



# Effort Coordinator Training

Office of Research  
Ecrt Team  
Spring 2020

# Agenda



1. Effort Reporting Overview
2. Ecart Workflow and Basic Information
3. Effort Coordinator: Pre-Review
4. PI/Self- Certifier: Individual Certification
5. PI: Project Certification
6. Effort Coordinator: Post Review (Tasks)
7. Additional Resources (Including Reports)

# Effort Reporting Overview

# Background: Effort Certification



2 CFR 200 (Uniform Guidance) requires KU to have internal controls in place to ensure time expended on sponsored projects is certified.

KU applies Uniform Guidance requirement to all sponsored projects regardless of the funding source. Therefore, effort must be certified for all individuals who receive salary support from a sponsored project or who expend effort on a sponsored project (even if they do not receive salary support from the sponsor.)

Effort Certification is the primary means of verifying that:

- Effort supported (paid) by the project has been performed as promised, and
- Effort expended in support of a project but not paid by the project (cost sharing) has been performed as promised.

# What is Effort?



**The portion of time spent on a given professional activity and expressed as a percentage of the total 100% professional activity for which an individual is employed by KU.**

- The government recognizes that it is a ‘reasonable estimate.’
- Total effort for an individual must equal 100%.
- Effort is not based on a standard (e.g., 40-hour) work week, instead based on whatever was worked.
- ‘100% Effort’ considers all professional activities related to the individual’s appointment (teaching, research, service.) Effort is expressed as a percentage distribution of total effort, and each percentage must reasonably agree with the actual effort devoted to each activity in relation to the employee’s total effort.
- Effort does not include outside activities (e.g., external consulting, additional pay) or voluntary uncommitted cost share (work done on a project that was not committed to a sponsor.)

# Effort Certification at KU



All individuals with effort committed to a sponsored project (both paid with sponsor funding and commit cost share) are required to have a completed effort report and/or project report, per federal regulations and university policy.

KU uses ecrt to ensure all certifications can be completed electronically. Additionally, ecrt allows for us to report on and store certifications.

## Benefits of ecrt

- Login with KU Online ID anywhere you have internet access
- Ecrt will indicate any report that needs the certifiers review and approval

# New HYBRID Model



Effective for the reporting period beginning 6.16.19 (FY20) KU will be moving to a hybrid model for effort reporting.

Ecert will now have two types of effort certification. The first being an 'individual effort statement', which will be how faculty/staff certify 100% of their time during a reporting period. The second being what we will refer to as a 'project statement', which will be used to certify effort expended by our graduate students and temp (UPS/USS) staff.

This hybrid model is being implemented to help our researchers by eliminating the need for PIs to certify non-sponsored funds for graduate students and certain temporary employees. Additionally, it is our hope that the project statements will make it clearer to PIs what effort has been expended on individual projects during a given reporting period.



# Who Certifies?



Effort reports must be certified by the **employee that performed the work** or the **award/project PI for graduate students and temp (UPS/USS) staff**.

PIs are responsible for Certifying their own effort and the effort of graduate students and temp (UPS/USS) staff on their project, as well as ensuring that the faculty and staff on their awards have certified during the certification period.

Faculty and Staff will be required to certify effort for themselves as well as any graduate students and temps employees for which they are responsible for twice annually. Certification periods will be 60 calendar days long.

# What is Recertification?



With our implementation of ecrt in 2016 we were able to address a gap in our previous methods of certifying effort by utilizing what is called recertification.

Rectification is required when a previously certified effort report/project statement is changed by a Retroactive Fund Adjustment (RFA), if the RFA is over our tolerance threshold of 5% change (and \$100) per line.

Certifiers will have 30 calendar days from the time that the effort report/project statement is reopened by the Effort Coordinator to recertify effort.

# Failure to Certify?



The Office of Research reserves the right to impose the following for those who fail to comply with effort certification policy:

- Failure to certify in the 60-day effort certification period or recertify during the 30-day recertification period can result in
  - Pre-Award not submitting proposals for those who have not certified
  - Post Award not setting up awards (NCEs, continuations, etc.) for those that have not certified
- Emails will be sent to remind certifiers that they have outstanding effort reports/project statements during the certification period
- Effort Coordinators and the KU Office of Research will be monitoring certification and will reach out to those who are at risk of noncompliance

# Effort Certification Responsibilities for Faculty and Staff

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- Understand federal requirements related to effort
- Certify effort statements to accurately reflect effort during the effort reporting period
- Review, initiate correction if necessary, and electronically certify their individual effort certifications
- Communicate significant effort changes (over 5% and more than \$100) to their effort coordinator(s)
- Recertify, if effort changes (over 5% and more than \$100) are made after a statement has been certified
- On Federal project, obtain prior approval if disengaged from the project for more than three consecutive months, or effort is reduced more than 25% from the budgeted awarded plan

# Additional Effort Certification

## Responsibilities for PIs

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- Certify project statements to accurately reflect the work of graduate students and temp (UPS/USS) staff during the effort reporting period
- Ensure other faculty and staff appointed to their sponsored projects certify within the (re)certification period(s)

# Effort Certification Responsibilities for Effort Coordinators

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- Understand federal requirements related to effort
- Monitor effort commitments, salary charges, and cost sharing on all applicable awards
- Follow up with faculty, staff, and payroll coordinators to make adjustments as necessary
- Communicate to the Office of Research any changes that require sponsor notification and/or approval
- Review salary charges with faculty and staff, and post any salary distribution updates and/or corrections in a timely manner
- Check effort certification for accuracy during the pre-review period
- Monitor that effort certification are completed within 60 calendar days after release to the certifier and recertifications are completed within 30 calendar days after release to the certifier

# Additional Effort Certification Responsibilities for Coordinators

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## Primary Effort Coordinator

- Each HR department is assigned a single primary effort coordinator, this employee will receive the tasks for the HR department
- Leave notes in the effort reports within the HR department
- Update the certified effort to correctly reflect the effort expended during the reporting period

## Effort Coordinator

- Assigned to specific HR departments
- Leave notes in the effort report within the HR department
- Update the certified effort to correctly reflect the effort expended during the reporting period

# Effort Certification Responsibilities for Office of Research



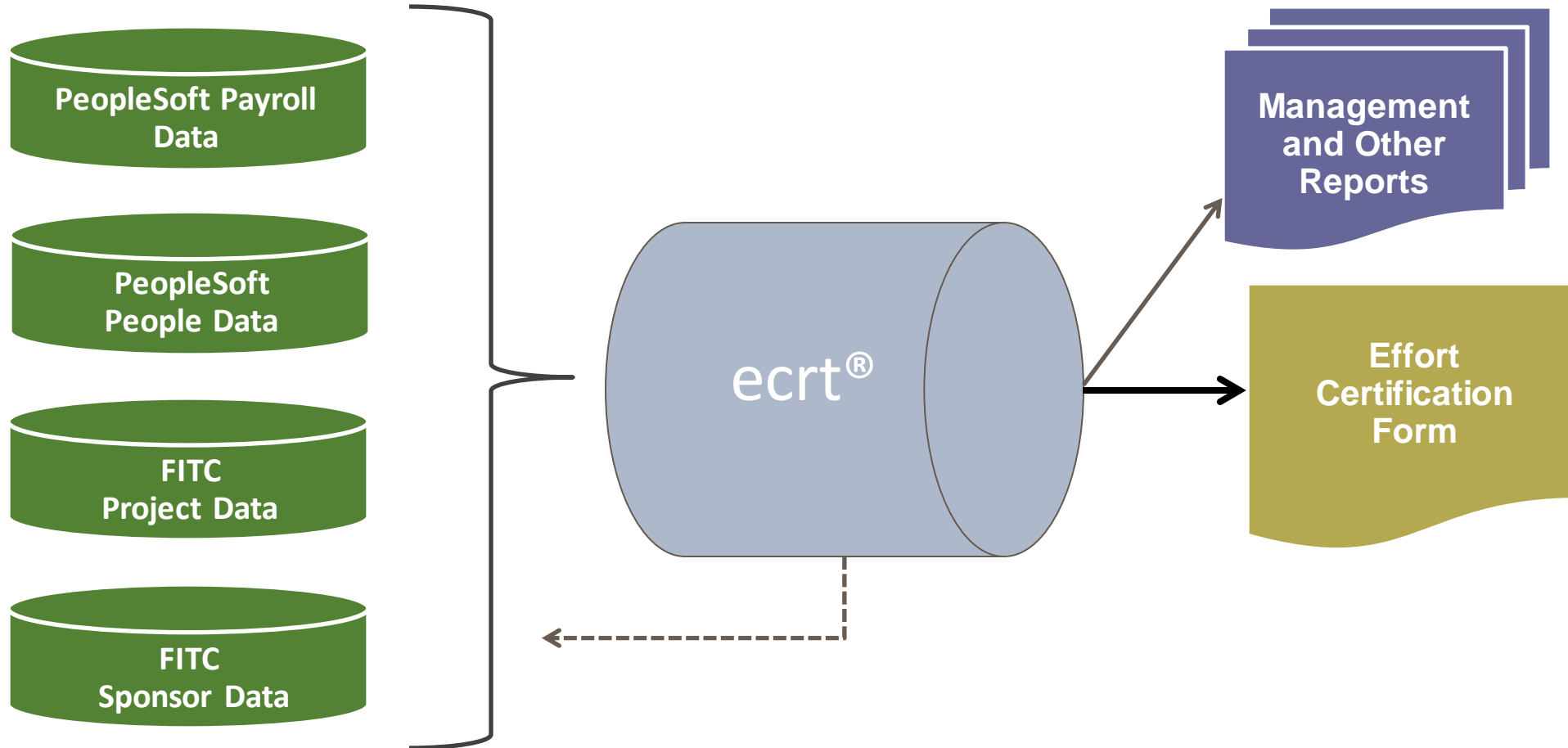
- Answer questions from Effort Coordinators and Certifiers
- Develop and implement effort reporting policies and procedures
- Develop educational programs for all employees involved in the effort certification processes
- Ensure that the effort system produces accurate effort statements and project statements in a timely manner
- Monitor system to ensure compliance
- Monitor the effort process for timely submission and report findings to departments



