Pre Reviewed?	Certified?	Certifier Name
Evans, Jennifer	9000030	CT	N	N	Evans, Jennifer

Line Item Effort Forms

Name	Sub Dept	Title Code	Pre Reviewed?	Certified?	Certifier Name
Blincoe, Carrie	9000030	CT	N	N	Multiple

Work on other Sub Dept(s)

Work on another Reporting Period

Help

Work on other Sub Dept(s): The user will be directed to the previous screen to choose the departments or sub departments to Pre Review.

Work on another Reporting Period: The user will be redirected to the screen to choose the appropriate reporting period.

Reviewing the Effort Report Form

Once department or sub department and effort reporting period selections have been made and certifiers are confirmed, the Pre Reviewer can proceed with review of the effort report.

Yale University
Reporting Period: 063008 (01/01/2008 - 06/30/2008)

This form contains an award(s) subject to a sponsor imposed salary cap. To view salary cap rates, click here.
This Effort Form has a K-Award. The K-Award is identified with *K*.

Pre Review Effort Form

Name: Smith, David   Employee ID: 555555010   Title: Professor
SubDept: 6000010   Department: Demo Department2 10   Title Code: FAC
View Previously Certified Effort Statements

Add Account

Payroll	Accounts		Award PI	Award Org
	Sponsored Accounts			
$19,129.98	16% 1000000.A000xx **CAP**	NIH Project - 1 R21 NS 056876-01	Smith, David	Medical School Organization 707001
$4,870.02	4% 1000000.0061AM **C**	NIH Project	Smith, David	Medical School Organization 707001
$37,200.00	31% 3000000.K00001 *K*	Career Development - 5 K08 AR 051092-04	Smith, David	Medical School Organization 707001
$52,800.00	44% 3000000.0061AM **CS**	Career Development	Smith, David	Medical School Organization 707001
$114,000.00	**95%**	**Total Sponsored Accounts**		
	Non-Sponsored Accounts			
$6,000.00	5% 7000000.0061AM	CRTF		
$6,000.00	**5%**	**Total Non-Sponsored Accounts**		
$120,000.00	**100%**	**Grand Total**		

Notes
Maximum 800 characters

Payroll detail by month and by transaction is available through the payroll 'drilldown' links. The information can be filtered via the *Change to* drop-down list of values and can be exported to excel or PDF.

Account information can be viewed by selecting the hyperlink below the account number (i.e., Yale **P**roject and **A**ward).

Previously certified effort report statements can be viewed through the link provided under the covered individual's name and sub department.

In Pre Review, the following navigation buttons may be available.

Exit Form: The user will be redirected to the previous menu.

Save Form: The system will save any changes made to the effort report form. The Pre Review status will update to N (Saved).

Initiate CT: The Oracle Labor Distribution or Graduate Student Payment System will launch and pre-populate the individual's name and the date range of the effort reporting period. Note: The date range may need to be changed to reflect the appropriate adjustment period. The Pre Review status will update to N (CT Pending).

Proceed: The user can proceed with the Pre Review.

Help: A related online help description will be presented in a new web browser.

Top/Prev./Next/Last Form: The user can navigate within the worklist.

Use of the Effort Report Notes Box
The Notes box can be utilized by Pre Reviewers and Certifiers to provide explanatory information. The Notes box should **not** be used as a form of or in place of e-mail communication.

View Read Only Effort Forms
The Departmental Coordinator (DC) and the Sub Department Coordinator (Sub DC) have the ability to view effort reports for covered individuals that did not generate in the department (i.e. home organization) but have charges against awards and/or projects owned by the department (award owning and project owning organization as defined during setup). From the Pre Review menu, select View Read Only Effort Forms. Or, if viewing the current period, the forms outside of the home department for which the department is the project/award owning organization will show within the completion status box.

Pros	Cons
As the charging organization, the user has the ability to view effort reports and provide comments for individuals charged to accounts for which the user has grant oversight. There is an ability to communicate to the home organization through the Notify feature or the comments to help ensure proper review and certifier assignment.	This feature does not give the charging organization control of the person and puts a certain level of administrative responsibility on the home organization.

There is no "passing" of the person using this feature keeping everyone in their home organization.	The home organization is still responsible (in University review of effort reporting progress) for the person.
	The Pre/Post Reviewer does not have this function available.
	The home organization is still responsible for any labor adjustments needed for the individual.
	The award owning Pre Reviewer cannot provide comments; comments are entered only by the DC or SubDC.

View Read Only Effort Forms Comments

Home Department Options:

- During the normal progression of Pre Review, the Pre Reviewer may come upon an effort form displaying an ⊕ icon. This indicates that the home organization differs from that of the award owning organization; therefore, it is possible this icon will show for individuals that are within the user's department. The icon will show whether or not a Comment has been entered by the award owning organization.
- By clicking on the icon, the Pre Reviewer can see if any comments have been posted by the "account-owning" department's Department Coordinator. Any comments posted will assist with the Pre Review process.

Account-Owning Department Options:

- Upon log in, the Department Coordinator and/or Sub Department Coordinator will see the number of forms from other departments that have charges on accounts owned by the user's domain for the current period. It will be the account-owning department's responsibility to review these forms and provide any feedback to the home department if any changes are necessary.

  - o The Notify feature will launch an e-mail message to the assigned Pre Reviewer.

- When accessed, the Department Coordinator and/or Sub Department Coordinator are presented with the account name, the account owning department number and department name. For any account that is owned by your department, Click on the ✏ icon.

  - o A Comments box will be available where the user can post approval or comments (undeletable) to the "Home" Pre Reviewer and submit. Once submitted, the Pre Reviewer from the home department can view the notes and comments for consideration when performing the Pre Review function.

Adding Accounts to the Effort Report Form

When a cost transfer is required after the effort reporting period has been released and the account is not present on the effort report form, use the Add Account feature to add the intended account.

Select the **Add Account** button.

A Search Accounts window will open. The search is defaulted to select a sponsored account. Determine if the intended account is sponsored or non-sponsored and enter a partial project, award or combination of project and award to search for the applicable account.

Cancel: The action will be terminated.

Continue: The user will be presented with a list of accounts that meet the criteria entered through the Search Accounts screen.

