

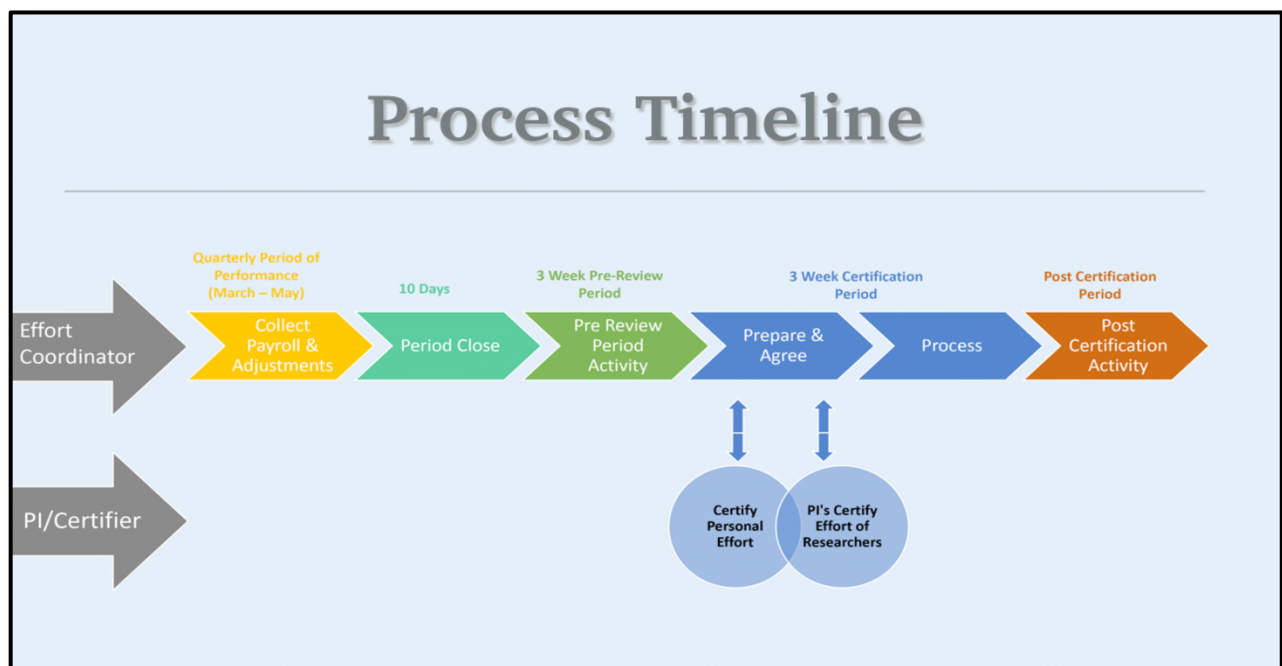


Effort Certification and Reporting Technology (ecrt) is designed to help you comply with the provisions of TTUHSC's effort reporting policies, federal policy OMB Uniform Guidance (UG), NIH Salary Limitation on Grants, and other relevant agency policies that govern the need to provide certification of an individual's effort pursuant to his/her sponsored and non-sponsored programs. TTUHSC's effort certification process is simplified and standardized as a result of this technology.

ecrt Basic Information

The Process Timeline chart below reflects one whole quarter of effort reporting and certification for TTUHSC. The top section of the chart shows the breakdown of each period. Highlighted in yellow on the left side of the chart are the roles of the Effort Coordinator and the PI/Certifier. The activities that are performed by each role are shown in the center of the chart divided by each period.

- During the Period of Performance and 10 Days period representing the Period Close, the activities are shaded indicating very limited activity by the Effort Coordinator.
- During the 3 Week Pre-Review Period, the Effort Coordinator is reviewing effort statements.
- During the 3 Week Certification Period, PI's and Certifiers are certifying their effort and PI's are certifying the effort for all related individuals. Effort Coordinators are processing effort statements.
- During the Post Certification Period, Effort Coordinators will follow up on any Labor Redistributions and /or Sponsor Notices and initiate the Escalation Policy for any individuals on the list of non-certifications.



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In this example Process Timeline chart, actual dates have been added associated with each of the actions that are occurring during this quarter of effort reporting and certification.

Date	Action
March 1 - May 31	Period of Performance. Effort Statements are building in ecrt.
June 1- June 10	Period Close. No Action. Waiting for payroll to load on 10th day after month/quarter end.
June 11 - June 30	Pre-Review Period. Statements are ready for Effort Coordinators to review. Allow up to five days for Labor Redistribution to process.
July 1 (22 days for certification period)	Certification Period Begins. PI's and Certifiers are notified that they have effort statements to certify. Effort Coordinators begin to process certified statements.
July 7 (15 days before certification is due)	PI's and Certifiers who have not certified receive a reminder to certify. Effort Coordinators continue to process certified statements.
July 17 (5 days before certification is due)	PI's and Certifiers who have not certified receive a second reminder to certify. Effort Coordinators continue to process certified statements.
July 22 (Certification is due)	PI's and Certifiers who have not certified receive a final reminder to certify. Effort Coordinators continue to process certified statements.
August 1	Post Certification Activity. Follow-up on Labor Redistributions, Sponsor Notices, etc. Initiate Escalation Policy - list of non-certifications sent to Deans and Vice Presidents.

Automatic Email Notifications - ecrt will automatically send email notifications to all Certifiers, PI's and Effort Coordinators:

Email	Notification Information
Period of Performance Email	Sent to Effort Coordinators to remind them to review their effort statements as they build.
Pre-Review Email	Sent to Effort Coordinators to inform them to review final effort statements before any certification activity takes place.
Certification Period Start Email	ecrt will automatically send email notifications to individuals who have certification responsibilities. These emails are sent on the 1st day of the certification period. Effort Coordinators will receive an email with a list of all certifiers within their department who need to certify statements.
Certification Period Reminder Emails	Three reminder emails are sent to the Certifiers. The Effort Coordinator will receive an email with a list of who still has to certify.
Payroll Reconciliation email	Sent as a reminder that a task has been created because of a Labor Redistribution that affects an effort statement that was in a Certified, Processed status.

Search

At the top of every screen is a search box that allows you to search for data within the system. This feature allows you to search for an employee, department, grant or FOP. You will only be able to search for departments, individuals, grants, and FOPs that are associated to you and your departments (ORG Level 5).

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If there are multiple possible results based on the text entered, a message appears below the search box displaying the number of possible results. You can continue to enter text to narrow the results or you can select the magnifying glass icon, which directs you to the Look-up page with the results from the search.

