

# Reviewing and Resolving Effort Tasks in the ecrt Effort Reporting System

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FOR RESEARCH ADMINISTRATORS

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# Objective of this Presentation

- Briefly cover an overview of effort and the effort certification process.
- Gain a better understanding of what causes an effort task to be generated and how to resolve those tasks in the ecrt system.
- Help effort coordinators work through the effort certification process more efficiently.

**01**

# **Effort Overview**

# Effort Overview - What is Effort?

Effort is the portion of **time** spent on a given professional activity expressed as a percentage of the total professional activity for which an individual is employed by the University. (Total professional activity includes research, teaching, administration or other activities.)





# Effort Overview – Calculating Effort

- Effort is calculated based on a reasonable estimate of **time** spent on a given professional activity.
- Not based on a standard 40-hour workweek. Based on the total hours worked by the employee during the 6-month period of performance.
- Total effort must equal 100%.
- Based on UNC definition of effort. Main exclusions are overload/additional duty payments, stipends, and compensation for outside activities such as consulting.



# Effort Overview – Calculating Effort

## Example

Employee 1

Base Salary: \$100,000 + Supplement: \$20,000 = **Total Institutional Base Salary (IBS): \$120,000**

**Reasonable Estimate of Total Hours Worked January-June 2023: 1,200 hours**

Employee 1 Committed Effort to 2 Awards and various non-sponsored responsibilities.

**Reasonable Estimate of Time Spent on Each Professional Activity:**

Award A: 600 hours

Award B: 400 hours

Non-Sponsored: 200 hours

**Percent Effort Allocated to Each Activity:**

Award A: 50% (600 hours/1,200 hours = 50%)

Award B: 33% (400 hours/1,200 hours = 33%)

Non-Sponsored: 17% (200 hours /1,200 hours = 17%)

**Effort Percentages Dictate Salary Charged to Each Activity:**

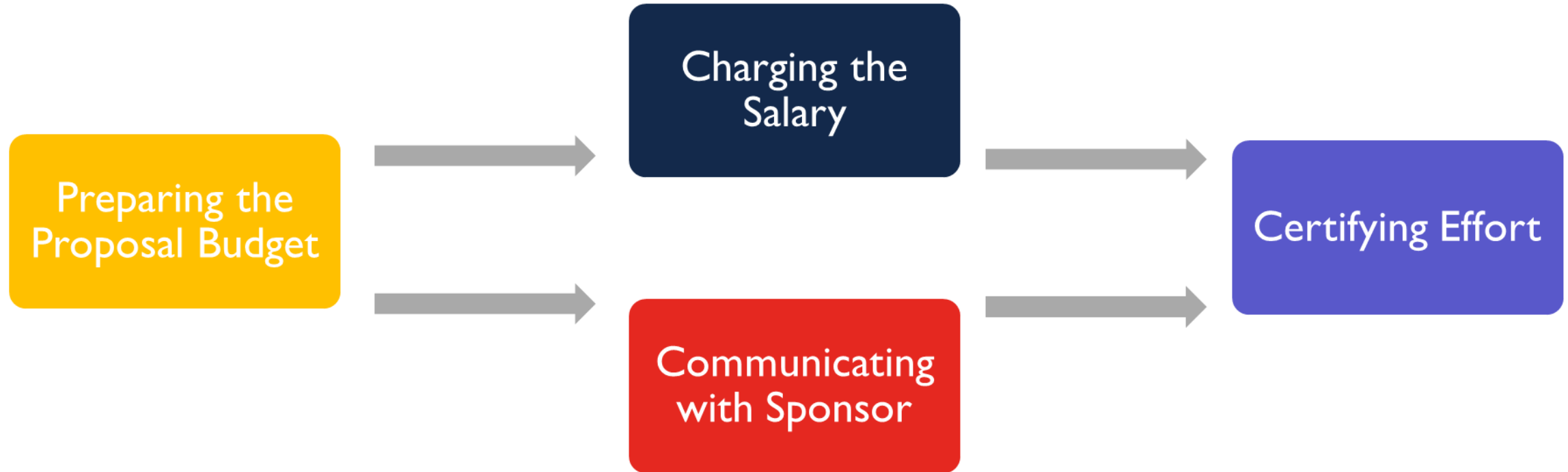
Award A: 50% (\$120,000 (IBS) \* 50% = \$60,000)