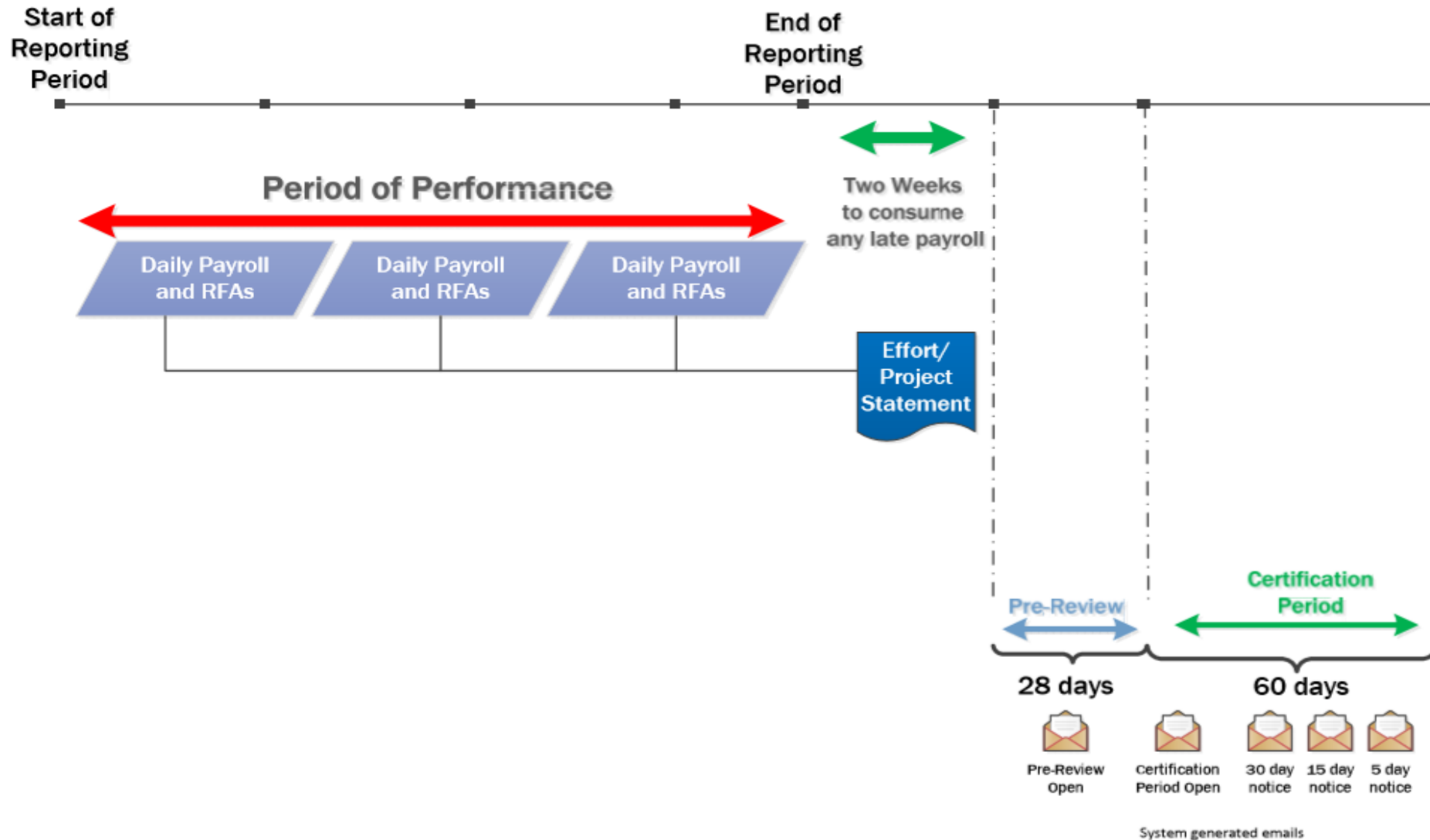
# ecrt Workflow and Basic Information

# ecrt System Overview

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# ecrt Process Overview



# ecrt Basic Information: Navigation

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## System navigation

Use the following URL to navigate to the ecrt

<https://ecrt.ku.edu>

Use your KU Username and password to sign into the system

**KU** | Single Sign-On

Enter your Online ID & Password [What is SSO?](#)

Online ID:

Password:

**LOGIN**

[Forgot your password?](#) | [Change password](#) | [Set up your Online ID](#)

For security reasons, please Log Out and Exit your web browser when you are done accessing services that require authentication!

# ecrt Basic Information: Homepage

## Homepage

**Work List for Effort Coordinator**

Welcome to the **ecrt**® effort reporting system Home Page. 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.

|                                       |                             |                                  |
|---------------------------------------|-----------------------------|----------------------------------|
| Statements Awaiting Certification (0) | Associated Certifiers (156) | Assigned Project Statements (37) |
|---------------------------------------|-----------------------------|----------------------------------|

**Project Certifications Instructions**

Top of Page [Associated Project Certifications \(View Only\)](#)

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

**Associated Project Certifications (View Only)**

Top of Page [Project Certifications Instructions](#)

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

The **Home Page** serves as an entry point to all the system functions and provides links to a variety of resources to assist users with effort reporting.

The home page present the Effort Coordinator with up to 4 tabs of information, depending on their access.

# ecrt Basic Info: Statements Waiting



## Work List for Effort Coordinator ?

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Statements Awaiting Certification (0)    Associated Certifiers (156)    Assigned Project Statements (37)

## Project Certifications Instructions

[Top of Page](#)    [Associated Project Certifications \(View Only\)](#)

| Project Title | Subactivity Title | Sponsor | Period | Due Date | Status | Staff |
|---------------|-------------------|---------|--------|----------|--------|-------|
|---------------|-------------------|---------|--------|----------|--------|-------|

There are no Project statements associated with you

## Associated Project Certifications (View Only)

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

| Project Title | Subactivity Title | Sponsor | Period | Due Date | Status | Staff |
|---------------|-------------------|---------|--------|----------|--------|-------|
|---------------|-------------------|---------|--------|----------|--------|-------|

There are no Project statements associated with you

The **Statements Awaiting Certification** tab contains individual and project statements that the Effort Coordinator is responsible for certifying.

As an Effort Coordinator, you will only be able to certify YOUR OWN effort statement (if applicable). IF you do not have an effort statement, this list will be empty.

# ecrt Basic Information: Associated

## Home Page – Associated Certifier Tab

### Work List for Effort Coordinator

Welcome to the **ecrt**® effort reporting system Home Page. 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.

| Statements Awaiting Certification (0) |                                    |                       |            |      |                                |    | Associated Certifiers (156) |                                    |                       |            |      |                                |    | Assigned Project Statements (37) |                                    |                       |            |      |                                |    |
|---------------------------------------|------------------------------------|-----------------------|------------|------|--------------------------------|----|-----------------------------|------------------------------------|-----------------------|------------|------|--------------------------------|----|----------------------------------|------------------------------------|-----------------------|------------|------|--------------------------------|----|
| Statement Owner                       | Department                         | Period                | Due Date   | Type | Status                         | PI | Statement Owner             | Department                         | Period                | Due Date   | Type | Status                         | PI | Statement Owner                  | Department                         | Period                | Due Date   | Type | Status                         | PI |
| Employee A                            | 2112000-2112000 Chemistry          | Student 6.7.18-12...  | 04/11/2019 | Base | ⊗ Not Certified, Not Processed | ●  | Employee A                  | 2112000-2112000 Chemistry          | Student 12.30.18-...  | 09/26/2019 | Base | ⊗ Not Certified, Not Processed | ●  | Employee A                       | 2112000-2112000 Chemistry          | Student 6.7.18-12...  | 04/11/2019 | Base | ⊗ Not Certified, Not Processed | ●  |
|                                       |                                    | Student 12.30.18-...  | 09/26/2019 | Base | ⊗ Not Certified, Not Processed | ●  |                             |                                    | Student 12.30.18-...  | 09/26/2019 | Base | ⊗ Not Certified, Not Processed | ●  |                                  |                                    |                       |            |      |                                |    |
| Employee B                            | 2112000-2112000 Chemistry          | Student 6.7.18-12...  | 04/11/2019 | Base | ⊗ Not Certified, Not Processed | ●  | Employee B                  | 2112000-2112000 Chemistry          | Student 6.7.18-12...  | 04/11/2019 | Base | ⊗ Not Certified, Not Processed | ●  | Employee B                       | 2112000-2112000 Chemistry          | Student 12.30.18-...  | 09/26/2019 | Base | ⊗ Not Certified, Not Processed | ●  |
|                                       |                                    | Student 12.30.18-...  | 09/26/2019 | Base | ⊗ Not Certified, Not Processed | ●  |                             |                                    | Student 12.30.18-...  | 09/26/2019 | Base | ⊗ Not Certified, Not Processed | ●  |                                  |                                    |                       |            |      |                                |    |
| Employee C                            | 2112000-2112000 Chemistry          | Student 11.5.17-6.... | 09/27/2018 | Base | ⊗ Not Certified, Not Processed | ●  | Employee C                  | 2112000-2112000 Chemistry          | Student 11.5.17-6.... | 09/27/2018 | Base | ⊗ Not Certified, Not Processed | ●  | Employee C                       | 2112000-2112000 Chemistry          | Student 11.5.17-6.... | 09/27/2018 | Base | ⊗ Not Certified, Not Processed | ●  |
| Employee D                            | 2112000-2112000 Chemistry          | Fac/Staff 6.16.19-... | 05/07/2020 | Base | ⊙ Ready for Pre Review         | ●  | Employee D                  | 2112000-2112000 Chemistry          | Fac/Staff 6.16.19-... | 05/07/2020 | Base | ⊙ Ready for Pre Review         | ●  | Employee D                       | 2112000-2112000 Chemistry          | Fac/Staff 6.16.19-... | 05/07/2020 | Base | ⊙ Ready for Pre Review         | ●  |
| Employee E                            | 2112000-2112000 Chemistry          | Fac/Staff 6.18.17-... | 04/02/2018 | Base | ⊗ Not Certified, Not Processed | ●  | Employee E                  | 2112000-2112000 Chemistry          | Fac/Staff 6.18.17-... | 04/02/2018 | Base | ⊗ Not Certified, Not Processed | ●  | Employee E                       | 2112000-2112000 Chemistry          | Fac/Staff 11.5.17-... | 09/27/2018 | Base | ⊗ Not Certified, Not Processed | ●  |
|                                       |                                    | Fac/Staff 11.5.17-... | 09/27/2018 | Base | ⊗ Not Certified, Not Processed | ●  |                             |                                    | Fac/Staff 11.5.17-... | 09/27/2018 | Base | ⊗ Not Certified, Not Processed | ●  |                                  |                                    |                       |            |      |                                |    |
| Employee F                            | 2112000-2112000 Chemistry          | Fac/Staff 6.16.19-... | 05/07/2020 | Base | ⊙ Ready for Pre Review         | ●  | Employee F                  | 2112000-2112000 Chemistry          | Fac/Staff 6.16.19-... | 05/07/2020 | Base | ⊙ Ready for Pre Review         | ●  | Employee F                       | 2112000-2112000 Chemistry          | Fac/Staff 6.16.19-... | 05/07/2020 | Base | ⊙ Ready for Pre Review         | ●  |
| Employee G                            | 2300000-2300000 Office of Research | Fac/Staff 6.16.19-... | 05/07/2020 | Base | ⊙ Ready for Pre Review         | ●  | Employee G                  | 2300000-2300000 Office of Research | Fac/Staff 6.16.19-... | 05/07/2020 | Base | ⊙ Ready for Pre Review         | ●  | Employee G                       | 2300000-2300000 Office of Research | Fac/Staff 6.16.19-... | 05/07/2020 | Base | ⊙ Ready for Pre Review         | ●  |
| Employee H                            | 2112000-2112000 Chemistry          | Student 12.30.18-...  | 09/26/2019 | Base | ⊗ Not Certified, Not Processed | ●  | Employee H                  | 2112000-2112000 Chemistry          | Student 12.30.18-...  | 09/26/2019 | Base | ⊗ Not Certified, Not Processed | ●  | Employee H                       | 2112000-2112000 Chemistry          | Student 12.30.18-...  | 09/26/2019 | Base | ⊗ Not Certified, Not Processed | ●  |



The **Associated Certifier** tab displays any statement related to the logged on Effort Coordinator that is in a Not Certified status.

