# ECERT TRAINER’S GUIDE

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For assistance with this training documentation, please send an email to ECERTHELPDESK@UCSD.EDU.
# Overview

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<th>Lesson Title</th>
<th>UCSD ECERT Preparer Training</th>
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| Content Covered       | **Unit One:** Payroll Distribution Setup and COA data  
                        **Unit Two:** Effort Reports Available  
                        **Unit Three:** Preparers Receive Notification  
                        **Unit Four:** Preparers Review Effort Reports  
                        **Unit Five:** Preparers Process Effort Reports  
                        **Unit Six:** Notify PIs that Effort Reports are ready  
                        **Unit Seven:** Preparers Monitor Status  
                        **Unit Eight:** Key Definitions |
| Intended Audience     | UCSD Effort Reports Preparers. They will learn about  
                        - how payroll distribution setup influences the effort percentage, and how COA data affects the effort report process  
                        - how and when the effort reports are produced and the importance of completing PETs in time  
                        - how and when the effort reports are produced and the importance of completing PETs in time  
                        - how to review the effort reports  
                        - how and when to edit an effort report and the impact of modifying  
                        - how and when to notify PIs that effort reports are ready for review and certification  
                        - how to sort and filter effort reports, and follow up on effort reports with Reissued status |
| Materials/Equipment   | Computer  
                        Overhead Projector  
                        Handout |
| Total Time Required   | 50 minutes |
| Evaluation Method     | A questionnaire will be created and distributed to preparers to evaluate the effectiveness of the training in July-August 2007. |
Unit One: Payroll Distribution Setup and COA data

Time Required
5 minutes

Instructional Objectives
At the end of this unit, trainees will be able to
• Understand the relationship between payroll distributions and effort percentages
• Understand the importance of setting up payroll distributions correctly
• Set up COA override to designate the appropriate PI and fund manager to an award

Key Concepts
Effort
Estimated Effort Percentage
Payroll distribution
COA overrides

Instructions/Steps for Conducting the Training
1. Payroll distributions will be used to estimate the effort percentage that employees devoted to each activity.
2. COA data (PI and fund manager) will be used to associate an effort report to its certifier and preparer.
3. Encourage Preparers to start cleaning up COA data using COA Overrides to match appropriate Pis and fund managers to certain awards.

Evaluation Criteria
Key points to be addressed in the questionnaire are:
• Preparers set up correct payroll distributions.
• Preparers use COA Override to clean up COA data.
Unit Two: Effort Reports Available

Time Required 5 minutes

Instructional Objectives At the end of this unit, trainees will be able to
• Understand the timing that effort reports are produced
• Understand the importance of reviewing the ledger in time
• Understand the importance of maintaining accurate payroll distributions
• Understand the importance of processing PETs within two ledger periods

Key Concepts Ledger period
PET

Instructions/Steps for Conducting the Training
1. Describe that we will do quarterly certifications for several rounds with the hope that eventually it will become a yearly certification.
2. Describe the timing that effort reports are produced for a certain quarter, i.e., two days after the second ledger closes.
   a. Two ledger periods are given for reviewing ledgers and PETs to ensure the accuracy of effort reports produced.
   b. Emphasize the importance of completing PETs within two ledger periods and setting up payroll distributions correctly and timely.

Evaluation Criteria Key points to be addressed in the questionnaire are:
• Preparers manage their workload appropriately.
• Preparers get ready for reviewing effort reports after the second ledger closes.
**Unit Three: Preparers Receive Notification**

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| Instructional Objectives | At the end of this unit, trainees will be able to  
  - Understand how and when they will be notified that the effort reports are available for review. |
| Key Concepts | Ledger period  
  PET |
| Instructions/Steps for Conducting the Training | 1. Explain that the system will automatically send emails to those with a Preparer role. The timing is the second day after the second ledger closes.  
  2. Emphasize that completing PETs timely is critical. Any changes to payroll distribution before notification will not be reflected on effort reports. Any changes after the notification will be recorded in ECERT and are subject to potential audit. |
| Evaluation Criteria | Key points to be addressed in the questionnaire are:  
  - Preparers anticipate notification following the second ledger close day.  
  - Preparers receive notification after second ledger closes. |
Unit Four: Preparers Review Effort Reports