Award B: 33% (\$120,000 (IBS) \* 33% = \$39,600)

Non-Sponsored: 17% (\$120,000 (IBS) \* 17% = \$20,400)



# Effort Overview – The Effort Lifecycle





# Effort Overview – Certification Timeline

- Effort Certification Period of Performance is divided into two 6-month periods from January-June and July-December.
- Certification of effort expended in January-June occurs from September-October. Certification of effort expended in July-December occurs from March-April.
- Certification Consists of:
  - 14-day pre-review period
  - Certification Period of 60 days
  - Escalation of uncertified effort Statements
  - An additional period of approximately 30 days to submit adjustments to true-up effort statements.



02

# Effort Tasks

# Effort Task Overview

- Effort tasks are generated when the certifier completes certification and enters a Certified Effort percentage that varies when compared to the Computed Effort Percentage.
- Effort tasks are generated and can only be reviewed and worked by the Primary Effort Coordinator (PEC).
- The purpose of the effort task is to provide the PEC the opportunity to review the change and follow up with the certifier if there are any questions or concerns.

# Effort Task Overview

- Two distinct scenarios are created when a statement is certified with a variance.
- Scenario 1 occurs when a statement is certified with **less than** a 5 percent variance between the Certified Effort and Computed Effort on the statement.
- Scenario 2 occurs when a statement is certified with **greater than** a 5 percent variance between the Certified Effort and Computed Effort on the statement.
- Resolving the effort task is different for each scenario.

# Effort Task List

The effort task list can be found by accessing the ecrt system and selecting the Effort Tasks tab.

The screenshot displays the web interface of the ecrt system. At the top left is the University of North Carolina at Chapel Hill logo. The top navigation bar includes 'Home', 'Certify', 'Manage', 'Reports', 'Administration', and 'Links'. A user welcome message and a search bar are also present. A sidebar on the left lists 'Helpful Links' such as 'Legacy ecrt (FY14 and Prior)', 'OMB Circulars', and 'National Institutes of Health: Grants Policy and Guidance'. The main content area is titled 'Work List for [redacted]' and contains a welcome message: 'Welcome to the ecrt effort reporting system. The tabs below list all of the effort certification tasks that require your attention - whether it is certifying statements, processing statements, or following up on outstanding statements. To view and resolve the specific task, select the link in the task description.' Below this is a tabbed interface with three tabs: 'Statements Awaiting Certification', 'Effort Tasks (3)', and 'Associated Certifiers'. The 'Effort Tasks (3)' tab is active, showing a table with the following data:

Type	Identifier	Name	Date
Process Base Certification Statement	[redacted]	[redacted]	10/26/2022 7:25 AM
Process Base Certification Statement	[redacted]	[redacted]	11/01/2019 9:26 AM
Process Base Certification Statement	[redacted]	[redacted]	11/26/2018 7:45 AM



# Effort Tasks – Scenario 1

# Scenario 1: Certified with Less Than 5% Variance

**Work List**

▼ Statements Requiring Certification

Medicine-ID Transplant Compro...