This page will also be utilized during pre-review to display any statements associated to the logged on Effort Coordinator that is Ready for Pre Review.

# ecrt Basic Information: Assigned

## Assigned Project Statements Tab

### Work List for Effort Coordinator

Welcome to the **ecrt**® effort reporting system Home Page. 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.

| Statements Awaiting Certification (0) | Associated Certifiers (156) | Assigned Project Statements (37) |                        |                   |               |                      |       |
|---------------------------------------|-----------------------------|----------------------------------|------------------------|-------------------|---------------|----------------------|-------|
| Principal Investigator                | Project Title               | Subactivity Title                | Account Number         | Sponsor Name      | Period        | Status               | Staff |
| Barybin, Mikhail Viktorovich          | Design of oligozulene-b...  | 1000488                          | 2112000-908-1000488    | NATIONAL SCIE...  | Staff 6.16... | Ready for Pre Review | ●     |
| Blakemore, James David                | Electrochemical and Sp...   | 1000055                          | 2990000-908-1000055    | CHEVRON PHILL...  | Staff 6.16... | Ready for Pre Review | ●     |
| Blakemore, James David                | RII Track-4: Pulse Radio... | 1000584                          | 2112000-908-1000584    | NATIONAL SCIE...  | Staff 6.16... | Ready for Pre Review | ●     |
| Blakemore, James David                | Uranyl Capture and Acti...  | 1000516                          | 2112000-908-1000516    | US DEPARTMEN...   | Staff 6.16... | Ready for Pre Review | ●     |
| Caricato, Marco                       | Ab Initio Machine Learni... | 1000837                          | 2990000-908-1000837    | US DEPARTMEN...   | Staff 6.16... | Ready for Pre Review | ●     |
| Caricato, Marco                       | NSF0075196-CAREER:...       | NSF0075196                       | 2112000-908-NSF0075... | NATIONAL SCIE...  | Staff 6.16... | Ready for Pre Review | ●     |
| Desaire, Heather R                    | Mass Spectrometry Mea...    | 1000930                          | 2112000-908-1000930    | NATIONAL INSTI... | Staff 6.16... | Ready for Pre Review | ●     |
| Hanson, Paul R                        | Synthetic Targets and C...  | 1001197                          | 2112000-968-1001197    | ASPIRA CHEMICAL   | Staff 6.16... | Ready for Pre Review | ●     |
| Jackson, Timothy A                    | FED0075529-Mechanist...     | FED0075529                       | 2112000-908-FED0075... | US DEPARTMEN...   | Staff 6.16... | Ready for Pre Review | ●     |



The **Assigned Project Statements** tab displays any project statement related to the logged on Effort Coordinator that is in a Not Certified status.

This page will also be utilized during pre-review to display any project statements associated to the logged on Effort Coordinator that is Ready for Pre Review.



# ecrt Basic Information

## Menu Bar



The screenshot shows the top navigation area of the ecrt system. On the left is the KU logo. To its right is a search bar with the placeholder text "Enter Search Criteria" and a magnifying glass icon. Further right is a user greeting "Hello," followed by a dropdown arrow. Below these elements is a dark blue menu bar with tabs for "Home", "Certify", "Manage", "Reports", and "Links". A red arrow points to the "Links" tab. Underneath the menu bar is a light blue bar containing "Look-up" and "Department Dashboard" with an upward-pointing arrow. The main content area features a "Work List for" section with a help icon. Below this is a welcome message: "Welcome to the ecrt® effort reporting system Home Page. 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." At the bottom of this section are three tabs: "Statements Awaiting Certification (0)", "Associated Certifiers (156)", and "Assigned Project Statements (37)".

The Menu Bar towards the top of the page contains links to other pages in the system to which the Effort Coordinator has access.

This Menu Bar can be accessed from any page in the system.

*In the resource section of this presentation you will find a table defining the purpose of menu selections available to you.*

# ecrt Basic Information: Help

## Online Help

Look-up Department Dashboard

**Work List for**

Welcome to the **ecrt**® effort reporting system Home Page. 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.

Statements Awaiting Certification (0)    Associated Certifiers (156)    Assigned Project Statements (37)

Most screens contain a help icon available in the upper right portion of the page.

Clicking this button will bring up a separate window containing help on the system. This is a general help guide, if the Effort Coordinator has specific KU process question, contact the Central Administrator at [ecrt@ku.edu](mailto:ecrt@ku.edu)

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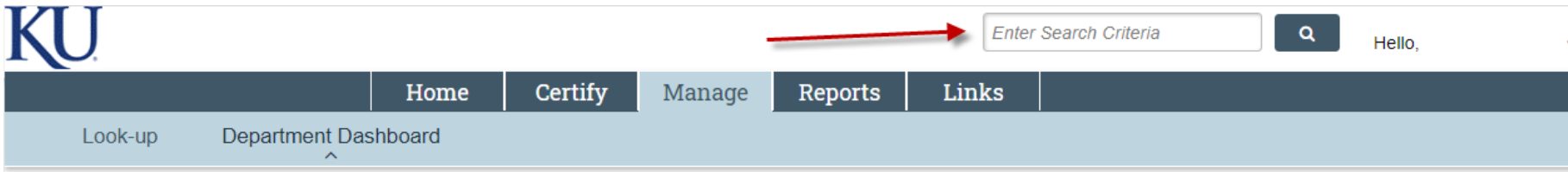
**ecrt**®  
a Huron solution

ecrt® IQ Tool & Data Model Help File

Version 5

# ecrt Basic Information: Search

## Search Bar and Lookup Page



The Effort Coordinator can search for an employee, account or department.

### Look-up Page

The Look-Up page allows you to search for Employee, Award(s), Chart String(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 Award and Chart String. 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 Award/Chart String Summary page. The Award/Chart String 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:  |
|--|
| <a href="#">Black Kevin Lewis</a> - [REDACTED]         |
| <a href="#">Black Melinda Ann</a> - [REDACTED]         |
| <a href="#">Strange April M Blackmon</a> - [REDACTED]  |
| <a href="#">Black Mariah Nicole</a> - [REDACTED]       |
| <a href="#">Blackman Abigail Louise</a> - [REDACTED]   |
| <a href="#">Blackburn Rachel Eliza</a> - [REDACTED]    |
| <a href="#">Black Ross A.</a> - [REDACTED]             |
| <a href="#">Black Rebecca D.</a> - [REDACTED]          |
| <a href="#">Blackman Perrin</a> - [REDACTED]           |
| <a href="#">Blackburn Pamela Lynn</a> - [REDACTED]     |
| <a href="#">Black Jr Wayne Le Marc</a> - [REDACTED]    |
| <a href="#">Blackwell Brianna Lindsay</a> - [REDACTED] |
| <a href="#">Blackburn Kelly Kathleen</a> - [REDACTED]  |
| <a href="#">Black Elizabeth D.</a> - [REDACTED]        |

| Department:                    |
|--------------------------------|
| <i>No search results found</i> |

| Active Award / Chart String:   |
|--------------------------------|
| <i>No search results found</i> |

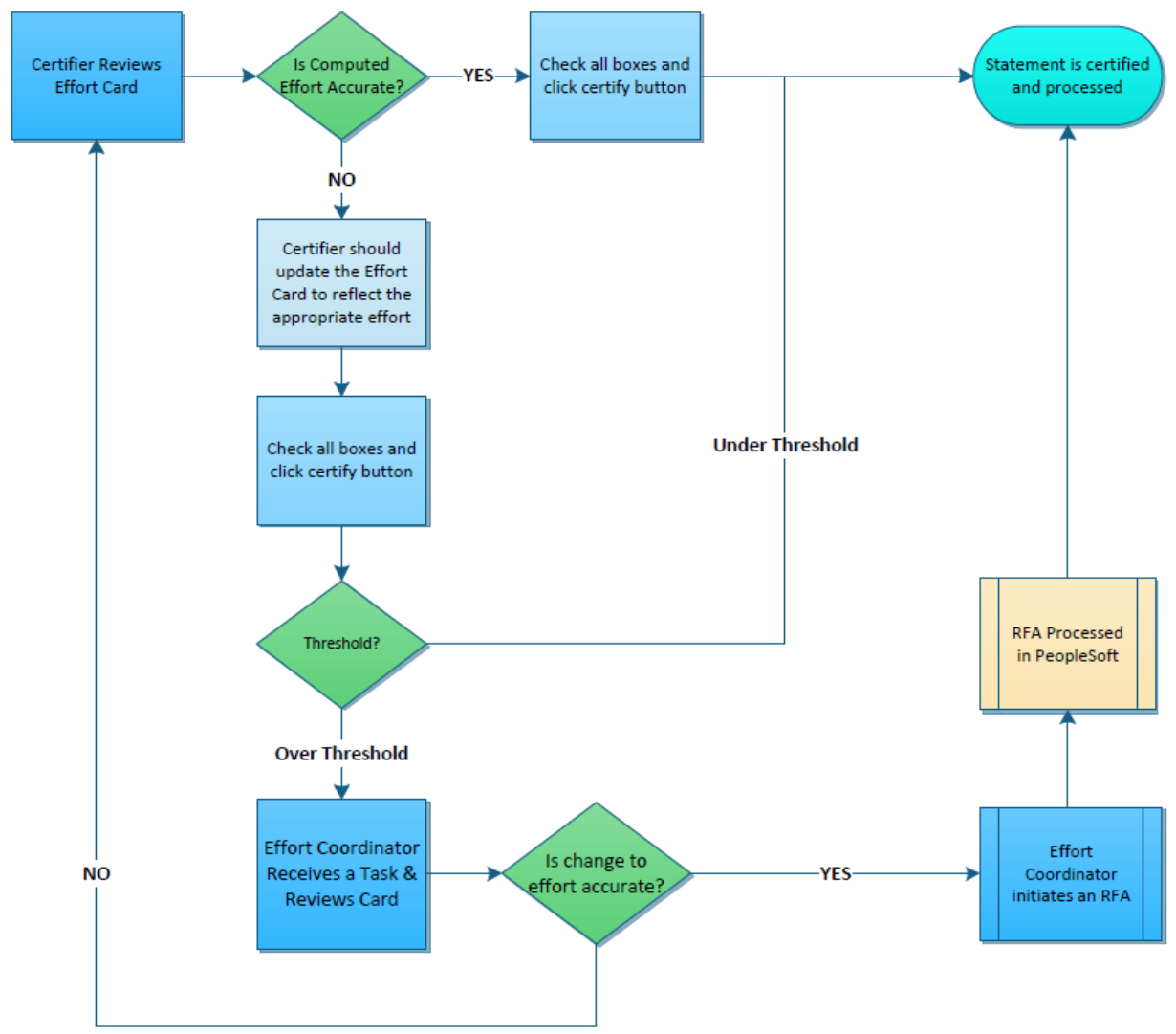
| Inactive Award / Chart String:  |
|---|
| <a href="#">2115000-908-FED0072526 - Dont Deny My voice II: E</a>         |
| <a href="#">2115000-099-FED0073478-CS-PI - FED0073478-<b>Black</b></a>    |
| <a href="#">2115000-908-1000282-PI - <b>Black</b> Book Interactive Pr</a> |
| <a href="#">2115000-908-FED0073478 - FED0073478-<b>Black</b> Boc</a>      |
| <a href="#">2115000-908-1000282 - <b>Black</b> Book Interactive Proje</a> |
| <a href="#">2115000-099-FED0073478-CS - FED0073478-<b>Black</b></a>       |
| <a href="#">2115000-908-FED0072526-PI - Dont Deny My voice I</a>          |

If an item searched for has multiple results, the lookup page will automatically open to display all possible results from which the employee can pick.

