

HARVARD
UNIVERSITY



ecrt
(Effort Certification and Reporting Tool)
Basics

Financial Administration/Center for Workplace Development

Topics

- Overview
 - Effort and Compliance Requirements
 - Current Effort Reporting Lifecycle
 - Overview of ecrt and the New Effort Reporting Lifecycle
 - Important Information for Transitioning to ecrt
 - Terms and Definitions
- Policy Overview
- Introduction to ecrt for Effort Certification
 - Roles and Responsibilities
 - Tasks and Workflow by Role
 - Troubleshooting and Method for Adjustments
- Tips and Tricks
- Questions

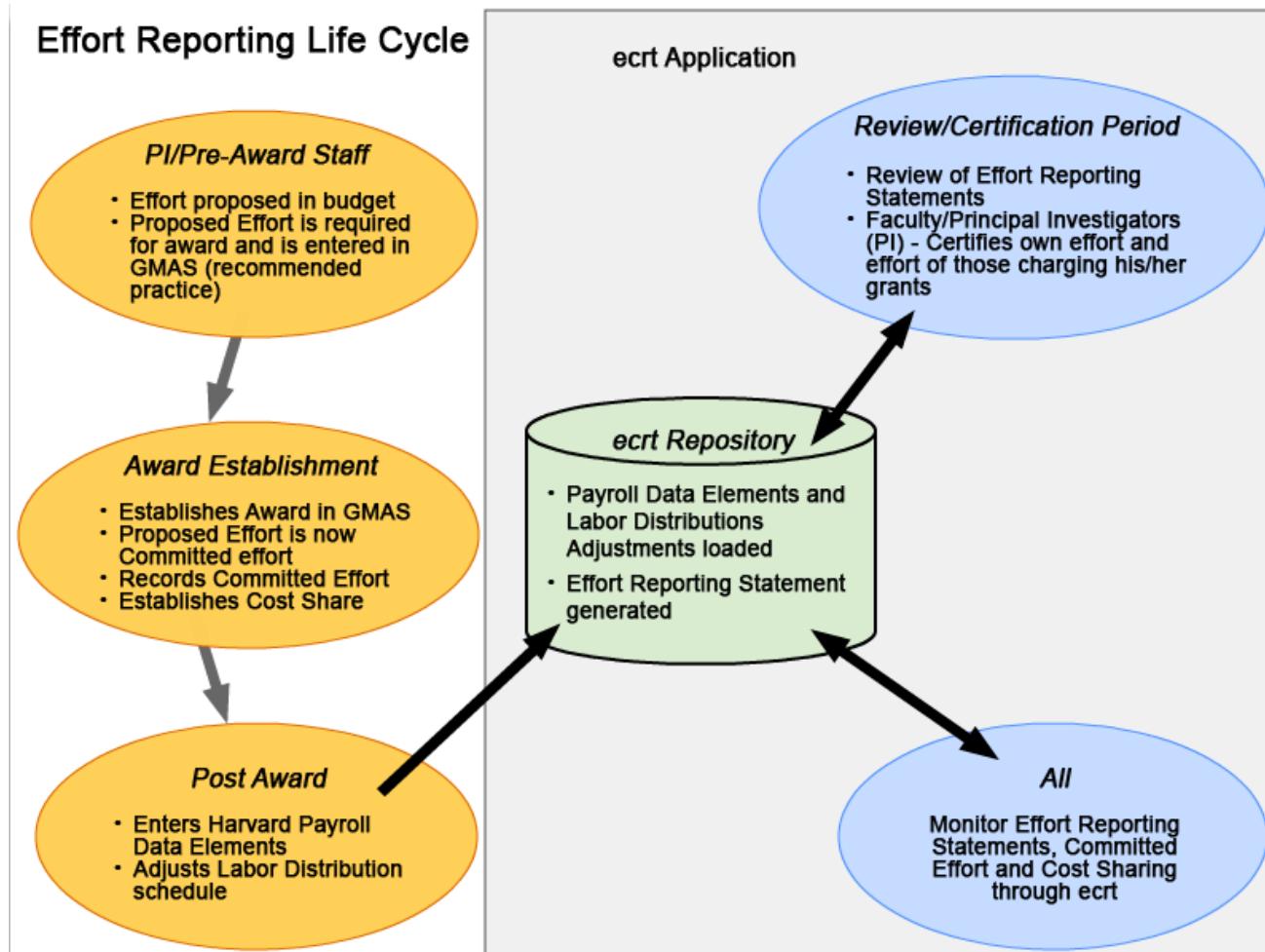


Current Effort Reporting Lifecycle and Process

- Predominantly paper-based process.
- Supported by CREW reports.
- Manual reconciliation and tracking of the process.



New Effort Reporting Lifecycle and Process



Overview of ecrt and the New Effort Reporting Lifecycle

- The ecrt system delivers an electronic-based solution designed to record, track and support all effort reporting at Harvard.
- 24/7 Access assuming there is an active internet connection available to the user.
- ecrt provides an audit trail for all effort reporting, streamlining the process and reducing the risk of non-compliance.
- Staff certifications will shift from a monthly to a quarterly review.
- CREW and FASERS salary certification reports are retiring. This data will be delivered within the certification statements displayed in ecrt.

Transitioning to ecrt Timeline



**Final month for
CREW Monthly
Staff Certifications
Switches to
Quarterly**

**ecrt used for all
Certification
starting
FY 14 – Q1
July-Sep 2013**

July and August certifications were available in CREW but these reports were for informational purposes only and do not require certification



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Important Information for Transitioning to ecrt

- Certification will only be required for statements with charges to federal awards, and non-federal as required by the sponsor.
- If an individual is required to certify an annual statement, non-federal and non-sponsored charges will be certified as part of their 100% annual effort.
- Training will commence in Oct 2013 providing instructor led courses, online training materials and pocket sized quick reference for certifiers.
- For specific questions, please contact your local Tub Effort Coordinator or email ecrt@harvard.edu.

Salary Object Codes and Certification Mapping

Object Code	Object Name	Current Certification Process	cert Certification
6010	Senior Faculty Salaries+Wages	Academic Year	Annual
6020	Junior Faculty Salaries+Wages	Academic Year	Annual
6030	Other Academic Appts Salaries+Wages	Academic Year	Annual
6040	Faculty Summer Salaries+Wages	Summer	Annual
6050	Exempt Staff Salaries+Wages	Monthly	Quarterly
6051	LTHT Exempt Staff Salaries+Wages	Monthly	Quarterly
6059	Exempt Staff Salaries+Wages NOT in PeopleSoft	Monthly	
6070	Clerical/Technical Nonexempt Staff Salaries+Wages	Monthly	Quarterly
6071	LTHT Clerical/Technical Nonexempt Staff Salaries+Wages	Monthly	Quarterly
6079	Nonexempt Staff Salaries+Wages NOT in PeopleSoft	Monthly	Quarterly
6080	Hourly Regular Union Staff Salaries+Wages	Monthly	Quarterly
6089	Hourly Union Salaries+Wages NOT in PeopleSoft	Monthly	Quarterly
6090	Limited Regular Union Staff Salaries+Wages	Monthly	Quarterly
6110	Enrolled Harvard Student Temporary Staff Salaries+Wages		Quarterly
6120	Other Temporary Staff Salaries+Wages		Quarterly
6140	Students in Professional Positions, Salaries+Wages	Monthly	Quarterly
6150	Post-doc Employees Salaries+Wages	Monthly	Quarterly
6152	Teaching Assts, Interns, Coaches Salaries+Wages	Monthly	Quarterly
7900*	Hospital-Appointed Faculty		Quarterly

6040 on
Supplemental are
Certified Annually

6059 no longer
Certified

6110 and 6120
Certified Quarterly

* 7900 charges are not being certified on an annual basis. Their salary is not coming in, but their staff salary on grants is coming in, and therefore they may need to certify quarterly. This also holds true for any HHMI (Howard Hughes Medical Institute) investigators who have staff salary on their grants.



Terms and Definitions

- Effort Reporting – method of certifying that an individual was compensated based on his or her activity performed during a specific period.
- Salary Certification – mechanism by which faculty or staff verifies that work was performed and states that the salaries and wages charged to sponsored awards, or to other categories as direct charges, are reasonable in relation to the work performed.
- Effort Statement/Annual – allows faculty, principal investigators, and other academic professionals (6030s) to certify their own effort.
- Project Statement/Quarterly – allows faculty and principal investigators to certify effort for personnel associated with a specific project or account.
- Account – refers to the combination of the associated Chart of Account fund, activity and subactivity values.



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Why Certify Effort?

As recipients of federal research funding, universities must abide by US Government Office of Management and Budget document A-21 (Cost Principles for Educational Institutions)

Effort Reporting Requirements:

- After-the-fact activity reports must reflect the distribution of activity expended by employees, as a percentage.
- Report must reasonably reflect the activities for which employees are compensated by the institution.
- Must confirm that the distribution of activity represents a reasonable estimate of the work performed by the employee during the period.
- Reports must be signed by the employee, principal investigator, or responsible official using suitable means of verification that the work was performed.
- Confirmation of personnel costs charged to sponsored agreements.
- Certification of all employee activities on an integrated basis (i.e., 100% effort).



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Risks of Non-Compliance

- Impact to the *Institution*:
 - Susceptible to False Claims Act allegations.
 - Institute may owe direct cost refunds.
 - Sponsor may reduce future funding.
 - Adverse publicity.
- Impact on the *Individual*:
 - Susceptible for False Claims Act allegations.
 - Possible criminal charges.
 - May lose access to current institutional funding.

Think It Can't Happen Here?

Results of Previous Government Audits

Institution	Reason	Fine Amount
Yale University	<i>Effort Reporting/Cost Transfers</i>	\$7.6 million
Florida State University	<i>Salary/Nonsalary disallowances</i>	\$3.0 million refund requested
St. Louis University	<i>Overstatement of effort</i>	\$1 million
Weill Cornell Medical College	<i>Committed Effort</i>	\$2.6 million
Harvard University	<i>Allegations of overbilling the NIH</i>	\$2.4 million

Effort Reporting Guidelines

University-Wide Effort Guidelines

- A set of guidelines have been drafted, the ultimate goal of which is to create a single, University-wide Effort Reporting Policy. Several of these guidelines will be applicable in the ecrt system.
- The guidelines lay out the reasons for Effort Reporting, who must certify and the responsibilities of Faculty, PIs, and other Academic Professionals (6030s), as well as those individuals who work in the Research Administration arena.
- **This training will refer to these guidelines where appropriate throughout the process.**

The policy draft is in the approval process, and will be distributed to schools when the language is finalized



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Maximum Effort Thresholds

- Individual schools may be more restrictive; refer to your local school policy or guidelines for individual school requirements.
- The guidelines allow faculty to charge up to 95% of their effort to sponsored awards if their other responsibilities are less than or equal to 5% time and effort.
- Faculty must account for all University compensated time and effort relating to non-sponsored research activities, which includes teaching, grant writing, committee participation, administrative duties, department or other chairmanships, etc.
- Faculty do not have to account for outside activities such as external consulting.

