

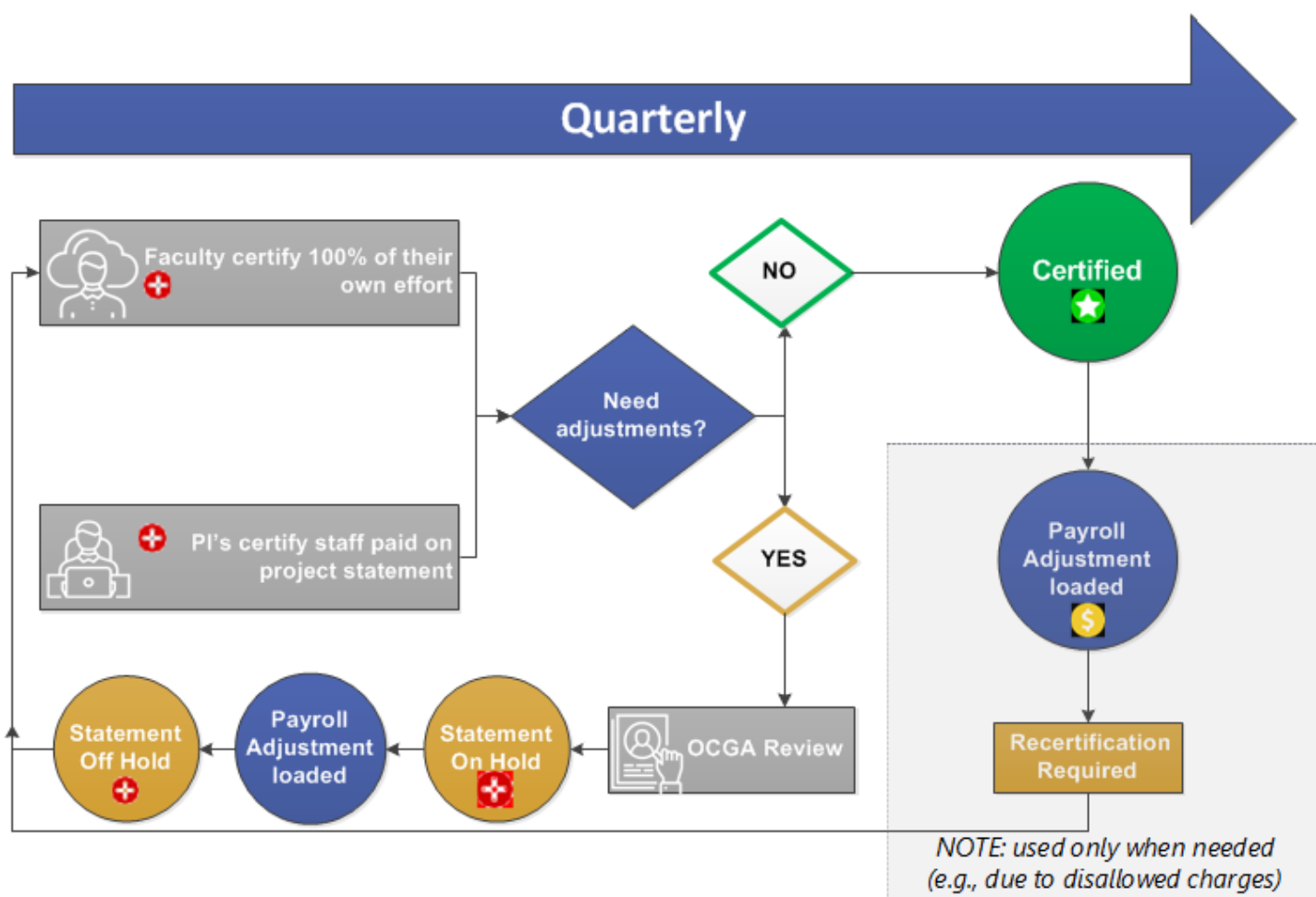


Effort Certification – Effort Coordinator Training Guide

Guide to understanding the certification process using ecrt.








Certification Workflow

The certification workflow occurs on a quarterly basis. Faculty will certify 100% of their own effort on an Effort Statement. All Principal Investigators will certify staff paid on their project for that quarter on a Project Statement. If any adjustments need to be made, Effort Coordinators should contact OCGA. The statement may be placed on hold while adjustments are being processed. If no adjustments are needed, the statement should be Certified by the Faculty/PI.





Effort Statement Statuses

Status	Individual Effort Statement	Project Statement
 In Progress For Certification	The statement is building at this time. All payroll related to the quarter has not yet been loaded to ECRT or is still undergoing review and has not yet been released to the certifiers.	
 Ready for Certification	The statement has been released to the certifier and is awaiting completion.	
 Certified	The statement has been certified and is now completed.	
 Certified, Payroll Adjustment Pending	The statement was previously certified. A payroll adjustment has loaded to the statement after the certification. This adjustment has created a task for OCGA to review and post it if applicable.	
 Not Certified, Re-Opened by Payroll Adjustment	The statement was previously in a status of <i>Certified, Payroll Adjustment Pending</i> . OCGA has reviewed the adjustment and has reopened the statement for recertification. The statement does not need to be certified until the next quarter opens.	
 No Certification Required	OCGA has determined that this statement does not require any certification. For example, a project number may have had all charges removed and moved to a different project. In such a case, the net salary charged on the project is zero and does not require certification.	
 Auto Approved	The individual was only paid from non-federal funding sources for this quarter. When the quarter was released to all certifiers, this statement was <i>Auto Approved</i> indicating that no certification is required on this statement. No notification will be sent for this statement.	A project statement is created for all funding sources. However, this is a non-federal funding source and does not require certification. When the quarter was released to all certifiers, this project statement was <i>Auto Approved</i> indicating that no certification is required. No notification will be sent for this statement.