Account: Select the account from the drop-down list of values.

Account Description: The description will populate based on the account selection.

Account Status: A status of either A (active) or I (inactive) is provided. When adding an Inactive account, contact the Office of Grant and Contract Financial Administration to change this status to active. Cost transfers cannot be performed on inactive accounts.

Cancel: The add account process will be terminated.

Add Account: The new account will be added to the effort report form. The payroll dollar amount and percentage will be zero. Added accounts will have an icon to remove the account from the form.

After the account has been added, the review can continue. The **certifier** will then need to allocate the percentage of effort devoted to the new account and reduce another account(s) as appropriate.

Add the new account to the effort report	→
Pre review the report	→
Certifier allocates effort percentage	↓
Cost transfer is most likely already in progress	←
Administrator receives notice to Post Review	←
Certifier completes certification	
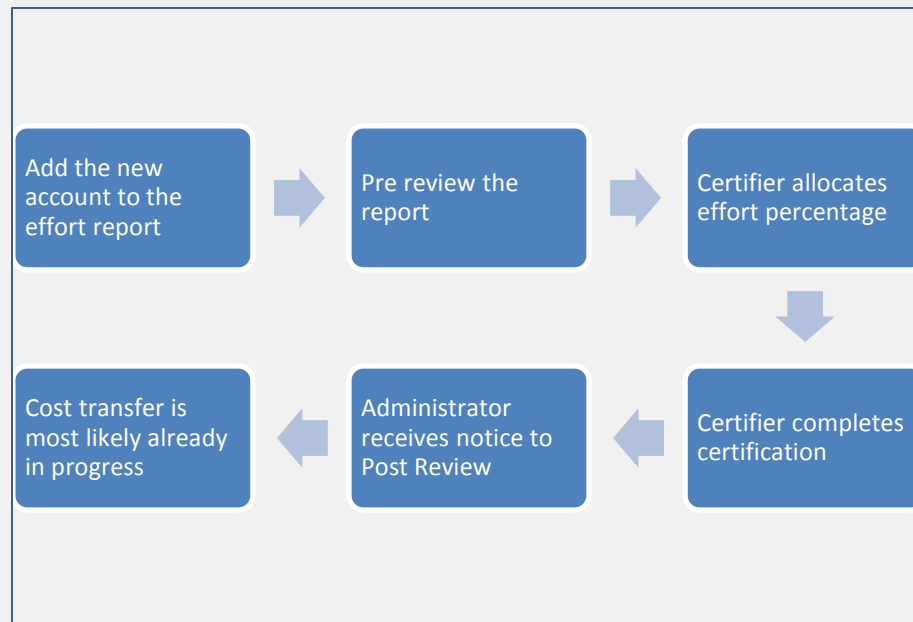
Pre Review Summary

Upon proceeding with Pre Review, the Pre Review Summary is provided. The summary will include any notes made by the Pre Reviewer and an audit record of the review. To re-pre review an effort report form that has not been accessed by the certifier or to save the form so that a previously reviewed report is not accessible in the certifier's queue, access the report through the Pre Review menu and select the **Make Changes** button.

Yale University			
Reporting Period: Fall 2011 (07/01/2011 - 12/31/2011)			

Pre Review Summary			

Name: Blincoe, Carrie   Employee ID: 155555037   Title: Laboratory Assistant 3
SubDept: 9000037   Department: Demo Department 37   Title Code: CT

View Previously Certified Effort Statements

Payroll		Accounts		Award PI	Award Org
		Sponsored Accounts			
$1,024.68	25%	2000000.R00037	Foundation Grant - DE-FG02-91ER40609	Ford, Michael	Science Hill Organization 627014
$1,024.68	25%	4000000.D00037	NSF Project - BES-0329470	Barnes, James	Science Hill Organization 627014
$2,049.36	50%				
		Non-Sponsored Accounts			
$2,049.40	50%	8000000.0061AA	Physics Administration		
$2,049.40	50%				
$4,098.76	100%				

Notes:

N/A

Form Pre Reviewed By:	Adams, Gregory
Form Pre Reviewed On:	02/29/2012

This Effort Form has been successfully Pre Reviewed. If you would like a hard copy of the effort form, press the printer icon in the top right corner. Press the PDF icon to download a PDF version of this effort form.

[Exit] [Make Changes] [Help]
[Next Form] [Last Form]

Notifications

An e-mail message confirmation (not shown) will be provided at the bottom left-hand side of the summary screen that indicates an e-mail message was sent to the certifier(s). E-mail messages are gathered in a holding table and sent every day at 10:00AM. This bulk notification process helps alleviate e-mail volume.

3.2   Rounding

ERS applies rounding logic to all percentages within the appropriate columns on the effort report form by rounding up or down to the nearest whole number.

Percentages are calculated by dividing the payroll amount of an account by the total amount. Due to rounding, oftentimes the total percentage will be more than 100%. To prevent this from occurring, ERS will round out the percentages where 1% will be added or subtracted to one account after another [in order] until the total percent is 100%.

Example: Accounts one, two, and three round to 17%, and account four is 50%. The total equals 101%, so 1% is subtracted from one of the rounded accounts so the modified percentages are 17%, 17%, 16%, and 50%, totaling 100%.

4.0   Certification

When Pre Review is complete, the assigned certifier will receive an email message instructing him/her to take action. Certifiers should then review the effort report form, communicate any significant changes in effort, adjust actual effort when necessary and add notes as applicable.

Pre Review e-mail messages are gathered in a holding table and sent every day at 10:00AM. This bulk notification process helps alleviate e-mail volume.

Email Message	
Subject:	Important: Certify Effort
Message Body:	Hello <TONAME>, Effort reports for the following individuals are available for your review and certification. <FORMLIST> Employee: <EMPNAME>. Pre Reviewed by: <FROMNAME> <<FROMEMAIL>> . </FORMLIST> Please go to <URL> to certify the effort form(s). Note that when working from an off-campus location (and some parts of campus such as YNHH) a Virtual Private Network (VPN) connection is required. Thank you. Please note: This is a system-generated message. Please do not respond to this message. Message: BULKPRE
CC:	☑

Certifier email example 1

A confirmation that the certification notification was sent to the certifier is provided to the Pre Reviewer.