The screenshot shows the 'Work List for Deborah' page in the ecrt system. The page has a header with the TTUHSC logo and a navigation bar with links: Home, Certify, Manage, Reports, Administration, and Links. A search bar is located in the top right corner. The main content area is titled 'Work List for Deborah' and includes a welcome message. Below the message, there are two tabs: 'Statements Awaiting Certification' and 'Effort Tasks (16)'. The 'Effort Tasks (16)' tab is selected, displaying a table with the following data:

Type	Employee Id	Name (Last, First)	Date
Process Certification Statement	R1	Ellen	07/08/2018 1:29 PM
Process Certification Statement	R1	Dalton	07/03/2018 12:18 PM
Process Certification Statement	R1	Subash	07/03/2018 12:18 PM
Process Certification Statement	R0	Swetha	07/03/2018 12:18 PM

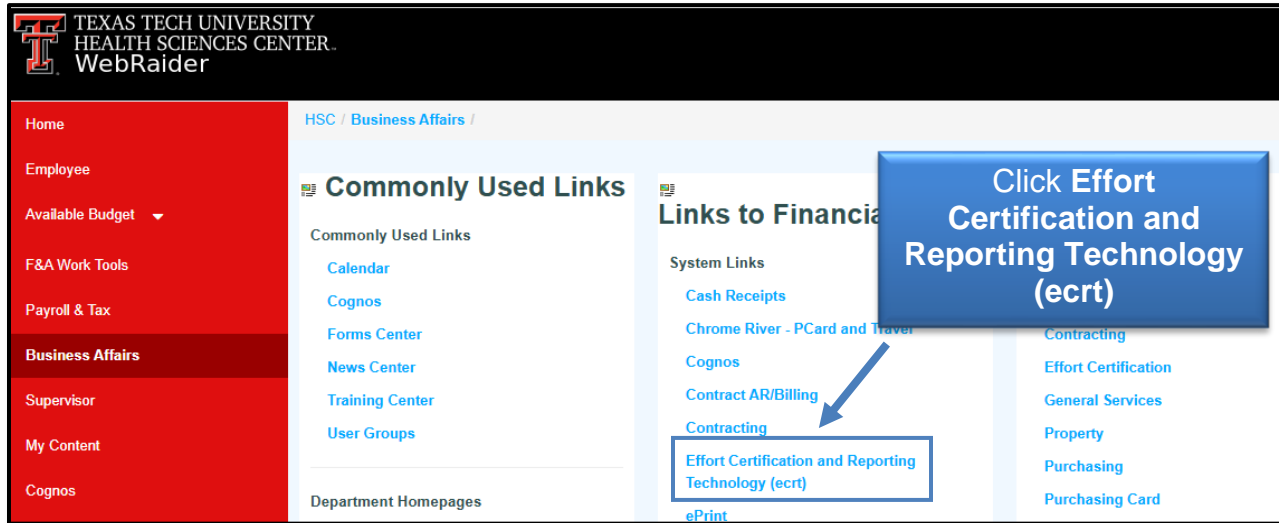
From the Look-up page, you can select the correct element or continue entering information to yield a single result, at which point you are directed to the appropriate page for the data element.

The screenshot shows the 'Look-up Page' in the ecrt system. The page has a header with the TTUHSC logo and a navigation bar with links: Home, Certify, Manage, Reports, Administration, and Links. A search bar is located in the top left corner. The main content area is titled 'Look-up Page' and includes a description of the page's functionality. Below the description, there are four search result boxes: 'Employee:', 'Department:', 'Active Grant / FOP:', and 'Inactive Grant / FOP:'. The 'Employee:' and 'Inactive Grant / FOP:' boxes show 'No search results found'. The 'Department:' box shows '51150 - Cell Biology Biochemistry Lbk'. The 'Active Grant / FOP:' box shows two results: '231012-511557-20 - Cell Biology Biochemistry - Harc' and '231012-511515-20 - Cell Biology Biochemistry - Harc'. A blue arrow points from the search bar to the 'Employee:' box, and another blue arrow points from the 'Active Grant / FOP:' box to a blue button labeled 'Select Correct Search Element'.

Navigation

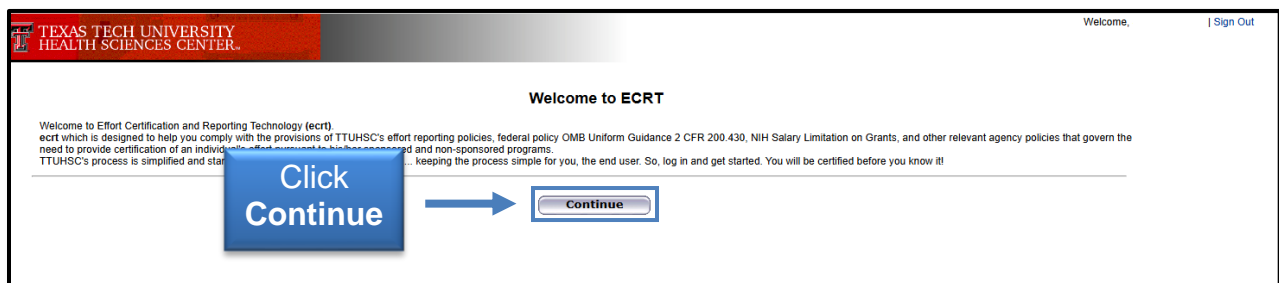
The system can be accessed from:

- [ecrt](#)
- [WebRaider Portal](#) > Business Affairs tab > Links to Financial Systems > Effort Certification and Reporting Technology (ecrt)



The link may also be found in the F&A Work Tools tab.

The Welcome page is displayed. Click **Continue**.



Navigation Menu Bar

The primary method of navigating within the system is using the navigation menu bar at the top of the screen. The navigation menu bar is on every screen of the application, allowing you to move from one page to another quickly. The Home menu on the far left returns the user to the Work List from anywhere in the application.

The Left Navigation Bar that is available on the Work List page contains useful links to training documents and other reference material. These links are also displayed in the

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Links drop-down menu in the navigation menu bar which is available at the top of every page of the application.

The screenshot shows the Texas Tech University Health Sciences Center (TTUHSC) ecrt application interface. At the top, there is a navigation menu bar with tabs: Home, Certify, Manage, Reports, Administration, and Links. A blue callout box labeled "Navigation Menu Bar" points to the Links tab. On the left side, there is a left navigation bar with a list of links including: Helpful Links (Effort Reporting OP 65.07, Effort Certification Timelines, Salary Cap Calculator.xls), Training Center (How to Certify My Effort, How to Certify My Researchers), and E-MAIL ecrt Support. A blue callout box labeled "Left Navigation Bar" points to this list. The main content area is titled "Work List for Deborah" and displays a table of statements awaiting certification. The table has columns: Type, Employee Id, Name (Last, First), and Date. The data rows are:

Type	Employee Id	Name (Last, First)	Date
Process Certification Statement	R1	Ellen	07/08/2018 1:29 PM
Process Certification Statement	R1	Dalton	07/03/2018 12:18 PM
Process Certification Statement	R1	Subash	07/03/2018 12:18 PM
Process Certification Statement	R0	Swetha	07/03/2018 12:18 PM
Process Certification Statement	R1	Nam	07/03/2018 12:17 PM

Work List Page

The Statements Awaiting Certification tab shows all statements for which you have certification responsibility. Your statement will always appear first on the list.

To access a statement from the list, select a name from the Statement Owner column which will direct you to the effort statement page. Selecting the Due Date, Statement Type, or Status of a specific statement will also direct you to the effort statement. Selecting the Department will take you to the Department Dashboard.

