University of Massachusetts
ecrt Upgrade
Self Certifier Training
2015
http://www.umass.edu/afsystems/node/87
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.
ECRT Home Page Navigation
The Statements Awaiting Certification tab list statements you are responsible for certifying. Self certifiers certify sponsored lines and nonsponsored lines for themselves and the sponsored lines for their researchers. Effort coordinators certify nonsponsored lines for researchers. Clicking on the names will open the certification page.

As certifications are completed, the list may need to be refreshed to reflect only outstanding statements.
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.
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.

<table>
<thead>
<tr>
<th>Name</th>
<th>ADPT011400-Environmental</th>
</tr>
</thead>
<tbody>
<tr>
<td>Safarik, Carolyn</td>
<td>ADPT011400-Environmental</td>
</tr>
<tr>
<td>Argo, Emily</td>
<td>ADPT011400-Environmental</td>
</tr>
<tr>
<td>Aylward, Jason</td>
<td>ADPT011400-Environmental</td>
</tr>
<tr>
<td>Becker, Sarah</td>
<td>ADPT011400-Environmental</td>
</tr>
<tr>
<td>Bentsen, Catherine</td>
<td>ADPT011400-Environmental</td>
</tr>
</tbody>
</table>
To print a paper version of the effort statement, select the Effort statement PDF Icon from the top left section of the effort statement.

### Employee name

**Effort Period**

**Statement Status**

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

To See the dollar values click here

To access the effort calculator click here
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 Certifiers & Approvers list show all the people who are required to certify and process the statement and what tasks they are responsible for. Your effort coordinator will be listed in this section of your statement.

Your effort coordinator has access to the Transaction log, Activity log and Email log if you have specific questions about your effort statements.
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.
Effort Certification: Multiple Statements

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.
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. As a self certifier, your pending statement will always show on the Home page.
ECRT Reports
On the effort card if you click on a project, the Grant Summary page will load. This 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.
Glossary/Definitions
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• **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.
Glossary/Definitions

- **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.
• **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.
• **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.