Email Message	
Subject:	Confirmation of Certifier Email
Message Body:	Hello <FROMNAME>, You have pre reviewed the following effort report(s). Notification was sent to the certifier on <DATE>. <FORMLIST>Employee: <EMPNAME>. Certifier: <TONAME> Reporting Period: <RPCODE>. </FORMLIST> Thank you, Michele Greenhouse Effort Reporting Central Administrator effort.reports@yale.edu Please note: This is a system-generated message. Please do not respond to this message. Message: BULKPRECC
CC:	☐

Example of confirmation email 1

Certify by Reporting Period

Certify: From the Certify menu, an option to Certify reports by reporting period is available. Upon selection, the certifier has the option to choose from a list of reporting periods.

As seen in Pre Review, the Certifier should then select the reporting period being reviewed. Note: The current period will be highlighted with an arrow and 'Current Period' designation.

Certify from the My Status/To Do Box
Effort report forms that have been assigned to a certifier will be reflected on the certifier's home page in the My Status/To Do box. Reporting periods are separated based on most current and all prior. Selection of the Pending hyperlink opens a worklist for the certifier.

Certifier

Smith, David

	Certification	
	Pending	Pending Pre Review
Current Period (123111)	1	0
Prior Periods	0	1

My Status / To Do

The Certifier worklist provides form status and the name of the certifier(s) currently assigned. Two **distinct** worklists will be provided when there are individuals assigned for certification by multiple certifiers.

Effort Forms Pending Certification from Prior Periods

Name	RP Code	Sub Dept	Title Code	Pre Reviewed?	Certified?	Post Reviewed?	Certifier Name
Phillips, Emory	053108	9000015	STN	Y	N	N	Smith, David

Line Item Effort Forms Pending Certification from Prior Periods

Name	RP Code	Sub Dept	Title Code	Pre Reviewed?	Certified?	Post Reviewed?	Certifier Name
Evans, Jennifer	123107	9000015	CT	Y	N (saved)	N	Multiple

Standard Form Certification

A standard form is defined as one that has a single certifier. Upon selection of an individual within the certifier worklist, the *Certify Effort Form* screen is displayed.

Like the Pre Reviewer, the certifier can access account information, payroll detail, enter Notes, add accounts and view previously certified effort statements. In addition, the certifier can view Pre Review details and make changes to actual effort percent.

If an account was added in Pre Review, the certifier would see an account designated with 0% payroll and 0% actual effort.

⊕ Note: The Initiate CT button is not available for certifiers.

In a standard form, actual effort percent must always equal 100. An error will prompt the certifier to correct any changes made that result in total effort under or exceeding 100%.

The certifier also utilizes the **Proceed** button to confirm changes and proceed to the effort certification statement.

Pre Review Details: Summary of the pre reviewed effort form is presented to the certifier.

Add Account: The certifier may add an account to the effort report form and reallocate actual effort.

Reset Form: The effort form will be reset to original.

Exit Form: The user will be redirected to the previous menu and the system will not save changes (a prompt will appear when exit form is selected asking the user if changes should be saved).

Save Form: The system will save any changes made to the form.

Proceed: The user can proceed with the Certify process.

Notify: The user can notify the Pre Reviewer via email within the ERS.

Top/Prev./Next/Last Form: The user can navigate within the worklist.

The next screen will display Yale's attestation statement. To complete electronic certification, the certifier selects **Certify**.

Yale University
Reporting Period: 053108 (01/01/2008 - 05/30/2008)

Certify Effort Form

Name: Phillips, Emory   Employee ID: 133333015   Title: Graduate Student Fellow
SubDept: 9000015   Department: Demo Department 15   Title Code: STN

Accounts		Payroll %	Actual Effort %
Sponsored Accounts			
1000000.A000xx	NIH Project - 1 R21 NS 056876-01	10%	10%
	Total Sponsored Accounts:	10%	10%
Non-Sponsored Accounts			
8000000.0061AA	Physics Administration	90%	90%
	Total Non-Sponsored Accounts:	90%	90%
	Grand Total:	100%	100%

Notes:
N/A

If all information above is correct, please click on **Certify**. Click on **Return** to return to the initial form. Click on **Exit Form** to return to the list.

> I (either Covered Individual, PI, or Responsible Official using a suitable means of verification that the work was performed) certify that the percentages shown in the Actual Effort Column above reasonably reflect the actual effort charged to the sponsored project(s) during the period of the Effort Report.
>
> [Certify]   ←
>
> If the information above does not reflect your Effort, Do Not Certify. Click on Notify to email your Effort Administrator.

[Exit Form] [Return] [Help]

Once complete, the system will provide a *Certified Effort Statement* that records the individual providing certification and the date certification was completed.

Yale University
Reporting Period: 053108 (01/01/2008 - 05/30/2008)

Certified Effort Statement

Name: Phillips, Emory   Employee ID: 133333015   Title: Graduate Student Fellow
SubDept: 9000015   Department: Demo Department 15   Title Code: STN

View Previously Certified Effort Statements

Accounts		Payroll %	Actual Effort %
Sponsored Accounts			
1000000.A000xx	NIH Project - 1 R21 NS 056876-01	10%	10%
	Total Sponsored Accounts:	10%	10%
Non-Sponsored Accounts			
8000000.0061AA	Physics Administration	90%	90%
	Total Non-Sponsored Accounts:	90%	90%
	Grand Total:	100%	100%

Notes:
N/A

I (either Covered Individual, PI, or Responsible Official using a suitable means of verification that the work was performed) certify that the percentages shown in the Actual Effort Column above reasonably reflect the actual effort charged to the sponsored project(s) during the period of the Effort Report.

Form Certified By:	Smith, David
Form Certified On:	01/18/2012

This Effort Form has been successfully Certified. If you would like a hard copy of the effort form, press the printer icon in the top right corner. Press the PDF icon to download a PDF version of this effort form.

[Exit Form] [Pre Review Details]

Line Item Form Certification

For individuals designated for certification by more than one certifier, an additional column is added to the effort report form. The Status indicates the lines available for certification by the user and those designated for another certifier.

