Agenda

1. Research Compliance Overview
2. Introduction to ecrt
3. Effort Coordinator Responsibilities Before the Certification Period
4. Principal Investigator Responsibilities During the Certification Period
5. Effort Coordinator Responsibilities During the Certification Period
6. Post Certification Follow Up by Central Administration
1. Research Compliance Overview

- Sponsored awards are made to the University of Pittsburgh, with the Principal Investigator serving as the “steward” of the research project and accompanying funds received from the sponsor.

- The University is legally responsible to the sponsor, but the PI is held accountable for the proper fiscal management and conduct of the project. PI responsibilities include:
  - Scientific performance of the work related to the project
  - Management of the project within funding limitations
  - Assurance that the sponsor will be notified when significant conditions related to the project change
  - Responsibility for the day-to-day management of project finances may be delegated to administrative or other staff, but accountability for compliance with University of Pittsburgh policy and sponsor requirements ultimately rests with the PI.
Why Certify Effort?

- Effort Certification is a Federal requirement
  - OMB Circular A-21 (Cost Principles for Educational Institutions) requires some form of after-the-fact confirmation that labor expenses represent actual costs
- Labor expenses typically represent the majority of direct costs of research
- A new Effort Reporting Policy at the University of Pittsburgh has been approved
  - The policy can be found at: http://www.cfo.pitt.edu/fcr/documents/EffortReportingPolicy.pdf
- Effort certification is the primary means of verifying that:
  - Effort supported (paid) by the project has been performed as promised, and
  - Effort expended in support of a project but not paid by the project (cost sharing) has been performed as promised.
What is Effort?

- Effort is the portion of time spent on a given professional activity and expressed as a percentage of the total 100% professional activity for which an individual is employed by the University of Pittsburgh.

- Important points:
  - The government recognizes that it is a “reasonable estimate”
  - Total effort must equal 100% per effort statement
  - Effort is not based on a standard (e.g., 40-hour) work week, instead based on each employee’s typical level of work performed (e.g., 25, 48, 60 hours per week)
  - “100% Effort” considers all professional activities related to the individual’s University of Pittsburgh appointment (teaching, research, service, administration)
  - Effort does not include outside activities (e.g., external consulting, UPP activities, etc.)
Effort Reporting at the University of Pittsburgh

- All employees paid from or with cost sharing to a federal sponsored project are required to complete an effort statement, per federal regulations
- Effort statements should be certified by:
  - The PI of the Project is responsible for certifying effort statements of all individuals on the project EXCEPT other PIs. PIs will ALWAYS certify their own effort statements.

NOTE: If the named PI is unable to certify his/her effort, a Proxy certifier or project Designee can be setup within ecrt.
- This functionality will be discussed later in the presentation
- Request forms must be completed and sent to the Central Administration for approval and configuration of Proxy and Designee functionality.
University of Pittsburgh ecrt Roles

- **Central Administrators** – global access

- **Lead Effort Coordinator** – access includes employee salary information (similar to SPAR Administrator role)

- **Secondary Effort Coordinator** – same rights and responsibilities as Lead but cannot access employee salary information (similar to SPAR Modifier role)
  - Every Department will have a Primary Effort Coordinator – which can be a person in either the Lead or Secondary Roles - who is designated as the main point of contact for the entire department.
  - Primary Effort Coordinator Overrides (assigning a different Primary Effort Coordinator for an employee, similar to a SPAR subset role) and Restricted Access Effort Coordinator (limiting the number of people an Effort Coordinator can see) functionality will be discussed in more detail later in the presentation.

- **Dean** – receives email alerts for uncertified effort as certification due date approaches and view only access to effort statements and administrative reports

- **Chair** - receives email alerts for uncertified effort as certification due date approaches and view only access to effort statements and administrative reports

- **Executive Administrator** – view only access to effort statements and administrative reports

- **Principal Investigator** – receives email alerts and can certify effort statements and perform limited queries
University of Pittsburgh eccr Terminology

- Salary Reallocation – effort modification processed through SPAR application
- Award – master account for a sponsored research award
- Project – any number of sub-accounts related to an award
- Sponsored – Federal
- Sponsored – Non-Federal
- Non-Sponsored – effort charged to institutional accounts (entities 02, 03, 04)
- Cost Sharing – portion of project costs not funded by the sponsor
- Research Staff – faculty and staff having effort on a project
- Period of Performance – 4 month academic term during which effort is expended
- Certification Period – 45 day window when effort is to be certified
Effort Reporting Schedule

- Effort Statements will be certified every academic term (The Periods of Performance will be September – December, January – April, and May – August)
- Effort Coordinators will have a 15 day Pre-Review Period before the Effort Statements are released for the Certification Period.
- PIs will have 45 days to complete their certifications in ecert.
- Because of the integration of a new SPAR system, the first certification period will require two separate sets of effort statements to be certified for the Periods of Performance of July – August 2012 and September – December 2012. All subsequent certification periods will involve only one set of effort statements corresponding to a 4-month Period of Performance.
- The first Pre-Review Period will begin on January 7, 2013.
- The first Certification Period will begin on January 22, 2013 and End on March 7, 2013.
- Subsequent Certification Period schedules will be posted to the FCR website.
2. Introduction to ecrt

- **ecrt** is a web based Effort Certification System to facilitate compliance and increase productivity

- Allows for Proactive Monitoring – data loaded from source systems on a nightly basis
  - Watch effort statements build as payroll and cost share data is loaded.
  