Minimum Effort Thresholds

- Individual schools may have more specific requirements; refer to your local school policy or guideline
- Where required by sponsor or school, All PIs and other key personnel on awards must have effort on grants.
 - For those working with NIH grants, a clarification was issued in 2003 regarding charging effort on federal awards: “*...the contribution of Key Personnel [must be] ‘measurable’ whether or not salaries are requested. Zero percent effort and ‘as needed’ are not acceptable for individuals that the grantee identifies Key Personnel.*”
- Effort can be charged directly to awards or cost shared

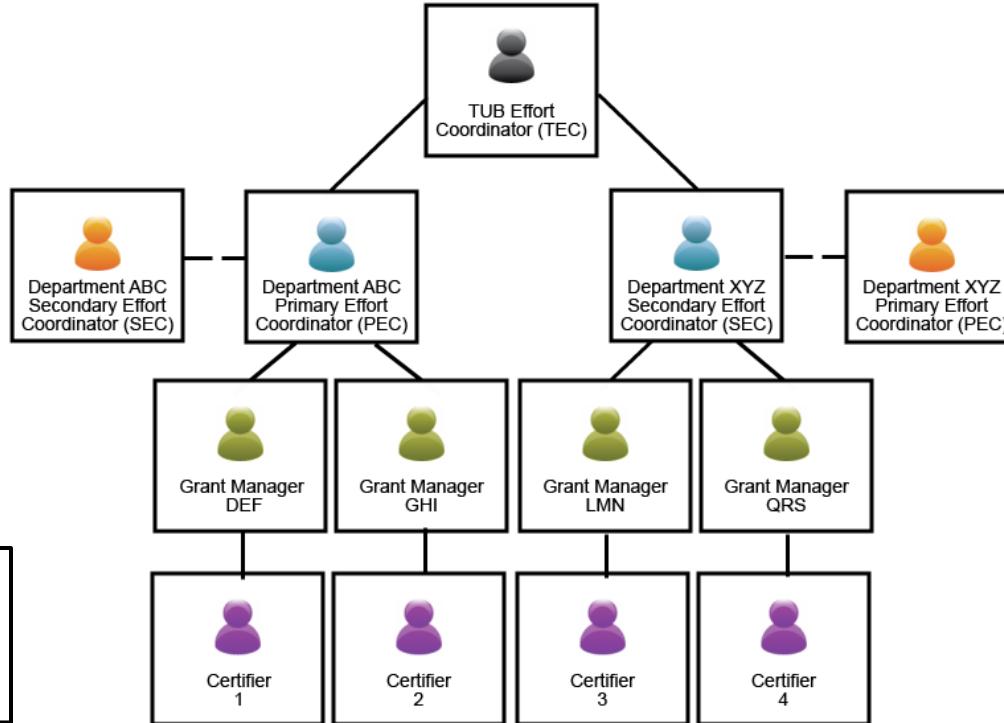


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Overview of ecrt

Roles in ecrt

Central Office for Sponsored Programs (OSP) oversees Effort Reporting compliance for University



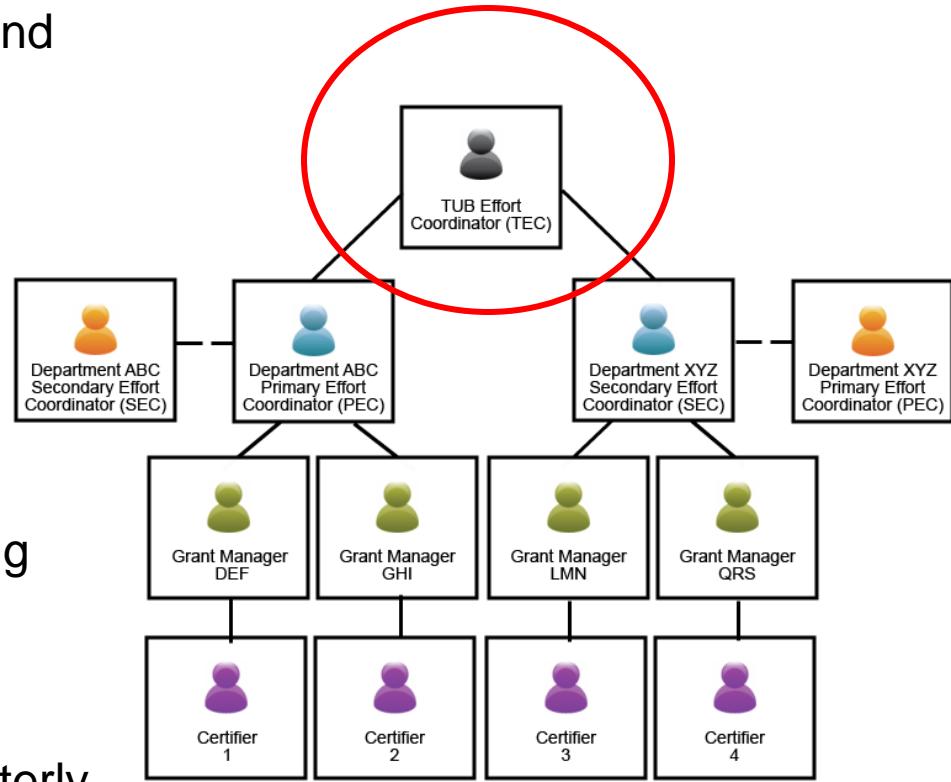
Role determines which ecrt functions and information you can access, this is tied to your Harvard ID and PIN login



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TUB Effort Coordinator

- Direct point of contact between TUB and Central.
- Responsible for supporting and communicating policy and process changes from Central to TUB.
- Contacts Central with any compliance issues or questions.
- Facilitates all Effort Reporting for their TUB.
- Monitors and manages Effort Reporting
- Oversees the local school-level implementation of effort reporting.
- Reviews and approves requests for authorized certifier designees for quarterly project effort statements.

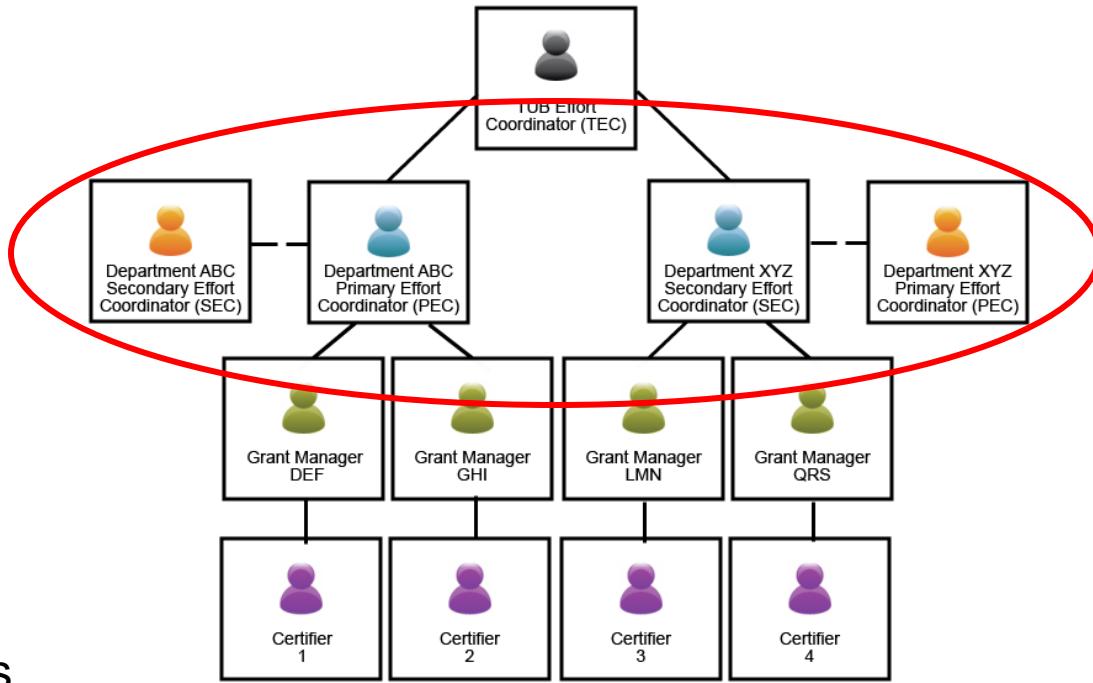


Escalates requests for authorized certifier proxies for annual effort statements to Central for review and approval



Primary (Secondary) Effort Coordinator (PEC/SEC)

- Each department has a Primary Effort Coordinator (PEC).
- Facilitates all Effort Reporting for their department.
- Monitors and manages Effort Reporting for their department.
- One or more Secondary Effort Coordinators (SEC) can be identified.
- Secondary Effort Coordinators (SEC) serve as a back-up and can perform the same function as Primary Effort Coordinators.



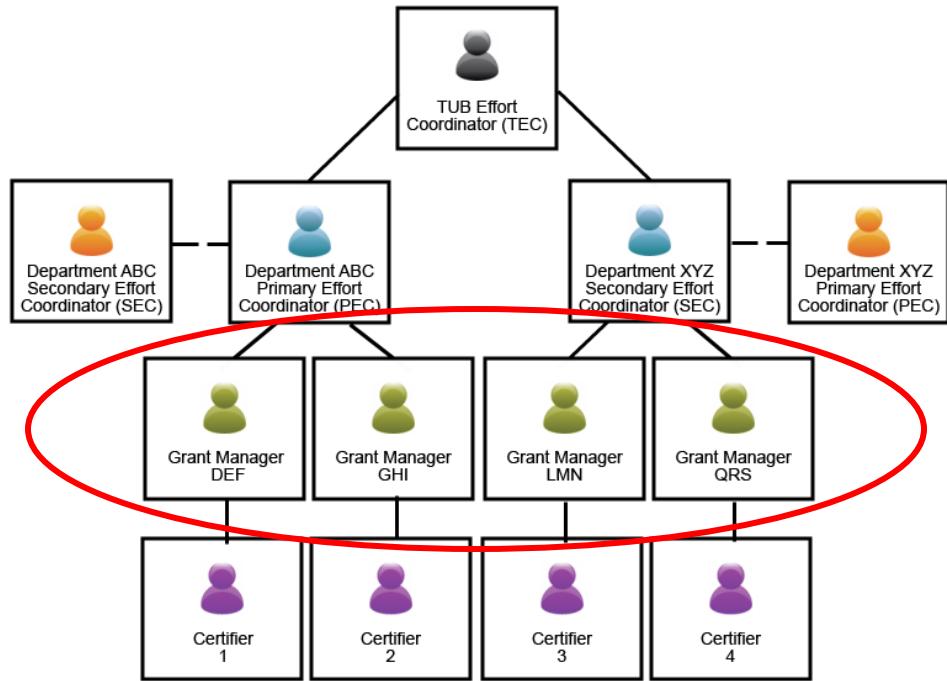
Role determines which ecrt functions and information you can access, this is tied to your Harvard ID and PIN login



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Grant Manager (GM)

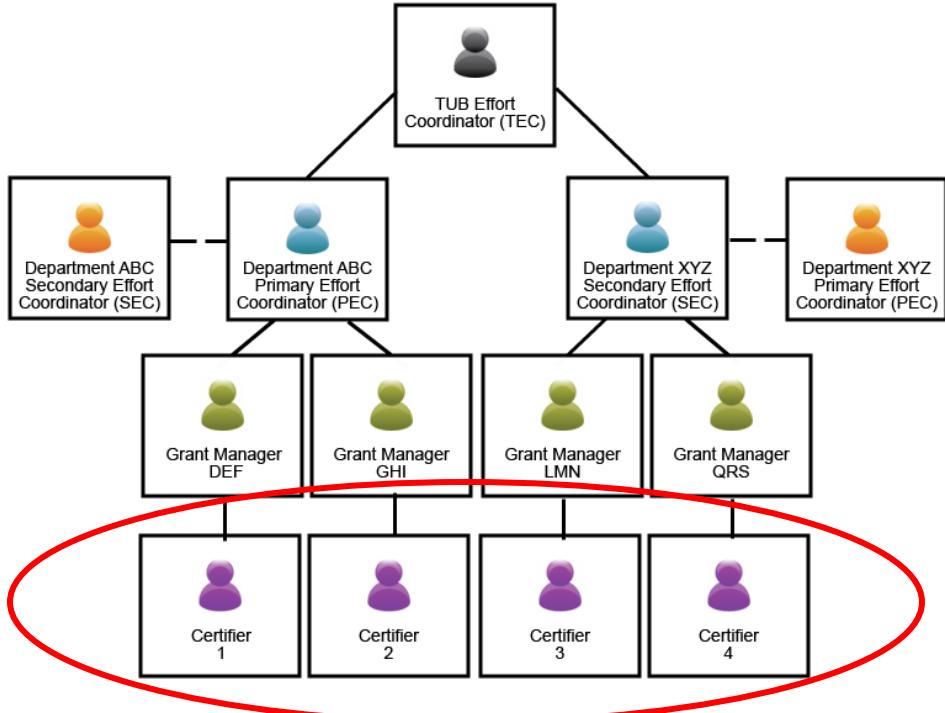
- Each department has one or more Grant Managers (GM).
- Responsible for managing and monitoring the Effort Reporting of their assigned Certifiers (faculty, Principal Investigators, and other academic professionals).
- Ultimate responsibility to review the Certification Statements of their assigned Certifiers.
- GM ensures that Certification Statements accurately reflect source or sources of funding.