<div>

Yale University
Reporting Period: 123107 (12/01/2007 - 12/31/2007)

Certify Effort Form

Name: Evans, Jennifer   Employee ID: 144444015   Title: Laboratory Assistant 3
SubDept: 9000015   Department: Demo Department 15   Title Code: CT
View Previously Certified Effort Statements

[Pre Review Details] [Add Account] [Reset Form]

Accounts		Payroll %	Actual Effort %	Status
Sponsored Accounts				
1000000.A00015	NIH Project - 1 R21 NS 056876-01	20%	20 %	**Available** for Certification
4000000.D00015	NSF Project - BES-0329470	20%	15%	**Certified** by Barnes, James on 2011-06-17 11:04:36.664
6000000.440x15	Clinical Trial Project - 1 99999024/012	20%	20 %	**Available** for Certification
	Total Sponsored Accounts:	**60%**	**55%**	
Non-Sponsored Accounts				
8000000.0061AA	Physics Administration	40%	40%	
	Total Non-Sponsored Accounts:	**40%**	**40%**	
	Grand Total:	**100%**	**95%**	

Notes [   ]
Maximum 800 characters

</div>

In a line item form, actual effort percent may be under or exceed 100%. Reconciliation of the percentage is done in Post Review.

Upon proceeding with certification, the line certifier is presented with a screen that now displays only those lines that have been designated to the user for certification.

<div>

Yale University
Reporting Period: 123107 (12/01/2007 - 12/31/2007)

Certify Effort Form

Name: Evans, Jennifer   Employee ID: 144444015   Title: Laboratory Assistant 3
SubDept: 9000015   Department: Demo Department 15   Title Code: CT

Accounts		Payroll %	Actual Effort %	Status
Sponsored Accounts				
1000000.A00015	NIH Project - 1 R21 NS 056876-01	20%	20%	**Available** for Certification
6000000.440x15	Clinical Trial Project - 1 99999024/012	20%	20%	**Available** for Certification
	Total Sponsored Accounts:	**40%**	**40%**	

Notes:
N/A

If all information above is correct, please click on **Certify**. Click on **Return** to return to the initial form. Click on **Exit Form** to return to the list.

I (the PI or Responsible official using a suitable means of verification that the work was performed) certify that the percentages available for my certification in the Actual Effort Column above reasonably reflect the actual effort charged to the sponsored project(s) during the period of the Effort Report.

[Certify]

If the information above does not reflect your Effort, Do Not Certify. Click on Notify to email your Effort Administrator.

</div>

The *Certified Effort Statement* will reflect the date and timestamp in the Status column.

Yale University			
Reporting Period: 123107 (12/01/2007 - 12/31/2007)			

Certified Effort Statement

Name: Evans, Jennifer
SubDept: 9000015

Employee ID: 144444015
Department: Demo Department 15

Title: Laboratory Assistant 3
Title Code: CT

View Previously Certified Effort Statements

Accounts		Payroll %	Actual Effort %	Status
Sponsored Accounts				
1000000.A00015	NIH Project - 1 R21 NS 056876-01	20%	20%	Certified by Smith, David on 2012-01-18 15:52:16.761 test
6000000.440x15	Clinical Trial Project - 1 99999024/012	20%	20%	Certified by Smith, David on 2012-01-18 15:52:16.761 test
	Total Sponsored Accounts:	40%	40%	

Notes:
N/A

I (the PI or Responsible official using a suitable means of verification that the work was performed) certify that the percentages available for my certification in the Actual Effort Column above reasonably reflect the actual effort charged to the sponsored project(s) during the period of the Effort Report.

This Effort Form has been successfully Certified. If you would like a hard copy of the effort form, press the printer icon in the top right corner. Press the PDF icon to download a PDF version of this effort form.

[Exit Form] [Pre Review Details]

Notifications

If any changes are made to actual effort whether a standard or line item form, an e-mail message will be sent to the Post Reviewer. If the certifier enters a note (regardless of if a change to actual effort has been made), the Post Reviewer will receive an email notification to review the note left by the certifier.

5.0   Post Review

Post Review is <u>not required</u> when certification is complete without changes. If a Certifier makes changes to the actual effort and proceeds with certification, Post Review is required. The Business Office employee responsible for completing Post Review will receive an automated email notification that Post Review is required.
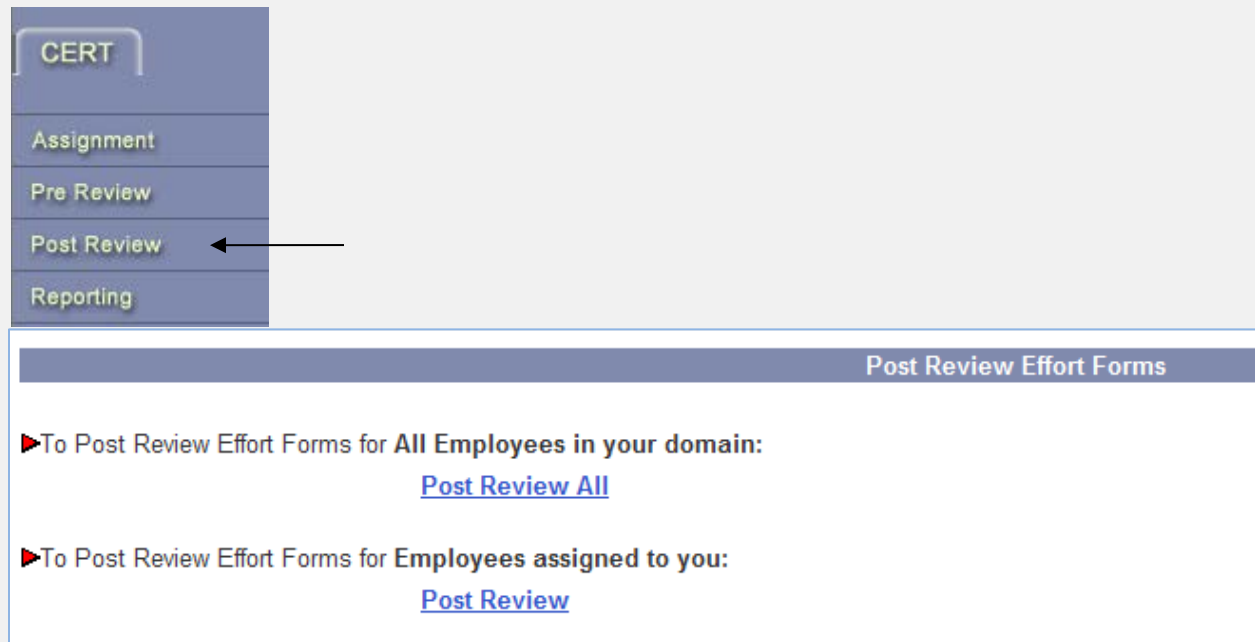
Post Review All: From the Post Review menu, the **Post Review All** option provides the user with a listing of all covered individuals for the period that are *within the user's domain*.