The screenshot shows the Texas Tech University Health Sciences Center (TTUHSC) ecrt application interface with the "Statements Awaiting Certification" tab selected. The tab is highlighted with a blue callout box labeled "Statements Awaiting Certification tab". The main content area displays a table of statements awaiting certification. The table has columns: Statement Owner, Department, Due Date, Type, Status, and PI. The data rows are:

Statement Owner	Department	Due Date	Type	Status	PI
Deborah A - R0	51150 - 51150 - Cell Biology Biochemistry Lbk	10/22/2018	Base	Effort Statement Building	
Wan H - R1	51300 - 51300 - Pediatrics Lbk	7/23/2018	Base	Not Certified, Not Processed	
Hwangeul - R1	51300 - 51300 - Pediatrics Lbk	7/23/2018	Base	Not Certified, Not Processed	
Babu - R1	51300 - 51300 - Pediatrics Lbk	7/22/2016	Base	Not Certified, Not Processed, Re-Opened by Labor Redistribution	
Ashly - R1	26110 - 26110 - Grad School of Biomed Sciences Lbk	7/23/2018	Base	Not Certified, Not Processed	

The Effort Tasks tab contains the list of effort processing tasks and Payroll Adjustment Reconciliation tasks that you are responsible for resolving. This tab will appear only if you have tasks and the Work List page will default open to the Effort Tasks tab. To resolve a task, click a **task** and be taken to the appropriate page for action.

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Work List for Deborah

Welcome to the **ecrt** effort reporting system. The tabs to the left of the main content area 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 (16)**

Type	Employee Id	Name (Last, First)	Date
Process Certification Statement	R1	Ellen	07/08/2018 1:29 PM
Process Certification Statement	R1		07/03/2018 12:18 PM
Process Certification Statement	R1	Subash	07/03/2018 12:18 PM

Salary Caps

In the event that a sponsor has a mandatory salary cap, an individual's salary above the salary rate cap is considered an unallowable cost that cannot be charged directly to the grant. The unallowable portion of salary over the cap is considered cost sharing and must be charged to a non-sponsored, non-federal fund. A separate salary cost-sharing fund must be created for each grant that is subject to the salary cap limitation.

The red CAP icon indicates that salary cap cost sharing is required. The red CAP icon appears on the statement next to the appropriate account name only if the Adjusted Cap Salary exceeds the salary cap amount associated with the sponsor for the Period of Performance. For the cost-sharing account, if the amount of cost-sharing on the account exceeds the calculated salary cap cost-sharing amount, the CAP icon will be green. If the cost-sharing amount is less than the calculated salary cap cost-sharing amount, the icon will be red.

The Salary Cap Calculator link, which is available on the Left Navigation Bar of the Work List Page or in the Links menu drop-down list, is a good tool designed to assist the Certifier in determining how much the current salary rate is over the NIH salary cap and how much will need to be recorded as cost sharing.

Award Total:	7.00%	3.00%	10.00%	10%	
H221138 CPRIT Anti-Neuroblastoma Activity Yr 3					
221138-511564-20 CPRIT Anti-Neuroblastoma Act Yr 3	?	0.00%	8.28%	8%	✓
101201-511564-20 CS CPRIT Anti-Neuroblastoma Activ	✓	1.72%	1.72%	2%	✓
Award Total:	8.00%	2.00%	10.00%	10%	
H221147 CPRIT - Manufacture/Formulation and IND-directed Toxicology of D-threo-PPMP as Multifunctional Glucosylcera Yr 1					
221147-511562-20 CPRIT - Manufacture/Formulation Yr1	?	0.00%	8.28%	8%	✓
101226-511562-20 CS CPRIT BM Manufacture	✓	1.72%	1.72%	2%	✓

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Hovering over the CAP icon, the sponsor name, sponsor type, and the calculated minimum required cost share will display two possibilities for the Salary Cap calculation – By Payroll Dollars and By Computed Effort. Clicking the **CAP** icon will display the Cap Alert page.

Activity Yr 3									
221138-511564-20	CPRIT Acti	8.28%							
Neuroblastoma Act Yr	7 cap								
101201-511564-20	CS CPRIT								
Neuroblastoma Acti	cap								
<div> <div>Click Red CAP</div> <div> <p>Sponsor name: Cancer Prevention and Research</p> <p>Texas (CPRIT) Sponsor type: NIH</p> <p>By Payroll Dollars</p> <p>Salary Cap -- \$4,821.19</p> <p>Adjusted Cap Salary -- \$60,351.99</p> <p>Computed Effort -- 103.65%</p> <p>Payroll -- 8.28%</p> <p>Cost Share percent required -- 95.37% =</p> <p>$((\\$60,351.99 \times 8.28\%) / \\$4,821.19) \times 8.28\%$</p> <p>By Computed Effort</p> <p>Salary Cap -- \$4,821.19</p> <p>Adjusted Cap Salary -- \$60,351.99</p> <p>Computed Effort -- 8.28%</p> <p>Payroll -- 0.66%</p> <p>Cost Share percent required -- 7.62% = $((\\$60,351.99 / \\$4,821.19) \times \\$60,351.99) \times 8.28\%$</p> </div> </div>									
H221147	CPRIT -								
Manufacture/Formulation and IN									
directed Toxicology of D-three-F									
Multifunctional Glucosylcera Yr									
221147-511562-20	CPRIT -								
Manufacture/Formulation Yr1									
101226-511562-20	CS CPRIT								
Manufacture	cap								
H241589	Preclinical Studies of								

The Cap Alert page contains three sections of important information: The first section shows the ratio of support from the sponsor and the institution based on the certifier's salary.

In the middle section, the system will calculate the necessary payroll and cost share amounts required to meet the committed effort based on two measures. The first calculation determines the minimum amount of cost-sharing that should be present on the statement based on the payroll dollars and the salary cap. The second method calculates the distribution between payroll and cost-sharing based on the total Computed Effort amount.

At the bottom of the page is a flex calculator. If the certifier intends to certify at a different percentage, they can enter the percentage of desired payroll to determine the additional amount of cost-sharing that should be present or the intended Certified Effort to determine the distribution between payroll and cost-sharing.

Home	Certify	Manage	Reports	Administration	Links
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Cap Alert! ?

This FOP is subject to a salary cap limitation. This necessitates that effort put forth on this FOP is supported by both the institution and the sponsor. The salary cap limitation results in a percentage of all total certified effort to be cost shared by the institution. As a result, salary charges that are driven by your effort may need to be adjusted.

For this particular award, the salary cap limitation suggests the following relationship between institution and government supported grant effort:

92.01% = Percent of grant effort supported by institution
 7.99% = Percent of grant effort supported by sponsor

For purposes of this award, it is derived that- at a minimum and assuming certified effort will equal the computed effort- the following ratios would be expected to be certified.

Payroll %	Cost Share %	Computed Effort %	Certified %
0.66	7.62	8.28	8.28

\$ Info: The "Payroll %" to the left represents a salary amount of \$398.32 and the "Cost Share %" represents a salary amount of \$4598.82.

It is acceptable if the Payroll % is less than what is indicated above and the cost share is more than what is indicated above. Such an outcome may indicate the presence of other cost sharing in addition to the salary cap cost sharing.

If the Certified % equals zero, then proceed to the FLEX CALC below. If you intend to certify at a percentage other than what is indicated above - which is permissible - please use the calculator below to determine the expected payroll and cost share percentages. Input your expected certified effort in the shaded input field.

FLEX CALC

By Computed Effort

Payroll %	Cost Share %	Computed Effort %	Certified %

\$ Info: The "Payroll %" to the left represents a salary amount of \$ and the "Cost Share %" represents a salary amount of \$.

A cost sharing transaction may need to be established to FOP for the revised salary cap cost sharing. Please consult with your effort coordinator or departmental administrator to process changes before certification.