► In Progress

► Recently Completed

Statement Owner ★

▼ Effort Statements ★

- Needing certification
- In progress ★

Base 10/31/2022 Certified, Not Processed

Base 4/29/2024 Building, No Action Required

► Historical ★

(EPA) Base Effort Period: 01/01/2022 to 06/30/2022 Status: Certified, Not Processed

Project IDs [-]	Payroll	Cost Share	\$ Value		
			Computed Effort	Certified Effort	Certify?
<b>Sponsored</b>					
A20-0250 Modulation of CAR-T Cell Therapy Efficacy by the Intestinal Microbiome in Patients with Leukemia and Lymphoma	4%	0%	4%	4%	<input checked="" type="checkbox"/>
5114904 Modulation of CAR-T Cell Therapy Efficacy by the Intestinal Microbiome in Patients with Leukemia and Lymphoma					
<i>Award Total:</i>	4%	0%	4%	4%	
A22-0291 EXAMINATION OF EFFICACY AND MECHANISMS OF NEWLY DESIGNED GUT-115 CONSORTIUM FOR IMMUNE CHECKPOINT INHIBITOR THERAPY IN SPF AND HUMANIZED MICE	1%	0%	1%	1%	<input checked="" type="checkbox"/>
5122301 EXAMINATION OF EFFICACY AND MECHANISMS OF NEWLY DESIGNED GUT-115 CONSORTIUM FOR IMMUNE CHECKPOINT INHIBITOR THERAPY IN SPF AND HUMANIZED MICE					
<i>Award Total:</i>	1%	0%	1%	1%	
A22-0385 Precision characterization of antimicrobial resistance gene dynamics in bloodstream infection risk after hematopoietic stem cell transplantation	67%	8%	75%	75%	<input checked="" type="checkbox"/>
5122505 Precision characterization of antimicrobial resistance gene dynamics in bloodstream infection risk after hematopoietic stem cell transplantation					
<i>Award Total:</i>	67%	8%	75%	75%	
<b>Sponsored Total:</b>	<b>72%</b>	<b>8%</b>	<b>80%</b>	<b>80%</b>	
<b>Non Sponsored</b>					
0000000 Non-Sponsored payroll transactions	20%	0%	20%	20%	<input checked="" type="checkbox"/>
<b>Non Sponsored Total:</b>	<b>20%</b>	<b>0%</b>	<b>20%</b>	<b>20%</b>	
<b>Grand Total:</b>	<b>92%</b>	<b>8%</b>	<b>100%</b>	<b>100%</b>	

Get Help

Do Not Process

# Scenario 1: Certified with Less Than 5% Variance

## Process Base Effort Statement (01/01/2022 to 06/30/2022)



Covered Individual: [Redacted]  
 Title: Assistant Professor  
 Department: 411462 - Medicine-ID Transplant Compromised Host - 411462  
 Email: [Redacted]  
 Status: Certified, Not Processed

Effort Coordinator: [Redacted]  
 Period of Performance: 01/01/2022 to 06/30/2022

The Process Effort screen provides you, the administrator, the ability to process or not process a certification. If an activity is above or below the configurable threshold, currently set at 25, then the activity will be highlighted in yellow. This is an indication to you that it may be necessary to contact the sponsor of that activity.