Time Required 15 minutes

Instructional Objectives
At the end of this unit, trainees will be able to
- Log in to the ECERT system
- Navigate the ECERT system
- Search effort reports
- Subscribe to a PI’s “MyProjects” list
- Review effort reports
- View payroll details
- View history
- View comments

Key Concepts
Single Sign-On
MyProjects

Instructions/Steps for Conducting the Training
1. Describe the procedures on how to log in to the system the very first time. Demonstrate the procedures. Emphasize that the Log In ID is their UCSD Single Sign-On.
2. Once in the system, demonstrate how to navigate within the system.
   a. Show the three sections: Effort Report List, Manage Saved Searches, and Search Effort Reports; Explain the functions of each section; Demonstrate how to access to each of the modules.
   b. Demonstrate how to navigate through search results by using the navigation buttons.
   c. Demonstrate how to choose how many search results to display per page.
   d. Demonstrate how to log out of the system.
3. Demonstrate how to search effort reports. Search Module uses five Tabs to navigate between related information. Explain options available. Find out how the trainees will use the search function from the pre-implementation questionnaire results. Demonstrate 1-2 scenarios that the trainees use most in their department.
4. Describe the purpose of subscribing to a PI’s “MyProjects” List, i.e., to see what a PI sees. Have one PI’s name ready for demonstration or ask participants to give one of their Pis’ name. Demonstrate the procedures on how to subscribe a PI’s “MyProjects” list.
5. Open the PI’s “MyProjects” list from Display Saved Search. Click on one of the effort reports. Show what an effort report looks like.
   a. Concepts: the Line, Sponsored Projects, Other Sponsored Projects; Non-sponsored Projects
   b. Put Mouse over the sponsored projects, more information will show up.
   c. Adjusted Payroll % is the column that users can manually enter the effort percent dedicated to that activity. Adjusted Total % is the actual column being certified.
Unit Four: Preparers Review Effort Reports

Instructions/Steps for Conducting the Training

6. Demonstrate how to view payroll details. Explain terminologies when applicable.
7. Demonstrate View History
8. Demonstrate View Comments
9. Export, Send or Print

Evaluation Criteria

Key points to be addressed in the questionnaire are:

- Preparers understand concepts and terms used in ECERT.
- Preparers thoroughly understand the information on an effort report.
- Preparers understand the information on Payroll Details page.
Unit Five: Preparer Process Effort Reports

Time Required 15 minutes

Instructional Objectives At the end of this unit, trainees will be able to
• Adjust payroll percent to an effort report if applicable
• Add additional sponsored projects to effort reports if applicable
• Add comments after modifying effort reports
• Understand the impact of modifying

Key Concepts PETs
+/-5% tolerance level

Instructions/Steps for Conducting the Training

1. Describe situations when preparers should edit an effort report
   a. If the value in the Original Payroll % column does not reasonably reflect the effort allocated to each activity, preparers can adjust the percentage manually in the Adjusted Payroll % column.
   b. If Payroll was not set up correctly, preparers may manually associate an employee to a Sponsored project by adding additional sponsored projects to the effort report.
   c. If the effort report requires more than one person to certify for a single employee’s effort, activate “Report requires multiple certifications”.

2. Demonstrate the procedures to address the above situations.

3. Emphasize that a comment is required for all changes and should include why the change was made. Once a comment is added to a report, it cannot be modified. It will be stored in ECERT permanently and is subject to audit. If additional information is necessary at a later time, an additional comment can be added. Simply adding a comment to a report will not increase the version number of the report. Suggest that each department develop a list of standard reasons of making modifications on an effort report.