Below the body of the statement are expandable sections for Notes, Attachments, Transactions, Activity Log, Email Log, and Certifiers and Approvers. The Notes section

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is available to facilitate communication among people who share access to a statement – effort coordinator and Certifier/PI. When the certifier does make changes to their effort, it is helpful to leave a note describing the changes in the Notes section. To leave a note, they must click the **Add a Note** icon.

Grant / FOP [-]	Payroll	Cost Share	Computed Effort	Certified Effort	Certify Checkboxes
Sponsored					
H21121 Bridging the Gap/Patient Center Year 5					
211121-511151-20 Bridging the Gap/Patient Center Yr5	30.01%	0.00%	30.01%	30 %	<input type="checkbox"/>
Award Total:	30.00%	0.00%	30.00%	30%	
Sponsored Total:	30.00%	0.00%	30.00%	30%	
Non Sponsored					
101088-511151-10 Instructional Admin Med Curriculum	63.89%	0.00%	63.89%	64 %	<input type="checkbox"/>
101181-511515-20 CBB Research	6.11%	0.00%	6.11%	6 %	<input type="checkbox"/>
Non Sponsored Total:	70.00%	0.00%	70.00%	70%	
Grand Total:	100.00%	0.00%	100.00%	100%	

Get Help
Click Add a Note
Close Certify Save

Notes ★

Attachments

Transactions ★

Activity Log ★

Email Log ★

Certifiers & Approvers ★

The certifier enters the **note** in the Create New Note text box and clicks **Save Note**.

Get Help
Click Save Note
Close Certify Save

Notes ★

Attachments

Transactions

Activity Log

Email Log

Certifiers & Approvers

Create New Note

Note (max 4000 characters. Extra text will be truncated):

Save Note

In the Attachments section, the certifier can attach supporting documents to an effort statement by clicking the **Attachment** link.

The Transactions Log provides details of each of the payroll transactions that were loaded to the effort statement. It also documents the certification process and can be a helpful tool when determining who took an action on a statement and when.

The Activity Log tracks actions and activities that are not captured in the Transactions log. The actions that are tracked in the log include:

- Accessing and viewing the statement
- Saving the statement

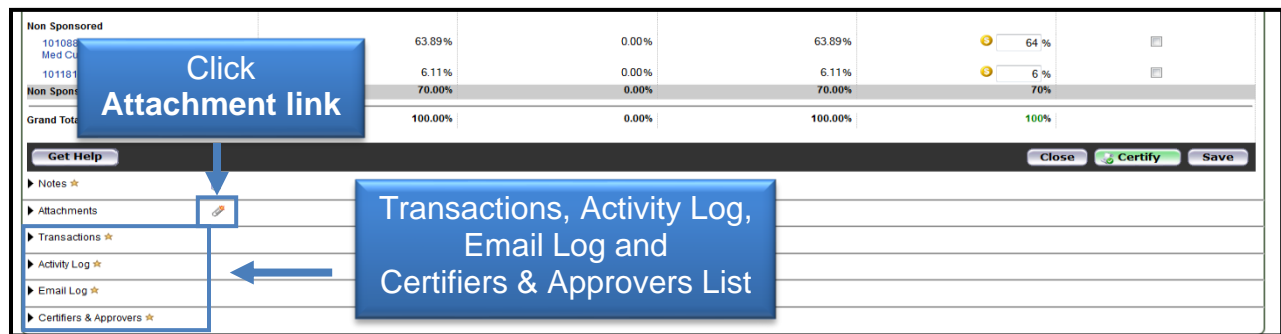
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- Placing the statement on hold
- Taking the statement off hold

The Email Log captures all emails relevant to the specific effort statement to which the log is related. The log records the following emails:

- All notification emails and all reminder emails specific to the statement
- Emails about the statement being put on hold
- Group emails based on the status of the statement, regardless of where the message was initiated
- Emails about the statement being returned to the certifier(s) or reopened.

The List of Certifiers and Approvers is a helpful tool to determine what users have access to this statement. The Processor is the Primary Effort Coordinator who will process the statement when it is certified. The Certifiers are any PIs or Designees who can certify the statement based on their association to grants/FOPs on the statement.



Effort Tasks

The Effort Coordinator will have a number of effort tasks that need to be performed based on actions taken during the certification period. The tasks can be accessed from the Effort Tasks tab on the Work List page. This tab will appear only if you have tasks and the Work List page will default open to the Effort Tasks tab. The Effort Tasks tab contains the list of effort processing tasks and Payroll Adjustment Reconciliation tasks that you are responsible for resolving.

To review an effort statement waiting to be processed, click a **task** from the Effort Task list and be taken to the appropriate page for action.

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Effort Tasks tab

Click a Task

Type	Employee Id	Name (Last, First)	Date
Payroll Adjustment		Debbie	08/07/2018 4:22 PM
Payroll Adj		Gregory, Darla	08/07/2018 4:22 PM

Processing an Effort Statement

It is the Effort Coordinator's responsibility to review the appropriateness of the effort that has been certified. If you disagree with how the statement was certified click **Do Not Process**. This will return the statement to the individual and the status of the statement will change back to Not Certified, Not Processed. It is important to leave a note in the Effort Note section to explain why you took this action.

If you want to stop your review click the **Cancel** button – this cancels any action you have taken and returns you to the Work List page. If you agree with how the statement was certified, click the **Process** button to finalize the statement and move it into Certified, Processed status.

If Disagree, Click Do Not Process

If Agree, click Process

	Dollars	Cost Transfer	Percentage
Sponsored			
H212182 Testing Tobacco Smoke and eCigarette Toxicity at the Blood Brain Barrier Yr 7 to 11			
212182-402611-20 Testing Tobacco Smoke Tox Yr7 to 11	40.00%	0.00%	40.00%
Award Total:	40.00%	0.00%	40.00%
H242265 SD LWB Novel Class of Chemical Agents Active Against Metastatic Triple Negative Breast Cancer			
102112-402611-20 CS SD LWB Novel Chemical Agents	0.00%	7.50%	7.50%
Award Total:	0.00%	7.50%	7.50%
Sponsored Total:	40.00%	7.50%	47.50%
Non Sponsored			
102018-402601-10 Pharmaceutical Scs	30.00%	0.00%	30.00%
102043-402611-20 Pharmaceutical Sci Research Support	22.50%	0.00%	22.50%
Non Sponsored Total:	52.50%	0.00%	52.50%
Grand Total:	92.50%	7.50%	100.00%

Buttons: Cancel, Labor Redistribution Needed, Process, Do Not Process

Attachments: N/A

Use the text field below to enter an Effort note. (4000 character max.)

Save Effort Note

You will be presented with this processing message. Click **OK**. You will be returned to the Work List page.

Cost Transfer

If the individual correctly certifies to a percentage that is different than the computed percentages, ecrt calculates the dollars related to the changes and shows them in the Cost Transfer Dollars column. Click the **Labor Redistribution Needed** button because a Labor Redistribution needs to be processed. This will move the status of the statement to Certified, Labor Redistribution Required, or Pending. A Labor Redistribution Notice is created in the Manage Effort Notifications Labor Redistribution tab.

This serves as a reminder to process a Labor Redistribution in Banner based on the review that you just performed. This is simply a list of tasks that can be manually deleted (using the Red X) at any time.