Post Review by Assignment: The **Post Review** option provides a listing of all covered individuals that are assigned directly to the user.

 ⊕ Effort report forms assigned directly to a user can also be accessed through the Post Reviewer's <u>My Status/To Do</u> box available from the *home page.* From this interface, the user is brought directly to a worklist (reporting period selection is not applicable). In the example shown below, the user is both a Pre and Post Reviewer and has forms pending for both statuses.

My Status / To Do			
	Pre Review	Post Review	
	Critical	Pending	Pending Certification
Current Period (123111)	0	0	2
Prior Periods	1	2	0

As seen in Pre Review, when entering the worklist through the Post Review All or Post Review menu options, the Post Reviewer will be prompted to select the reporting period being reviewed. Note: The current period will be highlighted with an arrow and 'Current Period' designation.

The Post Review worklist provides form status and the name of the certifier(s) currently assigned. Two distinct worklists will be provided when there are individuals assigned for certification by multiple certifiers.

Effort Forms Pending Post Review from Prior Periods							
Name	RP Code	Sub Dept	Title Code	Pre Reviewed?	Certified?	Post Reviewed?	Certifier Name
Barnes, James	093007	9000030	FAC	Y	Y	N	Barnes, James

Post Reviewing the Effort Report Form

The Post Review Effort Summary displays the original payroll percentage, the actual effort percentage as certified and the difference between the two. Account and payroll information and a view to previously certified effort reports are provided.

Yale University
Reporting Period: 093007 (06/01/2007 - 09/30/2007)

Post Review Effort Summary

Name: Barnes, James Employee ID: 888888030 Title: Professor
SubDept: 9000030 Department: Demo Department 30 Title Code: FAC
View Previously Certified Effort Statements

Accounts		Award PI	Award Org	Payroll %	Actual Effort %	Difference %
Sponsored Accounts						
1000000.A00049	NIH Project - 1 R21 NS 056876-01	Smith, David	Medical School Organization 707001	0%	19%	19%
4000000.D000xx	NSF Project - BES-0329470	Barnes, James	Science Hill Organization 627014	53%	53%	0%
5000000.E00001	DOE Project - DE-FG02-91ER40609	Barnes, James	Science Hill Organization 627014	28%	28%	0%
	Total Sponsored Accounts:			81%	100%	19%
Non-Sponsored Accounts						
9000000.0009AA	Physics Faculty Salaries			19%	0%	-19%
	Total Non-Sponsored Accounts:			19%	0%	-19%
	Grand Total:			100%	100%	0%

Exit Form | Notify | Proceed

Exit Form: The user will be redirected to the previous menu and the system will not save changes (a prompt will appear when exit form is selected asking the user if changes should be saved).

Notify: The user can notify the Certifier via email within the ERS.

Proceed: The user can proceed with the Post Review process.

Upon proceeding with Post Review, the Post Review Effort Form is provided. The form will display the payroll and actual effort dollars and the difference between them. The form will also display any notes made by both the Pre Reviewer and Certifier(s).

Yale University
Reporting Period: 093007 (06/01/2007 - 09/30/2007)

Post Review Effort Form

Name: Barnes, James   Employee ID: 888888030   Title: Professor
SubDept: 9000030   Department: Demo Department 30   Title Code: FAC
View Previously Certified Effort Statements

[Pre Review Details] [Certification Details]

Accounts	Award PI	Award Org	Payroll $	Actual Effort $	Cost Transfer to be Processed $
Sponsored Accounts					
1000000.A00049	NIH Project - 1 R21 NS 056876-01	Smith, David	Medical School Organization 707001	$0.00	$5,787.40	$5,787.40
4000000.D000xx	NSF Project - BES-0329470	Barnes, James	Science Hill Organization 627014	$16,143.80	$16,143.80	$0.00
5000000.E00001	DOE Project - DE-FG02-91ER40609	Barnes, James	Science Hill Organization 627014	$8,528.80	$8,528.80	$0.00
	Total Sponsored Accounts:			$24,672.60	$30,460.00	$5,787.40
Non-Sponsored Accounts					
9000000.0009AA	Physics Faculty Salaries			$5,787.40	$0.00	-$5,787.40
	Total Non-Sponsored Accounts:			$5,787.40	$0.00	-$5,787.40
	Grand Total:			$30,460.00	$30,460.00	-$0.00

Notes:
N/A

Notes [   ]
Maximum 500 characters

[Exit Form] [Back] [Initiate CT] [Notify] [Help]

Pre Review Details: Summary of the pre reviewed effort form is presented to the post reviewer.

Certification Details: A *Certified Effort Statement* is provided. <u>This document can be used for support of the cost transfer to be submitted that reconciles actual effort with payroll.</u>

Exit Form: The user will be redirected to the previous menu

Back: The user will be redirected to the previous Summary screen.

Initiate CT: The Oracle Labor Distribution or Graduate Student Payment System will launch and pre-populate the individual's name and the date range of the effort reporting period. The Pre Review status will update to N (CT Pending).

Notify: The user can notify the Certifier via email within the ERS.

Help: A related online help description will be presented in a new web browser.

Post Review for Line Item Certification
Post Review of Line Item Certification is only required when changes were made to an effort form. The following are scenarios for which post review is required for line item certification enabled effort report forms; post review is handled differently dependent upon the action taken by each certifier and the intended allocation of effort.

