PRE-REVIEW PHASE 1:

- **Accessing the Effort Reporting & Certification System, “ECRT”**
  - ECRT Login is located on the Grant & Contract Accounting website,
    - [http://postaward.rutgers.edu/grant-management/effort-certification-and-reporting](http://postaward.rutgers.edu/grant-management/effort-certification-and-reporting)
  - Scroll to “ECRT Login” and click to sign in using your Net ID and password.
  - **Note:** Do NOT use web browsers Microsoft Edge and Google Chrome because they have compatibility issues with our current ECRT version 4.1.
  - If you do not have access and you require this access:
    - Effort Coordinator and Viewer access roles require Effort Training.
      - Visit the University Human Resources website to register.
    - Once Effort Training is completed, submit an “Effort Reporting System Access Form” to pacer@ored.rutgers.edu.

- **Is the EC and Viewer access 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 - 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.

- **Are there any New Principal Investigators (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@ored.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)

- **Confirm Employees within your Org(s):**
  - Verify that all required employees have an effort card in the ECRT system.
  - You can run the following reports, note that ECRT Reports, work best with Internet Explorer.
    - Navigate to Reports -> Payroll/Cost Share -> Payroll Report
    - Navigate to Reports -> Management -> Certification Status Report -> Status: Certification Required
  - **Note:** 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?

- **Are all required 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 for Sponsored Employees have been completed or at least submitted.
  - Confirm via RIAS “FD Payroll Distribution Report (PD)” that payroll data is complete and accurate.
    - **Note:** 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.

- **Clear Payroll in Suspense 16999:**
  - Ensure that Payroll Suspense on the RIAS “FD Payroll Distribution Report (PD)” has been removed for all individuals in your orgs and for your Non-Department Personnel for the required POP. If it has not been removed, an SWRJ must be submitted immediately to clear all Suspense.
  - Another 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 on the effort card, please investigate why. Was salary charged correctly?
• You can manually add fund sources to the effort card via the “Add Fund Source” link.
  o (Note: Fund sources added in error cannot be removed from the effort card.)
  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 Type in the account number in the box, wait for the fund source & description to appear.
  o Select the fund source & description by pressing “Enter” on your keyboard or use your mouse to click on the account information. Then click, “SUBMIT.”
• As mentioned previously, fund sources added in error cannot be removed from the effort card.
  o 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.
  o Review the RIAS “FD Payroll Distribution Reports (PD)” in conjunction with the percentage and salary distributions on the effort cards.
  o Identify other areas where the employee provided effort with no salary support and report the appropriate distribution of effort over all activities.
  o 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.
  • Also, 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 Type 12300 & 12500):
• Non-Salaried employees are currently NOT certified within ECRT, although the data is loaded.
  o These effort cards are automatically closed via an “Auto Approved” or “No Certification Process Complete” status and moved into the “Historical” category of the employees’ demographic section.
  o If any of these effort cards are open, please contact ECRT Help to close the card.
• Non-Salaried personnel on sponsored programs are certified and maintained at the department level. These certifications should be available on demand for audit purposes.

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” or “No Certification Process Complete” status.
• If any of these effort cards are open, please contact ECRT Help to close the card.
DURING CERTIFICATION PERIOD:

- Process “Certification Tasks,” 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.
  - 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 also require processing by 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. However, if you do not approve, select “Do Not Process.” This will re-open the card for certification again.

- FINAL CHECK -> Run the “Certification Status Report” for the statuses below for your org(s):
  - “Certification Required”
  - “Recertification Required”
  - “Certified: EC Processing Required”
  - 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.
  - Note: Non-Department Personnel will not show up on this report, verify them by manually checking the Organization Dashboard’s -> Non-Department section.

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.

- Calendar Year and Academic Year Employees Effort Cards contain the following compensation:

  | Spring card: | Jan -> May | Spring card: | Jan -> Jun |
  | Summer card: | Jun -> Aug | Summer card*: | Jun -> Aug (ONLY pay type 13500) |
  | Fall card: | Sep -> Dec | Fall card: | July -> Dec |

  * Summer Research 13500 is reported separately.

- 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.

- 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.

- 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.
    - 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 ECRT Help.

- Web Browser Issues?
  - Do NOT use web browsers Microsoft Edge and Google Chrome because they have compatibility issues with our current ECRT version 4.1.

If you have any additional questions or concerns, please do not hesitate to contact the ECRT Help at pacer@ored.rutgers.edu or (848) 932-4128.