



**The Research
Foundation for**

The State University of New York

EFFORT CERTIFICATION AND REPORTING TECHNOLOGY (ECRT)

**Administrator Overview
Training Materials
(Part 1 of 4)**

May 2013

SUNY



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Overview

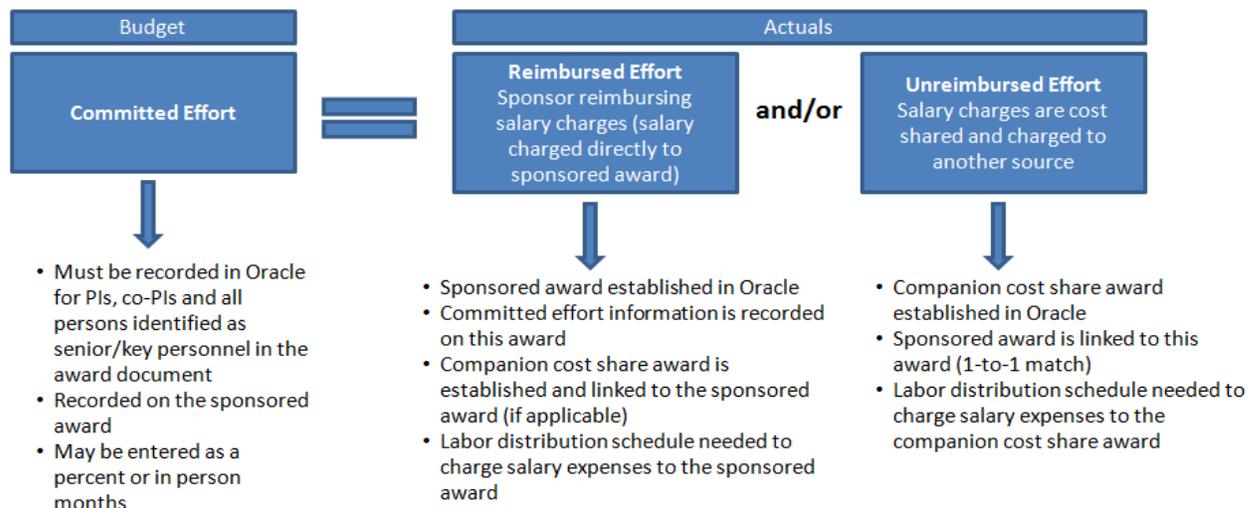
This document includes information about the Research Foundation’s (RF) effort reporting process and its new online effort certification tool: Effort Certification and Reporting Technology (**ecrt**). There are four sections:

- Effort reporting cycle.
- Internet Explorer compatibility.
- Information about **ecrt**.
- Information about the **ecrt** production environment set up.

U.S. federal government requirements for effort reporting are primarily in Office of Management and Budget (OMB) Circular A-21, “*Cost Principles for Educational Institutions*”, Section J.10., and in OMB Memoranda 01-06, “*Clarification of OMB A-21 Treatment of Voluntary Uncommitted Cost Sharing and Tuition Remission Costs*”, January 05, 2001. OMB Circular A-21 states that institutions receiving federal awards must maintain systems and processes that document the distribution of activity and associated payroll charges to each individual sponsored award/agreement.

The RF must ensure that effort expended on sponsored awards supports the salaries charged, and the cost sharing committed, to those awards. The RF does this by requiring the generation of periodic effort statements for persons whose salary is charged or cost shared to a sponsored award during certain periods of time within a calendar year. These effort statements identify a calculated percentage of the person’s effort that are dedicated to the sponsored award(s) – as well as other institutional activities – and require a certification signature attesting that the effort percentages are reasonable.

Effort Certification	
Federal regulations require effort certification for anyone with salary charges that are reimbursed or cost shared to a <i>federal or federal flow-through award</i>	
Whose effort is certified?	Who certifies that effort?
Principal investigator (PI)	PI or designated proxy certifier/restricted effort coordinator
Co-PI	Co-PI or designated proxy certifier/restricted effort coordinator
Key/Senior personnel	Key/senior personnel or designated proxy certifier/restricted effort coordinator
Research staff	PI or designated proxy certifier/restricted effort coordinator