PEC/SEC a responsible for making sure that every certifier is assigned to a grant manager within the system

Certifiers

- Faculty, Principal Investigators, and other academic professionals paid in object code 6030 are identified as certifiers within the application.
- Certifiers are responsible for confirming or certifying their effort and that of their assigned staff.
- If a change or adjustment needs to be made to a statement the Primary Effort Coordinator (PEC) should be notified via email using the Get Help link provided within the system.

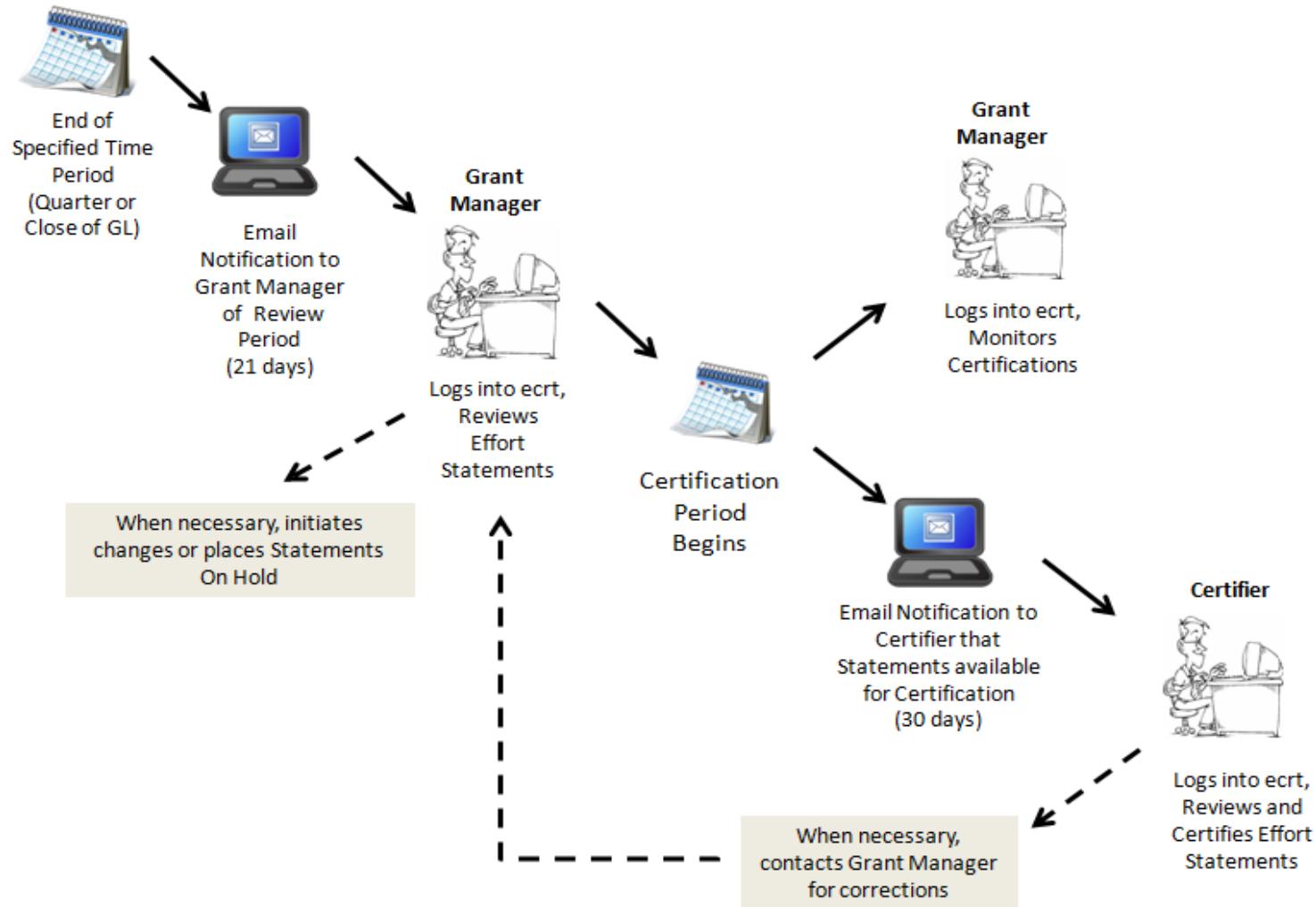


Best Recommended Practice: cc: your Grant Manager when using Get Help to send message that corrections are necessary.



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Typical Review/Certification Lifecycle



Important Reminder-Payroll Data Confidentiality

- In accordance with the **University's High Risk Confidential Information policy**, it is important to remember that when viewing certification data, payroll percentages as well as dollar amounts may be viewed within the ecrt system.
- Grant Managers, Primary and Secondary Effort Coordinators, Tub Effort Coordinators and Central staff are reminded that **this data is confidential**, and that each staff member **annually signs a confidentiality statement** for the University. It is expected that these guidelines will be strictly adhered to by anyone granted access to and viewing/working with Annual and Quarterly Effort Certification Statements and reports.
- For more information concerning the University's security policy, please see: <http://www.security.harvard.edu/enterprise-security-policy>.



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Key University Guidelines - Annual Effort Certifications

- Harvard PIs/faculty and other academic appointees who have effort on federal awards certify their academic-year and/or their supplemental/summer salary on an annual basis.
- The annual effort report(s) covers the fiscal year (July 1st to June 30th) and is released for review and electronic signature in ecrt after the fiscal year end close process is complete.
- Junior and senior faculty members are required to sign their own certifications, with limited exceptions.
- Other academic appointees, e.g. research associates, fellows and lecturers can either self-certify or be certified by the PI or mentor of the award associated with their effort through a proxy request and authorization process.
- Annual certifiers are required to review their effort statement(s) and determine whether the percentages reasonably reflect the effort expended and the work performed on the accounts listed.

Key University Guidelines Quarterly Project Effort Certifications

- Quarterly Project Effort Certifications are generated for each federal award that has non-faculty salary charges at the account level
- Each statement includes **all** non-faculty personnel who were charged to the subactivity during the quarter, including temporary.
- The PI of an award or part-of account is expected to sign his/her quarterly project effort certifications.
- The certifier is attesting that they have “sufficient technical knowledge and/or are in a situation that provides for suitable means of verification that the work was performed”.
- There are circumstances when it may be appropriate to delegate this responsibility to another individual working on the project.

Key University Guidelines Regarding Proxies for Annual Effort Certification

A **Proxy** is an Authorized delegation of certification responsibilities for a certifier's individual effort statement (Annual Faculty Effort Certifications)

- Harvard academic faculty are required to sign their own annual statements.
- Requests for proxies will only be granted in extenuating circumstances.
One allowable exception is when there is a mentor assigned-either the mentor or the mentee can sign the annual statement.
- Proxy requests must be approved by the OSP Director of Cost Analysis or other designated individual in OSP.
- A Grant Manager making such a request is expected to discuss with his/her Primary Effort Coordinator, and the PEC should make the request through their Tub Effort Coordinator, who will then submit the request to OSP for review and approval.



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Key University Guidelines Regarding Designees for Quarterly Project Effort Certification

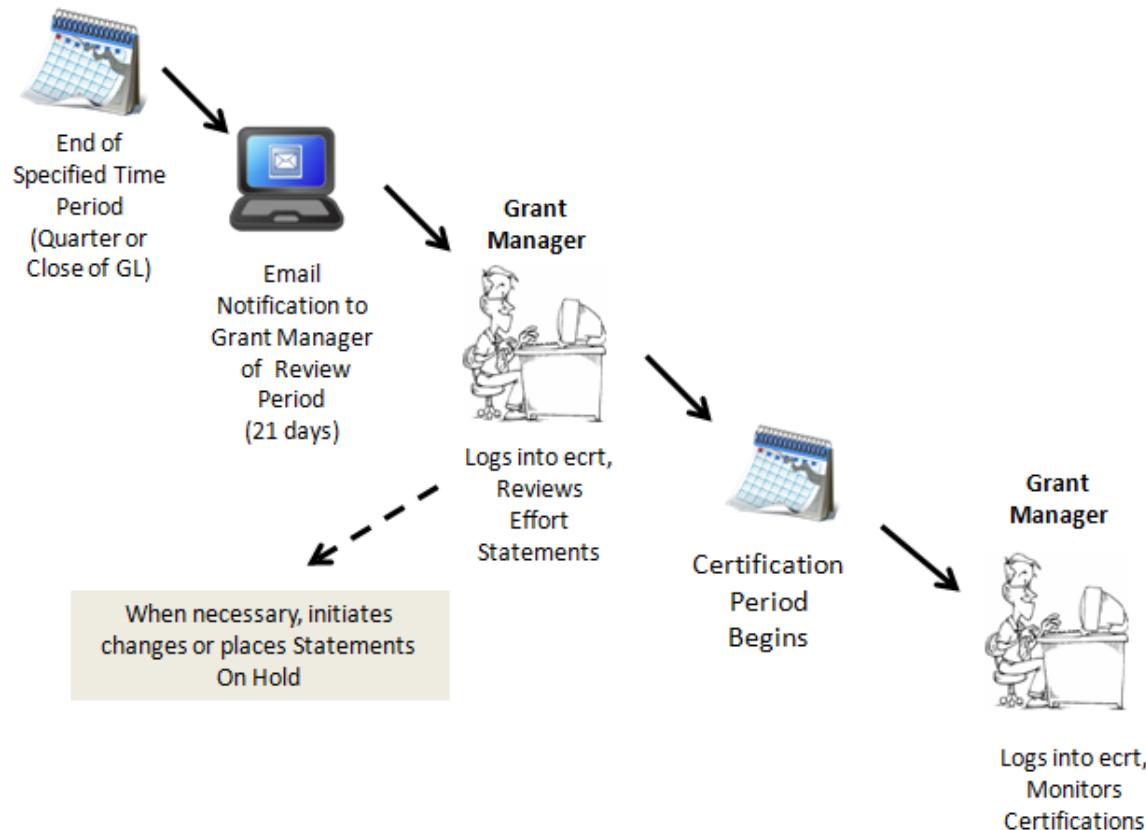
Designee -Authorized delegation of certification responsibilities on a specific sponsored project to another individual (other than the PI)

- Harvard University requires that the PI certify Quarterly Project Effort Certifications.
- In certain circumstances, the PI can delegate this responsibility to another individual with direct knowledge of his/her federally sponsored project.
- The individual who signs effort certifications must attest that the salaries charged and effort expended reasonably reflect work performed on the project, and that the signer has sufficient technical knowledge and/or is in a position that provides for suitable means of verification that the work was performed.
- Requests for delegation are made on a form that will be provided to departments, *Request for delegation of Authority for Quarterly Project Effort Certification*. The completed and signed forms are sent to the Tub Effort Coordinator for approval.



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Grant Manager Workflow



Hands-on Grant Manager

Accessing ecrt

- Recommended Browser with ecrt is Firefox
- Obtain access through your school's Authorized Requestor
- OSP will provide the ecrt URL prior to go-live
- Click the URL to navigate to ecrt, and log in with your HUID and PIN
- Best recommended practice is to bookmark the URL for easy access in the future.

ecrt contains sensitive data, individuals working in ecrt should follow the guidelines stated in Confidentiality Agreement signed in PeopleSoft



Reviewing Certification Statements: Individual Effort Statements

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.