Last Certified by [Redacted] on 10/26/2022 7:25 AM

							\$ Value	
Project IDs [-]	Payroll	Cost Share	Computed Effort	Certified Effort	Cost Transfer Dollars	Cost Transfer Percentage	Cost Share is Cost Transfer	
<b>Sponsored</b>								
A20-0250 Modulation of CAR-T Cell Therapy Efficacy by the Intestinal Microbiome in Patients with Leukemia and Lymphoma								
5114904 Modulation of CAR-T Cell Therapy Efficacy by the Intestinal Microbiome in Patients with Leukemia and Lymphoma	4 %	0 %	4 %	4 %	\$ 0.00	0%	0.0 %	
<i>Award Total:</i>	4%	0%	4%	4%	\$0.00	0%	0%	
A22-0291 EXAMINATION OF EFFICACY AND MECHANISMS OF NEWLY DESIGNED GUT-115 CONSORTIUM FOR IMMUNE CHECKPOINT INHIBITOR THERAPY IN SPF AND HUMANIZED MICE								
5122301 EXAMINATION OF EFFICACY AND MECHANISMS OF NEWLY DESIGNED GUT-115 CONSORTIUM FOR IMMUNE CHECKPOINT INHIBITOR THERAPY IN SPF AND HUMANIZED MICE	1 %	0 %	1 %	1 %	\$ 0.00	0%	0.0 %	
<i>Award Total:</i>	1%	0%	1%	1%	\$0.00	0%	0%	
A22-0385 Precision characterization of antimicrobial resistance gene dynamics in bloodstream infection risk after hematopoietic stem cell transplantation								
5122505 Precision characterization of antimicrobial resistance gene dynamics in bloodstream infection risk after hematopoietic stem cell transplantation	67 %	8 %	75 %	75 %	\$ 0.00	0%	0.0 %	
<i>Award Total:</i>	67%	8%	75%	75%	\$0.00	0%	0%	
<b>Sponsored Total:</b>	<b>72%</b>	<b>8%</b>	<b>80%</b>	<b>80%</b>	<b>\$0.00</b>	<b>0%</b>	<b>0.00%</b>	
<b>Non Sponsored</b>								
0000000 Non-Sponsored payroll transactions	20 %	0 %	20 %	20 %	\$ 0.00	0%	0.0 %	
<b>Non Sponsored Total:</b>	<b>20%</b>	<b>0%</b>	<b>20%</b>	<b>20%</b>	<b>\$0.00</b>	<b>0%</b>	<b>0.00%</b>	
<b>Grand Total:</b>	<b>92%</b>	<b>8%</b>	<b>100%</b>	<b>100%</b>	<b>\$0.00</b>	<b>0.00%</b>	<b>0.00%</b>	

# Scenario 1: Effort Task Resolution

- Once the Process button has been selected the status of the effort statement will update to Certified and no further action is required.

The screenshot displays a 'Work List' window with a table of effort statements. The table is organized into 'In progress' and 'Historical' sections. A yellow arrow points from the 'Certified, Not Processed' status of a statement to the 'Certified' status of a statement in the 'Historical' section.

Section	Statement	Effective Date	Status
In progress	Base	10/31/2022	Certified, Not Processed
	Base	4/29/2024	Building, No Action Required
Historical	Base	6/30/2023	Certified
	Base	12/31/2022	Certified
	Base	12/31/2021	Certified

# Effort Tasks – Scenario 2



# Scenario 2: Certified with Greater Than 5% Variance

**Work List**

Statements Requiring Certification

Psychiatry - Research - 412250

In Progress

Recently Completed

Statement Owner

Effort Statements

- Needing certification
  - Base 10/30/2023 Ready for Certification
- In progress
  - Base 10/31/2022 Certified, Not Processed
  - Base 4/29/2024 Building, No Action Required
- Historical

(SPA) Base Effort Period: 01/01/2022 to 06/30/2022 Status: Certified, Not Processed

Project IDs [-]	Payroll	Cost Share	\$ Value		
			Computed Effort	Certified Effort	Certify?
<b>Sponsored</b>					
A19-1178 Safeguarding Two Lives: Expanding Early Identification & Access to Perinatal Mental Health & Substance Abuse					
5122059 Safeguarding Two Lives: Expanding Early Identification & Access to Perinatal Mental Health & Substance Abuse	7%	0%	7%	7%	<input checked="" type="checkbox"/>
5125262 Safeguarding Two Lives: Expanding Early Identification & Access to Perinatal Mental Health & Substance Abuse	14%	0%	14%	93%	<input checked="" type="checkbox"/>
<i>Award Total:</i>	21%	0%	21%	100%	
<b>Sponsored Total:</b>	<b>21%</b>	<b>0%</b>	<b>21%</b>	<b>100%</b>	
<b>Non Sponsored</b>					
0000000 Non-Sponsored payroll transactions	79%	0%	79%	0%	<input checked="" type="checkbox"/>
<b>Non Sponsored Total:</b>	<b>79%</b>	<b>0%</b>	<b>79%</b>	<b>0%</b>	
<b>Grand Total:</b>	<b>100%</b>	<b>0%</b>	<b>100%</b>	<b>100%</b>	