1. Sponsored Accounts Only – Effort is over 100%

    a. If changes made to an effort form's percentages equal more than 100%, the Post Reviewer must contact the certifier(s) to resolve the difference and bring the effort of the individual to 100%. After a resolution has been reached and it has been determined a cost transfer is not required, the Post Reviewer should assist the certifier in making changes to the effort form.

        i. The Certifier(s) log into the system and change the percentage of effort.

        ii. The Post Reviewer provides the certifier(s) with directions to "recertify" the effort form. Once the effort form has been recertified no further action is required.

2. Sponsored Accounts Only – Effort is over 100%

    a. If after the discussion with each line certifier, the effort of the individual must be redistributed, the Post Reviewer would need to Initiate a Cost Transfer.

3. Sponsored and Non-Sponsored Accounts – Effort is over 100%

    a. If the changes to the sponsored account accurately reflect the changed percentage altered by the certifier(s), the Post Reviewer would be required to adjust the percentage on the non-sponsored account and Initiate a Cost Transfer.

4. Effort Form under 100%

    a. Addition of a non-sponsored account required

        i. If the outcome of the discussion with the certifier is that the effort of the individual is under 100% and it is determined that the remaining percentage should be absorbed by the department, the Pre and Post Reviewer would be responsible for resolution.

            1. The Pre Reviewer would then log in to ERS, navigate to the Pre Review menu, select the covered individual and follow the steps to add the account.

            2. Once the account is added, the Pre Reviewer selects **Proceed**. Proceeding bypasses certifiers that have already completed certification.

            3. From the Post Review menu, select the covered individual and allocate the remaining effort percentage to the non-sponsored account. Total effort must equal 100%.

            4. Select **Proceed** and Initiate the Cost Transfer.

    b. Effort Form has an existing Non-Sponsored Account

        i. The Post reviewer opens the form and either increases or decreases the percentage in the non-sponsored account. Select **Proceed** and Initiate the Cost Transfer.

Post Review – Recertification

There may be instances where a certifier has changed actual effort in error. Post Review in the form of creation and processing of a cost transfer may not be necessary in this scenario. To reset the actual effort to the payroll percentage, the certifier must access the form and recertify. To re-access the effort

report form, the certifier will need to *Certify by Reporting Period*. Note: Post Review status must be N. If the Post Review status is not N, the Post Reviewer must contact the Central Administrator to "drop" the status. Post Review with a status other than N locks the certifier out of the form.

Yale University
Reporting Period: 093007 (06/01/2007 - 09/30/2007)

Certified Effort Statement

Name: Barnes, James
SubDept: SubDept Demo 49
View Previously Certified Effort Statements

Employee ID: 888888049
Department: Demo Department 49

Title: Professor
Title Code: FAC

Accounts		Payroll %	Actual Effort %
Sponsored Accounts			
4000000.D000xx	NSF Project - BES-0329470	53%	60%
5000000.E00001	DOE Project - DE-FG02-91ER40609	28%	28%
	Total Sponsored Accounts:	81%	88%
Non-Sponsored Accounts			
9000000.0009AA	Physics Faculty Salaries	19%	12%
	Total Non-Sponsored Accounts:	19%	12%
	Grand Total:	100%	100%

Notes:
N/A

I (the Covered Individual, PI, or Responsible official using a suitable means of verification that the work was performed) certify that the percentages shown in the Actual Effort Column above reasonably reflect the actual effort devoted to the sponsored project(s) during the period of the Effort Report.

Form Certified By:	Barnes, James
Form Certified On:	06/09/2008

This Effort Form has been successfully Certified. If you would like a hard copy of the effort form, press the printer icon in the top right corner. Press the PDF icon to download a PDF version of this effort form.

[Exit Form]   [Pre Review Details]
[Next Form]   [Last Form]

If you would like to make changes on this certified effort form, please click here.

To reopen the Certify Effort Form display, select "here" in the statement shown above in the red box.

Yale University
Reporting Period: 093007 (06/01/2007 - 09/30/2007)

Certify Effort Form

Name: Barnes, James
SubDept: SubDept Demo 49
View Previously Certified Effort Statements

Employee ID: 888888049
Department: Demo Department 49

Title: Professor
Title Code: FAC

[Pre Review Details]   [Add Account]   [Reset Form]

Accounts		Payroll %	Actual Effort %
Sponsored Accounts			
4000000.D000xx	NSF Project - BES-0329470	53%	60 %
5000000.E00001	DOE Project - DE-FG02-91ER40609	28%	28 %
	Total Sponsored Accounts:	81%	88%
Non-Sponsored Accounts			
9000000.0009AA	Physics Faculty Salaries	19%	12 %
	Total Non-Sponsored Accounts:	19%	12%
	Grand Total:	100%	100%

Notes [   ]
Maximum 800 characters

If changes are made to this form, please select **Proceed** or **Save Form** to preserve the changes.

Please determine if the percentages are correct. If they are not correct, select the **Notify** button to notify your Pre Reviewer. If the percentages are correct, click on **Proceed** button to continue.

[Exit Form]   [Save Form]   [Proceed]   [Notify]   [Help]
[Next Form]   [Last Form]

The certifier can then update the Certified Effort Form to reflect the correct Actual Effort %. If the payroll % and actual effort % do not match upon recertification, it is implied that another cost transfer is needed and a message will be sent to the Post Reviewer.

6.0   Reporting

Reports run in ERS have similar parameter requirements. In most cases, the first step upon selecting the report to run is to choose the reporting period.

Completed Percentage by Department		
Reporting Period	**Start Date**	**End Date**
Current Period ▶ Faculty Summer 2009	2009-06-01	2009-09-30
Graduate Summer 2009	2009-06-01	2009-08-31

The next step is to select the department (DCs) and/or the sub department (SubDCs and DCs).
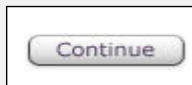
Clear All

	Dept	Name
☐	9000050	Demo Department 50

Clear All

	Sub Dept	Name
☐	9000050	SubDept Demo 50
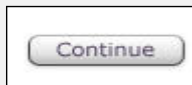
Use the [Continue] button to progress through report processing.