						Dollars	Cost Transfer)	Percentage
Sponsored								
H212182 Testing Tobacco Smoke and eCigarette Toxicity at the Blood Brain Barrier Yr 7 to 11	40.00%	0.00%	40.00%	40%	\$ 0.00	0.0 %	0.00%	
212182-402611-20 Testing Tobacco Smoke Tox Yr7 to 11	40.00%	0.00%	40.00%	40%	\$0.00	0%	0.00%	
Award Total:								
	40.00%	0.00%	40.00%	40%	\$0.00	0%	0.00%	
H242265 SD LWB Novel Class of Chemical Agents Active Against Metastatic Triple Negative Breast Cancer								
102112-402611-20 CS SD LWB Novel Chemical Agents	0.00%	0.00%	0%	0%	\$ -2040.85	0.0 %	-7.50%	
Award Total:	0.00%	0.00%	0%	0%	\$ -2,040.85	0%	-7.50%	
Sponsored Total:	40.00%	0.00%	40%	40%	\$ -2,040.85	0.00%	0.00%	
Non Sponsored								
102018-402601-10 Pharmaceutical Scs	30.00%	0.00%	30.00%	30%	\$ 0.00	0.0 %	0.00%	
102043-402611-20 Pharmaceutical Sci Research Support	22.50%	0.00%	22.50%	30%	\$ 2040.85	0.0 %	7.50%	
Non Sponsored Total:	52.50%	0.00%	52.50%	60%	\$2,040.85	0.00%	0.00%	
Grand Total:	92.50%	0.00%	100.00%	100%	\$0.00	0.00%	0.00%	

Cost Transfer Dollars

Click Labor Redistribution Needed

Labor Redistribution Needed

Process

Do Not Process

Attach file
 Attachments: N/A
 Use the text field below to enter an Effort note. (4000 character max.)

You will be presented with a processing screen. Click **OK**.

Payroll Adjustment Reconciliation

Once the Labor Redistribution is processed in Banner, it will be picked up by ecrt the next day. If it brings computed and certified effort within the 2% threshold, it will automatically apply to the statement and update the statement status to Certified, Processed. If the labor redistribution does not bring the computed and certified effort within 2%, a Payroll Adjustment Reconciliation task will be created in the Effort Tasks tab of the Work List page.

Click the **Payroll Adjustment** link to review and resolve the task.

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Work List for Pamela

Type	Employee Id	Name (Last, First)	Date
Payroll Adjustment	R1	Darla	08/07/2018 4:22 PM
Process Certification Statement	R1	Rakhshanda	10/22/2015 8:19 PM

The Payroll Adjustment Reconciliation screen displays the details of the Labor Redistribution and also the effects it has on the effort statement. The Effort Coordinator can review how much the individual originally was paid and certified on each FOP – and then review how the current Labor Redistribution will change those numbers.

The only option an Effort Coordinator has on this screen is to click **Post & Re-open** (because computed and certified effort are not appropriately aligned). The statement status is updated to Not Certified, Not Processed, Reopened by Labor Redistribution, and the individual will need to re-certify this statement.

Payroll Adjustment Reconciliation

The Payroll Adjustment Reconciliation page presents to administrators 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.

Covered Individual: Darla
Title: Licensed Vocational Nurse
Department: 52350 - Surgery Area
Email: darla. @ttuhsc.edu

Location: Amarillo
Appointment:
Effort Coordinator:

View By Pay Period By FOP | View By FOP By Pay Period

Payroll Reconciliation Transaction Break Down for Period of Performance - 03/01/2018 to 05/31/2018

Period of Performance	Pay Period	FOP	Adjustment Amount
03/01/2018 to 05/31/2018	03/01/2018 to 03/15/2018	132021-523511-35	\$962.61
		222044-523551-30	\$419.08 (\$0.00) (\$0.00)

Transaction Summary for Period of Performance - 03/01/2018 to 05/31/2018

Period of Performance	Pay Period	Original Payroll \$	Original Cost Share \$	Original Computed Effort \$	Original Computed Effort %	Certified %	New Payroll \$	New Cost Share \$	Total Adjustment \$	New Computed Effort \$	New Computed Effort %
03/01/2018 to 05/31/2018	132021-523511-35	\$8,663.24	\$0.00	\$8,663.24	95.0	84.0	(\$350.00)	\$0.00	(\$350.00)	\$8,313.24	91.16
	222044-523551-30	\$455.94	\$0.00	\$455.94	5.0	15.0	\$350.00	\$0.00	\$350.00	\$805.94	8.84
	Total	\$9,119.18	\$0.00	\$9,119.18			\$0.00	\$0.00	\$0.00		
		\$9,119.18	\$0.00	\$9,119.18			\$0.00	\$0.00	\$0.00		

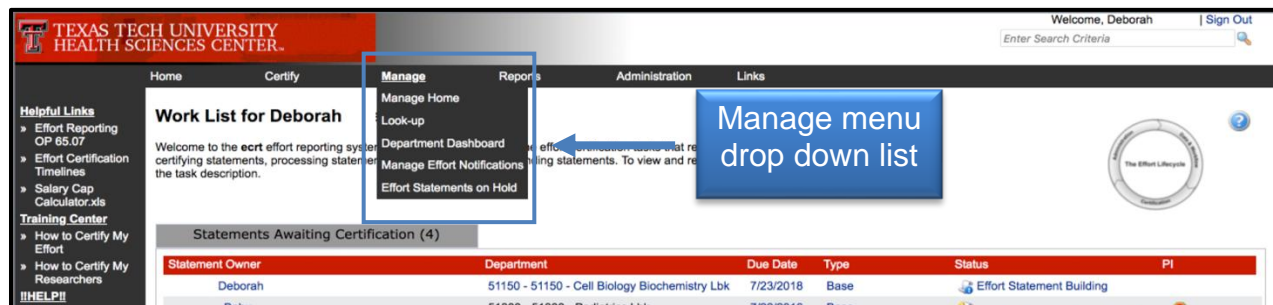
Post & Re-open

View Effort Statement

You will be returned to the Work List page, and the Payroll Adjustment Reconciliation task is removed from the list.

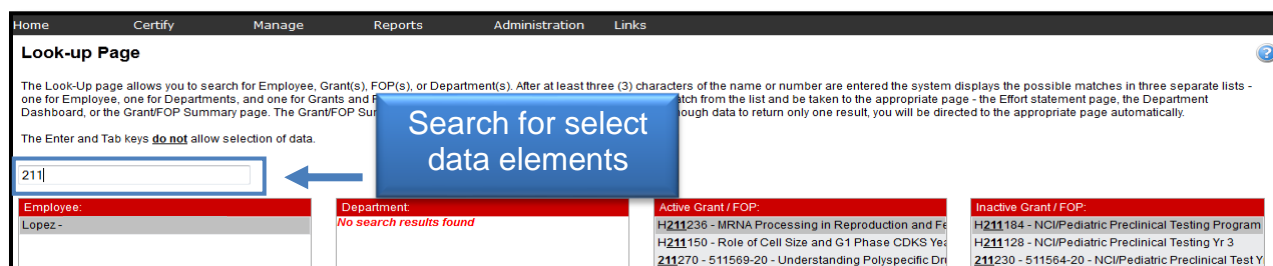
Manage

There are four links available in the menu drop-down list for the Manage label on the navigation menu bar: Look-up, Department Dashboard, Manage Effort Notifications, and Effort Statements on Hold.