ECRT Login and Home Page

You can access the ECRT system from the link on the SkyVU webpage Login using your Vanderbilt credentials. Click the continue button on the Welcome Page.

VANDERBILT UNIVERSITY
Sign On

Please sign on and we'll send you right along.

Username

Password

VANDERBILT UNIVERSITY

Welcome to Vanderbilt University's ecrt® Effort Reporting Solution. Beginning in March 2018, this application will be used to certify effort when required to ensure compliance with the federal requirements per the Uniform Guidance. Faculty members certify their own individual effort reports and Principal Investigators will certify effort for the non-faculty individuals paid off their federal grants. Please contact your local departmental Effort Coordinator or OCGA if you have any questions.

Your Work List appears displaying the Effort Statement(s) and Project Statement(s) that are associated to your assigned department(s).

The **Statements Awaiting Certification** tab will show any Effort and/or Project statements that you are personally responsible for certifying. Most Effort Coordinators will not see any statements in this section.

[Home](#) [Certify](#) [Manage](#) [Reports](#) [Administration](#) [Links](#)

Work List for Tammy Smith

Welcome to the ecrt payroll confirmation system. The tabs below list all of the payroll confirmation tasks that require your attention - whether it is confirming 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 \(0\)](#) [Associated Certifiers \(5\)](#) [Associated Project Certifications](#)

Quarterly Project Certifications

[Top of Page](#) [Associated Projects \(View-Only\)](#)

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

Associated Projects (View-Only)

[Top of Page](#) [Quarterly Project Certifications](#)

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



The **Associated Certifiers** tab shows Effort Statements for Individuals associated to your assigned departments. This list can be used to monitor the timeliness of certification.

Work List for Tammy Smith						
Welcome to the ecrt payroll confirmation system. The tabs below list all of the payroll confirmation tasks that require your attention - whether it is confirming 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 (0)		Associated Certifiers (5)		Associated Project Certifications (5)		
Statement Owner	Department	Period	Due Date	Type	Status	PI
Borel, Calvin	1000-Vanderbilt Testing	Dec-Feb 2018	04/14/2018	Base Salary	+ Ready for Certification	
Espinoza, Victor	1000-Vanderbilt Testing	Jun-Aug 2017	12/19/2017	Base Salary	+ Ready for Certification	
		Sep-Nov 2017	01/31/2018	Base Salary	+ Ready for Certification	
Smith, Mike	2000-Vanderbilt Training	Jun-Aug 2017	12/19/2017	Base Salary	+ Ready for Certification	
		Sep-Nov 2017	01/31/2018	Base Salary	+ Ready for Certification	

The **Associated Project Certifications** tab shows Project Statements associated to your assigned departments. This list will show Statements that are In Progress and Ready for Certification. You can sort on all columns (except Sponsor Name).

Work List for Tammy Smith

Welcome to the **ecrt** payroll confirmation system. The tabs below list all of the payroll confirmation tasks that require your attention - whether it is confirming 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 (0)

Associated Certifiers (5)

Associated Project Certifications (5)

Principal Investigator	Project Title	Project Number	Account Number	Sponsor Name	Period	Status	Staff
Borel, Calvin A	GC_2001_GC_20010_Mole...	GC_20010	GC_20010	GC_Massachusetts Insti...	Dec-Feb 2018	In Progress	
Borel, Calvin A	GC_2001_GC_20011_Molec...	GC_20011	GC_20011	GC_Massachusetts Insti...	Dec-Feb 2018	In Progress	
Espinoza, Victor	GC_10010_GC_1001_Studi...	GC_10010	GC_10010	GC_National Institutes o...	Dec-Feb 2018	In Progress	
Borel, Calvin A	GC_2001_GC_20010_Mole...	GC_20010	GC_20010	GC_Massachusetts Insti...	Sep-Nov 2017	Ready for Certification	
Espinoza, Victor	GC_10010_GC_1001_Studi...	GC_10010	GC_10010	GC_National Institutes o...	Sep-Nov 2017	Ready for Certification	

The Effort Lifecycle

Confirmation



Processing

Statements Awaiting Certification





Effort Statement – Individual Faculty Member

The Effort Statement shows the Federal and Non-Federal accounts the Individual was paid from expressed as a percentage based on the individual's total payroll for the quarter. Click the [\\$ Value](#) link on the statement to view the dollar amount of this percentage.

Borel, Calvin A - CalvinBorel (INDIVIDUAL EFFORT REPORT) Base Salary Effort Period: 12/01/2017 to 02/28/2018 Status: Ready for Certification					
WARNING - You cannot certify this Effort Statement because you do not have the right to certify Statements.					
  \$ Value					
Project/COAs [-]	Direct	Cost Share	Total Effort	Certified Effort	Certify?
FEDERAL					
GC_1001 GC_1001_Studies on being a Scientist					
GC_10010 GC_10010_GC_1001_Studies on being a Scientist					
	20%	0%	20%	20%	<input type="checkbox"/>
Award Total:	20%	0%	20%	20%	
GC_2001 GC_2001_Molecular Electronics					
GC_20010 GC_2001_GC_20010_Molecular Electronics					
GC_20011 GC_2001_GC_20011_Molecular Electronics_Cost Share					
	20%	0%	20%	20%	<input type="checkbox"/>
Award Total:	20%	20%	40%	40%	
FEDERAL Total:	40%	20%	60%	60%	
NON-FEDERAL					
1212 Testing Department Budget	40%	0%	40%	40%	<input type="checkbox"/>
NON-FEDERAL Total:	40%	0%	40%	40%	
Grand Total:	80%	20%	100%	100%	

From the graph icon, click the Payroll Report.