  - Retroactive salary reallocations made in the SPAR application may be viewed in **ecrt** the next business day. Current month salary detail will be posted following the PLD costing as part of the month end closing processes.

  - Proactively make changes to SPARs throughout the Period of Performance

- Automatic Notifications (emails)
  - Reminders
  - Questions
  - Effort Statements Reopening

- Management Reporting

- Linked to SPAR to limit the number of Recertifications
Logging into the System

- ecrt link will direct all users to login through my.pitt.edu
Using the System

- The system has a number of search boxes that you can use to run reports or select specific people or grants to review. When you type a partial value into the search box, the system will create a drop down list of available options AFTER you stop typing.

- You will only be able to search for employees, projects, and departments that are associated to you.

- Any blue hyperlink in the system is a link to an additional page (report, summary, etc.).

- The icon appears throughout the system and will allow you to generate an email to certain groups of employees.

- A help button is in the top right corner of pages to provide additional detail about the page you are viewing and the options that you have.
3. Effort Coordinator Responsibilities before the Certification Period

- The ecrt Home Page is separated into tabs to help you organize your responsibilities. The three different tabs that you may see are **Statements Awaiting Certification**, **Effort Tasks**, and **Associated Certifiers**. Note that if any of these tabs are empty they will not display on your home page.
ecrt Home Page Tabs

- The **Statements Awaiting Certification** tab displays a list of all of the effort statements associated to you (employees in your Department or working on projects in your Department) that require certification.

- The **Effort Tasks** tab only displays when a salary reallocation has been loaded to a statement that has already been certified. You will need to review the salary reallocation before opening a statement for recertification.

- The **Associated Certifiers** tab displays all employees who are associated to you (those in your Department or working on projects in your Department) regardless of whether they require certification at that time. This is meant to be an all-inclusive list that you can use as a shortcut to navigate to any effort statement at any time.
Navigating from the ecrt Home Page

- Use the links at the top of the page to navigate throughout the system. To get to your department specific page, called the **Department Dashboard**, click on the link under the **Manage** tab.
Department Dashboard

- If you are assigned to more than one department, you will have a drop down list available at the top of the screen to select each department.

- The **Certification Summary for the Last Period of Performance** section summarizes the total number of statements in each effort statement status for your department. The only statuses that will show are those with at least one effort statement currently in that status.
**Effort Statement Statuses**

- **In Progress** – Effort Statement(s) that are building during the period of performance, when payroll and cost share data are being loaded to the system.

- **Certification Required** – Effort Statements move to this status when the Certification Period begins and the statement requires certification.

- **Certification Complete** – Effort Statement(s) that have been certified by a PI. No further action is required.

- **Certification Not Required** – Statements that do not require certification because the employee had no effort on federally sponsored projects.

- **On Hold** – Effort Statement(s) that have been locked by an Effort Coordinator for further review. On Hold statements cannot be certified.

- **Salary Reallocation Pending** – Effort Statement(s) that have been certified by a PI, but have had a SPAR salary reallocation loaded to the system after the certification occurred.

- **Recertification Required** – Effort Statement(s) that were re-opened because a SPAR salary reallocation was applied that changed the employee’s distribution for a period of performance previously certified.
The next section of the page will display the Effort Coordinators in your department. To add or delete an Effort Coordinator to this list you must complete the Effort Coordinator Request form on the FCR website.

The individual who is highlighted in the list is the Primary Effort Coordinator (PEC). The PEC is the individual who is ultimately accountable for ensuring that all effort statements are certified in the department. This individual will receive emails related to tasks (when salary reallocations have been loaded to certified statements) for all employees in the department.

All EC’s will receive emails regarding the opening of the Pre-Review Period and reminders of outstanding effort statements to be certified.

All EC’s have the ability to switch the PEC designation by clicking the icon in the Action column next to the person’s name who you want to be the PEC.
Department Dashboard – Effort Coordinator List

- If there is an Effort Coordinator in your Department for whom you would like to limit his/her access to a select group of efforts statements, you can request them to be marked as a Restricted Access Effort Coordinator when submitting your request form to Central Administration (form can be found on the FCR website). Marking an individual as restricted will let Lead Effort Coordinators manage which statements they are able to see.

