LIFE-CYCLE PHASES

1. Effort Card Building

2. Pre-review

3. Certification

4. Post-Certification

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Effort Certification & Reporting Checklist for Effort Coordinators

PHASE 1: Effort Cards Building

o **Employee Charging Instructions/SWRJs/Cost Transfers completed for the Period:**
  - Ensure that all required SWRJ Cost Transfers for Sponsored Employees have been completed or at least submitted.
  - Confirm via Discoverer "FMS Payroll Distribution Report (PD)" that payroll data is complete and accurate.
    - When running the PD report "by Employee & Date Range (Detail)," enter "2" for the "Date Type" field, to retrieve payroll activity according to Pay Period End Date.

o **Clear Payroll in Suspense-Expenditure Type 50190 (Legacy RU Account: 16999):**
  - Suspense payroll will not come into ECRT after 10/08/16.
  - All units should ensure that any payroll in suspense is allocated to the correct account prior to effort certification. If it has not been removed, an SWRJ must be submitted immediately to cost-transfer@ored.rutgers.edu to clear all Suspense.
  - Use the Discoverer "FMS Payroll Distribution Report (PD)" to identify payroll in suspense.

o **Accessing the Effort Certification & Reporting System, "ECRT"**
  - ECRT Login is located from 2 locations: GCA website at:
    - http://postaward.rutgers.edu/grant-management/effort-certification-and-reporting

    - myRutgers Portal:
      o https://my.rutgers.edu/portal/

o **Obtaining Effort System Access:**
  - Requires attending a 2-part training session:
    - Effort Coordinator and Viewer access roles require completion of two training sessions, ("Effort Reporting Policy, Process and ECRT System Training Part 1 and Part 2".)
      o Register for training at: https://hrservices.rutgers.edu/crs/

- o Submit an "Effort Reporting System Access Form" to pacer@ored.rutgers.edu to enable access.
- o PI access does not require training or System Access Form.

- o **Verify that Effort Coordinator ("EC") or Viewer accesses is current?**
  - Navigate to "Organization Dashboard" *(Manage -> Organization Dashboard)*
  - Do you see all the organizations/departments you should have access to?
  - Have you been assigned the correct role –
    - Primary or Backup Effort Coordinator or Viewer?

    - Primary ECs are highlighted in yellow on the dashboard.
  - Should effort coordinators or viewers be added or removed?
    - If so, please contact pacer@ored.rutgers.edu.

- o **Web Browsers:**
  - Google Chrome:

    - o Mozilla-Firefox:

  - Safari

  - o

  - Microsoft Edge or Internet Explorer have compatibility issues with ECRT 5.2

PHASE 2: Pre-Review

- o **Confirm Employees within your Org(s):**
  - ▪ Verify that all required employees have an effort card in the ECRT system.
  - ▪ You can run the following ECRT Reports:
    - Navigate to ***Reports -> Payroll/Cost Share -> Payroll Report***
  - ▪

    - Navigate to ***Reports -> Management -> Certification Status Report -> Status: Certification Required***

  - ▪ <u>**NOTE**</u>: Non-Department Personnel will not show up on these reports, verify them by manually checking the ***Organization Dashboard's -> Non-Department*** section.
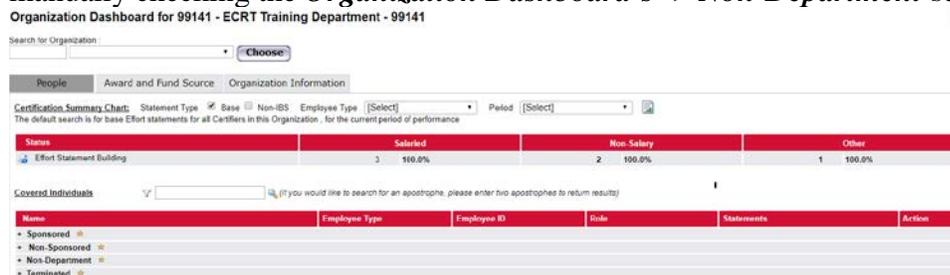
  - ▪ Are all employees reflected?
    - If not, please review ECI and/or Discoverer FMS PD Report to verify if they were charged to the correct Sponsored projects.

- o **Review each Employee's Effort Card for:**
  - ▪ **Completeness:**
    - Ensure that employees' effort cards contain all necessary fund sources where effort was expended.
      - o If **any fund sources/projects are missing** on the effort card, please investigate why.
      - o Was salary charged correctly? Refer to ECI and/or Discoverer FMS PD Report. If salary was not charged correctly, contact pacer@ored.rutgers.edu
      - o You cannot manually add projects to the effort card using the "***Add Fund Source***" link. Please contact GCA Compliance if you wish to add a fund source

Payroll	Cost Share	Computed Effort	Certified Effort	Certify?
0.00%	0.00%	0.00%	0%	☐
55.47%	0.00%	55.47%	55%	☐
0.00%	25.00%	25.00%	25%	☐
55.47%	25.00%	80.47%	80%	

      - o
      - o Should only be used if required to timely certify
      - o Fund sources added in error cannot be removed from the effort card and the PI will need to certify the erroneous project at 0% to complete the certification process.

