University of Massachusetts
ecrt Upgrade
Effort Coordinator Training
2015
ECRT Basic Information
1. During the fiscal year, data is loaded into ECRT from PeopleSoft so effort cards will be up to date at all times.
2. Effort coordinators can review the effort cards anytime during the year before the certification period opens and process adjustments or set up cost sharing.
3. Once the certification period begins self certifiers log into ECRT to certify their effort and the effort of their research staff.
4. If the effort cards are certified as loaded the effort cards are processed by the system. If changes are made to the effort card the effort coordinator will have to review and either complete the processing, or send the card back to the certifier to make changes.
ECRT (Effort Reporting)
ECRT is a web-based system utilized at UMass Amherst to facilitate the institution's effort reporting and certification process. The ECRT system is designed to help you comply with the provisions of this institution's effort reporting policies, federal policy OMB Circular A-21 section 1.10, NIH Salary Limitation on Grants, and other relevant agency policies that govern the need to provide certification of an individual's effort pursuant to his/her sponsored and non-sponsored programs. As part of the process, individuals are required to certify their own effort and the effort of their researchers. Principal Investigators are required to be familiar with the federal policies regarding Effort Reporting as stated in the window below. The document can be printed or saved for your records.

Related Resources
Cost Policies
Attachment | Size
---|---
UMass Amherst Cost Sharing Policy | 21.5 KB
UMass Amherst Cost Transfer Policy | 14.11 KB

ECRT System Job Aids
Attachment | Size
---|---
UMass Effort Reporting Manual | 113.2 KB
PI Self Certifiers Job Aid | 891.88 KB
PI Quick Reference Guide | 22.28 KB
Departmental Effort Coordinator Training Guide | 3.51 MB

Frequently Asked Questions
Charging Salary
› How is my effort preparing my next grant proposal funded?
› What if there is a 100% researcher and she is going to apply for a new grant? How is that person to be paid for the time that will be devoted to preparing the proposal?
› What if that same person teaches or is involved in other scholarly activities and is 100% funded for research. Is that okay?

http://www.umass.edu/afsystems/node/87
New Home Page

Links around the ecrt “Wheel” in the old version have been moved into the drop-down menus on the top of the page. These drop-down menus can be accessed from any page in the system. Clicking the Wheel in the corner will show the old view.

The new home page has up to 3 tabs of information, depending on the user’s role and tasks: Statements Awaiting Certification, Effort Tasks, and Associated Certifiers
The Left Navigation Bar provides access to Policy and Procedure documents as well as training materials for specific roles.
Online Help

Most screens contain a help icon available in the upper right portion of the page. Clicking this button will bring up a separate window containing help on the portion of the system currently being worked in. This is a general help guide, if you have specific UMass process questions, contact your Central Administrator.
Search Boxes

Data entry boxes in the system will search on entered character strings and return all items that include that string.

Type at least three characters and wait for a few seconds. The program will query the database, and download matches to the search text in a list under the search box. Put the cursor on the intended result and click the mouse or hit the enter key.

If the list contains many choices, arrows will appear at the top and bottom of the list. Clicking the arrows will scroll through the list of choices. If a longer search string is entered, a shorter list of options is presented. All search boxes use this methodology.
The new version of ECRT has a Search Bar that is available at the top of every page. You can search for a person to go to their effort statement, account to go to the account summary page, or department to go to the department dashboard page.

If you enter enough criteria that only one result exists, the system will automatically take you to the next page. If multiple results exist, a message displays under the search bar and you can click the magnifying glass to see the potential results.
When you have multiple results in your search, the Look Up page will display and filter the results. Click on the result you would like or continue to enter criteria until only one result is left and the system will automatically load your selection.

You can navigate directly to the look up page using the “Look Up” link in the Manage tab of the Navigation Bar.
ECRT Home Page Navigation
Home Page: Effort Tasks Tab

Even though effort tasks are the last part of the certification cycle, as an Effort Coordinator, the Effort Tasks will always display first, if there are any tasks to complete. This tab contains effort processing and payroll adjustment tasks for your review.