<table>
<thead>
<tr>
<th>Name</th>
<th>Address</th>
<th>Phone</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Hamm, Mia</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Lennon, John</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

- Selecting the 📚 icon from the Actions column will open a pop-up window that lets you select the specific employees in your department for the Restricted Access Coordinator to view.
Move employees into the Assigned Certifier List to allow the Restricted Access Effort Coordinator to view their statements. Select the Assign button to finalize the setup.
Department Dashboard – Effort Coordinator List

- Every Department must have a single **Primary Effort Coordinator** who is responsible for monitoring the effort statements for the entire department. The setup of this designation is shown in slide 18.

- Departments may have multiple Restricted Access Effort Coordinators. The Primary Effort Coordinator is still ultimately responsible for everyone in the department – the Restricted Access functionality is meant to limit an EC’s ability to view only specified employees within a department. You can use this if you want someone to help with Pre-Review but you do not want them to see all statements (and payroll) in the department. Restriction may be initiated by the department through Central Admin via the Request to Create Effort Coordinator Role form on the FCR website.

- If there is a PI in your department who works on projects based in another department, it may be appropriate to use the **Primary Effort Coordinator Override** functionality to make an Effort Coordinator outside of your department responsible for this employee similar to the SPAR subset function. Employees reassigned by **PEC Override** will still appear in their home department dashboard.
Primary Effort Coordinator Override

- Select the **Manage Users** link from **Administration** tab on the Menu Bar at the top of the Page. Enter the employee’s name who you want to assign to a different Primary Effort Coordinator.
Primary Effort Coordinator Override

- Scroll to the Bottom of the employee’s Manage Users page to Primary Effort Coordinator Override section. Enter the name of the Effort Coordinator who you want to assign as the employee’s Primary Effort Coordinator and click the Save icon to complete the submission. The intended PEC must be established as an Effort Coordinator in ecrt.

- The section will refresh with the name of the PEC Override displayed. To remove the PEC Override, click the red X in the Action column.
Manage Users Page

- You can also use the Manage Users page to review information about the employee – such as their home department, email address, and role.

- This information is helpful to review when troubleshooting if an employee is not able to use certain functionality in the system.
Department Dashboard - Viewers

- The Department Viewers list is populated with individuals who may be interested in monitoring progress in **ecrt** but do not want to have any responsibility in the system (like Chairs or Deans). To add someone as a Department Viewer, submit a Request to Create an Executive Administrator Role found on the FCR website.

- Individuals in this list will be able to view and access reports for the department, but will not receive automatic tasks or notifications.

- Central Administration will pre-populate Chairs and Deans for initial set up. Please communicate any changes to these roles to FCR.
Department Dashboard

- You can access employee’s effort statements by expanding the sections of the **Covered Individuals within this Department** list.

<table>
<thead>
<tr>
<th>Name</th>
<th>Alternate Effort Coordinator</th>
<th>Type</th>
<th>Statements</th>
<th>Commitment</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sponsored</td>
<td>▶</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Non-Sponsored</td>
<td>▶</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Non-Department</td>
<td>▶</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

- **Sponsored** – Employees in this list work on Sponsored Projects and are assigned to your department as their home Academic Department.

- **Non Sponsored** – Employees in this list have not worked on Sponsored Projects for the past 4 periods of performance and are assigned to your department as their home Academic Department.

- **Non-Department** – Employees in this list are assigned to another Academic Home Department but work on sponsored projects based in your department.
Department Dashboard – Awards and Projects List

- At the bottom of the Department Dashboard page is a list of all of the Awards and Projects associated to your department. The list is broken into Active and Inactive and can be sorted by any of the provided columns. The SPES Report link runs a report that displays salary charges and certified effort percentages for each employee working on a grant for a specified period of time.

<table>
<thead>
<tr>
<th>Award(s) within this Department</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Active</strong></td>
</tr>
<tr>
<td>Name</td>
</tr>
<tr>
<td>Demo Rock 1 Payroll</td>
</tr>
<tr>
<td>Demo Rock 2 Payroll</td>
</tr>
<tr>
<td>Demo School 1 Payroll</td>
</tr>
<tr>
<td>Demo School 2 Payroll</td>
</tr>
<tr>
<td>Demo Sports 1 Payroll</td>
</tr>
<tr>
<td>Development of Artificial Lung</td>
</tr>
<tr>
<td>Grant 2 Lung</td>
</tr>
<tr>
<td>Retina Rebuilding</td>
</tr>
<tr>
<td>Steroid Effects</td>
</tr>
<tr>
<td>Studies in Balding</td>
</tr>
</tbody>
</table>

- The Name field is the Award Title field from the Research and Proposal Accounting System (RPA).
Department Dashboard – Navigating to an Effort Statement

• When you expand a list in the **Covered Individuals associated to this Department section** you will see icons in the **Statements** column. Hovering over an icon will display the status and dates of the statement.