- o Select the appropriate radio button if the fund source is "Active" or "Inactive". This feature is based on the fund source expiration date.
  - o Review the Discoverer FMS Payroll Distribution Reports (PD) in conjunction with the percentage and salary distributions on the effort cards.
  - o Identify projects where the employee provided **effort with no salary** support and report the appropriate distribution of effort.
    - ▪ Effort devoted to a grant on which no salary is received, is called Voluntary Uncommitted Cost Share, ("**VUCS**") and should be reflected as part of the employee's 100% effort.
    - ▪ VUCS should be limited to a 15% maximum per project. A note must be entered on the effort card reflecting this with no cost transfer required.

- ▪ **Reasonableness:**
  - • Are the **effort percentages** shown on each effort card, in the "**Certified Effort Column**" correct?
    - o Ensure that the effort percentages are reasonable with the compensation received.
    - o There is a tolerable variance of <5% per fund source/project line, between computed effort and certified effort.
    - o If effort percentages are inaccurate, adjust the effort cards to reflect the accurate effort percentages.
  - • Also, determine if cost transfers are required to align salary with effort.
  - • Each **effort card must total 100%** for proper certification and must be adjusted for rounding differences in the non-sponsored section of the effort card (if required).

- ▪ **Salaried Employees:**
  - • Class 1,3,6,7 & 8 are brought into ECRT
  - • Multiple expenditure types and earnings codes
  - • Class 9 employees are not in ECRT

- ▪ **Non-Salaried/Hourly/Per-Diem Employees:**
  - • Class 2, 4 & 5 employees – Expenditure Type 50110, 50120 & 50090
  - • Non-Salaried employees are certified in ECRT prior to 12/31/16
    - o These effort cards are automatically closed via an "Auto Approved" status and moved into the "Historical" category of the employees' demographic section.
    - o If any of these effort cards are open for certification, please contact pacer@ored.rutgers.edu to close the card(s) for this period.
  - • Non-Salaried/Hourly/Per-Diem personnel on sponsored programs are certified and must be maintained at the department level. These certifications should be available on demand for audit purposes.
- ▪ Non-Salaried/Hourly/Per-Diem employees will be certified in ECRT beginning January 2017.

- ▪ **Sponsored Effort:**

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- Projects beginning with 8XXXXX, 90XXXX; 98XXXX, 290XXX, 295XXX

  - **Non-Sponsored Effort**
    - Various Account Numbers including some discretionary accounts beginning with 81XXXX and 98XXXX
    - Includes the "GL String", identified in ECRT as Project "000000"
    - Individuals with 100% Non-Sponsored/non-certifiable effort during the POP will NOT require certification within ECRT.
      - Includes effort on private grants-corporations, foundations and not for profits
      - These effort cards are automatically closed via an "Auto Approved" status.
    - If any of these effort cards are open, please contact pacer@ored.rutgers.edu to close the card.

Are there any New Principal Investigators ("PI") for your org(s)?
  - Ensure that new PIs with Sponsored grants, have ECRT access.

Name	Employee Type	Employee ID	Role	Statements
Sponsored ⭐				
Condict , Ira	Other	10014105		📇
Rutgers , Henry	Salaried	10014103	Principal Investigators	📇
Student , Susie	Non-Salary	10014110		📇

  - Contact pacer@ored.rutgers.edu to have their access **enabled.** (System Access Form is not required for PIs.)
  - A PI tutorial can be completed online, at: http://postaward.rutgers.edu/grant-management/ecrt-training

  - **Are Designee Certifiers Required for PIs?**
    - If any PIs are no longer with the University or a PI is unable to certify, establish a Designee for the specific project(s) or for all the PI's projects.
    - This will enable a responsible person to certify on behalf of the PI.
    - A Designee is determined by the department's Dean or Director.
    - A completed "**Designee Request Form**" must be submitted to pacer@ored.rutgers.edu. Form can be obtained at: http://postaward.rutgers.edu/grant-management/ecrt-policies-procedures-and-forms

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ECRT: Request to Delegate Effort Certification to a Designee

Instructions: Complete Sections 1 through 5. Completed and signed forms should be emailed to:
Division of Grant & Contract Accounting at pacer@ored.rutgers.edu or faxed to 732.932.0182. Please allow 5 days for processing this request.