Additionally, you can navigate directly to the Lookup page using the Navigation bar *Manage / Look Up*

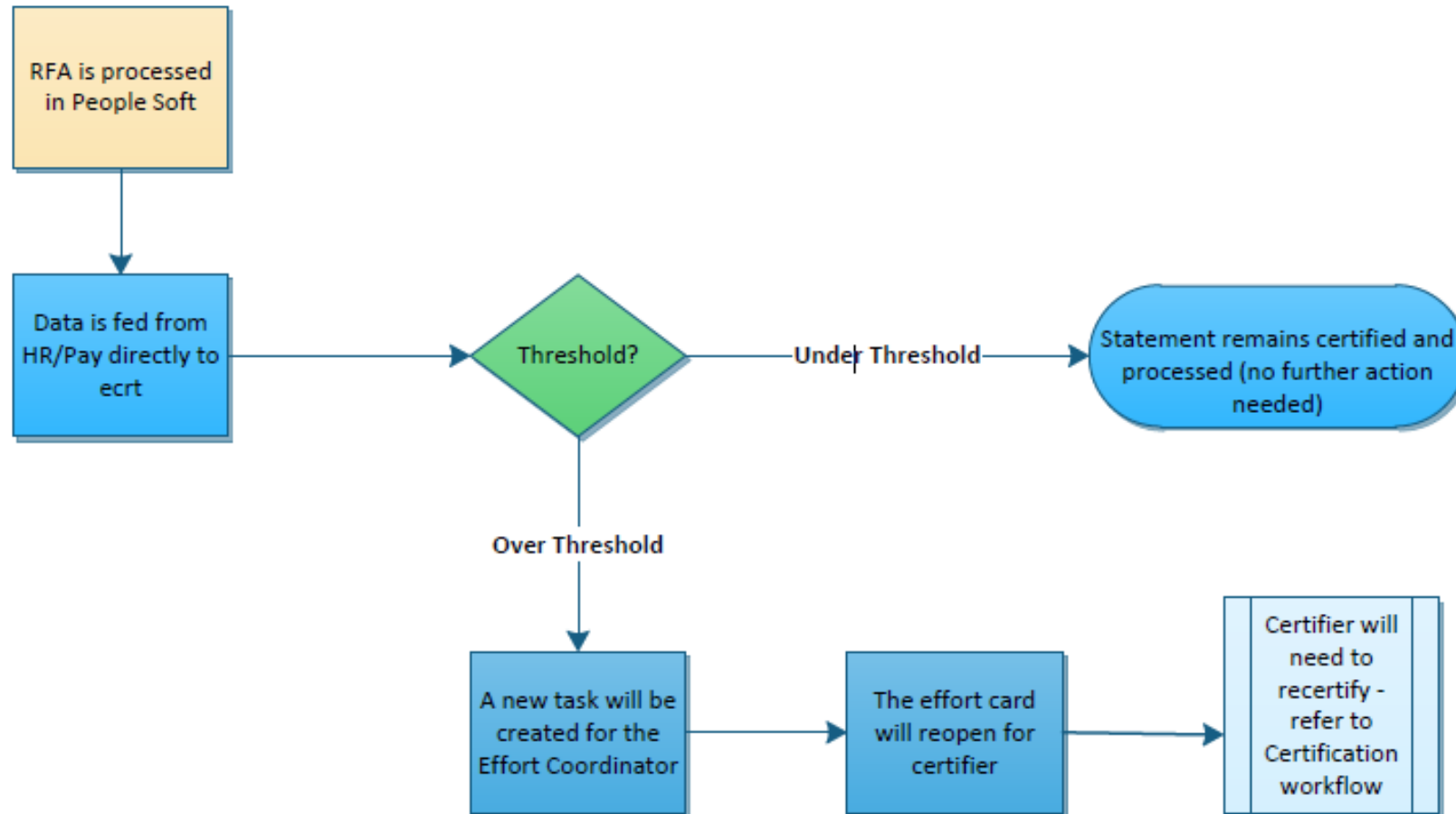
# ecrt Process Flow - Certification

.....  
ecrt Certification Workflow



# ecrt Process Flow - Recertification

## ecrt Recertification Workflow



# Effort Coordinator: Pre-Review

# What is Pre-Review?



With our upgrade to ecrt version six, we have decided to formalize the pre-review period. This means that effort coordinators will need to move statements from the status of 'Ready for Pre-Review' to 'Pre-Reviewed' prior to the statement being available to the certifiers in the certification period.

- This change will ensure that all statements are reviewed prior to being seen by the certifier.
  - This affords Effort Coordinators the opportunity to update the effort statement/project statements to reflect any RFAs that are already in process or that after your review you deem, as necessary. This saves our certifiers the need to potentially certify multiple times.
- Employees will no longer see building statements in ecrt. You can confirm what an employee's building effort looks like using the PAAG report in OAC.

# Additional Pre-Review Details

An additional benefit of moving to a formalized pre-review, is how you will now access statements requiring your review. Instead of having to utilize the department dashboard to find statements that may require pre-review, the statements will not instead be listed on your home page, under the Associated Certifiers and Assigned Project Statements tabs.

| Statements Awaiting Certification |                    | Associated Certifiers (156) |            | Assigned Project Statements |                      |    |  |
|-----------------------------------|--------------------|-----------------------------|------------|-----------------------------|----------------------|----|--|
| Statement Owner                   | Department         | Period                      | Due Date   | Type                        | Status               | PI |  |
| 2112000-2112000                   | Chemistry          | Fac/Staff 6.16.19-...       | 05/07/2020 | Base                        | Ready for Pre Review | ●  |  |
| 2112000-2112000                   | Chemistry          | Fac/Staff 6.16.19-...       | 05/07/2020 | Base                        | Ready for Pre Review | ●  |  |
| 2300000-2300000                   | Office of Research | Fac/Staff 6.16.19-...       | 05/07/2020 | Base                        | Ready for Pre Review | ●  |  |

| Statements Awaiting Certification |                             | Associated Certifiers (156) |                     | Assigned Project Statements (37) |                |                      |       |
|-----------------------------------|-----------------------------|-----------------------------|---------------------|----------------------------------|----------------|----------------------|-------|
| Principal Investigator            | Project Title               | Subactivity Title           | Account Number      | Sponsor Name                     | Period         | Status               | Staff |
|                                   | Design of oligozulene-b...  | 1000488                     | 2112000-908-1000488 | NATIONAL SCIE...                 | Staff 6.16.... | Ready for Pre Review | ●     |
|                                   | Electrochemical and Sp...   | 1000055                     | 2990000-908-1000055 | CHEVRON PHILL...                 | Staff 6.16.... | Ready for Pre Review | ●     |
|                                   | RII Track-4: Pulse Radio... | 1000584                     | 2112000-908-1000584 | NATIONAL SCIE...                 | Staff 6.16.... | Ready for Pre Review | ●     |



# Pre-Review: Individual Effort Statements Work List

## [-] Effort Statement Instructions

The screenshot displays a software interface with two main windows. The left window, titled 'Work List', is highlighted with a red border. It features a search bar and a list of individuals. The right window shows a detailed view for 'Barybin, Mikhail Viktorovich', including a tree view of effort statements and a status indicator.

**Work List Window:**

- Statements Requiring Certification
- Barybin, Mikhail Viktorovich 2112000 Chemistry
- Ready for Pre Review
- Pre Reviewed
- Recently Completed

**Individual View Window:**

- Barybin, Mikhail Viktorovich - [Redacted]
- Statement Owner ★
- Effort Statements ★
  - Needing certification
  - Ready for Pre Review ★
    - Base 5/7/2020 Ready for Pre Review
    - Pre Reviewed
    - Historical ★

**Footer:** Barybin, Mikhail Viktorovich - [Redacted] (Faculty/Staff) Base Effort Period: 06/16/2019 to 12/28/2019 Status: Ready for Pre Review

An individual's certification page is made up of 3 windows. The top left window is the **Work List** - this will list the name of any individual who the Certifier is responsible for certifying apart from any project statements.

# Pre-Review: Individual Effort Statements Details

## [-] Effort Statement Instructions

The screenshot displays a web application interface for managing effort statements. It is divided into two main panels. The left panel, titled 'Work List', shows a search bar and a list of individuals. The right panel, titled 'Barybin, Mikhail Viktorovich - [redacted]', provides detailed information for the selected individual, including a navigation menu and a list of effort statements.

**Work List Panel:**

- Search bar: Search...
- Individual: Barybin, Mikhail Viktorovich (2112000 Chemistry)
- Filters: Ready for Pre Review, Pre Reviewed, Recently Completed

**Individual Details Panel:**

- Statement Owner: [redacted]
- Effort Statements:
  - Needing certification
  - Ready for Pre Review
    - Base (5/7/2020) - Ready for Pre Review
  - Pre Reviewed
  - Historical

**Footer:** Barybin, Mikhail Viktorovich - [redacted] (Faculty/Staff) Base Effort Period: 06/16/2019 to 12/28/2019 Status: Ready for Pre Review

The top right window populates with information specific to that individual.