Borel, Calvin A - CalvinBorel (INDIVIDUAL EFFORT REPORT) Base Salary Effort Period: 12/01/2017 to 02/28/2018 Status: Ready for Certification					
WARNING - You cannot certify this Effort Statement because you do not have the right to certify Statements.					
  \$ Value					
Project/COAs [-]	Direct	Cost Share	Total Effort	Certified Effort	Certify?
FEDERAL					
GC_1001 GC_1001_Studies on being a Scientist					
GC_10010 GC_10010_GC_1001_Studies on being a Scientist					
	20%	0%	20%	20%	<input type="checkbox"/>
Award Total:	20%	0%	20%	20%	
GC_2001 GC_2001_Molecular Electronics					
GC_20010 GC_2001_GC_20010_Molecular Electronics					
GC_20011 GC_2001_GC_20011_Molecular Electronics_Cost Share					
	20%	0%	20%	20%	<input type="checkbox"/>
Award Total:	20%	20%	40%	40%	
FEDERAL Total:	40%	20%	60%	60%	
NON-FEDERAL					
1212 Testing Department Budget	40%	0%	40%	40%	<input type="checkbox"/>
NON-FEDERAL Total:	40%	0%	40%	40%	
Grand Total:	80%	20%	100%	100%	

Transactions ☆



The Payroll Report will show a pay period view of the individual's payroll for the quarter.

Employee ID	First Name	Middle Init.	Last Name	Department	Department Number	Grant	Pay Period	Payroll	Pay Type	Employee Type	Statement Type
CalvinBorel	Calvin	A	Borel	Vanderbilt Testing	1000	1212 - Testing Department Budget	11/01/2017 to 11/30/2017	\$8,000.00		INDIVIDUAL EFFORT REPORT	Base Salary
						Subtotal		\$8,000.00			
						GC_10010_GC_1001_Studies on being a Scientist	12/01/2017 to 12/31/2017	\$4,000.00		INDIVIDUAL EFFORT REPORT	Base Salary
						Subtotal		\$4,000.00			
						GC_2001_GC_20010_Molecular Electronics	11/01/2017 to 11/30/2017	\$4,000.00		INDIVIDUAL EFFORT REPORT	Base Salary
						Subtotal		\$4,000.00			
						GC_2001_GC_20011_Molecular Electronics_Cost Share	12/01/2017 to 12/31/2017	\$4,000.00		INDIVIDUAL EFFORT REPORT	Base Salary
						Subtotal		\$4,000.00			
Certifier Total for Period								\$20,000.00			
Total Of All Certifiers								\$20,000.00			

An Effort Statement may be placed On Hold because you are awaiting corrections. The statement cannot be certified when it is On Hold as indicated by the warning message on the statement. The statement can be certified along with the next quarters statement during the next certification period.

Borel, Calvin A - CalvinBorel (INDIVIDUAL EFFORT REPORT) Base Salary Effort Period: 12/01/2017 to 02/28/2018 Status: Ready for Certification

WARNING - This Effort Statement was placed on hold by Tanya J Paul - 0016598
INFO - Check all certify checkboxes to show the certify button.

On Hold \$ Value

Project/COAs [-]	Direct	Cost Share	Total Effort	Certified Effort	Certify?
FEDERAL					
GC_1001 GC_1001_Studies on being a Scientist					
GC_10010 GC_10010_GC_1001_Studies on being a Scientist	20%	0%	20%	20%	<input type="checkbox"/>
Award Total:	20%	0%	20%	20%	
GC_2001 GC_2001_Molecular Electronics					
GC_20010 GC_2001_GC_20010_Molecular Electronics	20%	0%	20%	20%	<input type="checkbox"/>
GC_20011 GC_2001_GC_20011_Molecular Electronics_Cost Share	0%	20%	20%	20%	<input type="checkbox"/>
Award Total:	20%	20%	40%	40%	
FEDERAL Total:	40%	20%	60%	60%	
NON-FEDERAL					
1212 Testing Department Budget	40%	0%	40%	40%	<input type="checkbox"/>
NON-FEDERAL Total:	40%	0%	40%	40%	
Grand Total:	80%	20%	100%	100%	<input type="checkbox"/>

Get Help

Effort Statement On Hold



Project Statement

The Project Statement displays the project information and the staff that were paid from the project for the quarter.