Covered Individuals associated to this Department:

<table>
<thead>
<tr>
<th>Name</th>
<th>Alternate Effort Coordinator</th>
<th>Type</th>
<th>Statements</th>
<th>Commitment</th>
</tr>
</thead>
<tbody>
<tr>
<td>Aaron, Hank - hankaaron</td>
<td></td>
<td>Quarterly Certifier</td>
<td><img src="image-url" alt="Image" /></td>
<td><img src="image-url" alt="Image" /></td>
</tr>
<tr>
<td>Agassi, Andre - andreagassi</td>
<td></td>
<td>Quarterly Certifier</td>
<td><img src="image-url" alt="Image" /></td>
<td><img src="image-url" alt="Image" /></td>
</tr>
<tr>
<td>Ali, Muhammad - muhammedali</td>
<td></td>
<td>Quarterly Certifier</td>
<td><img src="image-url" alt="Image" /></td>
<td><img src="image-url" alt="Image" /></td>
</tr>
<tr>
<td>Armstrong, Louis - louisarmstrong</td>
<td></td>
<td>Semi Annual Certifier</td>
<td><img src="image-url" alt="Image" /></td>
<td><img src="image-url" alt="Image" /></td>
</tr>
<tr>
<td>Barry, Chuck - chuckberry</td>
<td></td>
<td>Semi Annual Certifier</td>
<td><img src="image-url" alt="Image" /></td>
<td><img src="image-url" alt="Image" /></td>
</tr>
<tr>
<td>Bird, Larry - larrybird</td>
<td></td>
<td>Quarterly Certifier</td>
<td><img src="image-url" alt="Image" /></td>
<td><img src="image-url" alt="Image" /></td>
</tr>
<tr>
<td>Bonds, Barry - barrybonds</td>
<td></td>
<td>Quarterly Certifier</td>
<td><img src="image-url" alt="Image" /></td>
<td><img src="image-url" alt="Image" /></td>
</tr>
<tr>
<td>Bonjovi, Jon - jonbonjovi</td>
<td></td>
<td>Semi Annual Certifier</td>
<td><img src="image-url" alt="Image" /></td>
<td><img src="image-url" alt="Image" /></td>
</tr>
<tr>
<td>Brown, Jim - jimbrown</td>
<td></td>
<td>Quarterly Certifier</td>
<td><img src="image-url" alt="Image" /></td>
<td><img src="image-url" alt="Image" /></td>
</tr>
</tbody>
</table>

• Clicking on the link within the window will allow you to navigate to the effort statement to perform your review.
Reviewing an Effort Statement

- The top left window of the Effort Statement is the Work List. When a PI reviews this list during certification it will display the names of all outstanding effort statements that he/she must certify.

- The top right window on the Effort Statement will update based on your selection in the Work List. It will display the individual’s name, title, email, and Primary Effort Coordinator. Use the Needing Certification, In Progress, and Historical lists to select specific statements that you’d like to review.
Reviewing an Effort Statement

- The “Body” of the effort statement will populate on the lower section of the page based on your selections in the Work List.
• The **Accounts** column will display all Projects or Accounts, divided into three sections: **Sponsored – Federal, Sponsored – Non-Federal, and Non-Sponsored**.

• The **Distributed Effort** column displays the average percentage of effort charged to the project over the Period of Performance.

• The **Cost Sharing** column displays any cost share percentage (to a sponsored account from a non-sponsored or institutional account) associated with this sponsored project.

• The **Actual Effort** column is a sum of the Distributed Effort and Cost Sharing columns and represents the average actual effort devoted to this project for the Period of Performance.

• The **Certified Effort** column is the percentage the PI is to certify on the project for the Period of Performance and is equal to the average Actual Effort.

• The **Certify Checkboxes** are required to be checked as a part of the certification process.
Reviewing an Effort Statement

• This link will display a list of reports you can run directly from the effort statement. The reports will pre-populate with data related to the specific person and period of performance that you are viewing.

• The **On Hold checkbox** allows you to “lock down” a statement in order to prevent the statement from being released for certification.

• The **$ Value link** converts the percentages on the effort statement to dollars. This is a quick check of the total payroll dollars that were loaded to a statement. This button is available to Lead Effort Coordinators only.

• The **Effort Calc** link opens a tool that lets a PI enter in average number of hours they work on each project and provides them with the appropriate percentage of effort that they should be certifying.

• The **$ icon** on each line of the statement runs a detailed payroll report for that line. Each of the transactions loaded for the period will be displayed. To display the detailed payroll transactions for the entire statement click **$** and then select Payroll Report. This function will only be available to Lead EC’s.
Pre-Review Expectations

- Effort Coordinators will have a 15-day window in between the end of the Period of Performance and the Start of the Certification Period for Pre-Review.

- Use this time to log into the system and confirm that the effort statements in your department are displaying the correct projects and percentages.