Look-Up page

The Look-up page allows you to search for select data elements in the system, specifically people, departments, active and inactive Grants/FOPs. Users can enter employee name, employee R number, department name, department number, grant/FOP name, or grant/FOP number to see results.



Department Dashboard

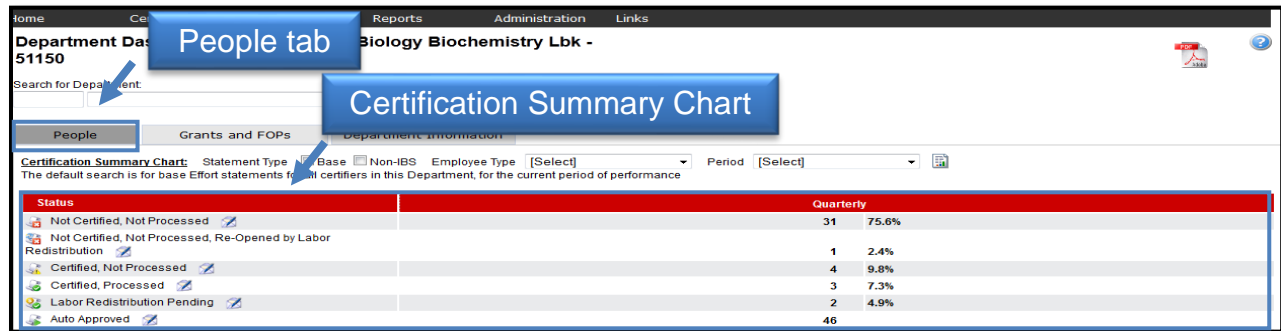
The Department Dashboard page is broken into three tabs: People, Grants and FOPs, and Department Information. At the top of the Department Dashboard page, the department name and number are displayed above the search field. On the right side of the page is a link to the Monthly Funding and Effort Information Report. The link opens the PDF version of the prior month's report for the department.

The first tab on the Department Dashboard page is the People tab, which contains information about all of the institution's employees that have a relationship with the department.

The Certification Summary Chart allows you to define the statistics to review. You can select the Statement Type, either Base or Non-IBS, by using the checkboxes, the Employee Type from a drop-down, and the Period from a drop-down.

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To the right of the Period drop-down is the Related Reports link. When first accessing the page and no parameters are established, the chart shows the statistics for all statement types and all employee types for the most recent Period of Performance. For each status, it shows the number of individuals in the status and the percentage of the total in each status.



This chart shows the most common statuses used and gives a brief description of the status.

Status	Description of the Status
Effort Statement Building	- This status indicates an effort statement is not ready for certification. This occurs during the period of performance, when payroll and profile data are being loaded and the effort statements are being built.
Not Certified, Not Processed	- This status indicates the effort statement is ready to be certified. Effort statements move to this status when the Certification Period begins and the statement requires an individual to certify.
Certified, Not Processed	- In this status, an individual has certified his/her effort statement, and it has been routed for review/approval to the Effort Coordinator. The effort statement will remain in this status that review has been performed.
Certified, Processed	- When the Department Administrator reviews/processes an effort statement, the status changes to this. All certified effort statements should change to this status by the end of the certification period.
Auto Approved	- This status is for effort statements that are auto-processed by the system. This occurs only when the TTUHSC utilizes the auto-process functionality in ecrt, which automatically moves effort statements that have no sponsored payroll associated to them into a status. This will occur on the Certification Period Start Date.
Certified, Processed, Labor Redistribution Required	- In this status, an effort statement has been certified by the individual at different percentages than the computed effort. When reviewing the certified effort statement, the Effort Coordinator moves the statement into this status to mark it as a statement where the certification is correct, but a cost transfer needs to be processed to properly align computed and certified effort.
Labor Redistribution Pending	- This is the status of a Certified, Processed Effort Statement when a cost transfer has been loaded into ecrt, which will effect the computed effort percentages in that statement. Department Administrators will review Payroll Adjustment Items and post the items to the effort statements.
Not Certified, Not Processed, Re-Opened by Labor Redistribution	- This is the status of an effort statement where a cost transfer was applied and now the statement needs to be re-certified by the individual due to changes in the payroll percentages on the effort statement.
Not Certified, Not Processed, Re-Opened	- This is the status of an effort statement that has been re-opened by an Effort Coordinator or Central Administrator. Effort Coordinators will only be able to re-open an effort statement during the certification period.

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The Covered Individuals List is below the Certification Summary Chart. Covered individuals are assigned to a department based on the individual's primary department assignment.

The list is divided into four sections:

- Sponsored - individuals in this Department who work on sponsored projects
- Non-Sponsored - individuals in this Department who do not work on sponsored projects – these statements will be automatically approved
- Non-Department - individuals who are in a different home department but work on a grant in this department
- Terminated

The screenshot shows the 'Department Dashboard for 51150 - Cell Biology Biochemistry Lbk - 51150'. The 'Covered Individuals' section is highlighted with a blue box labeled 'Four Sections'. The table below shows the following columns: Name, Employee ID, Role, Employee Type, Statements, and Action. The table is filtered by 'Status' and shows four categories: Sponsored, Non-Sponsored, Non-Department, and Terminated. Each category has a magnifying glass icon for filtering.

Name	Employee ID	Role	Employee Type	Statements	Action
+ Sponsored					
+ Non-Sponsored					
+ Non-Department					
+ Terminated					

The Covered Individuals list can be filtered in four ways – name, employee ID, role, and employee type. To apply a filter, select the funnel icon to see the list of filters. Then select the appropriate radio button corresponding to the desired filter and select the magnifying glass.

The Covered Individuals list contains 7 columns for additional information. For the employee's Role column, if a user has more than one role then hovering over the listed role will display a list of all roles assigned to the person. The Statements column will show up to 5 icons representing the individual's most recent effort statements. If you hover the mouse over the icon of the effort statement the period and status of that statement will display. To review the certification statement simply click the **icon**.

The Action column contains the magnifying glass icon. It provides a link to the Manage Users page for that individual. The pen and envelope icon will send an email to the individual.

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Department Dashboard for 51150 - Cell Biology Biochemistry Lbk - 51150

Search for Department: 51150 - Cell Biology Biochemistry Lbk [Choose](#)

People Grants and FOPs Department Information

Certification Summary Chart: Statement Type ☒ Base ☐ Non-IBS Employee Type [Select] Period [Select]

The default search is for base Effort statements for all certifiers in this Department, for the current period of performance

Status	Quarterly
Effort Statement Building	41 100.0%

Covered Individuals (If you would like to search for an apostrophe, please enter two apostrophes to return results)

Name	Employee ID	Role	Employee Type	Statements	Action
Sponsored					
Gregory D	R1	Terminated	Quarterly		
Yangzom D	R1	PI	Quarterly		
Jennifer D	R0		Quarterly		
Anh Phu Nam	R1		Quarterly		
Wan H	R1		Quarterly		
Daniel C	R1		Quarterly		
Hwangeul	R1		Quarterly		

The Grants and FOPs tab contains all of the Grants and FOPs that are assigned to the department, whether active or inactive. The Grant Number and FOP Number for each are shown, as is the Grant or FOP Name, the Sponsor R number, the PI of the grant, and the Start Date and End Date. The last column allows you to run the SPES report (Sponsored Project Employee Summary). This report lists all of the employees that had salary or cost sharing charged to a specific Grant or FOP. All of the columns are sortable by clicking the **header of the column**.