If you do not have any effort tasks, this tab will not display.
The Statements Awaiting Certification tab list statements you are responsible for certifying. This tab is the screen a self certifier sees first when logging in. The process of certifying is the same for self certifiers as it is for effort coordinators except the self certifiers certify sponsored lines and the effort coordinators certify nonsponsored lines. Clicking on names or any other link except the Department link will open the certification page. The Department link will go to that Department Dashboard. The department link is not active for self certifiers. Clicking on the button in the PI column provides a list of all accounts on the statement and the name of the PI of those accounts.

As certifications are completed, the list may need to be refreshed to reflect only outstanding statements.
The Associated Certifier tab displays any statement related to you that has a Not Certified status. You are either the effort coordinator of their home department, or they work on a grant in your department.

As statements are certified by PIs, they should drop off your Associated Certifiers list.
Certifying Effort Statements
This page is made up of 3 windows. The top left window is the individual’s work list, this list is the same list the individual just saw on the home page. This list will also update as the individual completes each certification. Load all statements, filter and search tools are provided on this window.
The work list is used to determine which statements to view. Selecting a single name from the work list will populate the top right window with information specific to that individual and will automatically display the most recent open statement of the individual in the lower window.

In addition to some basic information on the individual, the top right window displays effort statements divided into three lists: Needing Certification, In Progress, and Historical. To display more than one statement (the statement from last year to compare against this year’s current statement) hold down Control and click both statements, and each will display in the window below.
Effort Certification Page: Work List

To select multiple statements click Control and select multiple names from the list to show the open statements for each of the individuals selected.

The “View All” button populates the page with all statements (up to 25 at a time.)

Use the Filter icon to filter by department, account, or name. Make a selection, and enter the criteria. The list will update with only cards that match the criteria.

Search for a specific person using the search box.

Go to the department of the individual by clicking the department link.
Effort Statement Header

- **Employee name**
  - Information Bar shows any designees or proxies for the statement or if the statement has been previously saved.

- **Effort Period**
  - To See the dollar values click here

- **Statement Status**
  - To put the statement on hold check this box.

- **Refresh Statement**
  - To print a paper version of the effort statement, select the Effort statement PDF Icon from the top left section of the effort statement.

- **To access the effort calculator click here**

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**Carnaghianni, Jason**

**Base Effort Period:** 07/01/2014 to 02/29/2015

**Status:** Not Certified, Not Processed

**INFO:** Carolyn Safark, rolyn Safark: currently setup as designee certifier accounts for this statement.

<table>
<thead>
<tr>
<th>Accounts</th>
<th>Payroll</th>
<th>Cost Share</th>
<th>Revised Cost Share</th>
<th>Computed Effort</th>
<th>Certified Effort</th>
<th>Certify?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sponsored</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sponsored Total</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Not Sponsored</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Not Sponsored Total</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Grand Total</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Get Help**

**Notes**
Effort Statement Columns

- **Accounts** – includes the effort category (Sponsored or Non Sponsored) and the account title
- **Payroll** – amount of effort calculated based on the payroll data for the period.
- **Cost Share** – contains the percentage of wages that were paid during the period and classified as cost sharing.
- **Revised Cost Share** – contains percentage of wages classified as cost sharing that were manually updated by an Effort Coordinator to include in the Cost Sharing total on the statement.
- **Computed Effort** – the sum of the payroll and cost share columns.
- **Certified Effort** – text box where certifiers enter the percentage of effort that was actually expended on the projects associated with the accounts listed at left.
- **Certify Checkboxes** – the lines being certified when the certify button is clicked.

The total in the Certified Effort column is prepopulated and may add to more or less than 100% because of rounding. If the total adds to less than 99% or more than 101% a small adjustment will required. The Certify button will only show when a checkbox has been checked in the “Certify?” column.
Effort Statement Information

A notes and attachment section are included on the bottom of each statement to add supporting documentation and comments.