- Use the **On Hold** feature to lock down an effort statement from being released for Certification. Make the appropriate changes in SPAR and wait for those to be loaded to **ecrt**. Once you have confirmed the changes have been posted to the effort statement, you can remove the hold from the statement (simply uncheck the checkbox).

- Determine if any **Designee** or **Proxy** assignments need to be made in your department.
  - Designees can be setup for Projects – a Designee is able to certify for all support staff who have effort on a specific sponsored project.
  - Proxies can be setup for PI’s who are unable to certify their own statements. A proxy relationship is a person-to-person relationship and the proxy is only able to certify the PI’s personal effort statements.

- Request forms for Proxy and Designee setup can be found on the **FCR** website.
Pre-Review Expectations

- Any changes made to SPAR should be reflected in ecrt the next business day.
- To confirm your changes have been made, navigate to the individual’s effort statement and review the Transaction section at the bottom of the page. This is a log of all Payroll and Cost Share data that has been loaded to the statement.

<table>
<thead>
<tr>
<th>Date</th>
<th>User</th>
<th>Description</th>
<th>Payroll Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>09/15/2011</td>
<td>System User</td>
<td>DS2-Payroll DEMO SCHOOL 2 Payroll</td>
<td>$254.12 loaded</td>
</tr>
<tr>
<td>09/15/2011</td>
<td>System User</td>
<td>A9-Valve Valve Replacement</td>
<td>$254.12 loaded</td>
</tr>
<tr>
<td>09/15/2011</td>
<td>System User</td>
<td>A1-Heart Failure Studies</td>
<td>$508.24 loaded</td>
</tr>
<tr>
<td>09/15/2011</td>
<td>System User</td>
<td>DS2-Payroll DEMO SCHOOL 2 Payroll</td>
<td>$1,778.85 loaded</td>
</tr>
<tr>
<td>09/15/2011</td>
<td>System User</td>
<td>DS2-Payroll DEMO SCHOOL 2 Payroll</td>
<td>$1,778.85 loaded</td>
</tr>
<tr>
<td>09/15/2011</td>
<td>System User</td>
<td>DS2-Payroll DEMO SCHOOL 2 Payroll</td>
<td>$1,778.85 loaded</td>
</tr>
</tbody>
</table>
On Hold Functionality

- You can place an individual statement on hold by using the **On Hold** checkbox displayed on slide 30.
- You are also able to place multiple statements on hold at the same time. By selecting the **Effort Statements On Hold** link from the **Manage** tab at the top of your page.
On Hold Functionality

- Enter the required criteria at the top of the screen. The Certifiers Available box will populate with a list of employees who meet your criteria.

- Move employees into the Certifiers Selected to Hold box using the arrow buttons. Click Save to complete the process of placing the statements on hold.
On Hold Functionality

- The page is updated and the list at the bottom on the page will list every effort statement on hold. The icon is a link directly to the employee’s statement.

<table>
<thead>
<tr>
<th>Certifiers with Effort Statements on Hold:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name</td>
</tr>
<tr>
<td>Jon Bonjovi</td>
</tr>
<tr>
<td>Johnny Cash</td>
</tr>
<tr>
<td>Bo Diddley</td>
</tr>
<tr>
<td>Bing Crosby</td>
</tr>
</tbody>
</table>

- Statements **On Hold** will not be included in the Certification Start Period emails to the PI. Statements should only be placed **On Hold** if you are waiting for a salary reallocation to be posted from the SPAR application when the Certification Period starts.

- While you can place multiple statements on hold at once, you must remove the hold from each statement individually. This is done by navigating to each statement and removing the check from the **On Hold** checkbox.
On Hold Functionality

- You will know a statement is on hold by the red highlight displayed around the statement icon on the department dashboard page.

- There will also be a message displayed when anyone selects the statement to review: **WARNING - This Effort Statement was placed on hold by Johnny Cash - 123456**

- Any Effort Coordinator related to a statement can place the statement on hold and/or remove the hold. If you are not the Effort Coordinator who placed a statement on hold DO NOT remove the hold before discussing with the Effort Coordinator who placed the Hold.
Look-up Tool

- Select the **Look-up** link from the **Manage** tab at the top of your screen for a shortcut to get to an individual’s effort statement or a project summary page.
Look-up Tool

- Entering an employee name will allow you to go directly to the individual’s effort statement.
- Entering an award or project number will allow you to see additional details about the award or project.
Training Activity

- Sign into the System as an Effort Coordinator
  - Navigate to the Department Dashboard Page
  - Review the different sections of the page
  - Switch the Primary Effort Coordinator Designation
  - Open and Review Effort Statements
    - Place a Statement On Hold
    - Remove the Hold from the Statement
    - Navigate to transaction detail
4. PI Responsibilities during the Certification Period

- A PI will receive an email on the day the certification period begins (unless his/her statement is on hold). The email will list all statements (including their own) that they are responsible for certifying.