4. Demonstrate the two places that comments can be added.

5. Describe the impact of modifying – PETs are required to match payroll distributions to the effort percentage. A newer version of the effort report will be generated to reflect the modification.

6. Emphasize the UC effort reporting policy of +/-5% tolerant level. NO MODIFICATION IS REQUIRED for effort percentage discrepancy within +/-5%.

Evaluation Criteria Key points to be addressed in the questionnaire are:
• Preparers make correct judgment on when to edit an effort report.
• Preparers modify the effort report when applicable.
• Preparers do not make unnecessary changes to effort reports (i.e., within +/-5%).
• Preparer process PETs after making modifications to effort report.
• Preparers document legitimate comments for changes made.
**Unit Six: Notify PIs that Effort Reports are ready for Review and Certification**

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| Instructional Objectives | At the end of this unit, trainees will be able to  
  • Notify a PI that effort reports are ready for review and certification |
| Key Concepts | Notification |
| Instructions/Steps for Conducting the Training | 1. Understand the protocol in each Department for PI notification from the pre-implementation questionnaire data and/or interviews with MSOs/DBOs.  
  2. Address the process in the training. |
| Evaluation Criteria | Key points to be addressed in the questionnaire are:  
  • Preparers notify PIs that effort reports are ready for certification using predefined protocol in the department in a timely manner. |
Unit Seven: Preparers monitor Status

Time Required 5 minutes

Instructional Objectives At the end of this unit, trainees will be able to
- Sort/filter effort reports
- Follow up on effort reports with Reissued status

Key Concepts Status

Instructions/Steps for Conducting the Training
1. To monitor the status of the effort reports, they have two options: Filter the list by status and Sort the list by status. Explain the difference.
   a. Filtering the list by status will only display effort reports in your currently displayed Saved Search that currently have the status you want to view.
   b. Sorting the list by status will display every effort report in the currently displayed Saved Search but the reports will be sorted by status.
2. Demonstrate how to filter/sort the list by status.
3. Follow the department protocol to follow up on effort reports with Reissued status.

Evaluation Criteria Key points to be addressed in the questionnaire are:
- Preparers monitor the status of effort reports successfully and effectively.
- Preparers follow up on effort reports Reissued successfully and timely, as part of monthly fiscal ledger review.
Unit Eight: Key Definitions

Instructional Objectives

At the end of this unit, trainees will be able to
• Master the key concepts used in the ECERT system.

EFFORT REPORT

SECTIONS/ROWS

**Sponsored Projects:** Employee received pay on these projects that require effort certification. This section displays effort calculations for each individual project. If you put your mouse over the Project Name, it will give you more information regarding the project, i.e., PI, Award Title, Fund Manager and Sponsor Award #.

**Other Sponsored Projects:** Employee received pay on these projects that do not require effort certification. This section displays a cumulative effort calculation for all projects in this category.

**Non-Sponsored Activities:** Employee received pay on non-sponsored funding. This section displays a cumulative effort calculation for all effort in this category.

**Report Options:** Allows user to specify if different Sponsored Projects need to be certified by multiple people (e.g. employee works for multiple PI’s on different indexes and each PI wants to certify separately).

**Add a Comment:** Area designated for user to input comments related to the effort report.

COLUMNS

**Original Payroll %:** Estimate of effort based on payroll distributions. These percentages are systematically adjusted to reflect exceptions, such as the NIH Salary Cap.

**Adjusted Payroll %:** Here the user can manually enter the effort percent dedicated to each activity.

**Original Cost Sharing %:** Please ignore this column for the beta testing phase.

**Adjusted Cost Sharing %:** Please ignore this column for the beta testing phase.

**Original Total %:** This is the estimated total effort % for each activity as generated by the system.

**Adjusted Total %:** This is the actual column being certified. It reflects the amount in the Adjusted Payroll % column plus any amount in the Adjusted Cost Sharing % column.
Unit Eight: Key Definitions

STATUS OF EFFORT REPORTS

**Open:** Effort report that still requires certification will have a status of *Open*.

**Certified:** Effort report that has been certified will have a status of *Certified*.

**Overdue:** The 45 day deadline has passed and effort reports that are not yet certified will have status of *Overdue*.

**Open-Reopened:** Effort reports that have been certified and reopened by the certifier will have a status of *Open-Reopened*.