Work List
▼ Espinoza, Victor - VictorEspinoza
▼ Ready for Certification ★
GC_10010 GC_10010_GC_1001_Studies on being... Sep-Nov 2017
In Progress

GC_10010_GC_1001_Studies on being a Scientist
Project Information
Department: 1000 - Vanderbilt Testing
Project Title: GC_10010_GC_1001_Studies on being a Scientist
Sponsor: GC_National Institutes of Health
Award Name: GC_1001_Studies on being a Scientist
Project Start and End Date: 09/01/2012 to 12/31/2017

Project Statement for GC_10010: GC_10010_GC_1001_Studies on being a Scientist (Sep-Nov 2017): Effort from 9/1/2017 to 11/30/2017; Status: Ready for Certification
INFO - Check all certify checkboxes to show the certify button.
On Hold ☐

Employee	Department	Total Payroll \$	Total Effort %	Certify?	Action
Donohue, Billy - BillyDonohue	Vanderbilt Training - 2000	\$8,000.00	50%	<input type="checkbox"/>	
Murphy, Isaac - IsaacMurphy	Vanderbilt Training - 2000	\$6,100.00	50%	<input type="checkbox"/>	
Walker, Billy - BillyWalker	Vanderbilt Training - 2000	\$10,000.00	42%	<input type="checkbox"/>	

[Get Help](#)

To view an individual's 100% payroll for the quarter, click the scroll icon on under the Action column. A pop-up box will appear that shows the accounts and payroll for that individual for the quarter.



Work List
▼ Espinoza, Victor - VictorEspinoza
▼ Ready for Certification ★
GC_10010 GC_10010_GC_1001_Studies on being... Sep-Nov 2017
In Progress

GC_10010_GC_1001_Studies on being a Scientist
Project Information
Department: 1000 - Vanderbilt Testing
Project Title: GC_10010_GC_1001_Studies on being a Scientist
Sponsor: GC_National Institutes of Health
Award Name: GC_1001_Studies on being a Scientist
Project Start and End Date: 09/01/2012 to 12/31/2017

Project Statement for GC_10010: GC_10010_GC_1001_Studies on being a Scientist (Sep-Nov 2017): Effort from 9/1/2017 to 11/30/2017; Status: Ready for Certification

Employee	Department	Total Payroll \$	Total Effort %	Certify?	Action
Donohue, Billy - BillyDonohue	Vanderbilt Training - 2000	\$8,000.00	50%	<input type="checkbox"/>	
Murphy, Isaac - IsaacMurphy	Vanderbilt Training - 2000	\$6,100.00	50%	<input type="checkbox"/>	
Walker, Billy - BillyWalker	Vanderbilt Training - 2000	\$10,000.00	42%	<input type="checkbox"/>	

[Home](#)

Project Payroll Summary - Sep-Nov 2017
Isaac Murphy - IsaacMurphy

Project Name	Total Payroll \$	Total Effort %
GC_10010-GC_10010_GC_1...	\$6,100.00	50%
GC_20010-GC_20010_GC_20...	\$6,100.00	50%
Total:	\$12,200.00	100.00%



To view the payroll details for the individual for the project, select the dollar sign icon under the Action column.



Employee ID	First Name	Middle Init.	Last Name	Department	Department Number	Grant	Pay Period	Payroll	Pay Type	Employee Type	Statement Type
BillyDonohue	Billy		Donohue	Vanderbilt Training	2000	GC_10010_GC_1001_Studies on being a Scientist	09/01/2017 to 09/30/2017	\$1,600.00		PROJECT EFFORT REPORTS	Base Salary
							09/01/2017 to 09/30/2017	\$2,400.00		PROJECT EFFORT REPORTS	Base Salary
							11/01/2017 to 11/30/2017	\$1,600.00		PROJECT EFFORT REPORTS	Base Salary
							11/01/2017 to 11/30/2017	\$2,400.00		PROJECT EFFORT REPORTS	Base Salary
						Subtotal		\$8,000.00			
	Certifier Total for Period							\$8,000.00			
Total Of All Certifiers								\$8,000.00			

A Project Statement may be placed On Hold because you are awaiting corrections. The statement cannot be certified when it is On Hold as indicated by the warning message on the statement. The statement can be certified along with the next quarters statement during the next certification period.

Project Statement for GC_10010: GC_10010_GC_1001_Studies on being a Scientist (Sep-Nov 2017); Effort from 9/1/2017 to 11/30/2017; Status: Ready for Certification

WARNING - This Project Statement was placed on hold by Tanya J Paul - 0016598

On Hold

Employee	Department	Total Payroll \$	Total Effort %	Certify?	Action
Donohue, Billy - BillyDonohue	Vanderbilt Training - 2000	\$8,000.00	59%	<input type="checkbox"/>	
Murphy, Isaac - IsaacMurphy	Vanderbilt Training - 2000	\$6,100.00	50%	<input type="checkbox"/>	
Walker, Billy - BillyWalker	Vanderbilt Training - 2000	\$10,000.00	42%	<input type="checkbox"/>	