The Transactions list shows all transactions that effected the statement.

The Activity Log shows all system actions that have occurred related to the card.

The email log will show any emails that have been sent to the statement owner.

The Certifiers & Approvers list show all the people who are required to certify and process the statement and what tasks they are responsible for.
Effort Certification: Single Statement

To complete an effort certification, review the effort percentages and adjust as necessary. You will only be able to adjust and certify the lines you are responsible for.

An error message will show if the total certified effort in the Certified Effort column is either less than 99% or greater than 101%.

When all effort has been accounted for, click the “Certify” button below the totals.
If you loaded multiple statements from the work list, you can check the certify boxes and scroll down to the next statement. When you have checked multiple statements, a “Certify Checked” button will display. Use this button to certify ALL of the statements you have reviewed and checked.
Effort Certification

A list of all of the statements being certified will load. If someone is not listed who you believe should have been, click cancel and confirm the statement is listed in the checked statements.

After a final review of the information and the attestation statement, click the “I Agree” button under the message.

After this you are returned to the certification page. The Work List will be refreshed. Once all the statements are certified, to confirm that there are no outstanding statements click the “Home” link.
Processing Effort Statements
ECRT will automatically process any effort statements that are certified with minimal changes to the effort percentages and don’t have added effort notes.

If a certifier substantially changes the percentages in the effort statement, or adds an effort note or attachment, the primary effort coordinator will need to review the effort statement. These tasks are called “Process Certification Statement” tasks. Click the link to open the task.
Processing Certifications

There is no change in the level of effort, but the certifier has included a note so this card requires review and processing.
If the researcher certifies a percentage different than the computed percentages, ECRT calculates the dollars related to the changes and shows them in the Cost Transfer Dollars column.

EC must review the appropriateness of the cost transfers and effort that was certified and either click the “Process” or the “Do Not Process” button at bottom of the page.

If the Effort Coordinator believes the values entered are not appropriate, he/she should indicate the reason why there is a problem in the notes box and click the “Do Not Process” button. An email can be customized and sent to the certifier(s) of the statement to notify them the effort card is being returned to them for recertification.

This changes the status of the certification from “Certified” back to “Not Certified.”
If the card should be processed as certified, then the amount of the cost transfer should be computed and corrected as necessary. Sometimes the system will calculate cost transfers between accounts that are certified as computed. In order to process the card correctly, the amounts in the cost transfer dollars will need to be adjusted. In this example, the cost transfers in the nonsponsored lines is changed to zero and the cost transfer between the sponsored funds is equalized so the net transfer is $0.

