PRE-REVIEW PHASE 1:

- **New PIs?**
  - Ensure that new PIs with Sponsored grants, have ECRT access.
  - A PI tutorial can be completed online, at: [http://postaward.rutgers.edu/grant-management/ecrt-training](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 account(s) or for all the PI’s awards. This will enable another to certify on behalf of the PI. A Designee is determined by the department’s Dean and/or Director. A completed Designee Request Form must be submitted to pacer@rci.rutgers.edu. Form can be obtained at: [http://postaward.rutgers.edu/grant-management/ecrt-policies-procedures-and-forms](http://postaward.rutgers.edu/grant-management/ecrt-policies-procedures-and-forms)

- **Is the EC and Viewer access current?**
  - Navigate to “Org Dashboard” (Manage-> Organization Dashboard)
  - Do you see all the organizations/departments you should have access to?
  - Have you been assigned the correct role - EC or Viewer?
    - Note: Primary ECs are denoted by a yellow line on dashboard.
  - Are any Effort Coordinators or Viewers no longer with the University? If so, please contact ECRT Help to have their access removed.
  - Also note, ECRT Training is required for Effort Coordinator or Viewer access.
  - Check Grant & Contract Accounting, website at: [http://postaward.rutgers.edu/announcements](http://postaward.rutgers.edu/announcements) for training schedule.

- **Confirm Employees within your Org:**
  - Verify that all required employees have an effort card in the ECRT system.
  - Navigate to Reports -> Payroll/Cost Share -> Payroll Report
  - Enter Parameters and run report.
  - Note: Non-Department Personnel will not show up on this report.
  - Are all employees reflected?

- **Charging Instructions/ SWRJs/Cost Transfers completed for the Period of Performance (“POP”)?**
  - An effective Effort Reporting Process is closely tied to an effective salary distribution process. Payroll must be set up timely according to Sponsored projects & Non-Sponsored activities. Departments should regularly evaluate grant activity to ensure that effort information remains reasonable in relation to respective activities. This will ensure that salary charges to sponsored agreements will be correct and ‘after-the-fact’ changes will be minimized.
  - Ensure that all required SWRJs/Cost Transfers for Sponsored Employees have been completed or at least submitted.
  - Confirm via RIAS Discoverer Payroll Distribution Report that payroll data is complete and accurate.

- **Is there 16999 Suspense in RIAS Discoverer Payroll Distribution Report (“PDR”) for the required POP?**
  - Ensure that Suspense on the RIAS Discoverer Payroll Distribution Report has been removed for all individuals in your orgs, for the required POP. If it has not been removed, an SWRJ must be submitted immediately to clear all Suspense.
  - A useful report to run is RIAS “DW-HR 16999 Suspense Audit”
  - If Suspense was cleared in RIAS PDR, but is not reflected in ECRT, contact ECRT Help to have them remove it off the effort card.
  - Principal Investigators will not be able to certify effort cards that have a Suspense line on them.

PRE-REVIEW PHASE 2:

Review each Employee’s Effort Card for:

- **Completeness:**
  - Ensure that employees’ effort cards contain all necessary fund sources where effort was expended.
  - If any fund sources are missing please investigate why.
  - You can manually add fund sources to the effort card via the “Add Fund Source” link.
    - Select the appropriate radio button if the fund source is “Active” or “Inactive”. This feature is based on the fund source expiration date.
    - Type in the account number in the box, wait for the fund source and description to appear
    - Select the fund source by pressing “Enter” on your keyboard or use your mouse to click on the account information. Click, “SUBMIT.”
  - Fund sources added in error cannot be removed from the effort card.
The PI will need to certify the erroneous project at 0% in order to complete the certification process.

- The Effort Certification Process relies on payroll distributions to provide a general reminder of the projects on which an individual’s salary was charged during the Period of Performance.
  - Review the RIAS Discoverer Payroll Distribution Reports in conjunction with the percentage and salary distributions on the effort cards.
  - Identify other areas where the employee provided effort with no salary support and report the appropriate distribution of effort over all activities.
  - 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. If needed, the account should be added to the effort card.

### Reasonableness:
- Are the effort percentages shown on each effort card in the “Certified Effort Column” correct?
- Ensure that the effort percentages are reasonable with the compensation received.
- There is a tolerable variance of 5% per fund source line, between computed effort and certified effort.
  - If effort percentages are inaccurate, adjust the effort cards to reflect the accurate effort percentages.
  - Determine if cost transfers are required to align salary with effort.
- Each effort card must total 100% for proper certification.

### Non-Salaried/ Hourly Effort (Class 4 & 5 employees – Pay-Type12300 & 12500):
- Non-Salaried employees are currently not certified within ECRT although the data is loaded.
  - Non-Salaried personnel on sponsored programs are certified and maintained at the department level.
  - These certifications should be available on demand for audit purposes.
  - The effort cards are automatically closed via an “Auto Approved” status and moved into the “Historical” section of the employees’ demographic information.
  - If any of these effort cards are open, please contact ECRT Help to close the card.

### Non-Sponsored/Departmental Effort (Account Numbers 2XXXXX, excluding Cost Sharing 22XXXX):
- Individuals with 100% Non-Sponsored effort during the POP will not require certification within ECRT.
  - These effort cards are automatically closed via an “Auto Approved” status.
  - If any of these effort cards are open, please contact ECRT Help to close the card.

### CERTIFICATION PERIOD
- Process 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.
  - These tasks are located on your ECRT Home screen, “Effort Tasks” tab and are labeled as, “Certification for ......., routed for processing”
  - These tasks represent effort cards that were certified by the PI, but require processing because the certified effort percentages vs computed effort percentages were modified.
  - 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. However, if you do not approve, select, “Do Not Process.” This will re-open up the card for certification again.

- FINAL CHECK -> Run “Certification Status Report” for status “Certification Required” and “Recertification Required” for your orgs
  - 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.
General Reminders/Tips:

- **RIAS PDR’s Employee Record Numbers**
  - Keep in mind that the effort cards are generally designed according to Employee’s appointment. (For example, the individual’s primary appointment appears on a Base card.
  - A secondary appointment appears on a Supplemental card and are associated with pay-type 12700, 12900 and 13500.

- **Calendar Year or Academic Year Employee**
  - The Spring card for **academic year** employees, contain effort and compensation from January 1 to June 30.
    - Typically have two (2) base cards per year (Spring & Fall)
    - Fall Card contains effort and compensation from July 1 to December 31
    - Summer appointments appear on a Supplemental card
  - The Spring card for **calendar year** employees, contain effort and compensation from January 1 to May 31
    - Typically have three (3) base cards per year (Spring, Summer & Fall).

- **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.

- **Re-Opening Effort Cards?**
  - If you need to reopen an effort card within the current certification window, contact ECRT Help.
  - After the certification deadline, a Recertification Request Form must be submitted to pacer@rci.rutgers.edu. A Recertification Form can be obtained at: http://postaward.rutgers.edu/grant-management/ecrt-policies-procedures-and-forms

- **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.

- **Receiving Yellow Error Pop Ups?**
  - Frequently occurs when there is, high usage volume or system technical issues. Perform the following to resolve:
    - F5 to refresh the application.
    - Log off from ECRT and log back in.
    - Restart your computer.
    - If all else fails, send a print screen of the error message to ECRT help.

If you have any additional questions or concerns, please do not hesitate to contact the ECRT helpdesk at pacer@rci.rutgers.edu or 848 932 4142.