**Partially Certified:** For those effort reports that require multiple certifications, if one or more lines have not been certified, the status will be *Partially Certified*.

**Required:** Effort reports for those employees paid on federal or federal flow-through sources, or are PIs will have a status of *Required*.

**Not Required:** If pay on sponsored project was transferred to non-sponsored project or effort on sponsored project is 0%, effort report will have status of *Not Required*.

**Exception:** Effort reports of employees paid on sources with an IFOP that were not recognized by the payroll system will have a status of *Exception*.

**Certified/AdjustReqd:** Modification has been made to the Adjusted Payroll % column and the effort report has been certified. The effort report will have a status of *Certified/AdjustReqd* which means a PET is required to match the payroll distribution to the Adjusted Payroll Percentage.

**Open-Reissued:** A PET is reflected on the ledger that changes the effort percentage in the Original Payroll % column on the effort report after it has been certified. The effort report will be reissued with a status of *Open-Reissued*.

PAYROLL DETAILS

**Pay Period End Date:** Used to determine which effort report the payroll transaction should be included in. Each effort report belongs to a reporting period, and the reporting period defines the range of Pay Period End Date values that should be included.

**Pay Cycle Code:** The type of payroll cycle. Pay cycle codes include MO for monthly current, MA for monthly arrears, BW for biweekly and SM for semi-monthly.

**FAU:** The full accounting unit used for the payroll transaction. The FAU categorizes the payment for the effort report.

**DOS Code:** The Description of Service code. The DOS Code defines various characteristics of pay and is one of the values used to determine whether the transaction should be included in the effort report.
PAYROLL DETAILS

**Trans Code:** The payroll transaction code triggers the payment to the employee. For example, it indicates whether the payment was issued automatically, entered by the department as late pay, or resulted from a transfer of payroll expense.

**Title Code:** One of the values used to determine whether the transaction should be included in a particular effort report. For example, fiscal year or 11 month appointments (title codes) are included in a different report than academic year or 9 month appointments (title codes).

**Pay Rate:** Shows as a monthly rate, an hourly rate, or a by agreement amount.

**Rate Type:** The code indicates how to interpret the value in the Pay Rate column. Rate Types include A for annual; H for hourly; B for By Agreement.

**Paid %:** Indicates the percent of time that an individual was on pay status during a pay period.

**Derived %:** During the payroll compute process, PPS derives an equivalent percent of time for employees paid by the hour. It transfers this calculated or derived percent of time into a field called the Derived Percent. PPS also transfers the percent of time for each pay transaction for employees paid with a monthly rate into the Derived Percent field. The Derived Percent field now contains a percent of time paid for each pay transaction and that field can now be used to calculate effort for all types and combinations of payment types. The Derived Percent will differ from the Paid Percent if the employee was paid at an hourly rate. For employees paid at a monthly rate value will be the same as Paid Percent.

**Weighted %:** This is a value that is calculated by ECERT in situations where an employee has a combination of 9/12 and 11/12 appointments. When all payments are made on the same Basis (either 9/12 or 11/12), the Weighted Percent value is copied from the Derived Percent value. When there is a mix of 9/12 and 11/12 payments, the 9/12 payments must be weighted to account for the fact that each 9/12 payment represents one-third effort rather than one-fourth effort. In these cases, the Weighted Percent is calculated as the Derived Percent multiplied by 0.75 and the result can then be combined with the 11/12 payments to arrive at a valid total. This is an unusual situation however, and in most cases employees will have a single Basis and the Weighted Percent value will be the same as the Derived Percent value as calculated by the payroll system.