In addition to some basic information on the individual, you can see any statements needing certification, ready for pre-review, pre-reviewed, and historical (previously certified/auto approved)

# Pre-Review: Individual Effort Statements

## Display Criteria

Barybin, Mikhail Viktorovich - ██████████ (Faculty/Staff) Base Effort Period: 06/16/2019 to 12/28/2019 Status: Ready for Pre Review

**WARNING - You cannot certify this Effort Statement because you do not have the right to certify Statements.**

Refresh Print \$ Value Add Chart String

| Chart Strings   | Computed Effort | Certified Effort                  | Certify? |
|---|-----------------|-----------------------------------|----------|
| <b>Sponsored</b>                                      |                 |                                   |          |
| 2112000-908-1000488-PI Design of oligozulene-based or | 1 %             | <input type="text" value="1"/> %  |          |
| <b>Sponsored Total:</b>                               | 1%              | 1%                                |          |
| <b>Non Sponsored</b>                                  |                 |                                   |          |
| 2112000-099 CHEM Chemistry                            | 89 %            | <input type="text" value="89"/> % |          |
| 2112000-725-34273X CHEM Chemistry                     | 10 %            | <input type="text" value="10"/> % |          |
| <b>Non Sponsored Total:</b>                           | 99%             | 99%                               |          |
| <b>Grand Total:</b>                                   | 100%            | 100%                              |          |

Get Help Pre Review Save

The system will automatically display the most recent open statement of the individual. Note: With ecrt v6 we have chosen to take effort reporting to the whole number.

# Pre-Review: Individual Effort Statements

## Notes

|                                   |      |                                   |
|-----------------------------------|------|-----------------------------------|
| <b>Sponsored Total:</b>           | 1%   | 1%                                |
| <b>Non Sponsored</b>              |      |                                   |
| 2112000-099 CHEM Chemistry        | 89 % | <input type="text" value="89 %"/> |
| 2112000-725-34273X CHEM Chemistry | 10 % | <input type="text" value="10 %"/> |
| <b>Non Sponsored Total:</b>       | 99%  | 99%                               |
| <b>Grand Total:</b>               | 100% | 100%                              |

Get Help

Notes +

Create New Note

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

Save Note

Pre Review Save

As an Effort Coordinator you can add notes that might be useful to the Certifier during your review of the statement. To add a note; click on the **Notes** icon at the bottom of the statement. After the Effort Coordinator enters text and clicks **Save Note**, the note can be viewed by expanding the **Notes** section

# Changing Effort Distribution



Barybin, Mikhail Viktorovich - ██████████ (Faculty/Staff) Base Effort Period: 06/16/2019 to 12/28/2019 Status: Ready for Pre Review

**WARNING - You cannot certify this Effort Statement because you do not have the right to certify Statements.**

| Chart Strings   | Computed Effort | Certified Effort                  | Certify? |
|---|-----------------|-----------------------------------|----------|
| <b>Sponsored</b>                                      |                 |                                   |          |
| 2112000-908-1000488-PI Design of oligozulene-based or | 1 %             | <input type="text" value="1"/> %  |          |
| <b>Sponsored Total:</b>                               | 1%              | 1%                                |          |
| <b>Non Sponsored</b>                                  |                 |                                   |          |
| 2112000-099 CHEM Chemistry                            | 89 %            | <input type="text" value="89"/> % |          |
| 2112000-725-34273X CHEM Chemistry                     | 10 %            | <input type="text" value="10"/> % |          |
| <b>Non Sponsored Total:</b>                           | 99%             | 99%                               |          |
| <b>Grand Total:</b>                                   | 100%            | 100%                              |          |

Get Help Pre Review Save

If during Pre-review you identify that an RFA is either in process or needed you should update the effort statement so that it reflects how effort will look once the RFA is processed.

Change the effort % in the certified effort column and hit save.

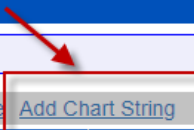
# Adding a Chart String



Barybin, Mikhail Viktorovich - 1287109 (Faculty/Staff)    Base Effort Period: 06/16/2019 to 12/28/2019    Status: Ready for Pre Review

**WARNING** - You cannot certify this Effort Statement because you do not have the right to certify Statements.

| Chart Strings  | Computed Effort | Cerified Effort                  | Cerify?                  |
|--|-----------------|----------------------------------|--------------------------|
| Sponsored<br>2112000-908-1000488-PI Design of oligozulene-based or | 1 %             | <input type="text" value="1"/> % | <input type="checkbox"/> |



Add Chart String close

Please select the Chart String you would like to add:

Chart String:

Active     Inactive

- 2142000-908-1000343-PI - Novel Computational Mathematic
- 2112000-908-1000017 - Improved Informatics for Epito
- 2930000-908-1000336-PI - Examining Native Language Vari
- 2105000-918-1000804-PI - 918 CS - Cost share for projec
- 2151000-908-FED30210 - FED30210-Research in Heavy-Ion
- 2940000-908-1000599-PI - Center for Remote Sensing of S
- 2151000-725-39574X - PHSX Physics and Astronomy
- 2970000-908-1000019 - O-GlcNAcylation of Ewing sarco
- 2250000-908-1000069-PI - Biodiverse Built Environments:
- 2100000-700 - CLAS College of LA&S

If during Pre-review you identify that an RFA is either in process or needed to add the individual to a source of funding that isn't currently listed, Effort Coordinators can add a 'new' chart string by selecting the **Add Chart String link**. Enter the chart string\*, click submit, and the page will refresh. The individual will be able to certify effort on that chart string

\*Note: Effort Coordinators can only add chart strings which belong to departments with which they are associated. If you need to add a chart string and it doesn't appear for you email [ecrt@ku.edu](mailto:ecrt@ku.edu) for the chart string to be added by the central admin.

# Pre-Reviewed Certificate Page

**Work List**

- Statements Requiring Certification
- Barybin, Mikhail Viktorovich 2112000 Chemistry
- Ready for Pre Review
- Pre Reviewed
- Recently Completed

**Barybin, Mikhail Viktorovich**

- Statement Owner
- Effort Statements
  - Needing certification
  - Ready for Pre Review
    - Base 5/7/2020 **Ready for Pre Review**
  - Pre Reviewed
  - Historical

**Barybin, Mikhail Viktorovich** (Faculty/Staff) Base Effort Period: 06/16/2019 to 12/28/2019 Status: Ready for Pre Review

**WARNING** - You cannot certify this Effort Statement because you do not have the right to certify Statements.

| Chart Strings   | Computed Effort | Certified Effort | Certify?                 |
|---|-----------------|------------------|--------------------------|
| <b>Sponsored</b>                                      |                 |                  |                          |
| 2112000-908-1000488-PI Design of oligozulene-based or | 1 %             | 1 %              | <input type="checkbox"/> |
| <b>Sponsored Total:</b>                               | 1%              | 1%               |                          |
| <b>Non Sponsored</b>                                  |                 |                  |                          |
| 2112000-099 CHEM Chemistry                            | 89 %            | 89 %             | <input type="checkbox"/> |
| 2112000-725-34273X CHEM Chemistry                     | 10 %            | 10 %             | <input type="checkbox"/> |
| <b>Non Sponsored Total:</b>                           | 99%             | 99%              |                          |
| <b>Grand Total:</b>                                   | 100%            | 100%             |                          |

Get Help **Pre Review** Save

Once you have reviewed the statement and made any known adjustments for pending and/or requested RFAs you will hit the Pre Review button.

NOTE: Statements must be in a Pre Reviewed status prior to the start of the certification period, for certifiers to have access to certify them. Delays in completing the Pre Review will limit the amount of time certifiers have to complete certification.

# Pre-Reviewed Status Change

**Work List**

Statements Requiring Certification Search...

Barybin, Mikhail Viktorovich 2112000 Chemistry

Ready for Pre Review

Pre Reviewed

Recently Completed

**Barybin, Mikhail Viktorovich** - [Redacted]

- ▶ Statement Owner ★
- ▶ Effort Statements ★
  - ▶ Needing certification
  - ▶ Ready for Pre Review
  - ▶ Pre Reviewed ★
    - Base 5/7/2020 ▶ Pre Reviewed
  - ▶ Historical ★

Barybin, Mikhail Viktorovich [Redacted] (Faculty/Staff) Base Effort Period: 06/16/2019 to 12/28/2019 Status: Pre Reviewed

| Chart Strings   | Computed Effort | Certified Effort | Certify? ★ |
|---|-----------------|------------------|------------|
| <b>Sponsored</b>                                      |                 |                  |            |
| 2112000-908-1000488-PI Design of oligozulene-based or | 1 % \$          | 1 %              |            |
| <b>Sponsored Total:</b>                               | 1%              | 1%               |            |
| <b>Non Sponsored</b>                                  |                 |                  |            |
| 2112000-099 CHEM Chemistry                            | 89 % \$         | 89 %             |            |
| 2112000-725-34273X CHEM Chemistry                     | 10 % \$         | 10 %             |            |
| <b>Non Sponsored Total:</b>                           | 99%             | 99%              |            |
| <b>Grand Total:</b>                                   | 100%            | 100%             |            |

[Get Help](#)

Once you have hit the Pre Review button the statements status will change to Pre Reviewed.



# Pre-Review: Project Statements

## Certification Page for Project Statements

### [+] Project Certifications Instructions Instructions ?

To certify a project statement, type the percent of effort that each person worked on each project during the certification period in the box provided. Then click each of the certify checkboxes and press the Certify button. Finally, all certification data must be entered as a whole number (i.e. 10).

The screenshot displays the Project Certifications interface. On the left, a 'Work List' panel is highlighted with a red border. It shows a list of project PIs: Barybin, Mikhail Viktorovich (Ready for Certification), Ready for Pre Review (starred), and Blakemore, James David. The 'Ready for Pre Review' section is expanded to show a project entry: 2112000-908-1000488 - Design of oligozulene-based o... Staff 6.16.19-... On the right, a 'Project Information' panel is shown for the selected project, 2112000-908-1000488 - Design of oligozulene-based or. It lists the following details:

| Project Information   |   |
|-----------------------|---|
| Project Org:          | 2112000 - CHEM CHEMISTRY                            |
| PI HR Dept:           | 2112000 - 2112000 Chemistry                         |
| Project Title:        | Design of oligozulene-based organometallics for ... |
| Fund Description:     | 908 - SPONSORED RESEARCH                            |
| Project Dates:        | 08/01/2018 to 07/31/2021                            |
| Sponsor Award Number: | CHE-1808120   |

Similar to the Individual Effort Statement, the Project statement is comprised of 3 parts. The first being the **Work List** – this section will list the project PI of record, as well as other key project information.

# Pre-Review: Project Statements, Specific Details

## [+] Project Certifications Instructions Instructions

To certify a project statement, type the percent of effort that each person worked on each project during the certification period in the box provided. Then click each of the certify checkboxes and press the Certify button. Finally, all certification data must be entered as a whole number (i.e. 10).