Most reports can be exported to either Excel or Adobe PDF and saved or printed from those applications.

Key Reports

The following reports have been identified as those most likely to be of assistance in monitoring certification completion, managing the review process and role assignments. In addition, the report titles in orange include information for line item enabled effort report forms; other reports do not display line item specific information. For a full description of each Key Report, please view the Report Directory.

1. Comprehensive Status Report

2. Comprehensive Status Report for PI Line Item

3. Completed Percentage by Department

4. Printed Certified Statements

5. Alternate Assignment by Organization

6. Departments & SubDepartments with Coordinators

7. List of Certification Due Dates

Report Directory

Standard Reports

Administrative Reports

Alternate Organization Assignments

This report displays those employees whose effort forms have been transferred to another department for review.

Print Certified Statements

The Print Certified Statements report creates a printed certified effort form statement. The Print Certified Statements report can be run for the department or a specific individual. Use of this report includes providing the certified effort report as part of cost transfer justification. This report can be run with or without the display of Notes.

Completion Reports

Completed Percentage by Department

The Completed Percentage by Department report displays the total number of effort reports and the percentage of effort reports completed by the department for a specific reporting period.
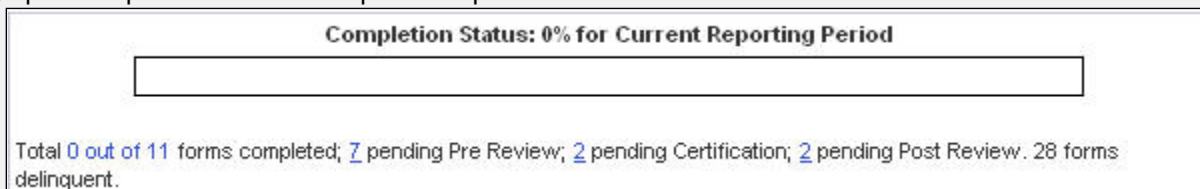
Completed Percentage by Department/SubDepartment

The Completed Percentage by Department/SubDepartment report displays the total number of effort reports and the percentage of effort reports completed by organization for a specific reporting period. The report is currently in order by department code ("G" number of Yale's organization hierarchy); this representation is a system constraint. For mapping to the department name, consult the oversight hierarchy.

Comprehensive Status Report

The Comprehensive Status Report groups forms by status (pending pre review, pending certification, etc.); forms are sorted within each status by employee name (although employee id (UPI) is the first column). The sub department, department, applicable reviewer/certifier, status and RCT Date (when applicable) are provided. This report will also provide the sponsored dollars associated with each individual's effort report with a subtotal for each status. This version of the comprehensive status does not provide certifier information for forms setup as eligible for multiple PI line item certification. This report is available to Pre/Post Reviewers.

In addition to the Reporting menu, this report can also be accessed for the current reporting period via the Completion Status bar located on the DH/DC/SubDC home page; when accessed from the home page, a graphical representation of completion is provided.

Completion Status: 0% for Current Reporting Period

Total 0 out of 11 forms completed; 7 pending Pre Review; 2 pending Certification; 2 pending Post Review. 28 forms delinquent.

Comprehensive Status Report (123105)

Form Pending Pre Review   Top

Employee ID	Employee Name	Sub Dept	Dept	Pre Reviewer	Status	RCT Date	Amount
167982222	Codae,Doyle	61390	M50	Miller,Cris	Saved		$68,955.12
691762222	Jungbluth,John	61390	M50	Miller,Cris	Saved	2006-02-09	$2,563.47
674532222	Liu,Herminine	61390	M50	Benjamin,Deck	Saved		$6,634.61
800101040	Munn, Kelly41	61390	M50	Miller,Cris			$13,871.24
129332222	Ruan,Student	61390	M50	Miller,Cris			$12,348.00
711032222	Codae,Kathy	61570	M50	Miller,Cris	Saved		$7,419.21
101032222	Ferguson,Ter	61570	M50	Miller,Cris	Saved		$11,436.90
167984444	Maximus,Demo61570	61570	M50	Miller,Cris			$27,253.20
124552222	Williams,Carter	61570	M50	Miller,Cris			$10,048.15
						SubTotal	$160,529.90

Total Records: 9

Form Pending Certification   Top

Employee ID	Employee Name	Sub Dept	Dept	Pre Reviewer	Date Reviewed	Certifier	Status	RCT Date	Amount
126032222	Burrows,Kim	61390	M50	Miller,Cris	10-SEP-09	Burrows,Kim	Saved		$26,430.55
117222222	Friedman,Mary	61390	M50	Miller,Cris	01-JUL-09	Friedman,Mary			$2,401.00
								SubTotal	$28,831.55

Total records: 2

Form Pending Post Review   Top

Employee ID	Employee Name	Sub Dept	Dept	Pre Reviewer	Date Reviewed	Certifier	Date Certified	Post Reviewer	Status	RCT Date	Amount
										SubTotal	$0.00

Total records: 0

Comprehensive Status Report for PI Line Item

The Comprehensive Status Report for PI Line Item differs from the original Comprehensive Status Report. In the Forms/Lines Pending Certification section, the report lists each line certifier and indicates if the line has been certified (Yes) or not certified (No). To view all certification dates select Employee ID (UPI) hyperlink. This report is available to Pre/Post Reviewers.

Effort Results

Effort Form Not Completed

The Effort Form Not Completed report provides information on effort reports that have not been completed. The report displays the employee name and title (job) code, the assigned certifier and form status. **Warning**: This report **cannot** be used to review completion of line item enabled effort report forms.

Faculty Effort Review

The Faculty Effort Review report is primarily for use in monitoring certified effort that exceeds a predefined threshold.   Per University policy 1316, "most faculty generally have responsibilities for teaching, administration, or patient care that would preclude them from devoting 100% of their time to sponsored activities. "   This report should be run by the Department Coordinator (DC) upon completion of effort report certifications for the *semiannual* effort reporting periods.

The DC should determine if corrective action is needed for any report exceeding the threshold. Thresholds are defined within the department and can vary on an individual (person) basis, but generally, sponsored effort of 80% or greater should be reviewed.