**Pay Category:** This is the Pay Category attribute associated with the DOS Code. The Pay Category Code is one of the values used to determine whether the transaction should be included in the effort report. For example, the Pay Category indicates whether the pay is Leave payment, Normal pay, Perquisite, Differentials, etc.

**Time Code:** This is the Time Code attribute associated with the DOS Code. The Time Code is one of the values used to determine whether the transaction should be included in the effort report. Time code will indicate whether the pay is for regular time, overtime, by agreement amount, etc.

**Pay Cycle End Date:** This is the date on which the payroll cycle that produced this transaction was processed.
Lesson Title: PI Certifies Effort Reports  
Time Required: 15 minutes  
Intended Audience: UCSD Effort Report Preparers. They will learn about what functionality should a PI to be trained.  
Instructional Objectives: At the end of this unit, trainees will be able to  
- Explain the whole ECERT process to PIs  
- Train PIs how to log in to the ECERT system  
- Train PIs how to locate the effort reports to certify  
- Train PIs how to certify the effort reports  
- Train PIs how to View history  
Key Concepts: Single Sign-On  
- Single Certification  
- Multiple Certifications  
Instructions/Steps for Conducting the Training:  
1. Describe the ECERT workflow.  
2. Describe the protocol that your department will use for PI notification that effort reports are ready for certification.  
4. Address that PI has access to his own reports and to those of employees paid on his indexes only.  
5. Look at My Effort Reports.  
7. Demonstrate how to certify an effort report. Address: What does clicking the “Certify Effort Report” button mean? By clicking “Certify Effort Report”, you certify that you have first hand knowledge of the activity reflected on this report and that the certified effort distribution is a reasonable estimate of the effort expended during the period covered by this report.  
8. Demonstrate how to certify an effort report that requires multiple certifications. Address possible logistics involved in the pilot (i.e., request approval from PIs who are not part of the pilot departments).  
9. Address: if you do not agree with the values in the adjusted payroll % column, contact your preparer for corrections and DO NOT click on the Certify Effort Report button.  
Evaluation Criteria: Key points to be addressed in the questionnaire are:  
- Preparers conduct training for certifiers.  
- Certifiers certify effort reports when applicable.  
- Certifiers certify line(s) of effort reports when applicable.  
- Certifiers contact fund manager for corrections when applicable.
Lesson Title: Departmental Security Administration

Time Required: 30 minutes

Intended Audience: UCSD Effort Report Departmental Security Administrators. They will learn about why and how to assign roles to users, why and how to generate ad-hoc effort reports for employees, and when to submit requests to central security administration.

Materials/Equipment Required: Computer, Overhead Projector, Handout

Instructional Objectives: At the end of this unit, trainees will be able to
- Enumerate the roles available in the ECERT system
- Associate roles to different levels of privileges
- Make judgments on assigning roles to users
- Assign roles to users
- Understand situations that ad-hoc effort reports are needed
- Generate ad-hoc effort reports for employees
- Submit requests to the central office if applicable

Key Concepts: Functions, Notifications, Permissions, Roles

Instructions/Steps for Conducting the Training
1. Navigate to the Administrative Task page.
2. Explain permissions are assigned functions; a role is assigned permissions and notifications; users are assigned roles. Explain two levels of security administration: departmental administration and central administration.
3. Describe permissions, notifications and roles available, why certain permissions and notifications are associated with certain roles, and why certain roles are assigned to certain users.
4. Address the department protocol to request access to the ECERT system if there is any.
5. Demonstrate the procedures to assign roles to users.
6. Describe the when and why to generate ad-hoc effort reports.
7. Demonstrate how to generate ad-hoc effort reports.
8. Describe situations that they need to submit requests to the central security administrator
   a. Create permissions and roles
   b. Add additional employees to the database if necessary
   c. Edit the "Cannot certify" list
   d. Update the employee PI indicator
   e. Update effort report statuses

Evaluation Criteria:
- DSAs assign appropriate roles to different users.
- DSAs generate ad-hoc effort reports when situations arise.
- DSAs submit requests to central office when needed.