Get Help

Do Not Process

# Scenario 2: Certified with Greater Than 5% Variance

## Process Base Effort Statement (01/01/2022 to 06/30/2022)

 Effort Statement PDF
  Payroll Report

Covered Individual: [Redacted]  
 Title: SPA Student Assistant  
 Department: 460101 - School of Public Health - Deans Office - 460101  
 Email: [Redacted]  
 Status:  Certified, Not Processed

Effort Coordinator: [Redacted]  
 Period of Performance: 01/01/2022 to 06/30/2022

The Process Effort screen provides you, the administrator, the ability to process or not process a certification. If an activity is above or below the configurable threshold, currently set at 25, then the activity will be highlighted in yellow. This is an indication to you that it may be necessary to contact the sponsor of that activity.

Last Certified by [Redacted] on 10/27/2022 9:04 AM

Project IDs [-]	Payroll	Cost Share	Computed Effort	Certified Effort	Cost Transfer Dollars	Cost Transfer Percentage	Cost Share is Cost Transfer
<b>Sponsored</b>							
A19-1178 Safeguarding Two Lives: Expanding Early Identification & Access to Perinatal Mental Health & Substance Abuse							
5122059 Safeguarding Two Lives: Expanding Early Identification & Access to Perinatal Mental Health & Substance Abuse	7 %	0 %	7 %	7 %	\$ 0.00	0 %	0.0 %
5125262 Safeguarding Two Lives: Expanding Early Identification & Access to Perinatal Mental Health & Substance Abuse	14 %	0 %	14 %	93 %	\$ 5,692.46	79 %	0.0 %
<i>Award Total:</i>	21 %	0 %	21 %	100 %	\$5,692.46	79 %	0 %
<b>Sponsored Total:</b>	<b>21 %</b>	<b>0 %</b>	<b>21 %</b>	<b>100 %</b>	<b>\$5,692.46</b>	<b>79 %</b>	<b>0.00 %</b>
<b>Non Sponsored</b>							
0000000 Non-Sponsored payroll transactions	79 %	0 %	79 %	0 %	\$ -5,692.46	-79 %	0.0 %
<b>Non Sponsored Total:</b>	<b>79 %</b>	<b>0 %</b>	<b>79 %</b>	<b>0 %</b>	<b>\$-5,692.46</b>	<b>-79 %</b>	<b>0.00 %</b>
<b>Grand Total:</b>	<b>100 %</b>	<b>0 %</b>	<b>100 %</b>	<b>100 %</b>	<b>\$0.00</b>	<b>0.00 %</b>	<b>0.00 %</b>

Get Help
Cancel
Cost Transfer Needed
Do Not Process

# Scenario 2: Certified with Greater Than 5% Variance

The screenshot shows a software interface with two main panels. The left panel, titled 'Work List', has a dropdown menu for 'Statements Requiring Certification' and a search bar. Below this, there are sections for 'In Progress' and 'Recently Completed'. The right panel displays a list of effort statements under the heading 'Effort Statements'. The list includes columns for 'Statement Owner', 'Date', and 'Status'. The status 'Certified, Awaiting Cost Transfer' is highlighted in yellow.

Statement Owner	Date	Status
Base	10/30/2023	Ready for Certification
Base	10/31/2022	Certified, Awaiting Cost Transfer
Base	4/29/2024	Building, No Action Required

- Selecting Cost Transfer Needed will cause the status of the effort statement to be updated to Certified, Awaiting Cost Transfer.
- The statement will remain in this status until you submit a PAAT to true-up the effort statement and the PAAT is fully approved and uploaded into the ecrt system. Payroll is loaded into ecrt every weekend.