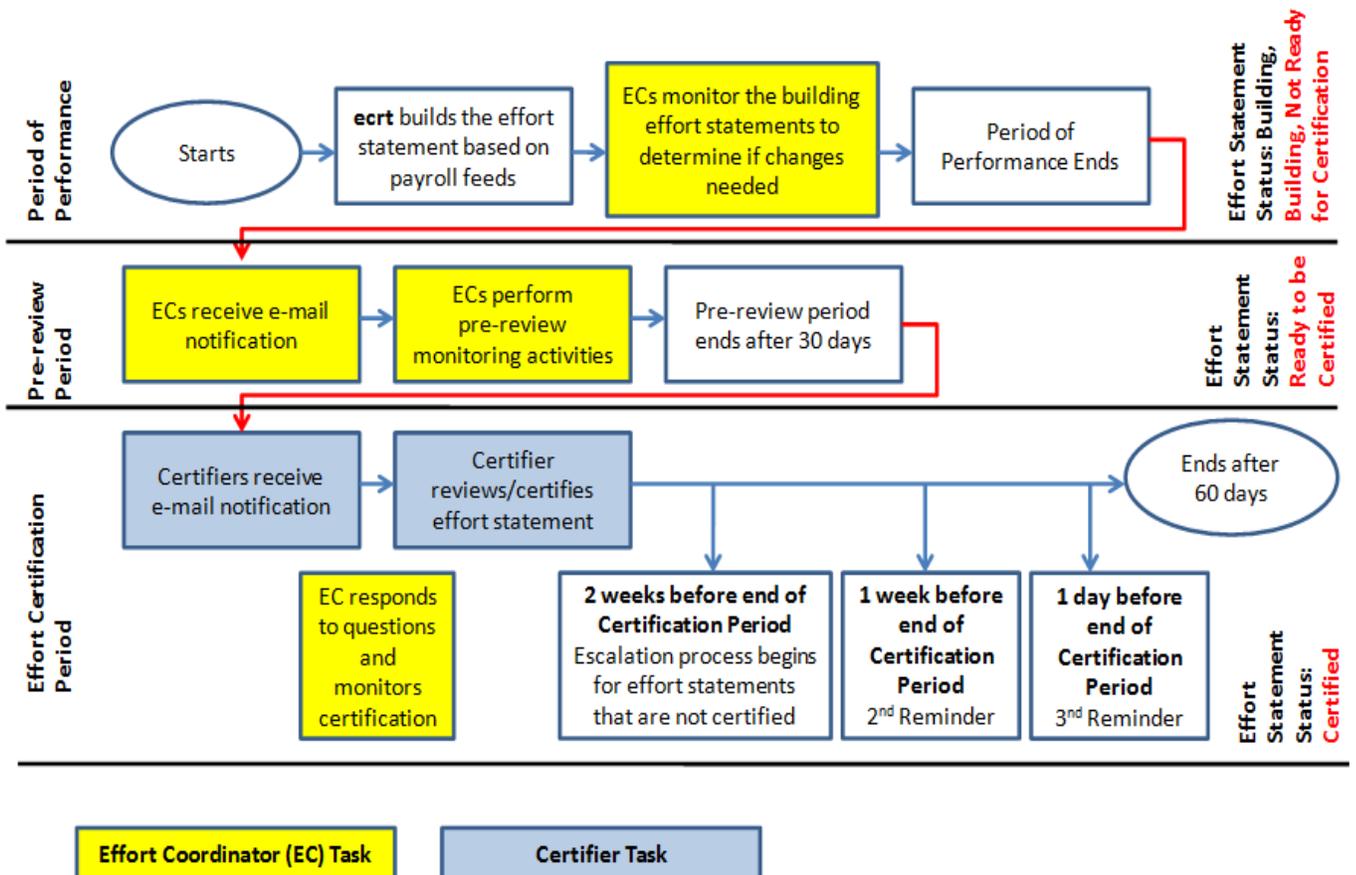


Effort Reporting Cycle

The following diagram outlines the activities that occur during the effort reporting cycle. This cycle is comprised of three periods:

- **Period of Performance:** The effort reporting period of performance. Effort statements are created and updated weekly as payroll and labor distributions are uploaded to **ecrt** from Oracle.
- **Pre-review Period:** A period of time for effort coordinators to review effort statements in the “Building, Not Ready for Certification” status and put effort statements with issues on hold so they are not automatically released for certification.
- **Effort Certification Period:** The period of time when principal investigators (PIs) or their designated proxy certifier/restricted effort coordinator certify their effort and the effort of their staff.

Effort Reporting Cycle



Note: To view effort reporting cycles with dates refer to the [“ECRT Administrator Supplement Training Materials” document](#).

Effort Reporting Periods of Performance

The effort reporting periods of performance differ by campus and by employee type.