The Effort Lifecycle

Statement Owner Name	Department	Period	Due Date	Type	Status	PI
Harvard, John - 10000101	Train01-1 - Training Department 01-1	07/01/2012-06/30/2013	9/30/2013	Annual	Available for Certification	John
Harvard, Marty - 10000105	Train01-1 - Training Department 01-1	07/01/2012-06/30/2013	9/30/2013	Annual	Available for Certification	Marty
Harvard, Patty - 10000103	Train01-1 - Training Department 01-1	07/01/2012-06/30/2013	9/30/2013	Annual	Available for Certification	Patty

All Effort Statements for an individual can be viewed by clicking on the Statement Owner Name.

A specific Effort Statement can be viewed by clicking on the Due Date, Type or Status for a particular statement of an individual.

To view your assigned Certifiers' outstanding Effort Statements, click on My Certifier Portfolio tab.



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Reviewing Certification Statements: Individual Effort Statements

The screenshot shows the Harvard Financial Administration software interface. At the top, there is a navigation bar with links for Home, Certify, Manage, Reports, Administration, and Links. On the right, there is a search bar labeled "Enter Search Criteria" and a "Welcome, John Harvard | Sign Out" message.

The main content area is titled "[+] Effort Statement Instructions". It displays a "Work List" on the left with a filter for "Active" and a search bar. A specific entry for "Harvard, John - 10000101" is selected, showing details like "Statement Owner", "Effort Statements", and "Needling certification".

A callout box with a yellow arrow points to the "Certify" checkbox in the "Effort Statements" section, with the text: "To Run a Payroll Report for a specific account, click \$".

The central part of the screen shows an "Effort Statement for Harvard, John - 10000101 (Annual); Annual effort, from 07/01/2012 to 06/30/2013; due date 9/30/2013; Status: Available for Certification". Below this, there is an "INFO" message: "Check all certify checkboxes to show the certify button." A large red circle highlights the "Certify?" column in a grid table.

The grid table has columns for "Accounts [-]", "Salary", "Cost Share", "Computed Effort", "Certified Effort", and "Certify?". The "Certify?" column contains checkboxes, with one highlighted by a red circle. A callout box with a black arrow points to this checkbox, with the text: "Add Notes or Attachments by clicking on or (pdf, gif, jpeg, tiff)".

At the bottom of the grid table, there are buttons for "Get Help", "Notes", and "Attachments". A red circle highlights the "Attachments" button, with a black arrow pointing to it from the text above.

Best Recommended Practice is to add Attachments after the Effort Statement has been certified



Reviewing Certification Statements: Project Statements

Welcome, Brandi Negron | Sign Out

Enter Search Criteria

Home Certify Manage Reports Administration Links

Helpful Links

- OMB Circulars
- National Institutes of Health: Grants Policy and Guidance
- Gmail
- Harvard Website

Work List for Brandi Negron

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

The Effort Lifecycle

Certifier To Do List	My Certifier Portfolio (4)	My Account Portfolio (0)
Principal Investigator: Aschero, Alberto B. Project Title: Prospective Study of Re... Account Number: 111064-262594-0001 Sponsor Name: BWH Status: FY12 Q1 Available for Certific...		
Aschero, Alberto B. Prospective Study of Re... 111064-262594-0001 BWH FY12 Q1 Available for Certific...		
Aschero, Alberto B. Prospective Study of VIT... 111021-264038-0002 NIH/NINDS FY11 Q4 Available for Certific...		
Aschero, Alberto B. Prospective Study of VIT... 111021-264038-0002 NIH/NINDS FY12 Q1 Available for Certific...		

Outstanding Project Effort Statements for an individual can be viewed by clicking on the Principle Investigator's Name.

A specific Project Effort Statement can be viewed by clicking on the Period or Status.

To view your assigned Certifiers' outstanding Project Effort Statements, click on My Account Portfolio tab.



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Reviewing Certification Statements: Project Effort Statements

The screenshot shows a web-based application for managing project effort statements. At the top, there's a navigation bar with links for Home, Certify, Manage, Reports, Administration, and Links. Below the navigation is a section titled "[+] Quarterly Project Effort Certifications Instructions".

On the left, a "Work List" panel shows a single item: "Rimm, Dr. Eric Bruce - 80293860" with a status of "Available for Certification". A dropdown arrow next to it reveals "111080-263374-0003 Dietary Etiologies of Heart Disease and Cancer (F14 Q1)".

The main content area displays "Project Information" for "111080-263374-0003 - Main Y21-24". It includes fields for Tub, Org, Project Title, Fund, Activity, SubActivity, SubActivity Funding Dates, and Sponsor Award Number.

At the bottom, a table lists personnel details: Goryacheva, Natalya - 80497954 (FTE 1.00, Salary \$4,760.81, Effort % Based on Salary 100.00%), Liu, Yan - 10534518 (FTE 1.00, Salary \$5,068.40, Effort % Based on Salary 43.00%), and Sheahan, Robert - 90604686 (FTE 1.00, Salary \$2,501.05, Effort % Based on Salary 29.00%).

Two callout boxes are overlaid on the interface:

- A box on the left points to the "Notes" and "Attachments" buttons at the bottom of the main panel, with the text: "Add Notes or Attachments by clicking on or (pdf, gif, jpeg, tiff)".
- A box on the right points to the "Certify" button in the bottom right corner of the main panel, with the text: "To Run a Payroll Report for a specific staff member, click .

A large red circle highlights the "Attachments" button in the bottom left of the main panel, and another red circle highlights the "Certify" button in the bottom right of the main panel.

Best Recommended Practice is to add Attachments after the Effort Statement has been certified



Placing Statement On Hold

The screenshot shows the Harvard Financial Administration system interface. At the top, there is a navigation bar with links for Home, Certify, Manage, Reports, Administration, and Links. A user profile for Brandi Negron is shown on the right.

The main area displays a "Work List" for "Active" users, with one item listed: Ascherio, Alberto B. SPH^Nutrition-23480. Below this is a section titled "Effort Statement Instructions".

A callout box with a star icon indicates that there is content within a folder. An arrow points from this callout to a folder icon in the "Statement Owner" section of the "Effort Statements" list.

The "Effort Statements" list includes:

- Statement Owner
- Effort Statements ★
- Needling Certification
- Annual 2/28/2013 Available for Certification
- Annual 9/30/2013 Available for Certification
- In progress
- Historical

Below this, a red box contains the instruction: "When viewing a Statement, place a Statement On Hold by checking the box of On Hold and entering required comment." Another arrow points from this box to a "Status: Available for Certification" dialog box.

The "Status: Available for Certification" dialog box has an "On Hold" checkbox, which is currently unchecked. There is also a "Certify?" checkbox.

Remove a hold by removing the check from the On Hold box
(re-opening for Certification)



Pros/Cons on Placing Statements On Hold

- Pros

- Prevents the statement from being certified until corrected (does not extend Certification Period)
- GMs can place a statement on hold
- Placing and removing hold statements are simple

- Cons

- No email reminder is sent to GM that statements are on hold
- GMs (and/or PECs) view statements on hold through the Department Dashboard under the Certification Summary Chart
- Once a statement is removed from hold, the certifier receives an automatic email that the statement has been taken off hold if the hold was placed during the Certification period

Best recommended practice: GMs should review statements as soon as possible during the grace period to avoid having to put statements on hold

Summary of Department Certifications

- Select Department Dashboard from Manage Menu.
- Select Department using the drop down menu provided.
- Click Choose and select the People Tab

List of Certifiers and status of Effort Statements displays.

Welcome Daniel McDermott | Sign Out

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Home Certify Manage Reports Administration

Department Dashboard for HMS^Systems Biology-45321 - 45321

Search for Department:

Choose

People Fund and Subactivity Department Information

Certification Summary Chart: Statement Type Annual Supplemental Employee Type [Select] Period [Select]

No certifications found for this criteria.

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

Name	Alternate Effort Coordinator	Grant Manager	Employee ID	Role	Statements	Action
- Sponsored ★						
Fontana , Dr. Walter		Anderson, Christyne - 50903680	50613399	PI		
Gunawardena , Jeremy H.	McDermott, Daniel - 70892960	McDermott, Daniel - 70892960	70569833	PI		
Kishony , Roy	McDermott, Daniel - 70892960	McDermott, Daniel - 70892960	40600035	PI		
Lalav , Dr. Galit		Mariani, Annamaria - 04415708	10001622	PI		

View a Statement by clicking on the Statement Icon under Statements



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Using Lookup

Accessed through Manage Menu.

Welcome, Hannia Campos | Sign Out

Look-up Page

The Look-Up page allows you to search for Employee, Fund(s), Subactivity(s), or Department(s). After at least three (3) characters of the name or number are entered the system displays the possible matches in three separate lists - one for Employee, one for Department, and one for Fund and Subactivity. You then can continue to enter data or select a match from the list and be taken to the appropriate page - the Effort statement page, the Department Dashboard, or the Fund/Subactivity Summary page. The Fund/Subactivity Summary page opens in new browser page. If you enter enough data to return only one result, you will be directed to the appropriate page automatically.

The Enter and Tab keys do not allow selection of data.

Employee: Department: Active Fund / Subactivity: Inactive Fund / Subactivity:

Search and Retrieve Information associated with an individual or project (fund, activity and subactivity).

Search Results listed under appropriate columns.

Best Recommended Practice is to use the Department Dashboard to retrieve individual information



Re-opening Certification Process

- University guideline: If a payroll salary journal is posted to a federal award after the certification has been signed, and the journal creates a variance above the 3% (Quarterly, non-faculty) or 5% (Annual, faculty) threshold, the certification will be re-opened and must be re-certified by the certifier or designee.
- Re-certifications should be completed within 21 days after the email is sent indicating that the certification is re-opened.
- Grant Managers should add an attachment and/or note to a re-certified statement to document why the certification was re-opened.

Recommended Best Practice is to certify within the main certification period



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Accessing ecrt Reports

- ecrt reports are divided into two categories:
 - Payroll/Cost Share (only group available to faculty/PIs).
 - Management which are available to PEC, SEC, GM and TEC.
- Data available within the reports is based on the user role defined within the system.
- The primary reports in use from each category are:
 - Payroll Report, Cost Share Report, Certifier Payroll Summary.
 - Certification Status Report, Certification Status Summary Report, Project Status Report and Project Status Summary Report.

Click Report Menu to access Reports.

Date	Type	Status	PI
2013	Annual	Available for Certification	
2013	Annual	Available for Certification	

Project Title	Subactivity Title	Sponsor	Period	Due Date	Status	Staff
Dynamics of Signaling Pathways...	386710*Y1-5, Main Y1-5	NIH/NIGMS	FY12 Q1	10/31/2011	Available for Certification	
Dynamics of Signaling Pathways...	386710*Y1-5, Main Y1-5	NIH/NIGMS	FY13 Q1	7/31/2013	Available for Certification	

Using ecrt Reports

Select Report from Navigation bar.

The screenshot shows the Harvard University ecrt Reporting interface. At the top, there is a navigation bar with links for Home, Certify, Manage, Reports, Administration, and Links. The Reports link is highlighted. A sub-menu titled "ecrt Reporting" is open, showing a list of reports categorized under "Management" and "Payroll/Cost Share". The "Payroll/Cost Share" category is selected. The "Certifier Payroll Summary Report" is highlighted with a red oval. To the right of the report list is a "Description" panel with detailed information about the report. Below the report list are two tabs: "Parameters" and "Results". The "Parameters" tab is active, showing fields for "Month" (with dropdown menus for month and year), "Employee" (with a search input field), and "Search By Statement type" (with checkboxes for Annual, Semi-annual, and Other). A "Run Report" button is highlighted with a red oval. A callout box labeled "Enter Parameters." points to the "Parameters" tab. Another callout box labeled "Click Run Report." points to the "Run Report" button.