The Grant/FOP Name is a link to the Grant/FOP Summary page. When you hover over the yellow icon to the left of the Name, it indicates that this is inactive.

The two circular arrows icon next to magnifying glass allows you to refresh the list to show only the active Grants and FOPs. You can reset the page by clicking the **magnifying glass**.

Department Dashboard for 51150 - Cell Biology Biochemistry Lbk - 51150

Search for Department: 51150 - Cell Biology Biochemistry Lbk [Choose](#)

People Grants and FOPs Department Information

Filters

Grant Number	FOP Number	Name	Start Date	End Date
181302	11541-40	Anatomy/Electron Microscopy IDC		
131006	11515-10	Basic Sciences Support		
131005	11515-40	Basic Sciences Support		
H241021		CBB Cancer Research	01/13/2006	
		Research		
		Research Support		
		Research Support		
		Research Support		
H241996		Ongoing Research Leading to Improved Treatment	01/01/2018	12/31/2018
		Research for Colorectal Cancer		
H241918		Cell Line/Xenograft Rep Yr 3	09/01/2016	08/31/2018
		COG Clinical Trials Studies		

The Department Information tab contains information about the Department's Effort Coordinators and the Department Relationships Tree.

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The names, phone numbers, and email addresses of the Department's Effort Coordinators are shown. The Primary Effort Coordinator is highlighted in yellow. This individual will receive all of the effort processing tasks that are created when individuals certify effort statements. The secondary effort coordinators are listed without highlighting. Any additions or changes to this list will be made by the Central Administrator.

The Action column in the Effort Coordinators list allows you to go to the Manage Users page for the coordinator by clicking the **magnifying glass** icon and email the effort coordinator by clicking the **pen and envelope** icon.

The Department Relationships tree shows the department's position in the organization structure.

Home Certify Manage Reports Administration Links

Department Dashboard for 51150 - Cell Biology Biochemistry Lbk - 51150

Search for Department:

People Grants and FOPs **Department Information**

Department Effort Coordinator(s)

Name	Address	Phone	Email	Action
Chavez, Deborah A - R00897735		8067432700	deborah.chavez@ttuhsc.edu	
Day, Karen J - R00526304		8067432700	karen.day@ttuhsc.edu	
Fansler, Donna C - R00533609		8063564617	donna.fansler@ttuhsc.edu	
Stallings, Donna G - R00529872		8067432700	donna.stallings@ttuhsc.edu	
Trompler, Ann K - R00908426		8067432700	ann.trompler@ttuhsc.edu	

Viewer(s)

Name	Address	Phone	Email	Action
None found				

Department Relationships

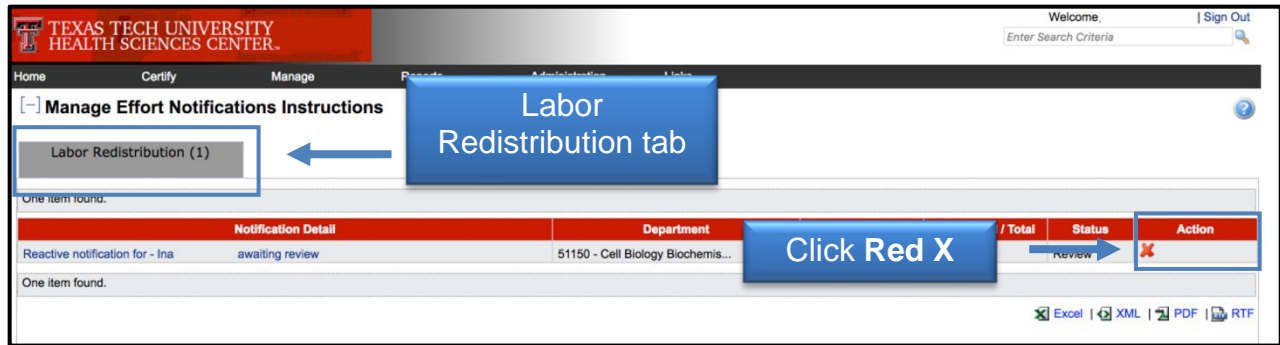
- 5115 - SOM Basic Sciences Lbk (N/A)
 - 51160 - Immunology/Molecular Micro Lbk (Gauna Alicia L - R00896564)
 - 51170 - Pharmacology and Neuroscience Lbk (Morris Maria - R00540831)
 - 51180 - Physiology Lbk (Rolfe Cynthia K - R00896634)
 - 51150 - Cell Biology Biochemistry Lbk (Chavez Deborah A - R00897735)**

Manage Effort Notifications

The Manage Effort Notifications page contains the Labor Redistribution tab, which has a list of notifications that require your attention. To resolve an item on the list, select the link in the Notification Detail column to be directed to the review page.

The Labor Redistribution tab list is populated with tasks when an Effort Coordinator selects the Cost Transfer Needed button when reviewing an effort statement. This task serves as a reminder to process a Labor Redistribution in Banner based on the review that you just performed. This is simply a list of tasks that can be deleted at any time by clicking the **red X** under the Action tab.

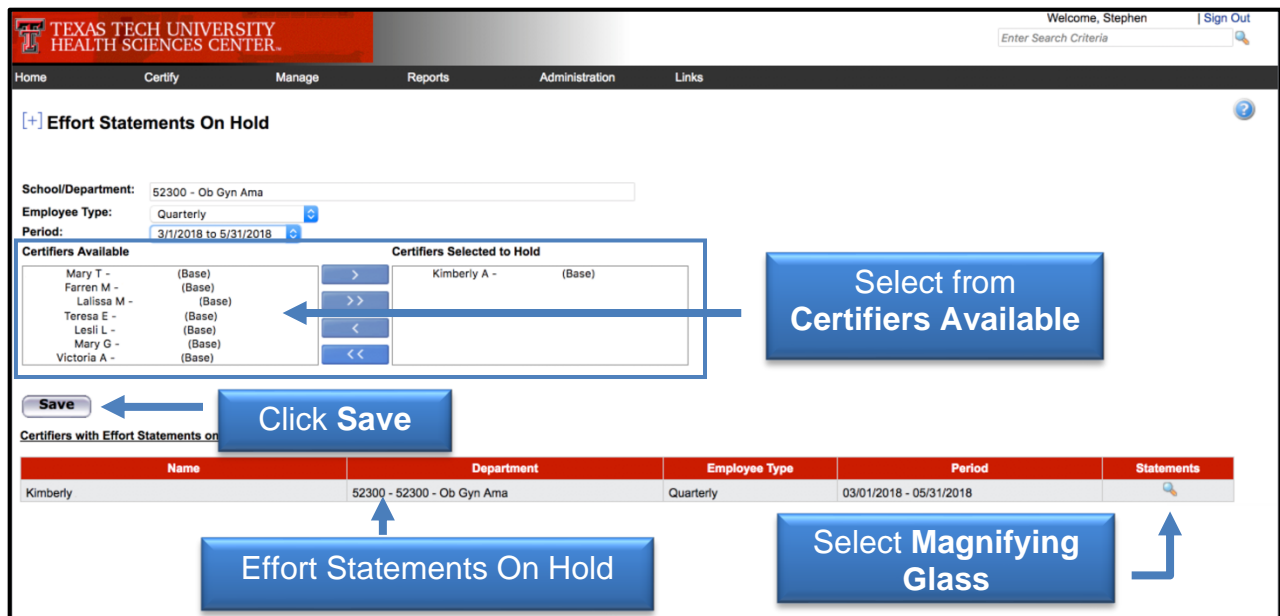
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Effort Statements on Hold

The Effort Statements on Hold page allows you to select multiple certifiers and then place them all On Hold at one time rather than having to navigate to each statement individually. When you click **Save**, each of the certifiers will be listed at the bottom screen in the Certifiers with Effort Statements on Hold section.