# Calculating a True-Up

Base Effort Period: 01/01/2016 to 06/30/2016		Status: Certified, Not Processed		% Value	
Project IDs [-]	Payroll	Cost Share	Computed Effort	Certified Effort	
<b>Sponsored</b>					
A14-0523 North Carolina Translational & Clinical Sciences Institute (NC TraCS) 5033787 CTSA Translational &	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	20%
<i>Award Total:</i>	\$0.00	\$0.00	\$0.00	\$0.00	20%
A16-0157 Radial Glial Development and Differentiation 5101924 Radial Glial Development and Differentiation	\$ 21,124.98	\$ 0.00	\$ 21,124.98	\$ 21,124.98	25%
<i>Award Total:</i>	\$21,124.98	\$0.00	\$21,124.98	\$21,124.98	25%
A17-0032 Regulation of the physiologic and pathologic activation of the NLRP3-inflammasome 5104393 Regulation of the physiologic and pathologic activation of the NLRP3-inflammasome	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	55%
<i>Award Total:</i>	\$0.00	\$0.00	\$0.00	\$0.00	55%
<b>Sponsored Total:</b>	<b>\$21,124.98</b>	<b>\$0.00</b>	<b>\$21,124.98</b>	<b>\$21,124.98</b>	<b>100%</b>
<b>Grand Total:</b>	<b>\$21,124.98</b>	<b>\$0.00</b>	<b>\$21,124.98</b>	<b>\$21,124.98</b>	<b>100%</b>

Increased Effort Scenario: Total Salary (21,124.98) X Certified Effort (20%) – Computed Effort (\$0.00) = \$4225 needs to be **charged** to the grant to true-up 5033787

Decreased Effort Scenario: Total Salary (21,124.98) X Certified Effort (25%) – Computed Effort (\$21,124.98) = \$15,843.74 needs to be **removed** from the grant to true-up 5101924

The remaining \$11,618.74 should be charged to 5104393 (\$21,124.98 X 55% = \$11,618.74)

# Scenario 2: Certified with Greater Than 5% Variance

The image shows two screenshots from a software application. The left screenshot, titled 'Work List', shows a sidebar with 'Statements Requiring Certification' selected. The right screenshot shows a detailed view of 'Effort Statements' under the 'Historical' category. It lists three entries: 'Base' for 6/30/2023 (Certified), 'Base' for 12/31/2022 (Certified), and 'Base' for 6/30/2022 (Certified, Processed, Payroll Pending). The last entry is highlighted in yellow.

Statement	End Date	Status
Base	6/30/2023	Certified
Base	12/31/2022	Certified
Base	6/30/2022	Certified, Processed, Payroll Pending

- Once the PAAT has been uploaded to the ecrt system you will see the status change to Certified, Processed, Payroll Pending. Effort statements in this status create an effort task to be worked by the Office of Sponsored Programs (OSP) Effort team.



# Scenario 2: Certified with Greater Than 5% Variance

- OSP has two options when processing the effort task: Post Without Re-opening or Post and Re-open.
- Post Without Re-opening will result in the effort statement moving to a status of Certified and no further action is needed.
- Post and Re-open will result in the statement being re-opened for certification and your help will be needed to ensure that the certifier completes the certification process within 21 days.
- Once the statement is re-certified the status will show as Certified and no further action is required.
- Statements that are not re-certified within the 21-day window will require all sponsored payroll and the associated benefits to be moved to departmental funds.

# Effort Tasks – Unique Circumstances

- There are circumstances that may occur which will result in a statement remaining in a status other than Certified after working the effort task.
- Payroll or a dock in pay related to one period but captured in the following period of performance.
- Certifiers that move between SHRA and EHRA classifications during the period of performance.
- Each situation requires further review, and a manual adjustment of the effort statement will likely be required to ensure accurate effort certification.

Contact the Cost Analysis and  
Compliance Effort Team with any  
questions [ecrt\\_help@unc.edu](mailto:ecrt_help@unc.edu)



Questions?



I had a question about the 1% minimum effort required for a PI during a six month period. Under UNC policy, if a project is for two years, does this mean that a minimum of 1% is required for only one of the six-month effort periods and the PI effort can be zero for the other three six-month periods?





THE UNIVERSITY  
*of* NORTH CAROLINA  
*at* CHAPEL HILL