<table>
<thead>
<tr>
<th>Sponsored</th>
<th>Payroll</th>
<th>Cost Share</th>
<th>Revised Cost Share</th>
<th>Computed Effort</th>
<th>Certified Effort</th>
<th>Cost Transfer Dollars</th>
<th>Cost Share (for Cost Transfer)</th>
</tr>
</thead>
<tbody>
<tr>
<td>53106-S116200000000036 Federal - USDA FS 13-JV-11242307-075 - USDA FORES</td>
<td>46.33%</td>
<td>0.00%</td>
<td>0.00%</td>
<td>46.33%</td>
<td>0%</td>
<td>$-10311.22</td>
<td>0.0%</td>
</tr>
<tr>
<td>53405-S17100000000435 Private - Pew CTF #00025472 -Evaluating - PEWCT</td>
<td>10.01%</td>
<td>0.00%</td>
<td>0.00%</td>
<td>10.01%</td>
<td>56%</td>
<td>$10235.55</td>
<td>0.0%</td>
</tr>
<tr>
<td><strong>Sponsored Total:</strong></td>
<td>56.34%</td>
<td>0.00%</td>
<td>0.00%</td>
<td>56.34%</td>
<td>56%</td>
<td><strong>$76.00</strong></td>
<td><strong>0.00%</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Non Sponsored</th>
<th>Payroll</th>
<th>Cost Share</th>
<th>Revised Cost Share</th>
<th>Computed Effort</th>
<th>Certified Effort</th>
<th>Cost Transfer Dollars</th>
<th>Cost Share (for Cost Transfer)</th>
</tr>
</thead>
<tbody>
<tr>
<td>51344-A011400072-A01 Faculty Startup - Instruction-Instruction</td>
<td>43.52%</td>
<td>0.00%</td>
<td>0.00%</td>
<td>43.52%</td>
<td>44%</td>
<td>$106.83</td>
<td>0.0%</td>
</tr>
<tr>
<td>52132-A01140000-A01 Research Trust - Instruction-Instruction</td>
<td>0.13%</td>
<td>0.00%</td>
<td>0.00%</td>
<td>0.13%</td>
<td>1%</td>
<td>$193.63</td>
<td>0.0%</td>
</tr>
<tr>
<td><strong>Non Sponsored Total:</strong></td>
<td>43.65%</td>
<td>0.00%</td>
<td>0.00%</td>
<td>43.65%</td>
<td>45%</td>
<td><strong>$300.00</strong></td>
<td><strong>0.00%</strong></td>
</tr>
<tr>
<td><strong>Grand Total:</strong></td>
<td>99.99%</td>
<td>0.00%</td>
<td>0.00%</td>
<td>99.99%</td>
<td>101%</td>
<td><strong>$225.00</strong></td>
<td><strong>0.00%</strong></td>
</tr>
</tbody>
</table>
Opening Cards for Recertification

You have the ability to review the Historical statements list on an individual’s certification page. Select one or multiple statements and use the Reopen button to reopen the statement. This action will send an email to the certifier(s) of the statement to let them know it needs to be recertified.

New in this version you may have the option to reopen lines rather than the whole statement.
Department Dashboard
Department Dashboard

To access the Department Dashboard, select the ‘Department Dashboard’ link from the Manage tab.

If you have only one department, you will be taken directly to the Department Dashboard page for that department. If you have multiple departments, you will have a drop down menu to select which department you would like to review.
Department Dashboard

The information that an Effort Coordinator needs to manage the effort certification process is divided into three tabs: People, Award and Grant, and Department Information.

Every effort statement in the system is tagged with a particular status, which changes as it moves through the certification process.

The Certification Summary Chart gives the number of statements in each status for a certification period. The EC can select a different period with the drop down menus.
## Status Icon Descriptions

### Most Common Statuses

<table>
<thead>
<tr>
<th>Status Description</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>In Progress For Certification</td>
<td>This status indicates the effort card is not yet ready for certification. This occurs during the effort reporting period, while payroll and profile data are being loaded, and during the pre-review period just prior to the certification period.</td>
</tr>
<tr>
<td>Not Certified, Not Processed</td>
<td>This is the status for a card that is ready to be certified.</td>
</tr>
<tr>
<td>Certified, Not Processed</td>
<td>Once a card has been certified, the status changes to this. The effort card now needs to be processed by the Effort Coordinator.</td>
</tr>
<tr>
<td>Certified, Processed</td>
<td>This is the status for a certified and processed statement. All certified cards should be in this status by the end of the certification period.</td>
</tr>
<tr>
<td>Auto Completed</td>
<td>Alternative indicator of a certified and processed card. Used for cards that are processed automatically by the system, because the employee does not have any effort or payroll on a sponsored account, or the employee certifies at exactly the same percentages calculated by ePARS, and does not leave a note in the effort statement.</td>
</tr>
</tbody>
</table>