**Work List**

- ▼ Barybin, Mikhail Viktorovich - [REDACTED]
  - Ready for Certification
  - Pre Reviewed
  - ▼ Ready for Pre Review ★
    - 2112000-908-1000488 Design of oligozulene-based o... Staff 6.16.19-...
- ▶ Blakemore, James David - [REDACTED]
- ▶ Caricato, Marco - [REDACTED]

**2112000-908-1000488 - Design of oligozulene-based or**

Project Information

|                       |   |
|-----------------------|---|
| Project Org:          | 2112000 - CHEM CHEMISTRY                            |
| PI HR Dept:           | 2112000 - 2112000 Chemistry                         |
| Project Title:        | Design of oligozulene-based organometallics for ... |
| Fund Description:     | 908 - SPONSORED RESEARCH                            |
| Project Dates:        | 08/01/2018 to 07/31/2021                            |
| Sponsor Award Number: | CHE-1808120   |

The top right hand corner contains more specific information related to the project.

# Pre-Review: Project Statements, Grad Students and Temps

Project Statement for 2112000-908-1000488: Design of oligozulene-based organometallics for... Effort from 6/16/2019 to 12/28/2019; Status: Ready for Pre Review

| Employee                           | Department                         | Payroll Dollars | Certified Percentage | Certify?                 | Action        |
|------------------------------------|------------------------------------|-----------------|----------------------|--------------------------|---------------|
| Applegate, Jason - [REDACTED]      | 2112000 Chemistry - 2112000        | \$950.00        | 25 %                 | <input type="checkbox"/> | \$ [REDACTED] |
| Maldonado-Ruiz, David - [REDACTED] | 1501008 Self Graduate Fellowshi... | \$3,000.00      | 19 %                 | <input type="checkbox"/> | \$ [REDACTED] |
| Ortiz-Medina, Xavier - [REDACTED]  | 2112000 Chemistry - 2112000        | \$4,500.00      | 32 %                 | <input type="checkbox"/> | \$ [REDACTED] |
| Vo, Tu - [REDACTED]                | 2112000 Chemistry - 2112000        | \$4,500.00      | 32 %                 | <input type="checkbox"/> | \$ [REDACTED] |

Get Help Pre Review Save Home

The bottom section contains details on graduate students and temp (UPS/USS) who have effort on the project for the reporting period.

# Pre-Review: Project Statements, Updating for RFA

Project Statement for 2112000-908-1000488: Design of oligozulene-based organometallics for...: Effort from 6/16/2019 to 12/28/2019; Status: Ready for Pre Review

| Employee                           | Department                         | Payroll Dollars | Certified Percentage              | Certify?                 | Action        |
|------------------------------------|------------------------------------|-----------------|-----------------------------------|--------------------------|---------------|
| Applegate, Jason - [REDACTED]      | 2112000 Chemistry - 2112000        | \$950.00        | <input type="text" value="25"/> % | <input type="checkbox"/> | \$ [REDACTED] |
| Maldonado-Ruiz, David - [REDACTED] | 1501008 Self Graduate Fellowshi... | \$3,000.00      | <input type="text" value="19"/> % | <input type="checkbox"/> | \$ [REDACTED] |
| Ortiz-Medina, Xavier - [REDACTED]  | 2112000 Chemistry - 2112000        | \$4,500.00      | <input type="text" value="32"/> % | <input type="checkbox"/> | \$ [REDACTED] |
| Vo, Tu - [REDACTED]                | 2112000 Chemistry - 2112000        | \$4,500.00      | <input type="text" value="32"/> % | <input type="checkbox"/> | \$ [REDACTED] |

Get Help Pre Review Save Home

If during Pre-review you identify that an RFA is either in process or needed you should update the effort statement so that it reflects how effort will look once the RFA is processed.

Change the effort % in the certified effort column and hit save.

# Pre-Review: Project Statements, Confirming Accuracy

.....

Project Payroll Summary - Staff 6.16.19-12.28.19

Jason Chadwick Applegate - [REDACTED]

| Project Name              | Payroll + Cost Share Dollars | Payroll + Cost Share |
|---------------------------|------------------------------|----------------------|
| 2112703-906-CHEM F&A ...  | \$1,900.00                   | 50%                  |
| 2112719-906-CHEM F&A ...  | \$950.00                     | 25%                  |
| 2112000-908-1000488-De... | \$950.00                     | 25%                  |
| Total:                    | \$3,800.00                   | 100.00%              |

25 %

Clicking the page icon on the line of a given employee will open a pop up which will display the funding that makes up that individual's 100% effort for the period.

During the pre-review period, Effort Coordinators should confirm the accuracy not only of the effort on a given project but that of the employee as a whole, so that potential RFAs in process can be noted on all effected statements.

# Pre-Review: Project Statements, Sending for Pre-Review



Project Statement for 2112000-908-1000488: Design of oligozulene-based organometallics for... Effort from 6/16/2019 to 12/28/2019; Status: Ready for Pre Review

| Employee                           | Department                         | Payroll Dollars | Certified Percentage | Certify?                 | Action        |
|------------------------------------|------------------------------------|-----------------|----------------------|--------------------------|---------------|
| Applegate, Jason - [REDACTED]      | 2112000 Chemistry - 2112000        | \$950.00        | 25 %                 | <input type="checkbox"/> | \$ [REDACTED] |
| Maldonado-Ruiz, David - [REDACTED] | 1501008 Self Graduate Fellowshi... | \$3,000.00      | 19 %                 | <input type="checkbox"/> | \$ [REDACTED] |
| Ortiz-Medina, Xavier - [REDACTED]  | 2112000 Chemistry - 2112000        | \$4,500.00      | 32 %                 | <input type="checkbox"/> | \$ [REDACTED] |
| Vo, Tu - [REDACTED]                | 2112000 Chemistry - 2112000        | \$4,500.00      | 32 %                 | <input type="checkbox"/> | \$ [REDACTED] |

Get Help Pre Review Save Home

Once you have reviewed the statement and made any known adjustments for pending and/or requested RFAs, you will hit the Pre Review button.

NOTE: Statements must be in a Pre Reviewed status prior to the start of the certification period, for certifiers to have access to certify them. Delays in completing the Pre Review will limit the amount of time certifiers have to complete certification.

# Pre-Review – Project Statements, Ready for Pre-Review



Project Statement for 2112000-908-1000488: Design of oligozulene-based organometallics for... Effort from 6/16/2019 to 12/28/2019; Status: Pre Reviewed

| Employee                        | Department                         | Payroll Dollars | Certified Percentage | Certify?                 | Action |
|---------------------------------|------------------------------------|-----------------|----------------------|--------------------------|--------|
| Applegate, Jason - 1403583      | 2112000 Chemistry - 2112000        | \$950.00        | 25 %                 | <input type="checkbox"/> | \$     |
| Maldonado-Ruiz, David - 1426438 | 1501008 Self Graduate Fellowshi... | \$3,000.00      | 19 %                 | <input type="checkbox"/> | \$     |
| Ortiz-Medina, Xavier - 1426305  | 2112000 Chemistry - 2112000        | \$4,500.00      | 32 %                 | <input type="checkbox"/> | \$     |
| Vo, Tu - 1426571                | 2112000 Chemistry - 2112000        | \$4,500.00      | 32 %                 | <input type="checkbox"/> | \$     |

Get Help Home

Hitting the pre-reviewed button will move the Project statements status from ‘Ready for Pre Review’ to ‘Pre Reviewed’. Once this step is completed the project statement will no longer appear in your assigned Project Statement tab.

# Self-Certifier: Individual Certification



# Self-Certifier: Individual Statements

KU  Hello, Mikhail Barybin

Home Certify Manage Reports Links

Home Page About

## Work List for Mikhail Barybin

Welcome to the **ecrt**® effort reporting system Home Page. 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.

Statements Awaiting Certification (2)

### Effort Statements

[Project Certifications Instructions](#) [Associated Project Certifications \(View Only\)](#)

| Statement Owner  | Department      | Period                        | Due Date | Type | Status                       | PI |
|------------------|-----------------|-------------------------------|----------|------|------------------------------|----|
| Barybin, Mikhail | 2112000-2112000 | Chemistry Fac/Staff 6.16.1... | 5/7/2020 | Base | Not Certified, Not Processed |    |

When a Self-Certifier logs into ecrt they will see under the header “Effort Statements” any statements pending certification.

The certifier should click the hyper link to open the statement(s) pending action.

# Self-Certifier: Updating Effort

**[-] Effort Statement Instructions**

**Work List**

Statements Requiring Certification

Barybin, Mikhail Viktorovich 2112000 Chemistry

In Progress

Ready for Pre Review

Pre Reviewed

Recently Completed

**Barybin, Mikhail Viktorovich - [REDACTED]**

- Statement Owner ★
- Effort Statements ★
  - Needing certification ★
    - Base 5/7/2020 ✖ Not Certified, Not Processed
    - In progress
    - Ready for Pre Review
    - Pre Reviewed
    - Historical ★

Barybin, Mikhail Viktorovich [REDACTED] (Faculty/Staff) Base Effort Period: 06/16/2019 to 12/28/2019 Due Date: 5/7/2020 Status: Not Certified, Not Processed

| Chart Strings   | Computed Effort | Certified Effort                  | Certify?                 |
|---|-----------------|-----------------------------------|--------------------------|
| <b>Sponsored</b>                                      |                 |                                   |                          |
| 2112000-908-1000488-PI Design of oligozulene-based or | 1 %\$           | <input type="text" value="1"/> %  | <input type="checkbox"/> |
| <b>Sponsored Total:</b>                               | 1%              | 1%                                |                          |
| <b>Non Sponsored</b>                                  |                 |                                   |                          |
| 2112000-099 CHEM Chemistry                            | 89 %\$          | <input type="text" value="89"/> % | <input type="checkbox"/> |
| 2112000-725-34273X CHEM Chemistry                     | 10 %\$          | <input type="text" value="10"/> % | <input type="checkbox"/> |
| <b>Non Sponsored Total:</b>                           | 99%             | 99%                               |                          |
| <b>Grand Total:</b>                                   | 100%            | 100%                              |                          |

[Get Help](#)

This will open the effort statement for the certifier. Certifiers should be advised to update the certified effort to match how they expended their time during a given period of time.

| Computed Effort | Certified Effort                  | Certify?                 |
|-----------------|-----------------------------------|--------------------------|
| 1 %\$           | <input type="text" value="1"/> %  | <input type="checkbox"/> |
| 1%              | 1%                                |                          |
| 89 %\$          | <input type="text" value="89"/> % | <input type="checkbox"/> |
| 10 %\$          | <input type="text" value="10"/> % | <input type="checkbox"/> |
| 99%             | 99%                               |                          |
| 100%            | 100%                              |                          |

# Self-Certifier: Complete Process

Barybin, Mikhail Viktorovich - 1287109 (Faculty/Staff)    Base Effort Period: 06/16/2019 to 12/28/2019    Due Date: 5/7/2020    Status: Not Certified, Not Processed

| Chart Strings   | Computed Effort | Certified Effort                  | Certify?                            |
|---|-----------------|-----------------------------------|-------------------------------------|
| <b>Sponsored</b>                                      |                 |                                   |                                     |
| 2112000-908-1000488-PI Design of oligozulene-based or | 1 %             | <input type="text" value="1"/> %  | <input type="checkbox"/>            |
| <b>Sponsored Total:</b>                               | 1%              | 1%                                |                                     |
| <b>Non Sponsored</b>                                  |                 |                                   |                                     |
| 2112000-099 CHEM Chemistry                            | 89 %            | <input type="text" value="89"/> % | <input checked="" type="checkbox"/> |
| 2112000-725-34273X CHEM Chemistry                     | 10 %            | <input type="text" value="10"/> % | <input type="checkbox"/>            |
| <b>Non Sponsored Total:</b>                           | 99%             | 99%                               |                                     |
| <b>Grand Total:</b>                                   | 100%            | 100%                              |                                     |

Get Help    Certify

Certifiers can check the boxes individually or hit the green star icon to select all. Once at least one line is checked the green certify button will appear. Clicking this button will allow for the certifier to complete the certification process.

