Certification Overview

In ECRT, the Certifiers are the Faculty and Monthly Staff that provide effort on Sponsored Projects and/or meet the criteria of a Certifier, and need to certify how their effort is allocated. The ECRT Effort Statement provides for a certification on how the Certifier allocated their effort, while the ECRT system serves as Duke’s internal control to provide reasonable assurance that the payroll expenses charged to sponsored projects are accurate, allowable and properly allocated, per regulations codified in the Federal Uniform Guidance at 2 CFR 200.430(i).

The steps below provide an overview to the Effort Coordinator of the steps that your Certifiers will follow to certify their effort. This information is also included in the **Certifier Quick Reference Guide** that can be shared with Certifiers who need assistance.

When the Certification Period begins, the Certifier:

- Receives an email providing a direct link to their effort statement(s).

  **Or**

- Logs into ECRT via **Duke@Work**. This takes them to their home page.

  **Note:** *If the Certifier is required to confirm Total Professional Effort, the email link will take the Certifier to their TPE statement prior to their effort statement.*
Certification Overview – Base Effort

1. When logging in via Duke@Work, Certifiers are taken to the home screen. Any of the items in blue is a hyperlink to open the effort statement. Notice the **Status** indicator which changes throughout the certification process.

   **Note:** *ECRT requires the employee to be assigned the role of Certifier. If you encounter a problem with the role of a Certifier in your area, please send an email to ecrt-support@duke.edu*

   **Note:** *If accessing via an email, the Effort Statement displays.*

2. The top left section of the statement displays information about the Certifier.

   **Note:** *If the Certifier is a proxy for other Certifiers, all names will be listed here and the name highlighted in purple is the Certifier whose statement is displayed.*
3. The top right section provides information about the statement owner (Certifier), the Effort Statement status as well as access to previous certified statements.

4. Along the top, notice information about the certification and the status. A message box will display informational messages. The PDF icon accesses a PDF of the Effort Statement displayed below.

5. The GL Accounts lists all the Cost Objects and G/L Accounts from which the Certifier has been paid an Institutional Base Salary. The Sponsored Effort distribution will be listed first followed by Non Sponsored sources. Some Certifiers may also have a section for Other sources following the Non Sponsored group. Select the blue text to view contact information for the PI or person responsible for each source.

6. To certify the base effort statement, the Certifier:

   - **Confirms** the effort percentage in the outlined input fields in the Certified Effort column are correct. This field is pre-populated with the data in the Weighted Payroll Avg column.

   **Note:** Certifiers must contact their Effort Coordinators before making any changes to the values in the Certified Effort column.

   **Note:** ECRT will allow a variance of +/- 0.9%. Thus you can certify from 99.1% through 100.9%
Certification Overview – Base Effort (cont.)

- Select the **Certify** checkboxes.
  
  *Note:* Select the individual line **Certify** boxes or the **Certify** box in the **Grand Total** row at the bottom of the Effort Statement.

7. Once all rows have been reviewed and confirmed, the **Certify** button appears. Select **Certify**.

  *Note:* ECRT requires a Primary Effort Coordinator be assigned to the BFR/department before ECRT will allow the **Certify** button to appear. If the **Certify** button does not appear, please send an email to **ecrt-support@duke.edu**

8. The Certifier reviews the messages and selects the **I Agree** button to legally attest to their Certification.
9. Once the I Agree button is selected:
   - The certification process for that Statement is complete for the Certifier and the Effort Statement displays. The status of the statement has changed to **Certified, Not Reviewed/Processed**.
   - The Certifier’s statement now appears in the Effort Coordinator’s Effort Tasks list as a statement ready for processing.
1. From the home screen, Certifiers will see two statements awaiting action if the Certifier has base and supplemental effort statements. Notice the Status indicator which changes throughout the certification process.

   **Note:** If accessing via an email, the Effort Statements display.

2. Select the hyperlink in the Statement Owner column to open both the base and supplemental effort statements.

3. The top left section of the statement displays information about the Certifier.

   **Note:** If the Certifier is a proxy for other Certifiers, all names will be listed here and the name highlighted in purple will be the name displayed.

   **Note:** If both statements are not “purple”, select the “Shift” key and click on the statement that should be highlighted.
4. The top right section provides information about the statement owner (Certifier), the Effort Statement status as well as access to previous certified statements. Notice how both the base and supplemental statements are highlighted in purple.

5. Notice, both effort statements display. The top is base effort and the bottom is supplemental effort. Along the top of each statement, notice information about the certification and the status. A message box will display informational messages. The PDF icon accesses a PDF of the Effort Statement displayed below.

6. The GL Accounts lists all the Cost Objects and G/L Accounts from which the Certifier has been paid an Institutional Base Salary or a Supplemental Payment. The Sponsored Effort distribution will be listed first followed by Non Sponsored sources. Some Certifiers may also have a section for Other sources following the Non Sponsored group. Select the blue text to view contact information for the PI or person responsible for each source.
Certification Overview – Base and Supplemental Effort (cont.)

7. To certify each Effort Statement, the Certifier:
   - **Confirms** the effort percentages in the outlined input fields in the **Certified Effort** column are correct. This field is pre-populated with the data in the **Weighted Payroll Avg** column.

   **Note:** Certifiers must contact their Effort Coordinators before making any changes to the values in the Certified Effort column.

   **Note:** ECRT will allow a variance of +/- 0.9%. Thus you can certify from 99.1% through 100.9%

   - Selects the **Certify** checkboxes for each statement.

   **Note:** Select the individual line **Certify** boxes or the **Certify** box in the **Grand Total** row on both base and supplemental effort statements.
8. Once all rows have been reviewed and confirmed, the Certify button appears on both statements. Additionally Certify Checked appears below both statements. Select Certify Checked to certify both the base and the supplemental effort statements.

Note: ECRT requires a Primary Effort Coordinator be assigned to the BFR/department before allowing a statement to be certified. If a message indicating an Effort Coordinator is missing appears in the INFO section of the effort statement, please send an email to ecrt-support@duke.edu.
9. The Certifier reviews the messages and selects the I Agree button to legally attest to the certification.

10. Once the I Agree button is selected:

- The certification process is complete for the Certifier and the Effort Statement displays. The status of both statements has changed to **Certified, Not Reviewed/Processed**.

- The Certifier’s base and supplemental statements now appear in the Effort Coordinator’s **Effort Tasks** list as statements ready for processing.

**Note:** Reference the **Total Professional Effort (TPE) Guide for Effort Coordinators** and the **Effort Supporting DUHS (ES-DUHS) Guide for Effort Coordinators** for information on processing those types of Effort Statements.