When adding a department parameter use your tub abbreviation to locate the appropriate value from the list available

ecrt Payroll/Cost Share Reports

Report	Contents	When to Run
Payroll Report	Lists all transactions for self and any associated Staff (based on Report Parameters)	During period of performance/review period. Review charges/allocations for accuracy.
Certifier Payroll Summary Report	Lists all transactions for self and any associated Staff (based on Report Parameters)	During period of performance/review period. Review charges/allocations for accuracy.
Cost Share Report	Lists all cost share transactions for self and any associated Staff (based on Report Parameters)	During period of performance/review period. Review charges/allocations for accuracy.
SPES (Sponsored Project Employee) Report	List of all annual/faculty and quarterly/staff transactions on account (% and \$)	During period of performance/review period. Review charges/allocations for accuracy.

ecrt Management Reports

Report	Contents	When to Run
Certification Status Report	List of all annual/effort statements for PIs to whom GM is assigned visibility	During the certification period. Monitor the status of certifications.
Certification Status Summary Report	Summary of annual/effort statement statistics for PIs with a primary department assignment in each department	During the certification period. Used to monitor the status of certifications.
Project Status Report	List of all quarterly/project statements for subactivities in department	During the certification period. Monitor the status of certifications.
Project Certification Status Summary Report	Summary of quarterly/project statement statistics for PIs with a primary department assignment in tub	During the certification period. Monitor the status of certifications.

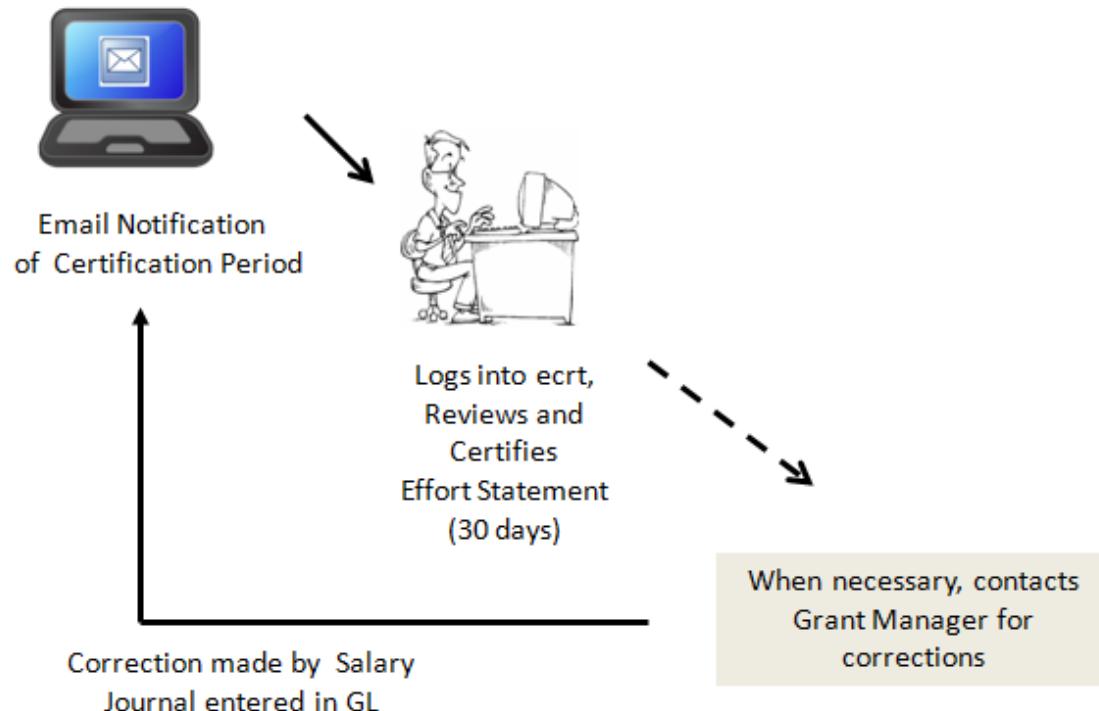
ecrt Reports for Grant Managers

Report	Contents	When to Run
Payroll Adjustment Reconciliation Report	The Payroll Adjustment Reconciliation Report provides a list of certifiers with Effort statements that have been reopened via the Payroll Adjustment Reconciliation process. The results also display which Department(s) have payroll transactions currently suspended.	Throughout the process to track results of journal entries.
Department Account	Lists all funds/subactivities in department with link to fund/subactivity summary screen.	On demand to view department subactivity details.

Best Practices for Grant Manager

- Review Certification Statements in timely manner during the Review Period, so that corrections can be made before Certification period.
- Any hold should be done in the Review Period rather than the Certification Period.
- Hold comment should reflect why the Effort Statement was put On Hold.
- Attachments should be added to the Effort Statement after it has been certified.

Workflow for Certifier (Certification Period)



Hands-on Certifier

ecrt Home Page

The screenshot shows the Harvard ecrt Home Page. At the top right, there is a "Welcome, John Harvard | Sign Out" link and a search bar labeled "Enter Search Criteria". Below the header, there are several menu options: Home, Certify, Manage, Reports, Administration, and Links. A "Helpful Links" sidebar on the left includes links to Policy and Guidance, Gmail, and Harvard Website. The main content area displays a "Work List for John Harvard" with a prominent message: "To exit ecrt, use Sign Out." A "Certifier To Do List (7)" section lists tasks that require attention, including "Harvard, John - 10000101" and "Train01-1 - Training Department...". The "Effort Statements" section shows a table with three rows of data. The "Quarterly Project Effort Certifications" section also displays a table with three rows of data. A "Collaborators Quarterly Personnel Part-Of Accounts (View Only)" section is shown at the bottom. Two arrows point from text boxes to specific elements: one arrow points from "To system help references, click ?." to the help icon in the top right corner; another arrow points from "To exit ecrt, use Sign Out." to the "Sign Out" link in the top right.

To exit ecrt, use Sign Out.

To system help references, click ?.

Your Personal Work List always displays on ecrt Home Page



HARVARD
Financial Administration

ecrt: Home Page Personal Work List

Welcome, John Harvard | Sign Out

Enter Search Criteria

Helpful Links

- CMB Circulars
- National Institutes of Health Grants Policy and Guidance
- Gmail
- Harvard Website

Work List for John Harvard

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 specific tasks, select the link in the task description.

Certifier To Do List: (7)

Effort Statements

Statement Owner	Department	Period	Due Date	Type	Status	PI
Harvard, John - 10000101	Train01-1 - Training Department	07/01/2012-06/30/2013	9/30/2013	Annual	Available for Certification	
		07/01/2013-06/30/2014	9/30/2014	Annual	In Progress	

Quarterly Project Effort Certifications

Project Title	Subactivity Title	Sponsor	Period	Due Date	Status	Staff
Research Network on Mind-Bod...	100017Y1-4, Main (John)	NIHNCI	FY14 Q2	2/15/2014	In Progress	
Studies on being a Scientist	100011Y1, Main	NIHNCI	FY14 Q2	2/15/2014	In Progress	
Training Program in Financial M...	100012Y1, Year 1	NIHNCI	FY14 Q2	2/15/2014	In Progress	

Collaborators Quarterly Personnel Part-Of Accounts (View Only)

Project Title	Subactivity Title	Sponsor	Period
Molecular Electronics	100013Y1, Main 1	NIHNCI	FY14 Q2
Molecular Electronics	100013Y1, Main 1	NIHNCI	FY14 Q1

Welcome, Simone Harvard | Sign Out

Enter Search Criteria

Helpful Links

- CMB Circulars
- National Institutes of Health Grants Policy and Guidance
- Gmail
- Harvard Website

Work List for Simone Harvard

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.

Certifier To Do List

My Certifier Portfolio (3)

My Account Portfolio

Statement Owner	Department	Period	Due Date	Type	Status	PI
Harvard, John - 10000101	Train01-1 - Training Department 01-1	07/01/2012-06/30/2013	9/30/2013	Annual	Available for Certification	
Harvard, John - 10000101	Train01-1 - Training Department 01-1	07/01/2012-06/30/2013	9/30/2013	Annual	Available for Certification	
Harvard, Patty - 10000103	Train01-1 - Training Department 01-1	07/01/2012-06/30/2013	9/30/2013	Annual	Available for Certification	

Effort Reporting Information and Tasks organized by Tabs.

Certifiers only have one tab, Certifier To Do List. Others display Effort Tasks tab by default, when there are effort tasks requiring their attention.



HARVARD
Financial Administration

ecrt: Navigating the Home Page

The screenshot shows the Harvard ecrt Home Page. At the top is a navigation bar with links: Home, Certify, Manage, Reports, Administration, and Links. A callout box to the right states: "Navigation bar contains Menus grouping commands." Below the navigation bar is a search bar labeled "Enter Search Criteria" with a magnifying glass icon. To the right is a circular diagram titled "The Effort Lifecycle" with four quadrants: Initiation, Development, Deployment, and Termination.

The main content area is titled "Work List for John Harvard". It includes a welcome message and a "Certifier To Do List (7)" tab. A large callout box highlights the "Effort Statements" section, which displays a table of quarterly personnel certifications. The table has columns: Statement Owner, Department, Period, Due Date, Type, Status, and PI. An arrow points from this callout to the "Period" column header of the first row, which is "07/01/2013-06/30/...".

Below the Effort Statements is a "Quarterly Project Effort Certifications" section with a table showing research projects and their details. A callout box states: "Most information displayed on Tabs can be sorted by clicking on the title of the column." An arrow points from this callout to the "Project Title" column header of the first row, which is "Research Network on Mind-Bod...".

The bottom section is titled "Collaborators Quarterly Personnel Part-Of Accounts (View Only)" and contains another table of project details.

Clicking on the Home Menu always returns to displaying your Personal Work List



HARVARD
Financial Administration

ecrt: Personal Work List – Certifiers

The screenshot shows the Harvard ecrt system interface for a user named John Harvard. The top navigation bar includes links for Home, Certify, Manage, Reports, Administration, and Links. A search bar at the top right allows users to enter search criteria.

Individual Effort Statements requiring certification.

Project Effort Statements requiring certification.

Quarterly Project Effort Certifications

Project Title	Subactivity Title	Sponsor	Period	Due Date	Status
Research Network on Mind-Bod...	100017^Y1-4, Main (John)	NIH/NCI	FY14 Q2	2/15/2014	In Progress
Studies on being a Scientist	100011^Y1, Main	NIH/NCI	FY14 Q2	2/15/2014	In Progress
Training Program in Mind-Bod...	100012^Y1, Year 1	NIH/NCI	FY14 Q2	2/15/2014	In Progress

Collaborators Qtrly Personnel Part-off Accounts – View Only.

Collaborators Quarterly Personnel Part-Of Accounts (View Only)

Project Title	Subactivity Title	Sponsor	Period	Due Date	Status	Staff
Molecular Electronics	100013^Y1, Main 1	NIH/NCI	FY14 Q2	2/15/2014	In Progress	●
Molecular Electronics	100013^Y1, Main 1	NIH/NCI	F14 Q1	9/30/2013	Available for Certification	●

Accessing Certification Statements: Individual Effort Statements

A certifier can view their annual effort by clicking on their name under Statement Owner Name.

The screenshot shows the Harvard Financial Administration system interface. The top navigation bar includes links for Manage, Reports, Administration, and Links. A circular "The Effort Lifecycle" diagram is also present. The main content area displays a "Certifier To Do List (7)" with sections for "Effort Statements", "Quarterly Project Effort Certifications", and "Collaborators Quarterly Personnel Part-Of Accounts (View Only)".

In the "Effort Statements" section, a row for "Harvard, John - 10000101" is highlighted with a red oval. This row contains two entries: "Train01-1 - Training Department..." with a due date of 07/01/2013 and type Annual, and "07/01/2013-06/30/2014" with a due date of 9/30/2014 and type Annual. Both entries have status indicators: "Available for Certification" and "In Progress".