# Self-Certifier: Attestation Statement

ecrt.ku.edu says

Your certification is being processed. It's imperative that you don't try to close your browser during this process. All lines are being saved and you will be soon be prompted to attest to your certification.

You must click OK to proceed to the attestation screen and complete the certification process.

OK

Once the certify button is clicked you will get a pop up message – hit OK.

Next the Attestation statement will appear. If the employee believes the effort is accurate they should select I agree. If they want to return to the statement they should select cancel.

## Attestation

### Certification Attestation Effort 06/16/2019 - 12/28/2019


Due Date: 5/7/2020

Covered Individual: Mikhail Viktorovich Barybin - [REDACTED]

Title:

Department: 2112000 - 2112000 Chemistry

Email: mbarybin@ku.edu

Status:  Not Certified, Not Processed

Location:

Appointment:

Effort Coordinator: Elizabeth Rose Knapik Benfield - [REDACTED]

Period of

Performance: 06/16/2019 to 12/28/2019

*I certify, to the best of my knowledge, the salary charged, including any retroactive fund adjustments (RFAs), and effort certified reasonably reflect the work that was performed during the designated period. I further certify that I am in a position that provides me with a suitable means of verification that the work was performed.*

I Agree

Cancel

# Self-Certifier: Certified, Processed



**Work List**

Statements Requiring Certification

Barybin, Mikhail Viktorovich 2112000 Chemistry

In Progress

Ready for Pre Review

Pre Reviewed

Recently Completed

**Barybin, Mikhail Viktorovich**

- Statement Owner
- Effort Statements
  - Needing certification
  - In progress
  - Ready for Pre Review
  - Pre Reviewed
  - Historical
    - Base 12/28/2019 ✔ Certified, Processed
    - Base 6/15/2019 ✔ Certified, Processed

If the certifier selects I agree, and no changes to effort over our threshold of tolerance (5% and \$100.00) the statement will be moved to “certified, processed” status.

Barybin, Mikhail Viktorovich (Faculty/Staff) Base Effort Period: 06/16/2019 to 12/28/2019 Status: Certified, Processed

Certified on 02/14/2020 by Mikhail Viktorovich Barybin

| Chart Strings   | Computed Effort | Certified Effort | Certify?                            |
|---|-----------------|------------------|-------------------------------------|
| <b>Sponsored</b>                                      |                 |                  |                                     |
| 2112000-908-1000488-PI Design of oligozulene-based or | 1 % \$          | 1 %              | <input checked="" type="checkbox"/> |
| <b>Sponsored Total:</b>                               | 1%              | 1%               |                                     |
| <b>Non Sponsored</b>                                  |                 |                  |                                     |
| 2112000-099 CHEM Chemistry                            | 89 % \$         | 89 %             | <input checked="" type="checkbox"/> |
| 2112000-725-34273X CHEM Chemistry                     | 10 % \$         | 10 %             | <input checked="" type="checkbox"/> |
| <b>Non Sponsored Total:</b>                           | 99%             | 99%              |                                     |
| <b>Grand Total:</b>                                   | 100%            | 100%             |                                     |



PI:  
Project Certification

# PI: Project Statements

## Work List for Mikhail Barybin

Welcome to the **ecrt**® effort reporting system Home Page. 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.



Statements Awaiting Certification (2)

### Effort Statements

[Project Certifications Instructions](#) [Associated Project Certifications \(View Only\)](#)

| Statement Owner  | Department      | Period                        | Due Date | Type | Status                         | PI |
|------------------|-----------------|-------------------------------|----------|------|--------------------------------|----|
| Barybin, Mikhail | 2112000-2112000 | Chemistry Fac/Staff 6.16.1... | 5/7/2020 | Base | Not Certified, Not Processe... |    |

### Project Certifications Instructions

[Top of Page](#) [Associated Project Certifications \(View Only\)](#)

| Project Title                    | Subactivity Title | Sponsor         | Period                 | Due Date  | Status                  | Staff |
|----------------------------------|-------------------|-----------------|------------------------|-----------|-------------------------|-------|
| Design of oligozulene-based o... | 1000488           | NATIONAL SCI... | Staff 6.16.19-12.28.19 | 4/17/2020 | Ready for Certification |       |

When a PI with graduate and/or Temp (UPS/USS) staff logs in they will see an additional section labeled “Project Certifications Instructions”

This section will list any project statements for which the PI is responsible for certifying. Clicking the hyperlink will take them to the project statement.

# PI: Project Statements, Review

## Project Statements – PI

The screenshot shows two panels from a software interface. The left panel, titled 'Work List', shows a user 'Barybin, Mikhail Viktorovich' with a dropdown menu for 'Ready for Certification' containing a star icon and a list item '2112000-908-1000488 Design of oligozulene-based ... Staff 6.16.19...'. Below this are buttons for 'Pre Reviewed', 'Ready for Pre Review', and 'In Progress'. The right panel, titled '2112000-908-1000488 - Design of oligozulene-based or', shows project information: Project Org: 2112000 - CHEM CHEMISTRY, PI HR Dept: 2112000 - 2112000 Chemistry, Project Title: Design of oligozulene-based organometallics fo..., Fund Description: 908 - SPONSORED RESEARCH, Project Dates: 08/01/2018 to 07/31/2021, and Sponsor Award Number: CHE-1808120.

The screenshot shows a 'Project Statement for 2112000-908-1000488: Design of oligozulene-based organometallics f...' with effort from 6/16/2019 to 12/28/2019 and status 'Ready for Certification'. An info box says 'INFO - Check all certify checkboxes to show the certify button.' Below is a table with columns: Employee, Department, Payroll Dollars, Certified Percentage, Certify?, and Action. The table has four rows of employee data, each with a 'Certify?' checkbox and an 'Action' button.

| Employee                           | Department                       | Payroll Dollars | Certified Percentage | Certify?                            | Action        |
|------------------------------------|----------------------------------|-----------------|----------------------|-------------------------------------|---------------|
| Applegate, Jason - [REDACTED]      | 2112000 Chemistry - 2112000      | \$950.00        | 25 %                 | <input checked="" type="checkbox"/> | \$ [REDACTED] |
| Maldonado-Ruiz, David - [REDACTED] | 1501008 Self Graduate Fellows... | \$3,000.00      | 19 %                 | <input checked="" type="checkbox"/> | \$ [REDACTED] |
| Ortiz-Medina, Xavier - [REDACTED]  | 2112000 Chemistry - 2112000      | \$4,500.00      | 32 %                 | <input checked="" type="checkbox"/> | \$ [REDACTED] |
| Vo, Tu - [REDACTED]                | 2112000 Chemistry - 2112000      | \$4,500.00      | 32 %                 | <input checked="" type="checkbox"/> | \$ [REDACTED] |

Similarly to the individual statements, PIs should review the effort of the listed employees and confirm it is in line with how they believe effort was expended during the reporting period.

PIs have the option of approving the statement line by line. Or clicking the green star icon to select all.

All lines of a project statement needs to be checked for the certify box to appear.



# PI: Project Statements, Attestation

## Project Statements— PI

Attestation

Chart String Title: Design of oligozulene-based organometallics for  
Chart String Name: 2112000-908-1000488 - Design of oligozulene-based  
Period: Staff 6.16.19-12.28.19  
Certifier: Barybin, Mikhail Viktorovich - [REDACTED]  
Personnel Being Applegate, Jason - [REDACTED]  
Maldonado-Ruiz, David - [REDACTED]  
Ortiz-Medina, Xavier - [REDACTED]  
Vo, Tu - [REDACTED]

*I certify the salary charged and effort certified this period reasonably reflect the work performed in the designated period, and that I have sufficient technical knowledge and/or I am in a position that provides me with suitable means of verification that the work was performed.*

Cancel I Agree

Once the certify button is clicked, the attestation statement will pop up.

PIs, have the option to cancel, which will return them to the project statement, or agree which will move the statement into a certified status.

# PI: Project Statements, Certified Status

## Work List for Mikhail Barybin



Welcome to the **ecrt**® effort reporting system Home Page. 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.

Statements Awaiting Certification (1)

### Effort Statements

[Project Certifications Instructions](#) [Associated Project Certifications \(View Only\)](#)

| Statement Owner  | Department      | Period                        | Due Date | Type | Status                         | PI |
|------------------|-----------------|-------------------------------|----------|------|--------------------------------|----|
| Barybin, Mikhail | 2112000-2112000 | Chemistry Fac/Staff 6.16.1... | 5/7/2020 | Base | Not Certified, Not Processe... |    |

### Project Certifications Instructions

[Top of Page](#) [Associated Project Certifications \(View Only\)](#)

| Project Title | Subactivity Title | Sponsor | Period | Due Date | Status | Staff |
|---------------|-------------------|---------|--------|----------|--------|-------|
|---------------|-------------------|---------|--------|----------|--------|-------|

There are no Project statements associated with you

Once the project statement has been certified it will drop from the PIs home page.

Effort Coordinators will also be able to confirm the project has moved into a certified status, via the department dashboard or a search of the project number

# Effort Coordinator: Post Review

# Effort Coordinator: Tasks



## Work List for Effort Coordinator



Welcome to the **ecrt**® effort reporting system Home Page. 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.

| Statements Awaiting Certification                    | Effort Tasks (1) | Associated Certifiers | Assigned Project Statements |
|--|------------------|-----------------------|-----------------------------|
| Type   | Identifier       | Name                  | Date                        |
| <a href="#">Process Base Certification Statement</a> | 1287109          | Barybin, Mikhail      | 02/14/2020 1:59 PI          |

When an task is created it will appear on the Primary Effort Coordinators homepage. There are two types of effort tasks. The first is created when an certify changes effort over the threshold (5% and \$100) while certifying. The second kind of task is created when an RFA is posted in the HR system that changes a previously certified statement over threshold, requiring recertification to take place.

# Effort Coordinator: Instructions



## Effort Tasks - Instructions

Detailed instructions on how to process tasks can be found on the KUCR effort reporting page for effort coordinators. <https://research.ku.edu/effort-coordinator-training>

# Effort Coordinator: Additional Resources

# Department Dashboard: Summary

## People Tab

Navigation menu: Home, Certify, Manage, Reports, Administration, Links. Sub-menu: Look-up, Department Dashboard, Manage Effort Notifications.