Get Help
Home

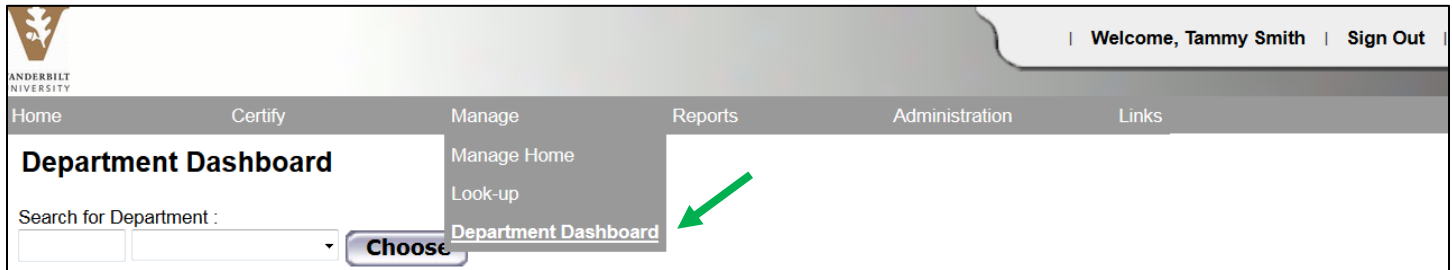
Project Statement On Hold



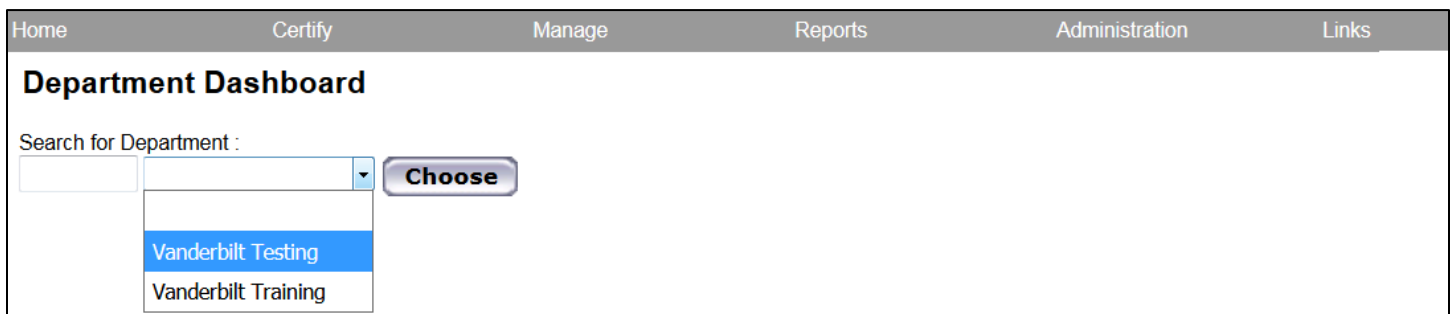
Department Dashboard

The Department Dashboard is for Effort Coordinators to review and manage the information including the employees, accounts, and awards associated to that department.

Under the Manage tab on the navigation bar, click on Department Dashboard.



You will only have access to your assigned Department(s). Select a Department from the drop-down menu and select Choose.





The **People Tab** contains information about the individuals that have a relationship to the department. The top of the tab shows the Certification Summary Chart which shows the statistics for the most recent Period of Performance. In the example below, there is 1 Effort Statement in the Ready for Certification status and 1 Effort Statement in the Certified status.

The Non-Sponsored section shows individuals that are or have been assigned to this department and have not had any sponsored research pay or cost sharing. Their Effort Statements do not require certification and will be Auto Approved once the Certification Period opens.

The Non-Department section shows individuals who are not assigned to this department but have sponsored research on one of this department's awards or accounts.

People

Project Certifications

Award and Project/COA

Department Information

Certification Summary Chart:

Statement Type

☒ Base Salary

☒ N/A

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	INDIVIDUAL EFFORT REPORT	
In Progress For Certification	1	50.0%
Ready for Certification	1	50.0%
On Hold	1	

Covered Individuals

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

Name	Grant Manager	Employee ID	Role	Statements	Action
- Sponsored					
Borel , Calvin A		CalvinBorel	Self-Certifier		
Espinoza , Victor		VictorEspinoza	Self-Certifier		
Non-Sponsored					
+ Non-Department					
Terminated					

The **Project Certifications** tab contains information about the Project Statements related to the account. The top of the tab shows the Certification Summary Chart which shows the statistics for the most recent Period of Performance. This tab will include Project Statements for Non-Sponsored accounts, but these statements do not require certification and will be Auto Approved once the Certification Period opens.

People

Project Certifications

Award and Project/COA

Department Information

Project Certification Summary Chart:

Employee Type

PROJECT EFFORT RE

Period

12/1/2017 to 2/28/2018

The default search is for project statements for all projects in this Department, for the current period of performance

Status	PROJECT EFFORT REPORTS	
<div>Auto Approved</div>	1	
<div>Ready for Certification</div>	1	100.0%
<div>On Hold</div>	1	

Project Statements

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

Project Nickname	Project Number	Grant Manager	PI	PI Department	Statements	Action
GC_10010_GC_1001_Studies on being a Scientist	GC_10010	Smith, Tammy - tammysmith	Espinoza, Victor - VictorEspinoza	Vanderbilt Testing	<div><div></div><div></div><div></div></div>	<div><div></div><div></div></div>
Department Operating Budget	1212	Smith, Tammy - tammysmith	N/A	N/A	<div><div></div><div></div><div></div><div></div></div>	<div><div></div><div></div></div>



The **Award and Project/COA** tab contains the awards and accounts that are assigned to the department. The award list displays the award number and account number for each award or account, the award or account name, the sponsor and the PI of the award or account, and the start and end dates. The last column allows the user to run the Sponsored Project Employee Summary (SPES) report.