An arrow points from the text "A specific Effort Statement can be viewed by clicking on the Due Date, Type or Status for a particular statement." to the "Due Date" column of the "Train01-1" row.

Effort Statements

Statement Owner	Department	Period	Due Date	Type	Status	PI
Harvard, John - 10000101	Train01-1 - Training Department...	07/01/2013 - 06/30/2013	9/30/2013	Annual	Available for Certification	
	07/01/2013-06/30/2014	9/30/2014	Annual	In Progress		

Quarterly Project Effort Certifications

Project Title	Subactivity Title	Sponsor	Period	Due Date	Status	Staff
Research Network on Mind-Bod...	100017^Y1-4, Main (John)	NIH/NCI	FY14 Q2			
Studies on being a Scientist	100011^Y1, Main	NIH/NCI	FY14 Q2			
Training Program in Financial M...	100012^Y1, Year 1	NIH/NCI	FY14 Q2			

Collaborators Quarterly Personnel Part-Of Accounts (View Only)

Project Title	Subactivity Title	Sponsor	Period	Due Date	Status	Staff
Molecular Electronics	100013^Y1, Main 1	NIH/NCI	FY14 Q2	2/15/2014	In Progress	
Molecular Electronics	100013^Y1, Main 1	NIH/NCI	F14 Q1	9/30/2013	Available for Certification	

A specific Effort Statement can be viewed by clicking on the Due Date, Type or Status for a particular statement.



HARVARD
Financial Administration

Effort Statement: Navigating

The screenshot shows the Harvard Financial Administration system interface for managing effort statements. At the top, there's a navigation bar with links for Home, Certify, Manage, Reports, Administration, and Links. A large red box highlights the "Get Help" button, which is described in a callout as opening an email message to send a message that corrections are necessary to PEC.

A callout with a star icon indicates that a folder contains content. It points to a section titled "Harvard, John - 10000101" which includes a "Statement Owner" dropdown, a "Certifying certification" dropdown set to "Annual" with a due date of "9/30/2013", and a status indicator "Available for Certification".

A callout describes how to view dollar amounts by clicking on the "\$ Value" link, which converts percentage values back to dollars. It points to a table showing account details, including salary, cost share, and computed effort percentages. One of the percentage columns has a yellow "\$" icon next to it, indicating where to click to switch to dollar values.

A final callout shows a "Get Help" button circled in red, with the text "To Run a Payroll Report for a specific account click \$".

Best Recommended Practice: cc: your Grant Manager when using Get Help to send message that corrections are necessary.



HARVARD
Financial Administration

Certify Effort Statement

The screenshot shows the Harvard Financial Administration system interface. The top navigation bar includes links for Home, Certify, Manage, Reports, Administration, and Links. A search bar at the top right says "Enter Search Criteria". The main content area has a title "Effort Statement Instructions" and a sub-section "Work List". A callout box on the left says: "Review each line and if correct check the Certify checkbox. You can only certify by % not \$". The right side shows a detailed view of an effort statement for "Harvard, John - 10000101" with sections for "Statement Owner", "Effort Statements", and "Needing certification". One entry is highlighted as "Available for Certification". Below this is a large callout box with three arrows pointing to different parts of the system:

- An arrow from the top-left callout points to the "Certify?" column in the "Effort Statement" grid.
- An arrow from the bottom-left callout points to the "Grand Total" row in the grid.
- An arrow from the bottom-right callout points to the "Certify" button at the bottom of the grid.

Click Certify checkbox of Grand Total to check off all.

Click Certify when all are reviewed (correct) and checked.

Best Recommended Practice: Do NOT certify any Statement that needs *corrections*.



HARVARD
Financial Administration

Accessing Quarterly Project Effort Statements

A certifier can view their quarterly project effort statements by clicking on a Project Title.

To review and certify a Specific Project Statement for an account, click on the Period, Due Date or Status of Statement.

The screenshot shows the Harvard Financial Administration system interface. At the top, there's a navigation bar with the Harvard logo, 'HARVARD UNIVERSITY', and links for 'Home', 'Helpful Links' (including OMB Circulars, National Institutes of Health Grants Policy and Guidance, Gmail, and Harvard Website), 'Search Criteria', and a 'Logout' link. Below the navigation is a circular 'The Effort Lifecycle' diagram with phases: Preparation, Data & Review, and Conclusion.

The main content area displays the 'Certifier To Do List (4)' under 'Effort Statements'. It lists four entries, with the first one shown in detail:

Statement Owner	Department	Period	Due Date
Lahav, Dr. Galit - 10601622	45321 - HMS\Systems Biology-4...	FY12 FY13	2/2 9/3

Below this is the 'Quarterly Project Effort Certifications' section. It lists two project statements, both of which are circled in red:

Project Title	Subactivity Title	Sponsor	Period	Due Date	Status	Staff
Dynamics of Signaling Pathways... 386710^Y1-5, Main Y1-5		NIH/NIGMS	FY12 Q1	10/31/2011		
Dynamics of Signaling Pathways... 386710^Y1-5, Main Y1-5		NIH/NIGMS	FY13 01	7/31/2013		

At the bottom, there's a section titled 'Collaborators Quarterly Personnel Part-Of Accounts (View Only)'. It shows a table with no data:

Project Title	Subactivity Title	Sponsor	Period	Due Date	Status	Staff
There are no Project statements associated with you						

Certify Quarterly Project Effort Statement

The screenshot shows the Harvard Financial Administration system interface. At the top, there is a navigation bar with links for Home, Certify, Manage, Reports, Administration, and Links. A search bar at the top right contains the placeholder "Enter Search Criteria". The main content area displays a "Quarterly Project Effort Certifications Instructions" page. On the left, a "Work List" panel shows a collapsed item for "Harvard, John - 10000101" and an expanded item for "In Progress" which includes a table with three rows. On the right, a detailed view for "100017-650007-0001 - Main - John Harvard" is shown, with a status message "Status: In Progress". A large callout box on the left side of the main content area contains the text: "Review each line and if correct check the Certify checkbox." Below this, a red circle highlights the "Certify" checkbox in the table header. Another red circle highlights the "Certify" button at the bottom right of the table. A third red circle highlights the "Certify" button in the top right corner of the detailed view panel. A fourth red circle highlights the "Certify" button in the bottom right corner of the detailed view panel.

Review each line and if correct check the Certify checkbox.

Click Certify to select all lines on the statement. Click Certify when all are reviewed (correct).

Click to view Project Payroll Summary details for an individual

Personnel	Object Code	FTE	Salary	Effort % Based on Salary	Action
Harvard, Andrew - 10000114	6150	1.00	\$914.28	22.22%	
Harvard, Emily - 10000113	6070	1.00	\$2,285.73	41.67%	
Harvard, Emily - 10000113	6150	1.00	\$914.28	16.67%	

Do NOT certify when corrections are necessary. Once certified the statement is removed from your home page.



ecrt Reports Accessible from Certification Statements

Effort Statement reports available:

- Payroll Report, Cost Share Report and Certified Payroll Summary Report are available.

Quarterly Project Effort Certification reports available:

- SPES Report, Certifier Payroll Summary Report, link to the Annual Effort Statement (when logged in as a certifier) and a link to the Account/Award Summary screen are available.

Parameters are automatically defined for the report.

Data displayed is specific to the statement selected.

The screenshot shows the Harvard Financial Administration system interface. At the top, there's a navigation bar with links for Home, Certify, Manage, Reports, Administration, and Links. The user is logged in as Gail Lahav. Below the navigation is a section titled 'Effort Statement Instructions'. It includes a 'Work List' for Lahav, Dr. Gail, and a 'Statement Owner' section showing 'Annual' and 'Historical' status. A large central table displays 'Effort Statement for Lahav Gail - 10601622 (Annual); Annual effort, from 07/01/2011 to 06/30/2012, due date 2/28/2013; Status: Available for Certification'. The table has columns for Subactivity, Salary, Cost Share, Computed Effort, Certified Effort, and Certify. A red circle highlights the 'Certify' button in the first row. A callout box with the text 'From Effort Statement or Quarterly Project Effort Certifications click on to access payroll/cost share reports.' points to this button. Another red circle highlights the 'Certify' button in a separate table at the bottom of the page, which shows personnel details and salary information for two individuals. This second table also has a 'Certify' button highlighted with a red circle.



HARVARD
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Best Practices for Certifiers

- Review and Certify Effort Statements in a timely manner during the Certification Period, so that corrections can be made before the end of Certification period.
- When corrections are necessary, do NOT Certify the Statement, contact the Grant Manager to initiate corrections.
- When using the Get Help Button on the Effort Statement window to initiate corrections the Primary Effort Coordinator (PEC) will be notified, be sure to cc: your Grant Manager.



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Icons representing Effort Statement Status

ICON	STATUS DESCRIPTION
	In Progress**
	Certified Manually, Pending OSP Review
	Certified Manually**
	Certified Manually, Pending Review of Salary Adjustment
	No Certification Required, Pending OSP Review
	No Certification Required**
	No Certification Required, Pending Review of Salary Adjustment
	Available for Certification**

All statuses apply to Annual Effort Statements, only those with an
** by the description apply to Qtly Project Effort Statements



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Icons representing Effort Statement Status (Cont.)

ICON	STATUS DESCRIPTION
	Multiple Statements, Different Statuses
	Certified, Pending Grant Manager Review
	Certified**
	No Certification Required, Non-Reportable**
	Certified, Pending Review of Salary Adjustment**
	Available for Certification, Re-Opened**
	Available for Certification, Re-Opened by Salary Adjustment**

All statuses apply to Annual Effort Statements, only those with an
** by the description apply to Qtly Project Effort Statements



HARVARD
Financial Administration

Questions about Certifiers Role?

Troubleshooting and Escalation

Troubleshooting

Question/Problem	Who to Contact
Grant Manager Questions	Primary Effort Coordinator
Tub-specific policy Questions	Tub Effort Coordinator
Proxy Requests	Tub Effort Coordinator, who will then turn in form to Office for Sponsored Programs for Approval [ecrt@harvard.edu]
Designee Requests	Primary Effort Coordinator, who will then turn in form to Tub Effort Coordinator for Approval
Technical Problems (logging in, error messages, etc.)	Office for Sponsored Programs/Financial Systems Solutions, via the ecrt mailbox: ecrt@harvard.edu
University Policy Questions	Office for Sponsored Programs/HMS Sponsored Programs Administration/SPH Research Administration/FAS Research Administration
Access Requests	School's Authorized Requestor

Questions?



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Primary Effort Coordinator Workflows

Primary Effort Coordinator Workflows

In this unit, we will

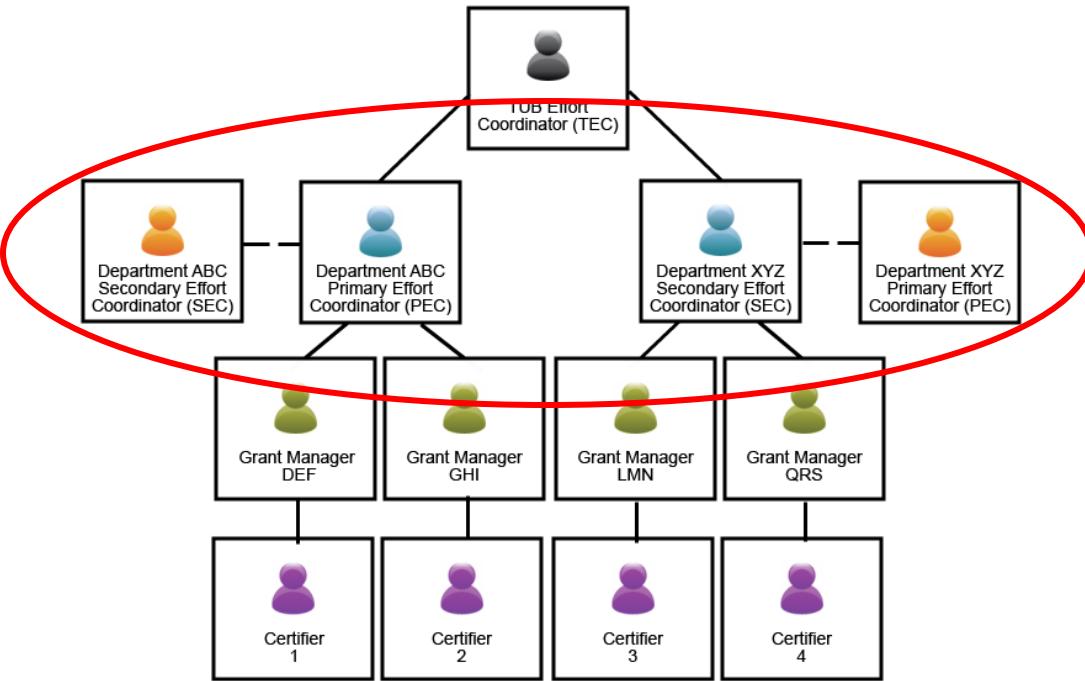
- Review the role of the Primary and Secondary Effort Coordinators.
- Review the reports PECs should run during the certification process to keep track of outstanding and approved certification statements during the certification period.
- Restrict the role of a Grant Manager.
- Perform a Grant Manager override for part-of statements.
- Get additional help with troubleshooting and escalation.