### Less Common, More Specialized Statuses

<table>
<thead>
<tr>
<th>Status Description</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Certified, Processed, Payroll Pending</td>
<td>This status occurs if a Certified, Processed card receives an additional payroll charge after processing. Central office staff will review. No additional steps necessary by effort coordinator if GL pay is not greater than revised pay.</td>
</tr>
<tr>
<td>Not Certified, Not Processed, Reopened</td>
<td>To change a card that has been certified and processed, its status must be reset to &quot;Re-opened&quot; by central office staff. This status indicates that the card was reset after an effort adjustment was received.</td>
</tr>
<tr>
<td>Not Certified, Not Processed, Re-Opened by Payroll Adjustment Reconciliation</td>
<td>This status indicates that a payroll adjustment was received after a card was certified and processed, and that the payroll adjustment changed the card significantly.</td>
</tr>
</tbody>
</table>

### Error Statuses

<table>
<thead>
<tr>
<th>Status Description</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Default, Incorrect</td>
<td>This status indicates a serious error with the card at the system level. This status should never be seen by a user. Report this as an issue to central administrators.</td>
</tr>
</tbody>
</table>

Please note that the **In Progress for Certification** status name in our system is listed as **Pending for a future certification period**.
Below the summary chart is a list of all of the individuals associated to the department divided into three groups: Sponsored Activity, Non-Sponsored Activity, and Non-Department individuals.

Expanding each list displays details about the individuals, including their employee type, role, employee id, and a link to their most recent effort statements.

In the Statements Column you can hover over the icons to see the statement dates and clicking on an icon loads that statement.

In the action column clicking on the Pen/Envelope icon, you can send an email to the employee.
When you hover over a statement icon in the Statements column, a pop-up window gives you details of the dates and status of the statement. Click the link in the pop-up to go to that statement or click any other area inside the pop-up to close the window.

If you click on the link in the pop-up window, the statement will open in a new tab. This is helpful as it allows you to keep the department dashboard page populated while working on the selected statements. You can also right-click on the statement icon and click “Open in a New Tab” to use an additional window to perform your review.
The Award and Grant tab lists all of the sponsored and non-sponsored accounts associated to this department. Sponsored grants include details about the sponsor and PI. You can run the Sponsored Project Employee Summary Report (SPES) report by clicking on the icon in the SPES column – this provides a summary of all of the individuals paid from the grant, along with what they certified.

Clicking on the link in the Name column will take a user to the Grant Summary page.
Grant Summary page lists information about the award including Name, Project Number, PI, and start and end dates. Additional information is under the “show more” link.

The bottom of the screen lists all people with effort commitments or payroll charges on the selected project. The list includes both PIs and other researchers, so the label “Certifier Name” is misleading.
This tab shows the department relationships and the person who is assigned as primary effort coordinator as well as any other employees who have been assigned as secondary effort coordinators.
Adding Cost Sharing
Add Cost Sharing

Adding cost sharing to an effort statement, directly from the statement is a two step process. First, enter the percentages in the appropriate sponsored and non-sponsored boxes in the Revised Cost Share column.

Click on the Revised Cost Share Icon (next to the Non-Sponsored Account) to get the confirmation screen.
Enter the percentages in the appropriate line and click Submit to confirm the entry. The effort statement page will refresh – you can confirm that the percentage you added in the Revised Cost Share column is now reflected in the Cost Share column as well.
Use the search box to find the employee. If the project is already associated with the employee then select that button and find the project in the drop down list. If not, select the other button and search for the project. Repeat the process for the account that is providing the cost share. Enter the cost share as a % or dollar amount, the fiscal year of the cost share, and select a type of cost share. Select the ‘Add Entry’ button.
ECRT Reports
Reporting Screen

Clicking on the reports menu brings up the above screen.

Select a report category and then a report. The description of the report will load based on what is selected. The parameters requested below the report selector will change depending on which report is chosen from the list.
Sponsored Project Employee Summary Report

The Sponsored Project Employee Summary (SPES) report lists all of the employees and amounts associated with effort on a specific account, for the effort reporting period. It shows the amounts both as percent and dollar amounts.
The Certifier Salary Activity Report displays the salary information for all supporting individuals charging the selected Certifier’s awards.