People	Project Certifications	Award and Project/COA	Department Information				
<div>Filters</div> <div><div></div><div></div><div></div></div>							
Award Number	Project/COA Number	Name	Sponsor	PI	Start Date	End Date	SPE
GC_1001		GC_1001_Studies on being a Scientist	GC_C905 - GC_National Institutes of Health_LOC_Subaccount	Calvin A Borel	09/01/2012	12/31/2017	
GC_1001	GC_10010	GC_10010_GC_1001_Studies on being a Scientist	GC_C905 - GC_National Institutes of Health_LOC_Subaccount	Victor Espinoza	09/01/2017	12/31/2017	
GC_1001	GC_10011	GC_10011_GC_1001_Studies on being a Scientist_Cost Share	GC_C905 - GC_National Institutes of Health_LOC_Subaccount	Victor Espinoza	09/01/2012	12/31/2019	
	1212	Testing Department Budget			09/01/2012	12/31/2025	

Project/COA Summary Page

You can reach this page by clicking on the hyperlinks on the Name column on the previous screen or by clicking on the Project/COA directly on the effort statement. The Project/COA Summary Page shows detailed information about the

Project/COA Summary

Project/COA Name: GC_10010_GC_1001_Studies on being a Scientist

Project/COA Nickname: GC_10010_GC_1001_Studies on being a Scientist

Project/COA Number:

Award Name: GC_1001_Studies on being a Scientist

Project/COA PI: Victor Espinoza - VictorEspinoza (Primary Effort Coordinator: Tammy Smith - tammysmith)

Sponsor: GC_National Institutes of Health

Award Name: GC_1001_Studies on being a Scientist

Project/COA Amount: \$500,000.00

Financial Description:

NSF Project/COA Cap:

Reportable Status: ☒

K-Award: ☐

Exception Project/COA: ☐

Cost Sharing Requirement: ☐

Start to End Date: 09/01/2012 to 12/31/2017

Project/COA Type:

Project/COA Manager: Tammy Smith - tammysmith (PEC)

Project/COA Sponsor Name: GC_National Institutes of Health_LOC_Subaccount (Other / Default Type)

Project/COA Sponsor Number: GC_C905

Project/COA Sponsor Project Number:

Financial Code:

Group Code:

NIH Project/COA Salary Cap:

NIH Project/COA Salary Cap Override:

Project Number: GC_10010

Associated Department(s): Vanderbilt Testing

[<< show less](#)

Associated Project Statements

3 items found, displaying all items.

Period	Project Certification Status
Dec-Feb 2018	Certified
Sep-Nov 2017	Ready for Certification
Jun-Aug 2017	Certified

3 items found, displaying all items.

Project/COA Relationships

Nothing found to display.

Covered Individuals associated with this Project/COA

7 items found, displaying all items.

Name	Department
Borel, Calvin A - CalvinBorel	Vanderbilt Testing
Donohue, Billy - BillyDonohue	Vanderbilt Training
Espinoza, Victor - VictorEspinoza	Vanderbilt Testing
Hurd, Babe - BabeHurd	Vanderbilt Training
Murphy, Isaac - IsaacMurphy	Vanderbilt Training
Smith, Mike - MikeSmith	Vanderbilt Training
Walker, Billy - BillyWalker	Vanderbilt Training


7 items found, displaying all items.



project including Award Name, PI, Sponsor Name, Sponsor Number, and Amount. The Project Statements related to the Project/COA can also be found on this page under the Associated Project Statements header. The 'Covered Individuals' header lists all individuals that were ever paid from the Project/COA.

Click on the Award Name from the Project/COA Summary Page to view details about the related Award. From this page, you can view Award Details and all the Project/COA accounts related to the Award.

Award Summary

 [Sponsored Project Employee Summary Report](#)

Award Name:GC_1001_Studies on being a Scientist

Award Nickname:GC_1001_Studies on being a Scientist

Award Number:GC_1001

Award Type:

Award Manager: [Tammy Smith - tammysmith \(PEC\)](#)

Exception Award:☐

Cost Sharing Requirement:☐

Start to End Date:09/01/2012 to 12/31/2017

Award PI:[Calvin A Borel - CalvinBorel \(Primary Effort Coordinator: Tammy Smith - tammysmith \)](#)

[show more >>](#)

Associated Project Statements

Nothing found to display.

Project/COA Relationships

2 items found, displaying all items.

Number	Name
GC_10010_GC_1001_Studies on being a Scientist ★	
GC_10011_GC_1001_Studies on being a Scientist_Cost Share	

2 items found, displaying all items.

Covered Individuals associated with this Award

One item found.

Name	Department
Borel, Calvin A - CalvinBorel	Vanderbilt Testing

One item found.





Rounding

In some cases, the total percent displayed on an effort may not total 100%. This typically occurs because labor distributions are made to 2 decimal places while the ECRT system rounds each of these lines individually to display a whole number for certification. This is a widely accepted methodology and has been adopted broadly in the Higher Education industry without audit ramifications. Vanderbilt Audit, Risk and Advisory Services has deemed the methodology appropriate and compliant with all regulations.

Examples Below:

12%	5%	17%	17%
7%	0%	7%	7%
0%	8%	8%	8%
7%	8%	15%	15%
12%	0%	12%	12%
0%	2%	2%	2%
12%	2%	14%	14%
0%	2%	2%	2%
0%	2%	2%	2%
1%	0%	1%	1%
1%	0%	1%	1%
0%	0%	0%	0%
0%	0%	0%	0%
2%	0%	2%	2%
1%	0%	1%	1%
0%	0%	0%	0%
1%	0%	1%	1%
11%	0%	11%	11%
0%	4%	4%	4%
11%	4%	15%	15%
47%	22%	69%	69%
16%	0%	16%	16%
13%	0%	13%	13%
29%	0%	29%	29%
76%	22%	98%	98%

Direct	Cost Share	Total Effort	Certified Effort
9%	0%	9%	9%
0%	4%	4%	4%
9%	4%	13%	13%
9%	4%	13%	13%
38%	0%	38%	38%
50%	0%	50%	50%
88%	0%	88%	88%
97%	4%	101%	101%