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Primary (Secondary) Effort Coordinator (PEC/SEC)

- In addition to the responsibilities spelled out earlier, the PEC/SEC has the ability to perform the following functions:
- Run reports demonstrated earlier at the Departmental level
- Perform a Grant Manager override for “part-of” grants
- Assign Grant Managers to a Restricted/Unrestricted status



Role determines which ecrt functions and information you can access, this is tied to your Harvard ID and PIN login.



Hands-on Primary Effort Coordinator



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Grant Manager Roles for Existing Users

Restricted Grant Manager Department View		Unrestricted Grant Manager Department View	
Restricted GM	PI/Faculty Member 1 PI /Faculty Member 2	Unrestricted GM 1	PI/Faculty Member 1 PI /Faculty Member 2
		Unrestricted GM 2	PI/Faculty Member 1 PI /Faculty Member 2
		Unrestricted GM 3	PI/Faculty Member 1 PI /Faculty Member 2

- For existing users, Grant Manager responsibilities have been set at Harvard with the following defaults:
 - FAS: Every grant manager has been set up as a restrictive grant manager
 - All other schools (unless specifically noted): Every grant manager has been set up as unrestricted
- A restricted Grant Manager can only view the certifiers to which he or she has been assigned.
- An unrestricted Grant Manager can **view**, all of the Grant Managers and their assigned PIs in their Department.



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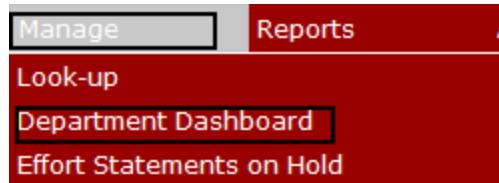
Financial Administration

Assigning Grant Manager Roles for New Users

Restricted Grant Manager Department View		Unrestricted Grant Manager Department View	
Restricted GM	PI/Faculty Member 1 PI /Faculty Member 2	Unrestricted GM 1	PI/Faculty Member 1 PI /Faculty Member 2
		Unrestricted GM 2	PI/Faculty Member 1 PI /Faculty Member 2
		Unrestricted GM 3	PI/Faculty Member 1 PI /Faculty Member 2

- For new users:
 - New users will be granted access to ecrt via their Authorized Requestor
 - PECs will then need to assign GMs to their portfolio of certifiers and assign either restrict or unrestricted view access to the rest of the Department
- FAS GMs should be set as restricted
- All other schools as unrestricted; PECs have the option to restrict view to rest of department

Setting Grant Manager Responsibilities



Select Manage,
Department Dashboard.

Department Dashboard for Training Department 01-1 - Train01-1

Search for Department:

People Fund and Account Department Information

Department Effort Coordinator(s)

Name	Address	Phone	Email	Action
Harvard, Sarah - 10000115			sarahharvard@test.net	
Harvard, Simone - 10000108			simoneharvard@test.net	
Harvard, Meredith - 10000110			meredithharvard@test.net	
Harvard, Olga - 10000102				

On the Department
Information Tab, PEC will be
highlighted in yellow.

To assign GM responsibilities, click on
Notepad icon next to GM's name



Manage Assignments Pop Up Screen

Manage Assignments

Department: Train01-1 - Training Department 01-1

Effort Coordinator: Simone Harvard - 10000108

Manage Restricted Access Effort Coordinators

Unassigned PI/Certifier List

[Certifiers associated to selected department]
Harvard, Amy - 10000111
Harvard, Andrew - 10000114
Harvard, Emily - 10000113
Harvard, Irene - 10000107
Harvard, Jess - 10000112
Harvard, John - 10000101



Assigned PI/Certifier List

[Covered Individuals to be assigned]

Manage Grant Managers Assignments

Unassigned PI/Certifier List

Harvard, Jude - 10000106
Harvard, Marty - 10000105
Harvard, Meredith - 10000110
Harvard, Olga - 10000108
Harvard, Patty - 10000103
Harvard
Harvard

Select PI/Certifier from list

Select right arrow button to move Faculty/PI



[Covered Individuals to be assigned]

PI/Certifier name will appear here

Save



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Manage Assignments Pop Up Screen



Manage Assignments

Individual Effort Coordinator Assignments processed successfully

Department: Train01-1 - Training Department 01-1

Effort Coordinator: Simone Harvard - 10000108

Manage Restricted Access Effort Coordinators

Unassigned PI/Certifier List

[Certifiers associated to selected department]

Harvard, Amy - 10000111
Harvard, Andrew - 10000114
Harvard, Emily - 10000113
Harvard, Irene - 10000107
Harvard, Jess - 10000112
Harvard, John - 10000101



Assigned PI/Certifier List

[Covered Individuals to be assigned]

Faculty/PI appears under Assigned PI/Certifier List

Manage Grant Managers Assignments

Unassigned PI/Certifier List

[Certifiers associated to selected department]

Harvard, Amy - 10000111
Harvard, Andrew - 10000114
Harvard, Emily - 10000113
Harvard, Irene - 10000107
Harvard, Jaclyn - 10000104
Harvard, Jess - 10000112



Assigned PI/Certifier List

[Covered Individuals to be assigned]

Harvard, Marty - 10000105

Click Save



Managing Assignments-Clicking Save Restricts GM

- When you click **Save**, the PI will appear in **both** the top and bottom boxes.
- The top box on this screen means that the GM is now **Restricted to only seeing this PI**
- If this is correct, close the Managing Assignments Pop Up box by clicking on the X in the top right corner. The GM will be **restricted**.
- If this is incorrect, remove the certifiers from the Restricted Box and then re-Save the record. The GM will then be **unrestricted**.

Manage Assignments

Individual Effort Coordinator Assignments processed successfully

Department: Train01-1 - Training Department 01-1
Effort Coordinator: Simone Harvard - 10000108

Manage Restricted Access Effort Coordinators

Unassigned PI/Certifier List	Assigned PI/Certifier List
[Certifiers associated to selected department] Harvard, Amy - 10000111 Harvard, Andrew - 10000114 Harvard, Emily - 10000113 Harvard, Irene - 10000107 Harvard, Jess - 10000112 Harvard, John - 10000101	[Covered Individuals to be assigned] Harvard, Marty - 10000105

Manage Grant Managers Assignments

Unassigned PI/Certifier List	Assigned PI/Certifier List
[Certifiers associated to selected department] Harvard, Amy - 10000111 Harvard, Andrew - 10000114 Harvard, Emily - 10000113 Harvard, Irene - 10000107 Harvard, Jaclyn - 10000104 Harvard, Jess - 10000112	[Covered Individuals to be assigned] Harvard, Marty - 10000105

Save

Review Assignments-Unrestricted Grant Manager

Department Dashboard for Training Department 01-1 - Train01-1



Select People Tab

Search for Depa

People Fund and Account Department Information

Certification Summary Chart: Statement Type Annual Supplemental 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	Annual
Available for Certification	3 100.0%

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

Name	Grant Manager	Employ
- Sponsored		
Harvard, John		10000
Harvard, Marty		10000
Harvard, Patty		10000103
Non-Sponsored		Tub Effort Coordinator
Terminated		

In this example, Simone Harvard is an Unrestricted Grant Manager. Her name will appear under the Grant Manager Column



Review Assignments-Restricted Grant Manager

Department Dashboard for Training Department 01-1 - Train01-1

Search for Department: **Select People Tab**

Choose

People Fund and Account Department Information

Certification Summary Chart: Statement Type Annual Supplemental 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 Annual

Available for Certification 3 100.0%

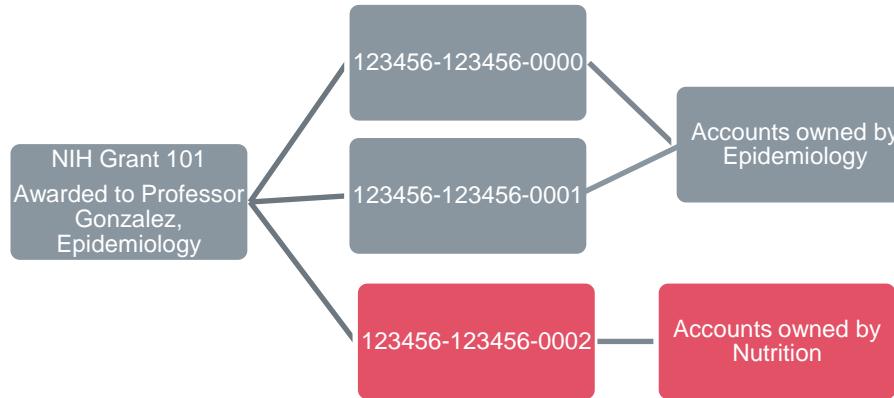
Covered Individuals (If you would like to search for an apostrophe, please enter two apostrophes to return results)

Name	Alternate Effort Coordinator	Grant Manager	Employee ID	Role	Statements	Action
- Sponsored						
Harvard, John						
Harvard, Marty	Harvard, Simone - 10000108	Harvard, Simone - 10000108	1			
Harvard, Patty						
Non-Sponsored						
Terminated						

In this example, Simone Harvard is a Restricted Grant Manager. Her name will appear under the both the Alternate Effort Coordinator and Grant Manager Columns

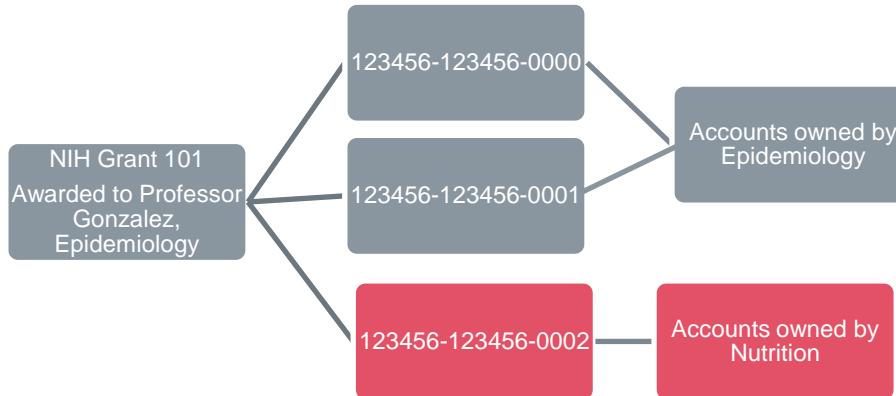


Grant Manager Overrides



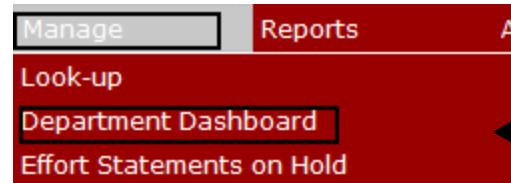
- In this example, a grant has been awarded to Professor Gonzalez in Epidemiology.
- An account under this award/fund is owned by Nutrition
- When this grant is initially set up in ecrt, **all** accounts on which Professor Gonzalez is named the PI will be overseen by Professor Gonzalez' Grant Manager in Epidemiology.
- The Primary Effort Coordinator (PEC) in Nutrition, however, has the option of assigning a Nutrition Grant Manager to oversee Professor Gonzalez' account that is awarded through Nutrition. It is assumed that the appropriate communication concerning this has occurred between the two departments.