- There are 3 reminder emails that will be sent throughout the Certification Period. These reminders are only sent if a PI has outstanding certifications in the system.

- When a PI receives an email there will be a link that directs them to the my.pitt.edu sign in page where they will authenticate and select the ecrt link.

- Emails will be escalated to the responsible Chair and/or Dean as necessary.
PI Certification

• A PI’s Home Page will only display one tab – **Statements Awaiting Certification**. This will list their own name, as well as anyone they are responsible for certifying. An individual may have more than one statement listed if there are multiple outstanding certifications.

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**Work List for Jimmy Buffett**

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 (2)**

<table>
<thead>
<tr>
<th>Statement Owner</th>
<th>Department</th>
<th>Due Date</th>
<th>Type</th>
<th>Status</th>
<th>PI</th>
</tr>
</thead>
<tbody>
<tr>
<td>Buffett, Jimmy - jimmybuffett</td>
<td>MODERN ROCK - Modern Rock Department</td>
<td>12/31/2011 Base</td>
<td></td>
<td>Not Certified, Not Processed</td>
<td></td>
</tr>
<tr>
<td>Springsteen, Bruce - brucespringsteen</td>
<td>CLASSIC ROCK - Classic Rock Department</td>
<td>12/31/2011 Base</td>
<td></td>
<td>Not Certified, Not Processed</td>
<td></td>
</tr>
</tbody>
</table>
PI Certification

- Click on the Statement Owner’s name to route to all Effort Statements needing certification for the selected employee.

- Click on the Due Date, Type, or Status to route directly to a specific Effort Statement

<table>
<thead>
<tr>
<th>Statement Owner</th>
<th>Department</th>
<th>Due Date</th>
<th>Type</th>
<th>Status</th>
<th>PI</th>
</tr>
</thead>
<tbody>
<tr>
<td>Buffett, Jimmy - jimmybuffett</td>
<td>MODERN ROCK - Modern Rock Department</td>
<td>12/31/2011 Base</td>
<td>Base</td>
<td>Not Certified, Not Processed</td>
<td></td>
</tr>
<tr>
<td>Springsteen, Bruce - brucespringsteen</td>
<td>CLASSIC ROCK - Classic Rock Department</td>
<td>12/31/2011 Base</td>
<td>Base</td>
<td>Not Certified, Not Processed</td>
<td></td>
</tr>
</tbody>
</table>

- The 🔴 icon in the PI column will display a list of all of the PIs on the employee’s statement who have NOT certified at that time.

- You can return to this screen at anytime by clicking directly on “Home” in the navigation bar.
PI Certification

• When a PI navigates to the Effort Statement page, the **Work List** will populate with the list of the same individuals displayed on the Home Page. The PI can select multiple statements in the Work List to certify more than one statement at a time.
PI Certification

- When a PI has made a selection in the Work List the effort statement(s) will display in the bottom section of the page. The page can be very long (and take some time to load) if a PI elects to certify numerous statements at once.

- To certify his/her own effort statement, the PI can click on his/her name.
PI Certification

- When the PI is ready to certify his/her own statement, he/she should select the checkboxes for each of the Sponsored – Federal projects as well as the Non-Sponsored (and potentially Sponsored – Non-Federal) total lines. When all checkboxes are checked, click the **Certify** button.

```
<table>
<thead>
<tr>
<th>Accounts</th>
<th>Distributed Effort</th>
<th>Cost Sharing</th>
<th>Actual Effort</th>
<th>Certified Effort</th>
<th>Certify Checkboxes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sponsored</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Grant 1 Heart</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Heart Failure Studies - NIH1</td>
<td>50.00%</td>
<td>0.00%</td>
<td>50.00%</td>
<td>50%</td>
<td></td>
</tr>
<tr>
<td>Valve Replacement - NIH1</td>
<td>25.00%</td>
<td>0.00%</td>
<td>25.00%</td>
<td>25%</td>
<td></td>
</tr>
<tr>
<td>Award Total</td>
<td>75.00%</td>
<td>0.00%</td>
<td>75.00%</td>
<td>75%</td>
<td></td>
</tr>
<tr>
<td>Sponsored Total</td>
<td>75.00%</td>
<td>0.00%</td>
<td>75.00%</td>
<td>75%</td>
<td></td>
</tr>
<tr>
<td>Non-Sponsored</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>DEMO SCHOOL 2 Payroll</td>
<td>25.00%</td>
<td>0.00%</td>
<td>25.00%</td>
<td>25%</td>
<td></td>
</tr>
<tr>
<td>Non-Sponsored Total</td>
<td>25.00%</td>
<td>0.00%</td>
<td>25.00%</td>
<td>25%</td>
<td></td>
</tr>
<tr>
<td>Grand Total</td>
<td>100.00%</td>
<td>0.00%</td>
<td>100.00%</td>
<td>100%</td>
<td></td>
</tr>
</tbody>
</table>
```
PI Certification

- The Attestation Statement will appear for confirmation. The PI must select the **I Agree** button to complete the certification. Once this has occurred the statement will move to **Certification Complete** status and no further action needs to be taken at that time.
PI Certification – Certifying Multiple Statements

- A PI is able to pull up more than one statement at a time to certify. If an employee has multiple statements (for different periods) they can all be displayed on the same page as well.