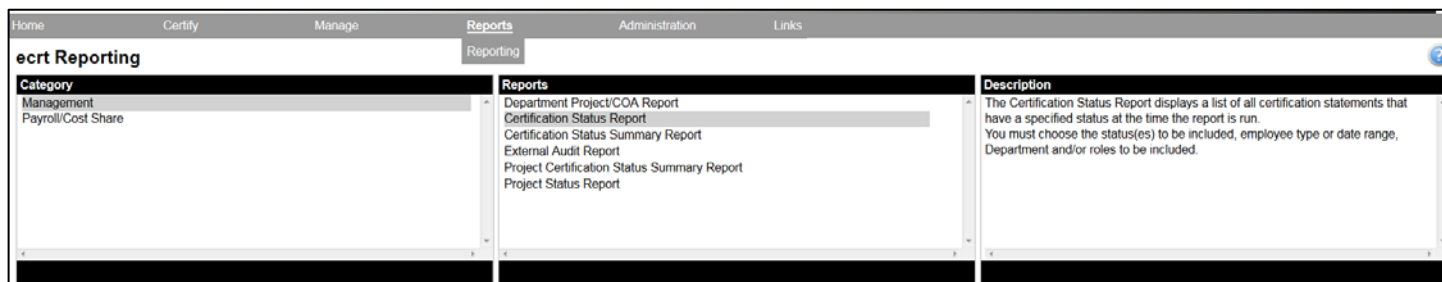


Monitoring Reports

Report	Description	Use
Department Project/COA Report	The Department Project/COA report displays all active and inactive Project/COA(s) for the selected Department.	Validate all projects/COAs related to your department are accurate.
Certification Status Report	The Certification Status Report displays a list of all certification statements that have a specified status at the time the report is run. You must choose the status(es) to be included, employee type or date range, Department and/or roles to be included	Individual Effort Statements - Primarily used to monitor the certification process across your departments and identify incomplete statements.
Certification Status Summary Report	The Certification Status Summary Report displays the number of certification statements for a specific employee type and a specific Period of Performance in each status throughout the institution grouped by Department.	Individual Effort Statements - Primarily to be used by Dean's Office to monitor the certification statistics at a high level.
External Audit Report	This report will produce a list of all certifiers and their historical Effort cards. The search can be conducted either by employee, Department, or Project/COA. You have the option to further filter the search by the period of performance.	Primarily used by Dean's Office and OCGA to export all statements and related activity for internal/external audit purposes.
Project Certification Status Summary Report	The Project Certification Status Summary Report displays the number of project statements for a specific employee type and a specific Period of Performance or for a specific Principal Investigator in each status throughout the institution grouped by Department. The Project Certification Status Summary Report shows the number of certification project statements in every status for each certifier of a specific employee type for a period of performance.	Project Statements - Primarily to be used by Dean's Office to monitor the certification statistics at a high level.
Project Status Report	The Project Status Report displays a list of all project statements that have a specified status at the time the report is run.	Project Statements - Primarily used to monitor the certification process across your departments and identify incomplete statements.
Payroll Report	The Payroll Report list all payroll for a specific individual, Department or Project/COA over a given date range.	Used to analyze transaction level payroll details across your department. Can be used to access non-base salary activity as well.
PI and Staff Payroll Report	This report will produce a list of all individuals charging a certifier's Project/COAs and their activities. Select a given PI and a date range. The report will show the associated certifiers for that PI along with payroll activity for the date range selected. Searching by first name then last name will not produce results.	Used to validate all activity related to a PI including project statements that they must certify.
SPES (Sponsored Project Employee Summary) Report	The SPES (Sponsored Project Employee Summary) Report lists all employees that had salary charged to a specific Project/COA. This report allows certifiers and Effort Coordinators to review the employees that were paid from the grant, verify the accuracy of the charges, and make changes if necessary.	Used to validate all payroll related to a sponsored project.



ECRT contains several reports to monitor the certification process. From the Navigation Menu, hover over Reports, and click Reporting.



The **Certification Status Report** shows a list of all Effort Statements that have a specified status at the time the report is run. Select the status(es) for which to run the report by using the right arrow to move a status from the Available Status box into the Selected Status box. Next, enter the department or school for which to run the report. Then select as many, or as few, of the roles from the Available Roles box into the Selected Roles box (this is not a required field). Finally, enter the date parameters or select Employee Type. If Employee Type is selected, select the "Individual Effort Report" from the drop-down menu.

Parameters | **Results**

Available Status

[Available Options]

Default, Incorrect
In Progress For Certification
Profile Generated
Manual Certification
Manual Certification, Processed
Manual Certification Payroll Pending

Selected Status

[Available Options]

School / Department:

Expand Search

Available Roles

[Available Options]

Department Effort Coordinator
Functional System Administrator
Non-Self Certifier
Self-Certifier
Technical Administrator
View All

Date By: ☐ Dates ☒ Employee Type

Employee Type: [Select]

Period: [Select]

Run Report

Search By Statement Type: ☒ Base Salary ☐ N/A ☐ Other

Date By: ☒ Dates ☐ Employee Type

Dates: Start Date: [mm/dd/yyyy] End Date: [mm/dd/yyyy]

Run Report

When the parameters are entered, select Run Report and the results will appear. The report generates a list of all the individuals with Effort Statements that match the parameters. The results display the individual's name, primary department, Primary Effort Coordinator, Primary Effort Coordinator's email address, Proxy assignment, individual's email address, Certification Period of Performance dates, and the Current Effort Statement status. The Effort Statement column displays the current state of the individual's Effort Statement. Clicking on this link will navigate the user to the individual's Effort Statement. These results can be exported to EXCEL.