The effort coordinator selects the Certifier and then a Month and Year to return payroll information, by month from the time selected for the subsequent 12 months.
Glossary/Definitions
Glossary/Definitions

- **Certifier / Covered Individual**: Primary Individual who has responsibility for certifying his or her effort.

- **Certified Effort**: Effort that has been certified by the individual who performed the work, or a proxy.

- **Certified Effort Column on Effort statement**: The time, stated as a percentage of total professional time, that an individual actually devoted to a particular Sponsored Project or other activity during the effort reporting period.

- **Certification Period**: The period of time for which an individual’s effort is being certified.

- **Cost Transfers**: An expense that is transferred from one account to another when an error has occurred in the amount initially charged to the account. A retroactive salary distribution form is the mechanism for initiating a cost transfer.

- **Designee**: A person who is authorized to certify a project on behalf of the PI in the event that the PI is not able to certify the project that the PI would otherwise certify.

- **Effort Coordinator**: The person responsible for coordination between faculty and research staff to facilitate administration of the salary distribution reports, and the effort certification process. The Effort Coordinator in each department is charged with monitoring completion and processing the Effort statements for the department.
• **Effort**: The proportion of time spent on any activity expressed as a percentage of total institutional activities for which an Individual is compensated by UMass. Total effort for an employee must always equal 100%, regardless of part-time or full-time status, and regardless of number of hours worked.

The effort on a sponsored project may be equal to or greater than the salary charged to the project, and may be the same or different than the planned effort. It is recognized that activities of individuals in an academic institutions are often inextricably intermingled so a precise accounting of time spent on various activities is not required.

• **Effort statement**: Screen portraying an individual’s salary and effort distribution for an effort reporting period that will be certified. It documents the proportion of total effort devoted by an individual to each account. When certified, the effort statement is the official verification of effort attributed to and salary paid by a sponsored project. Salary paid by a sponsored project may not be greater than effort, and is subject to sponsor-imposed salary caps. An effort statement must be completed by someone with suitable means of verification of the effort expended on a project. This may be the individual or it may be the direct supervisor.
Glossary/Definitions

- **Effort Certification**: A means of confirming the percentage of Effort spent in support of each sponsored project and all other institutional activities for a given period of time. Effort Certification requires that both effort paid by the sponsor, and effort paid by the institution be confirmed. Each Individual's Effort Certification must account for total effort (100%).

- **Effort Reporting Periods**: Either the period of time over which effort is reported at UMass. For the Boston, Dartmouth, and Lowell, this is based on semesters. Other campuses are certifying once a year.

- **Institutional Base Salary (IBS)**: The annual compensation paid to an individual by UMass. IBS includes compensation for instruction, public service, organized research, patient care, department research, department administration, and/or other activities.

- **Non-Sponsored Individuals**: Individuals in a department who have effort and salary exclusively on non sponsored accounts. These people are not required to certify their effort. Effort statements are prepared by the system and are auto processed.
Glossary/Definitions

- **PI:** A person listed as a principal investigator, project director, co-investigator, co-project director, or someone with comparable responsibilities on a sponsored project.

- **Pre-Review Period:** The period of time following the end of the effort reporting period, and before the beginning of the certification period, when the Effort Coordinator reviews compiled Effort statements, and enters any needed revisions in preparation for certifiers’ review.

- **Proxy:** A person who is authorized to certify for another self certifier due to the self certifier not being able to certify for themselves.

- **Researcher:** An employee who has allocated effort to a Sponsored Program, whether or not paid by the program.

- **Sponsored Project:** An internally or externally funded activity that is governed by specific terms and conditions. Sponsored Projects must be separately budgeted and accounted for subject to terms of the sponsoring organization or unit. Sponsored Projects may include grants, contracts, and cooperative agreements for research, instruction and training, and other public service activities.

- **Central Effort Administrator:** Individuals in charge of ECRT, who will be the contact for ECRT related questions and issues.