1. From the Reporting module > Standard Reports > Effort Results, select **Faculty Effort Review**.

2. Within the Account Summary (i.e., the ERS partial generic name for the report), select the appropriate effort reporting period for review.

3. Once the period has been selected, notice that the report selection contains two columns: Title Code and Title. <u>Note</u>: Title does not correspond to Title Code. This is a known issue and has been reported to Maximus (i.e., the ERS software vendor). To continue, simply check the box under the Title Code column for **FAC**.

4. Scroll to the bottom of the page. Select **Continue**.
5. On the next screen, define the View, Filter, and Percentage.

View Employees with ⦿ Sponsored ◯ Sponsored and Non-sponsored	GREATER THAN OR EQUAL TO N/A EQUAL GREATER THAN OR EQUAL TO	80 %
• Select the **Sponsored** radio button option	• Limit the report to **Greater Than or Equal To**	• Enter a percentage of 80 or more

6. Select the department(s).   Scroll to the bottom of the page, and select **Continue**.
7. The downloadable report will contain the organization number, employee name, title code, sponsored dollar amount, sponsored percentage, non-sponsored dollar amount, non-sponsored percentage, total dollars and total percentage.
    a. The employee name is hyperlinked to a view of the effort report.

Note: The correction of this report to align Title Code to Title has been requested. We welcome your feedback to enhance this report.

Ad Hoc Reports

The Central Administrator can create certain Ad Hoc Reports to assist departments in the effort certification process. Pre and Post Reviewers do not currently have access to the Ad Hoc tab within Reporting. This list reflects the available reports as of the last Guide update and is subject to change; check the Ad Hoc area often.

Reporting		
Standard Reports / **Ad Hoc Reporting**		
▽ **Report Title** △	**Report Description**	▽ **Date Modified** △
Departments & SubDepartments with Coordinators	Provides a listing of department and subdepartments with the assigned Coordinator(s)	8/27/10
Alternate Assignment by Organization	For use when selecting award owning organization as the alternate assignment.	8/27/10
List of Certification Due Dates		10/7/08

1. Alternate Assignment by Organization – this report is useful in identifying the award owning organization's department for selection as an alternate assignment [for an individual].

2. Departments & SubDepartments with Coordinators – this report provides a listing of all departments and organizations and the associated Coordinator. This report is useful in providing a contact for cross-organization effort reports.

3. List of Certification Due Dates – this report provides a listing of all effort reporting periods, the date the period became available and the date certification is due.

Report Availability
The following matrix provides information about the reports available to Pre/Post Reviewers, reports that are compatible with multiple PI line item certification and those that have been identified as key.

Reports	Name of Report	Available to Pre/Post Reviewers	Supported for Line Item	Key Report
Ad Hoc	Alternate Assignment by Organization	N	N/A	Y
Ad Hoc	Departments & SubDepartments with Coordinators	N	N/A	Y
Ad Hoc	List of Certification Due Dates	N	N/A	Y
Administrative	Alternate Organization Assignments	N	N/A	N
Administrative	Print Certified Statements	Y	Y	Y
Completion	Completed Percentage by Department	N	N/A	Y
Completion	Completed Percentage by Department/Sub Department	N	N/A	N
Completion	Comprehensive Status Report	Y	N	Y
Completion	Comprehensive Status Report for PI Line Item	Y	Y	Y
Effort Results	Effort Form Not Completed	N	N	N
Effort Results	Faculty Effort Review	N	Y	N

Glossary

Assignments	A module that allows the Departmental Coordinator, Sub Department Coordinator or Central Administrator the ability to delegate responsibilities for Pre Review, Certify, and Post Review processes.
Alternate Sub Department	A sub department to which a user is assigned for the purposes within the ERS. A user may be assigned to an alternate department to allow a certain Sub DC rights to Pre Review and Post Review the effort form.
Central Administrator (CA)	The person at the institution who oversees the Effort Reporting System functionalities, such as importing source data, exporting results. The Central Administrator has the right to access all tables.
Certify	A module that allows a system user to certify their effort, or the effort of someone for whom they have the suitable means necessary to certify. Refer to Policy 1315.
Certifier	A system user who has the authority to certify certain effort forms.
Department	The unit of an organization's structure to which users are assigned.
Departmental Coordinator (DC)	The person responsible for overseeing the completion of effort forms for their department. The DC has the authority to assign the responsibilities of Pre Reviewer, Post Reviewer and Certifier.
Division	A level above department in the institution's departmental hierarchy to which many departments belong.
Division Head (DH)	The person who is responsible for overseeing many departments. This person will have authority to complete reporting and notify the users within their division.
Domain	The subset of departments or sub departments over which a Departmental Coordinator or Alternate DC has authority. Domain is referred to in the Assignments module.
Notification	A module through which a Central Administrator can send emails to other system users.

Pre Review

The process through which an effort form is reviewed prior to release to the Certifier. A Central Administrator or Department Coordinator designates the Pre Reviewer through the assignments module.

Pre Reviewer

The Pre Reviewer is the person assigned to Pre Review the Effort Forms for individuals in the Sub Department. Until the Effort Forms are Pre Reviewed, the Certifier will not have access to the Effort Form.

Post Review

A review process that may or may not be required. Usually Post Review is only required in the instance that Effort percentages have been changed.

Post Reviewer

The Post Reviewer is the person assigned to Post Review the Effort Forms for the individuals in the Sub Department. The Post Reviewer cannot access the Forms until the Certifier has certified the form. Post Review is mandatory if the Certifier modified the effort percentages on the Effort Form.

Role

A designation that determines the user's authorities within the Effort Reporting System. Examples of roles are Departmental Coordinator (DC), Alternate DC, Pre Reviewer, Certifier, Post Reviewer and Pre/Post Reviewer.

Sub Department

Represents one portion of an individual department (Yale's six-digit organization unit code). Usually a department will encompass many sub departments.

Sub Department Coordinator (Sub DC)

The Sub Department Coordinator (Sub DC) is responsible for monitoring the completion of Effort Forms for the Sub Department. The Sub DC will have the access to Pre Review and Post Review all Effort Forms in the Sub Department, even if someone other than the Sub DC has been assigned as Pre Reviewer or Post Reviewer.