- Use the **Work List** to select the employees to be certified, then select the specific statements by holding down the **Control** button on your keyboard while clicking the statement line.
PI Certification – Certifying Multiple Statements

- A PI is only able to certify the **Sponsored - Federal** projects on an employee’s effort statement for which he/she is the PI. If there are **Sponsored – Non-Federal** or **Non-Sponsored** lines on a statement, it is the responsibility of the **PI WHO HIRED THE INDIVIDUAL** to certify those lines. There will not be a certify checkbox next to a **Sponsored-Federal** project of another PI.
PI Certification – Certifying Multiple Statements

- When the PI is ready to certify, he/she can click the checkbox next to each line for which he/she is responsible. He/she may need to scroll down the page to see the additional statements that have been selected. Clicking the **Certify** button will certify every line that has been checked – after the PI clicks **I Agree** to the attestation statement.
PI Certification – Certifying Multiple Statements

- When a PI certifies a statement for one of his/her research staff, the statement will drop off the PI’s **Work List**. This helps the PI understand how many more statements he/she has to certify before his/her responsibilities for the certification period are complete.

![Work List Diagram]

![Certification Details]

- **Work List**: The list shows the PI’s active and recently completed work items.
- **Certification Details**: The details page includes statements by the PI, such as those owned by Plant, Robert, and Turner, Tina, indicating the certification status and dates.
PI Certification – Certifying Multiple Statements

• If a PI disagrees with the effort distribution on any of the effort statements that he/she is responsible to certify, they should contact their Primary Effort Coordinator to initiate the necessary salary reallocation in the SPAR application. An email will open addressed to the PEC by clicking either the Get Help button on the Effort Statement or the PEC name in the box to the right of the Work List.

• When a statement is certified in ecrt, the system will send a flag to SPAR to mark the SPAR as Certification Complete. If a statement is re-opened due to a salary reallocation and then recertified, a flag will be sent to mark the SPAR as Recertification Complete.

• PIs will not receive any emails when they have completed all of his/her certification responsibilities in ecrt.
Training Activity

- Log into the **ecrt** as a PI
  - Certify your own statement
  - Certify the statement of multiple support staff at the same time
  - Certify only your lines of an individual’s effort statement who works for 2 PIs
  - Sign in as the other PI to complete the certification
5. EC Responsibilities During and After the Certification Period

- As the Primary Effort Coordinator you will receive a summary email every time the automatic notifications are sent from ecrt to the PIs in your department.
  - This will be a single email that lists each of the PIs who were contacted because of outstanding certification responsibilities in ecrt.

- An EC can use the Statements Awaiting Certification tab on the home page to monitor all related effort statements that still need to be certified.

- An EC can use the Department Dashboard as discussed previously to monitor the status of effort statements as well.
  - Use the email icon in the Department Dashboard Status Summary to email all PIs who have statements in the Certification Required status.
Effort Coordinator Responsibilities

- Assist PIs with questions related to certification. Effort Coordinators are our first line of defense!
  - All training materials will be posted to the FCR website and can be accessed at any time.

- Process salary reallocations in SPAR when needed.
  - If you process a salary reallocation that effects a statement that has not yet been certified, the salary reallocation will automatically load to ecrt overnight and apply to the statement the next business day.
  - If you process a salary reallocation that effects a statement that has already been certified, ecrt creates a Payroll Adjustment Reconciliation task for you to review before applying the transaction to the effort statement. The Payroll Adjustment Reconciliation Task is only created for the Primary Effort Coordinator.
Effort Coordinator Responsibilities

• If a statement has been certified and then a salary reallocation is loaded to ecrt, the Primary Effort Coordinator will receive an email notifying them that further review is needed.

• The Primary Effort Coordinator will have a Payroll Adjustment Reconciliation Task in the Effort Tasks tab of the home page.

Work List for Adam Duritz

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.

<table>
<thead>
<tr>
<th>Task</th>
<th>Type</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Payroll Adjustment Reconciliation</td>
<td>Jon Bonjovi - jbonjovi routed for processing</td>
<td>01/15/2012</td>
</tr>
</tbody>
</table>
Effort Coordinator Responsibilities

- Clicking on the task will take you to a summary screen that shows the details of the salary reallocation that was loaded as well as the effect it will have on the effort statement.