### Department Dashboard for 2112000 Chemistry - 2112000

This page contains all the information relevant to the department, including all statements, information about projects, and information about administrators for this department.

Search for Department :

People | Project Certifications | Award and Chart String | Department Information

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

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

| Status  | Faculty/Staff | Project    |
|---|---------------|------------|
| Not Certified, Not Processed                          | 1 3.571%      | 25 39.062% |
| Certified, Processed                                  | 0 0.000%      | 33 51.562% |
| RFA Pending   | 0 0.000%      | 4 6.250%   |
| No Certification Required, Processed, Payroll Pending | 0 0.000%      | 2 3.125%   |
| Auto Approved   | 28            | 35         |
| Ready for Pre Review                                  | 27 96.429%    | 0 0.000%   |

The top portion of the people tab of the department dashboard will give you a brief summary of the departments standing.

# Department Dashboard: Individuals

## People Tab

| Name  | Grant Manager | Employee ID | Role      | Statements | Action |
|---|---------------|-------------|-----------|------------|--------|
| + Sponsored ★ ✉                               |               |             |           |            |        |
| + Non-Sponsored ★ ✉                           |               |             |           |            |        |
| + Non-Department ★ ✉                          |               |             |           |            |        |
| + Terminated ★ ✉                              |               |             |           |            |        |
| - Sponsored ★ ✉                               |               |             |           |            |        |
| Amarasekara , Charuni Anuradha                |               |             | Student   | ✖✖☆☆☆☆     | ● 🔍 ✉  |
| Athapattu , Uditha Saranga                    |               |             | Student   | ✖✖☆☆☆☆     | ● 🔍 ✉  |
| Balduf , Ty Christian                         |               |             | Student   | ☆☆☆☆☆☆     | ● 🔍 ✉  |
| Barybin , Mikhail Viktorvich                  |               |             | Certifier | ✖☆☆☆☆      | ● 🔍 ✉  |
| Berrie , Cindy Linea                          |               |             | Certifier | ☆☆☆☆☆☆     | ● 🔍 ✉  |
| Blakemore , James David                       |               |             | Certifier | ☆☆☆☆☆☆     | ● 🔍 ✉  |
| Borkowski , Ashley Kayla                      |               |             | Student   | ✖☆☆        | ● 🔍 ✉  |
| Bowman-James , Kristin                        |               |             | Certifier | ☆☆☆☆☆☆     | ● 🔍 ✉  |
| Burns , Kristen Hope                          |               |             | Student   | ☆☆☆☆☆☆     | ● 🔍 ✉  |
| Caricato , Marco                              |               |             | Certifier | ☆☆☆☆☆☆     | ● 🔍 ✉  |
| Cartwright , Kaitlyn Chase                    |               |             | Student   | ☆☆☆☆☆☆     | ● 🔍 ✉  |
| Davies , Alex Marc                            |               |             | Student   | ☆☆☆☆☆☆     | ● 🔍 ✉  |
| DeVore , Matthew S                            |               |             | Certifier | ☆☆         | ● 🔍 ✉  |
| Demalgiriya Gamage , Chamalee Lakshika Gamage |               |             | Student   | ☆☆☆☆☆☆     | ● 🔍 ✉  |
| Desaire , Heather R                           |               |             | Certifier | ☆☆☆☆☆☆     | ● 🔍 ✉  |
| Dissanayake , Gihan Chathuranga               |               |             | Student   | ☆☆☆☆☆☆     | ● 🔍 ✉  |
| Doolin , Jennifer Lynn                        |               |             | Student   | ☆☆☆☆☆☆     | ● 🔍 ✉  |
| Dunn , Robert C.                              |               |             | Certifier | ☆☆☆☆☆☆     | ● 🔍 ✉  |
| Elles , Christopher George                    |               |             | Certifier | ☆☆☆☆☆☆     | ● 🔍 ✉  |
| Faisal , Saqib                                |               |             | Certifier | ☆☆         | ● 🔍 ✉  |
| Garcia , Kiersten Jade                        |               |             | Certifier | ☆☆☆☆☆☆     | ● 🔍 ✉  |
| Garg , Gaurav                                 |               |             | Certifier | ☆☆☆☆☆☆     | ● 🔍 ✉  |
| Go , Eden Parreno                             |               |             | Certifier | ☆☆☆☆☆☆     | ● 🔍 ✉  |
| Golwankar , Riddhi Ravindra                   |               |             | Student   | ☆☆         | ● 🔍 ✉  |
| Grotemeyer , Elizabeth Nicole                 |               |             | Student   | ✖✖✖☆☆      | ● 🔍 ✉  |
| Hanson , Paul R                               |               |             | Certifier | ☆☆✖✖✖☆☆    | ● 🔍 ✉  |

The bottom portion of the people tab of the department dashboard will give you a listing of all individuals, subdivided in the following four categories: Sponsored, Non-Sponsored, Non-Department, Terminated.

You can expand each of the for subsections and see the status of the listed individuals effort statement(s).



# Department Dashboard: Projects

## Project Certification Tab

People | **Project Certifications** | Award and Chart String | Department Information

**Project Certification Summary Chart:** Employee Type [Select] ▼ Period [Select] ▼

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

| Status                    | Project |         |  |
|---------------------------|---------|---------|--|
| ✔ Auto Approved           | 5       |         |  |
| 🟡 Ready for Pre Review    | 36      | 97.297% |  |
| 🔴 Ready for Certification | 1       | 2.703%  |  |







**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 |
|---|---------------------|-------------------------------|--------------------------|-------------------|------------|--------|
| CHEM Chemistry  | 2112000-725-32373X  | Benfield, Elizabeth - 1044235 | N/A                      | N/A               | ✔          |        |
| CHEM Chemistry  | 2112000-725-33025X  | Benfield, Elizabeth - 1044235 | N/A                      | N/A               | ✔          |        |
| CHEM Chemistry  | 2112000-725-34273X  | Benfield, Elizabeth - 1044235 | N/A                      | N/A               | ✔          |        |
| CHEM Chemistry  | 2112000-725-38916X  | Benfield, Elizabeth - 1044235 | N/A                      | N/A               | ✔          |        |
| CHEM Chemistry  | 2112000-725-98651X  | Benfield, Elizabeth - 1044235 | N/A                      | N/A               | ✔          |        |
| Improved Informatics for Epitope Mapping by Hydrogen Exchange-Mass Spectrometry | 2112000-908-1000017 | Benfield, Elizabeth - 1044235 | Weis, David - 1363506    | 2112000 Chemistry | 🟡          |        |
| Removing the Barriers to the Calculation of Activation Energies                 | 2112000-908-1000293 | Benfield, Elizabeth - 1044235 | Thompson, Ward - 1240136 | 2112000 Chemistry | 🟡          |        |

Similar to the People tab you can see the brief summary of the department's standing.

Additionally below you will see a complete list of projects associated with the department and their statement status(es).

# Department Dashboard: Department Info

| People                                       | Project Certifications | Award and Chart String | Department Information |   |
|--|------------------------|------------------------|------------------------|---|
| <b>Department Basic Information:</b>         |                        |                        |                        |   |
| Name:  | 2112000 Chemistry      |                        | Type:                  |   |
| Description:                                 |                        |                        | Code:                  | 2112000   |
| Active:                                      | Yes                    |                        |                        |   |
| <b>Department Effort Coordinator(s)</b>      |                        |                        |                        |   |
| Name   | Address                | Phone                  | Email                  | Action  |
| Benfield, Elizabeth Rose Knapik - [REDACTED] | [REDACTED]             |                        | bknapik@ku.edu         |     |
| Yu, Rensi - [REDACTED]                       | [REDACTED]             |                        | yurensi@ku.edu         |     |
| <a href="#">+ Add</a>                        |                        |                        |                        |   |

The Department Information tab is where you can see all effort coordinators associated with a given department. The employee's name highlighted in yellow is the current primary effort coordinator for the department. To change the primary effort coordinator, click the pen icon.








# Navigation Key










| Section | Sub-Selection                | Description  |
|---------|------------------------------|--|
| Certify | My Effort Statements         | Displays the effort statement page for the individual logged in system                 |
| Certify | Project Statements           | Displays the project statement page for the individual logged into the system          |
| Manage  | Look Up                      | Allows the user to search for a person, project or department within ecrt              |
| Manage  | Department Dashboard         | Displays the department details including all the associated individuals and accounts  |
| Reports | Reporting                    | Displays the standard reports menu, allowing the running or exporting of built reports |
| Links   | Uniform Guidance             | Link to the Uniform Guidance   |
| Links   | NIH Grants Policy & Guidance | Link to NIH Grants & Funding resource page   |
| Links   | KU Effort Policy             | Link to the KU Resource Page for Effort Reporting & ecrt                               |

# Status Key

## Status Descriptions

| Status   | Icon  | Status Description   |
|--|---|--|
| In Progress for Certification                          |    | This status indicates that a statement is not yet ready for confirmation. This occurs during the Period of Performance, as the statements are building.                      |
| Ready for Pre Review                                   |    | This status indicates that a statement is ready to Pre Reviewed.   |
| Pre Reviewed   |    | This status indicates that a statement has been Pre Reviewed by an Effort Coordinator.   |
| Auto Approved  |    | This status is for a statement that are Auto Approved. The system automatically moves statements to this status if they do not include sponsored pay (Direct or Cost Share). |
| Not Certified, Not Processed / Ready for Certification |   | This status is for a statement that has not yet been (fully) certified.  |
| Certified, Processed                                   |  | This status is for a statement that has been fully certified.  |
| Certified, Approved, RFA Needed                        |  | This status is for a statement pending an RFA.   |

| Status   | Icon  | Status Description  |
|--|---|---|
| Certified, Not Processed   |    | This status is for statements pending task processing by the primary effort coordinator.  |
| No Certification Required, Processed   |    | This status is for statements for which the central office has removed the requirement to certify.  |
| No Certification Required, Processed, Payroll Pending                        |    | This status is for statements for which the central office has removed the requirement to certify.  |
| Not Certified, Not Processed, Re-Opened                                      |    | This status is for statements reopened by the central office.   |
| Not Certified, Not Processed, Re-Opened by Payroll Adjustment Reconciliation |   | This status is for statements pending recertification due to an RFA transaction.  |
| RFA Pending  |  | There is an RFA task pending approval by the primary effort coordinator.  |
| Multiple Statements, Different Statuses                                      |  | An employee has multiple statements, this is typically caused by an employee changing jobs during a reporting period. For example a graduate student becoming a post doc. |

# Effort Coordinator Access



To request access effort coordinator access please complete the following form:

<https://inowformsprivate.ku.edu/fs?form=KUCR%20ECRT%20Access%20Request%20Form>

Written instructions on how to complete the access form are available, if needed.

# Questions?



Contact [ecrt@ku.edu](mailto:ecrt@ku.edu)