Name	Department	Effort Coordinator	Effort Coordinator Email	Proxy Assignment	Certifier Email	Certification Period	Current Status
Espinoza, Victor - VictorEspinoza	Vanderbilt Testing	Tammy Smith - tammysmith	tammysmith@test.net	N/A	VictorEspinoza@vu.test.edu	09/01/2017 to 11/30/2017	Ready for Certification Excel XML PDF RTF



The **Certification Status Summary Report** how many Effort Statements each department has in the selected statuses. Select any one of the statuses from the Available Status box and move it over to the Selected Status box. Then, enter the date parameters or select Employee Type. If Employee Type is selected, select the "Individual Effort Report" from the drop-down menu.

ParametersResults

Available Status

[Available Options]
Default, Incorrect
In Progress For Certification
Profile Generated
Manual Certification
Manual Certification, Processed
Manual CertificationPayroll Pending

Selected Status

[Available Options]

>
>>
<
<<

School / Department:

Expand Search

Search By Statement Type:

☒ Base Salary ☐ N/A ☐ Other

Date By:

☒ Dates ☐ Employee Type

Dates:

Start Date: 9/1/2017End Date: 11/30/2017

Run Report

Date By:

☐ Dates ☒ Employee Type

Employee Type:

[Select]

Period:

[Select]
Annual
INDIVIDUAL EFFORT REPORT
PROJECT EFFORT REPORTS

Run Report

When the parameters are entered, select Run Report and the results will appear. The Department Name is displayed, followed by the total number of Effort Statements in each of the statuses listed in the columns. These results can be exported to EXCEL.

Department Name	Ready for Certification	Certified
Vanderbilt Testing	4	2
Vanderbilt Training	3	0

ExcelXMLPDFRTF



The **Project Status Report** shows a list of all Project Statements that have a specified status at the time the report is run. Select the status(es) for which to run the report by using the right arrow to move a status from the Available Status box into the Selected Status box. Next, enter the PI and/or department or school for which to run the report. Finally, enter the date parameters or select Employee Type. If Employee Type is selected, select the "Project Effort Report" from the drop-down menu.

Available Status
[Available Options]
Default, Incorrect
Auto Approved
No Certification Required
Manual Certification
No Certification Required, Payroll Pending
Manual Certification, Payroll Pending

Selected Status
[Available Options]

PI:

School / Department:

Expand Search

Date By: ☒ Dates ☐ Employee Type

Dates: Start Date: End Date:

Run Report

Employee Type: [Select]

Period: [Select]

Run Report

Employee Type Options:
Annual
INDIVIDUAL EFFORT REPORT
PROJECT EFFORT REPORTS

When the parameters are entered, select Run Report and the results will appear. The report generates a list of all Project Statements that match the parameters. The results display the Project's Nickname, Project Number, Grant Department, Grant Manager, PI Certifier, PI Department, (Period) Nickname, and the Current Status of the project statement for the period. These results can be exported to EXCEL.

Project Nickname	Project Number	Grant Department	Grant Manager	PI Certifier	PI Department	Nickname	Current Status
GC_10010_GC_1001_Studies on being a Scientist	GC_10010	Vanderbilt Testing	Smith, Tammy - tammysmith	Espinoza, Victor - VictorEspinoza	Vanderbilt Testing	Jun-Aug 2017	Certified
GC_10010_GC_1001_Studies on being a Scientist	GC_10010	Vanderbilt Testing	Smith, Tammy - tammysmith	Espinoza, Victor - VictorEspinoza	Vanderbilt Testing	Sep-Nov 2017	Ready for Certification
GC_10010_GC_1001_Studies on being a Scientist	GC_10010	Vanderbilt Testing	Smith, Tammy - tammysmith	Espinoza, Victor - VictorEspinoza	Vanderbilt Testing	Dec-Feb 2018	Certified

Excel XML PDF RTF



The **Project Status Summary Report** how many Project Statements each department has in the selected statuses. Select any one of the statuses from the Available Status box and move it over to the Selected Status box. Then, enter the date parameters or select Employee Type. If Employee Type is selected, select the "Project Effort Report" from the drop-down menu.

Available Status
[Available Options]
Default, Incorrect
Auto Approved
No Certification Required
Manual Certification
No Certification Required, Payroll Pending
Manual Certification, Payroll Pending

Selected Status
[Available Options]

>
>>
<
<<

PI:

School / Department:

Expand Search

Date By: ☒ Dates ☐ Employee Type

Dates: Start Date: End Date:

Run Report

Date By: ☐ Dates ☒ Employee Type

Employee Type: [Select]

Period: [Select]

Annual
INDIVIDUAL EFFORT REPORT
PROJECT EFFORT REPORTS

Run Report

When the parameters are entered, select Run Report and the results will appear. The Department Name is displayed, followed by the total number of Project Statements in each of the statuses listed in the columns. These results can be exported to EXCEL.

Department Name	Auto Approved	In Progress	Ready for Certification	Certified
Vanderbilt Testing	3	0	1	2

Excel | XML | PDF | RTF



ECRT Support



The new email setup for ECRT Support:

ecrtsupport@Vanderbilt.edu