Payroll Adjustment Reconciliation

The Payroll Adjustment Reconciliation page presents administrators with payroll and cost share transactions that impact historical effort statements and allows them to determine how to treat those transactions. The actions a user can take, represented by the presence of buttons displayed below the transaction summary, are determined by the institution's configured thresholds and the responsibilities assigned to the user's role.

<table>
<thead>
<tr>
<th>Covered Individual:</th>
<th>Barry Bonds - barybonds</th>
<th>Location:</th>
<th>Appointment:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Department:</td>
<td>Rock and Roll Department 1</td>
<td>Effort Coordinator:</td>
<td>Johnny Cash - johnnycash</td>
</tr>
<tr>
<td>Email:</td>
<td><a href="mailto:barybonds@test.net">barybonds@test.net</a></td>
<td>Johnny Cash - johnnycash</td>
<td></td>
</tr>
</tbody>
</table>

**Payroll Reconciliation Transaction Break Down for Period of Performance - 10/01/2011 to 12/31/2011**

<table>
<thead>
<tr>
<th>Period of Performance</th>
<th>Pay Period</th>
<th>Account</th>
<th>Adjustmt Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>10/01/2011 to 12/31/2011</td>
<td>10/01/2011 to 12/31/2011</td>
<td>A13-Eats</td>
<td>($1,500.00)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>DSports2-Payroll</td>
<td>$1,500.00</td>
</tr>
<tr>
<td><strong>Subtotal</strong></td>
<td></td>
<td></td>
<td>$0.00</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td></td>
<td></td>
<td>$0.00</td>
</tr>
</tbody>
</table>

**Base Effort Statement Reconciliation Summary for Period of Performance - 10/01/2011 to 12/31/2011**

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>10/01/2011 to 12/31/2011</td>
<td>A13-Eats</td>
<td>$24,725.31</td>
<td>$0.00</td>
<td>$24,725.31</td>
<td>66.67</td>
<td>66.67</td>
<td>($1,500.00)</td>
<td>$0.00</td>
<td>($1,500.00)</td>
<td>$23,225.31</td>
<td>62.62</td>
</tr>
<tr>
<td></td>
<td>DSports2-Payroll</td>
<td>$12,362.95</td>
<td>$0.00</td>
<td>$12,362.95</td>
<td>33.33</td>
<td>33.33</td>
<td>$1,500.00</td>
<td>$0.00</td>
<td>$1,500.00</td>
<td>$13,662.66</td>
<td>37.38</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td></td>
<td>$37,087.97</td>
<td>$0.00</td>
<td>$37,087.97</td>
<td>66.67</td>
<td>66.67</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td></td>
</tr>
</tbody>
</table>
Effort Coordinator Responsibilities

- You have 2 options with this task. You can select the **Post Adjustment and Re-Open Statement** button which will re-open the statement and automatically send an email to the PI(s) who need to recertify.
Effort Coordinator Responsibilities

- Or you can leave the task as is because you need to process another salary reallocation for the individual and you don’t want to reopen the statement at that time.
Effort Coordinator Responsibilities

- If you believe a transaction has been erroneously loaded to a statement that was already certified contact Central Administration for further review.
Running Reports

- Click the Reports tab at the top of the page to navigate to the Reports page.
Running Reports

- The Reports page has 3 window across the top. Select a Category in the first window to populate the second window with a list of related reports. When you select a report a description will appear in the third window and the report criteria will display in the bottom of the page. Complete all required criteria and select **Run Report** to execute a report.
Notable Reports

- **Certification Status Report** – allows an EC to pick specific statuses or date ranges and see all effort statements meeting those criteria.
- **External Audit Report** – allows an EC to print PDF versions of all effort statements related to a particular status, date range, department, or project.
- **Payroll Report** – shows the payroll detail for an individual, sorted by project or pay period.
- **Cost Share Report** – shows the cost share detail for an individual.
- **SPES Report** – shows all individuals paid from a specific project as well as the percentages that they certified on the project for a period.
- **Certifier Salary Activity Report** – shows all of a PIs support staff as well as their monthly payroll data for a 12-month period.
6. Central Administration Follow Up

- Central Administration will be monitoring certification progress and following up with departments throughout the Certification Period.

- Central Administration will be responsible for communicating sanctions related to late certifications as determined by the CFO’s Research Compliance Committee.

- Central Admin will assist you with any questions related to the system – however all training materials will be posted to the FCR Website for your review. Any items that may be deemed “bugs” in the system should be routed through Central Admin to the software vendor.

- Please use sparhelp@cfo.pitt.edu for all support requests related to ecrt and effort reporting in general.
What do you need to do now?

- Identify other effort coordinators in your department (if applicable). Notify us of the additions so we can reach out to them to register for a training class.

- Start communicating the change to your PIs. We will be sending out messages about their training requirements (watching 2 videos) in early December.

- Pre-Review begins on January 7, 2013!

- Certification begins on January 22, 2013!
Questions?