Grant Manager Overrides (Cont.)



- The Nutrition PEC can implement a “grant manager override” to assign the Nutrition Grant Manager for Professor Gonzalez’ portion of the grant that runs through Nutrition. This is optional and depends on whether or not Nutrition wants to govern the charges on the specific account under the grant.
- As the award owner, the Epidemiology PEC can still access the grant and see whether or not the project statement in Nutrition has been certified, and can contact the Nutrition PEC if Professor Gonzalez (or a part-of PI, if assigned) has not certified in a timely manner.

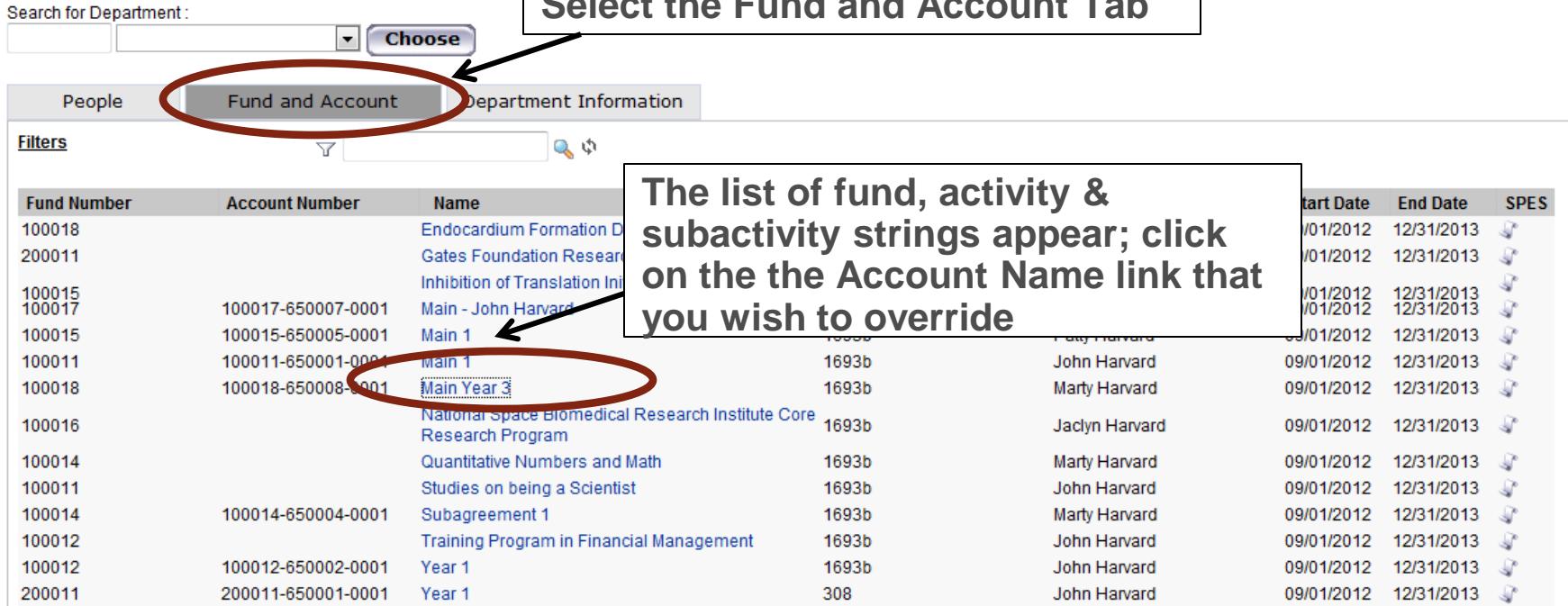
Grant Manager Override



Select Manage, Department Dashboard.

Department Dashboard for Training Department 01-1 - Train01-1

Select the Fund and Account Tab



The list of fund, activity & subactivity strings appear; click on the the Account Name link that you wish to override

Account Summary Page



Account Summary

Account Name: Main Year 3
Account Nickname: Endocardium Form
Account Number: 100018-650008-0001 Start to End Date: 09/01/2012 to 12/31/2013
Fund Name: Endocardium Formation During Heart Development Account Type: Grant
Account PI: Marty Harvard - 10000105 (Primary Effort)
Coordinator: Sarah Harvard - 10000115

The current Account Manager appears on the screen

Associated Project Statements

2 items found, displaying all items.

Period	Project Certification Status
FY14 Q2	In Progress
F14 Q1	Available for Certification

2 items found, displaying all items.

Account Manager: Simone Harvard - 10000115 
[show more >>](#)

To change the Grant Manager, click on the green + sign

 Excel |  XML |  PDF |  RTF



Enter Name of Grant Manager



Account Summary

Account Name: Main Year 3
Account Nickname: Endocardium Formation During Heart Developm
Account Number: 100018-650008-0001
Fund Name: Endocardium Formation During Heart Developm
Account PI: Marty Harvard - 10000105 (Primary Effort
Coordinator: Sarah Harvard - 10000115)

Type in last name, first name of new Grant Manager and click floppy disk to save

Account Manager:

Simone Harvard - 10000100 + Employee:
Harvard Olga - 10000102

[show more >>](#)

Associated Project Statements

2 items found, displaying all items.

Period	Project Certification Status
FY14 Q2	In Progress
F14 Q1	Available for Certification

2 items found, displaying all items.

Excel | XML | PDF | RTF

« Back to Previous Page

New Grant Manager/Revert to Previous Grant Manager

Account Summary

Account Name: Main Year 3
Account Nickname: Endocardium Formation During Heart Developm
Account Number: 100018-650008-0001
Fund Name: Endocardium Formation During Heart Developm
Account PI: Marty Harvard - 10000105 (Primary Effort
Coordinator: Sarah Harvard - 10000115)

Exception Account:



The new Grant Manager now appears.

Account Type:

Grant

Account Manager:

Olga Harvard - 10000106



[show more >>](#)

To revert back to the previous Grant Manager, click on the red minus icon

Associated Project Statements

2 items found, displaying all items.

Period	Project Certification Status
FY14 Q2	In Progress
F14 Q1	Available for Certification

2 items found, displaying all items.

Excel | XML | PDF | RTF



HARVARD
Financial Administration

Questions?



HARVARD
Financial Administration

FAQs - Certification

- Why do some of my certifiers have a total effort % that is 99% or 101%?**
 - Because we are certifying in whole numbers, the system will round up to 1% if the computed effort (salary + cost share) equates is greater than 0%, but less than 0.5%. Often this will result in total effort of 99%-101%.
- Shouldn't certifiers only certify 100% effort?**
 - Due to rounding, the system allows certifiers to certify effort from 99%-101%. If a certifier refuses to certify anything but 100% effort, please contact the ecrt Help Desk and copy your tub effort coordinator.
- Does the FTE come into play in ECRT; what if you are certifying for a half-time employee?**
 - The effort % in ecrt is based solely on the charges to an account out of the total salary charges for an individual. Even though we display the FTE value, it does not impact the calculated effort % in ecrt.
- Will certifiers be notified and reminded that they need to certify?**
 - Every certifier in the system will receive an initial email to let them know the certification process is open and ready. In addition, 3 reminder emails will be sent to each certifier when there are 14, 7, and 3 days remaining if the certifications are still not complete.



HARVARD
Financial Administration

FAQs - Review

– What if my certifier has over 101% effort?

- Always review the charges first to ensure that the allocations are correct. If the allocations are incorrect, a salary journal will need to be processed to correct the charges.
- If the total effort is greater than 101% due to rounding or salary journals incorrectly coded to FY13, please contact the ecrt Help Desk.

– Why do some transactions have a start and end date of 7/1/2012-6/30/2013 (FY13)?

- With the exception of SPH, all salary journals to annual object codes that were posted in FY13 were hard coded with these dates to account for the missing period of performance field in the GL. As of FY14, all journals will list the quarter selected in the GL (or Wasabi).

– Why does the payroll data not include accruals?

- ECRT pulls in detailed payroll transactions and captures actual costs. The system automatically prorates the payroll based on the period of performance for what is hitting the G/L.

– Will a PEC/TEC receive an email notifying them of them of the status of who hasn't certified?

- The PEC will be sent an email that will summarize and list the individuals in that department who received a certification period opening email and the individuals who had not completed certification when each reminder email was sent. The email also lists those who were auto-processed. There are also several monitoring reports that can aid tub and department administrators in reviewing the status of all certifications in their respective unit.

– What if there are spelling errors in project titles or certifiers names?

- GMAS is just a repository and pulls information from multiple sources. If there are spelling errors in project titles, etc. you would need to go to the source system, such as GMAS, in order to correct.



HARVARD
Financial Administration

FAQs - Department Setup/Security

- **Why did statements get routed to me or one of my grant managers when the certifier and his/her accounts do not belong in our portfolios?**
 - The department configurations were setup based on the most recent documentation completed during the ecrt Department Outreach effort.
 - Portfolios may have since changed, and can now be updated and managed by the department Primary Effort Coordinator or any Secondary Effort Coordinators who have the same security.
 - If your documentation was not finalized or confirmed, the configuration was setup to the best of our knowledge and should be updated by the Primary or Secondary Effort Coordinator.
- **What if there are faculty or other academic appointees who belong to my department and have sponsored charges, but do not appear on my Department Dashboard?**
 - If a faculty member or other academic appointee does not appear in your department, the individual was either not assigned to a department or may have been assigned to another department.
 - If you know that your department is responsible for the annual effort certification for this individual, submit a request for security through your designated Authorized Requestor.

FAQs - Department Setup/Security (Cont.)

– How do I verify that my department administrators have the appropriate security?

- If you are requesting a change in role for an individual who is currently assigned to your department, e.g. making a grant manager a primary effort coordinator, you should first verify their current security role. You should also verify an individual's security role after a new administrator has been assigned to your department per a request for security access.
- On the Department Information tab of the Department Dashboard, click the Manage User icon () next to an effort coordinator (i.e. department administrator). On the Manage Users screen, scroll to the bottom and review the Roles section. A checkmark should appear next to the appropriate security roles for that individual.
- Access to this functionality is only available to Tub Effort Coordinators, Primary Effort Coordinators, and any Secondary Effort Coordinator who have the same security.
- If a role is incorrectly assigned, please contact the ecrt Help Desk.

FAQs - Other

- What is the plan to train faculty and provide them with the training materials?**
 - Currently, we do not have a formal training session geared towards the certifiers and designees. We will, however, have online simulations as well as quick reference cards that the certifiers can use to guide themselves through the process. Because we are relying more on the PEC's and GM's to work one-on-one with certifiers, we will train these individuals on the system screens unique to certifiers and the specific actions certifiers must take to complete the certification.



Resources

- Information about OMB A-21 can be accessed here:
http://www.whitehouse.gov/omb/circulars_a021_2004
- Information on OSP's policy handbook
<http://osp.fad.harvard.edu/content/osp-policy-handbook?tid=All>
- Available on Eureka (pin required) - <http://eureka.harvard.edu>
 - Online simulations
 - Work Aid
- Information about the Effort Reporting Project (pin required):
<https://wiki.harvard.edu/confluence/pages/viewpage.action?pageId=55642846>

Wrap-up

- Questions?
- Comments?

Thank you for coming!