To take an effort statement off Hold, you will have to go to the individual's effort statement and uncheck the **On Hold** checkbox. You can navigate to the individual's effort statement from the Effort Statements on Hold page, by selecting the **magnifying glass** icon in the Statements column.



To reference the total number of effort statements On Hold, review the Certification Summary on the Department Dashboard page.

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Department Dashboard for 51150 - Cell Biology Biochemistry Lbk - 51150

Search for Department:

People Grants and FOPs Department Information

Certification Summary Chart: Statement Type ☒ Base ☐ Non-IBS Employee Type [Select] Period [Select]

The default search is for base Effort statements for all certifiers in this Department, for the current period of performance

Status	Quarterly
Not Certified, Not Processed	31 75.6%
Certified, Not Processed	5 12.2%
Certified, Processed	2 4.9%
Labor Redistribution Pending	2 4.9%
Certified, Labor Redistribution Required or Pending	1 2.4%
Auto Approved	46
On Hold	1

Statements On Hold

The statement icon of an effort statement that has been placed On Hold is highlighted in RED as a visual indicator to the Effort Coordinator. This can be seen in the Statements column of the Covered Individuals list on the Department Dashboard page.

Park, Sangyi Stallings, Donna G - R00529872 R10400024 Quarterly

Visual Indicator that statements On Hold

Reports

The ecrt Reporting page is accessed by clicking the **Reports** menu label on the navigation menu bar. The page contains three window panes across the top that show the report Category, the list of Reports associated with the selected category, and a Description of the selected report. To access the report, click the **report name** in the Reports pane.

TEXAS TECH UNIVERSITY HEALTH SCIENCES CENTER

Welcome, Deborah Sign Out

Home Certify Manage Reports Administration Links

ecrt Reporting

Category

- Commitments
- Management
- Payroll/Cost Share

Reports

- Commitment Listing Report
- Certifiers Over Commitment Settings Report
- Monthly Commitment Summary Report

Description

The Commitment Listing Report provides a complete list of all commitments that the user can determine. The report is generated based on the proposed commitment. The Commitment Listing Report provides a complete list of all commitments that the user can determine. The report is generated based on the proposed commitment. You can search for a specific commitment by using the search criteria. The first icon is a red 'X' that allows you to remove that Commitment.

Parameters

Employee:

School / Department:

Expand Search

FOP: Active Inactive

Filter By: ☐ Awarded ☐ Proposed ☒ Awarded / Proposed

Date By: ☐ Dates ☐ Employee Type

Dates: Start Date: End Date:

Run Report

Click Report Name

Administration

The Manage Users link is the only link available to the effort coordinator in the menu drop down list for the Administration label. The page presents a data entry search box.

You must search by last name only, first name only, ID number only, or by last name then first name. Type in a minimum of three characters from the intended result, and then pause for a few seconds.

The program will query the database, and download a list of matches to the search text, which appears in a blue box under the search box. Put the cursor on the intended result, click the mouse or hit the enter key and then click **Choose**.

Home Certify Manage Reports Administration Links

Manage Users

As an administrator, you have complete control in managing the roles associated to any system user. By selecting a user from the box below, you'll be able to activate or deactivate a user, manage the system roles they have access to and manage their associated departments. Each of these operations allows further management of all system users.

The search can be conducted using first name, last name, or ID number. Results are produced more quickly using last name or ID number. Searching by first name then last name will not produce results. You must search by last name only, first name only, id number only, or by last name then first name.

When you view this page, if there is a "loading data" indicator, then please wait as the screen populates with your data. If there is no "loading data" indicator, then please type the name of the person you are searching for and wait for the results to load. It may take up to three seconds to load your results.

Choose a user to administer:

cor

Cornwall

Choose

Click Choose

In the top section, you can see the basic user demographic information and their email address. If any of this data is not correct, a change needs to be made in Banner. All ecrt data is fed directly from Banner.

Web Site Access Audit Access Email Access Key Personnel TPE Designation Auto Process Effort Statement

Active Inactive Active Inactive Active Inactive Active Inactive Active Inactive Active Inactive ecrt

First Name: Gail Middle Initial: Last Name: Prefix: Suffix:

Title: Professor Appointment:

Location: Lubbock Phone:

Address:

Username: Code: Type: Quarterly

Alternate Identifier:

FTE Val:

Job Co:

Job Position:

Job Description:

Commitment Level Code:

Email address

Email(s) for Gail

Email Address	Action
gail. @ttuhsc.edu	

Add Email Address

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A list of the departments that the user is associated to is displayed in the next section. If the user is an Effort Coordinator for a department it will be listed in the Effort Coordinator Department Relationship section.

Name	Code	Action
51150 - Cell Biology Biochemistry Lbk	51150	

Name	Code	Action
No Department found		

The next section lists the FOPs that the individual has been paid from or has a commitment to and associated grant numbers.

FOP(s) for	
Name	Number
Basic Sciences Support	131005-511515-10
CBB IDC Recovery Research	181367-511515-20
CBB Research	101181-511515-20
Cell Bi/Biochem Instruction	101018-511515-10
Protein Amyloidogenesis in the Epididymis Mechanisms and Biological Significance Year 3	H211185
Protein Amyloidogenesis Epidid Yr 4	211232-511553-20
Protein Amyloidogenesis in the Epididymis: Mechanisms and Biological Significance Yr 4	H211232
Protein Amyloidogenesis in the Epididymis Year 2	H211137
Protein Amyloidogenesis/Epidid Yr 2	211137-511553-20
Protein Amyloidogenesis/Epidid Yr 3	211185-511553-20

The last section lists the user's role. Users can be assigned to as many roles as determined appropriate. Roles govern access security and will be assigned by the Central Administrator.

Roles for Gail		
Role	Description	Active
Auditor	Auditor	<input type="checkbox"/>
Central Administrator	Central Administrator	<input type="checkbox"/>
Certifier	Certifier	<input type="checkbox"/>
Designee	Designee	<input type="checkbox"/>
IT Access	IT Access	<input type="checkbox"/>
PI	PI	<input checked="" type="checkbox"/>
Primary Effort Coordinator	Primary Effort Coordinator	<input type="checkbox"/>
Reporting	Reporting	<input type="checkbox"/>
Secondary Effort Coordinator	Secondary Effort Coordinator	<input type="checkbox"/>
Temporary Certifier Rights	Temporary Certifier Rights	<input type="checkbox"/>
Temporary PI	Temporary PI rights	<input type="checkbox"/>
Terminated	Terminated	<input type="checkbox"/>

For information regarding effort reporting or grant compliance, please contact the Research Integrity Office at 806-743-4752.

For questions about a specific grant, please contact the Office of Sponsored Programs at sponsoredprograms@ttuhsc.edu, or by phone at 806-743-4569.

For help with ecrt system navigation or questions regarding this training document, please contact the Central Administrator at EffortReporting@ttuhsc.edu.