Prior to access being granted, you must read and accept the "Agreement for Accessing University Information". Please go to https://identityservices.rutgers.edu/agreement/ to read and accept this agreement. For information concerning ECRT training, go to http://postaward.rutgers.edu/ecrt_training.html

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PHASE 3: Certification

- o **During the certification phase, Effort Coordinators should:**
  - ▪ Monitor the Certification process to:
    - • Ensure Principal Investigators are certifying on time
    - • Guide and answer questions the PI may have

- o **Processing Tasks:**

Work List for Primary Coordinator

Welcome to the **ecrt** effort reporting system. The tabs below list all of the effort certification tasks that require your attention - whether it is certifying statements, processing statements, or following up on outstanding statements. To view and resolve the specific task, select the link in the task description.

	Statements Awaiting Certification	Effort Tasks (6)		
Type		**Identifier**	**Name**	**Date**
Payroll Adjustment		10074208	Gates, Merrill	11/22/2011 6:02 PM
Payroll Adjustment		10074205	Condict, Ira	11/22/2011 6:02 PM
Process Base Certification Statement		10074204	Scott, Austin	11/22/2011 5:12 PM
Process Base Certification Statement		10074206	Milledoler, Philip	11/22/2011 5:12 PM
Process Base Certification Statement		10074207	Hasbrouck, Abraham	11/22/2011 5:12 PM
Process Base Certification Statement		10074202	Zimmerli, William	11/22/2011 5:12 PM

- o
  - ▪ These tasks appear on the EC's home page and represent effort cards with changes to the certified effort vs computed effort that were certified by the PI. If these changes are >5%, a processing task is presented to the EC
  - ▪ To process these tasks, you click and open the task, verify the "Certified Effort" percentages for each project, and if you approve, select "*Process*" button. Determine if a Cost Transfer is required to align certified effort with computed effort
  - ▪ If you do not agree with changes to the certified effort, place a note on the effort card and click "*Do Not Process*." This will re-open the card for certification.
  - ▪ These are Effort Cards that have **ECRT Status → "Certified: EC Processing Required"**
  - ▪ Run the **Certification Status Report** for status, **"Certified: EC Processing Required"** to obtain the list of these tasks that require processing.
  - ▪ In addition, Navigate to *Reports -> Management -> Certification Status Report -> Status: Certification Required.* This report will display any outstanding effort certification
    - • This report should be used throughout the certification period to manage the process and ensure that all effort cards are certified by the due date.
    - • <u>NOTE</u>: Non-Department Personnel will not show up on this report, verify them by manually checking the *Organization Dashboard's -> Non-Department* section.

PHASE 4: Post-Certification

- o **Processing PAR Tasks:**

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  - ▪ Another type of task that appears on the Effort Tasks tab is the Payroll Adjustment Reconciliation task ("PAR").
  - ▪ These tasks present to the Effort Coordinator payroll transactions that have been loaded into the system that affect previously certified and processed statements.
  - ▪ These transfers will not affect the certification statement until action is taken by the Effort Coordinator and the ECRT Central Administrator
  - ▪ Please contact GCA Compliance Effort Team to assist in resolving any PAR tasks

GENERAL REMINDERS/ TIPS:

- o **Employee Record Numbers**
  - ▪ Keep in mind that the effort cards are generally designed using a combination of the expenditure type and the earnings code.
  - ▪ The individual's primary appointment appears on a Base card and compensation is generally Institutional Base Salary ("IBS")
  - ▪ The secondary appointment appears on a Supplemental card and compensation is generally all other pay except IBS

- o **Frequency**
  - ▪ Certification will be semi-annually for all Rutgers units
    - • January - June
    - • July - December

- o **Legacy Rutgers:**
  - ▪ There will be no distinction between Academic or Calendar year appointments
  - ▪ Summer research will be split between the 2 semi-annual periods
    - • June summer research will appear as a Supplemental effort card in the Jan-Jun period
    - • July and August summer research will appear as a Supplemental effort card in the Jul-Dec period

- o **The Employee's Home Org EC is responsible for ensuring the effort cards within the Org are certified timely and accurately**
  - ▪ It is the responsibility of the Home Org EC to ensure that all effort cards are timely and accurately certified.
  - ▪ If the employee works across various Orgs, the Home Org EC must communicate and coordinate with the other units to ensure that the respective fund sources are certified.

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- o **Timely Certification**
  - ▪ Certifiers are responsible for completing their certification within the designated 30-day Certification Period to be considered timely.
  - ▪ If not completed, the effort cards are considered non-compliant.

- o **Receiving Yellow Error Pop Ups?**
  - ▪ Frequently occurs when there is high usage volume or system technical issues.
  - ▪ Perform the following individual steps to resolve:
    - • "**F5**" to refresh the application.
    - • Clear Temporary Internet Files and Cookies, (Cache)
    - • Try to open the effort cards via *Manage -> Look-up*
    - • Log off from ECRT and log back in.
    - • Restart your computer.
    - • If all else fails, send a print screen of the error message to pacer@ored.rutgers.edu

If you have any additional questions or concerns, please do not hesitate to contact **ECRT Help** at **pacer@ored.rutgers.edu or 848 932 4174**