SUNY Monthly Employees

- **Period of Performance:** The effort reporting period of performance is based on the campus academic calendar.
 - For **academic year campuses** the effort reporting period of performance is based on the start and end dates of the three academic periods (fall, spring and summer) as determined by the campus. For example:

SUNY Monthly		Period of Performance		Pre-Review Period		Certification Period	
Period		From	To	From	To	From	To
Spring	2013	1/1/2013	5/24/2013	5/25/2013	6/30/2013	7/1/2013	8/29/2013
Summer	2013	5/25/2013	8/25/2013	8/26/2013	9/24/2013	9/25/2013	11/23/2013
Fall	2013	8/26/2013	12/31/2013	1/1/2014	1/30/2014	1/31/2014	3/31/2014

- For **half-year campuses** the effort reporting period of performance is based on the start and end date of the two academic periods (fall and spring) as determined by the campus. For example:

SUNY Monthly		Period of Performance		Pre-Review Period		Certification Period	
Period		From	To	From	To	From	To
First Half	2013	1/1/2013	6/30/2013	7/1/2013	7/29/2013	7/30/2013	9/28/2013
Second Half	2013	7/1/2013	12/31/2013	1/1/2014	1/29/2014	1/30/2014	3/31/2014

- **Pre-review Period:** The pre-review period generally lasts for 30 days but this timeframe may be shorter if the campus wants a shorter period of time. The pre-review period starts the day after the effort reporting period of performance ends.
- **Certification Period:** The certification period generally lasts for 60 days and it starts one month after the period of performance ends.
 - **Note:** If a campus decides to shorten its pre-review period the certification period would start the day after the pre-review period ends.
 - **For example:** A campus may decide it only needs two weeks to perform pre-review activities for the spring 2013 timeframe. The period of performance ends on May 24, 2013 and the pre-review period would start on May 25, 2013. Since the campus only needs two weeks the pre-review period would end on June 7, 2013 and the certification period would start on June 8, 2013. The total certification period would run from June 8 – August 22, 2013.

Note: Changing the length of the pre-review period is a system administration task performed by central office staff. Campuses who would like to change the length of their pre-review period should send an e-mail with their campus name and the dates of the new pre-review period to effort@rfsuny.org. Central office staff will make this change and notify the campus when it is completed.

RF Biweekly Employees

- **Period of Performance:** The effort reporting period of performance is based on the campus academic calendar and the RF payroll dates.
 - For **academic year campuses** the effort reporting period of performance start date coincides with the start date for each of the three academic periods (fall, spring and summer) as determined by the campus. The end date coincides with the last full RF pay period within the academic calendar end date. For example:

RF Biweekly		Period of Performance		Pre-Review Period		Certification Period	
Period		From	To	From	To	From	To
Spring	2013	1/1/2013	5/31/2013	6/1/2013	6/30/2013	7/1/2013	8/29/2013
Summer	2013	6/1/2013	8/23/2013	8/24/2013	9/24/2013	9/25/2013	11/23/2013
Fall	2013	8/24/2013	12/31/2013	1/1/2014	1/30/2014	1/31/2014	3/31/2014

- For **half-year campuses** the effort reporting period of performance is the same as for SUNY monthly employees. It is based on the start and end date of the two academic periods (fall and spring) as determined by the campus. For example:

RF Biweekly		Period of Performance		Pre-Review Period		Certification Period	
Period		From	To	From	To	From	To
First Half	2013	1/1/2013	6/30/2013	7/1/2013	7/29/2013	7/30/2013	9/28/2013
Second Half	2013	7/1/2013	12/31/2013	1/1/2014	1/29/2014	1/30/2014	3/31/2014

- **Pre-review Period:** The pre-review period generally lasts for 30 days but this timeframe may be shorter if the campus decides it needs a shorter amount of time. The pre-review period starts the day after the effort reporting period of performance ends.
- **Effort Certification Period:** The certification period generally lasts for 60 days and it starts one month after the period of performance ends.
 - **Note:** If a campus decides to shorten its pre-review period the certification period would start the day after the pre-review period ends.
 - **For example:** A campus may decide it only needs two weeks to perform pre-review activities for the spring 2013 timeframe. The period of performance ends on May 31, 2013 and the pre-review period would start on June 1, 2013. Since the campus only needs two weeks the pre-review period would end on June 14, 2013 and the certification period would start on June 15, 2013. The total certification period would run from June 15 – August 29, 2013.

Note: Changing the length of the pre-review period is a system administration task performed by central office staff. Campuses who would like to change the length of their pre-review period should send an e-mail with their campus name and the dates of the new pre-review period to effort@rfsuny.org. Central office staff will make this change and notify the campus when it is completed.

Internet Explorer Compatibility

Recommended browsers are listed below in the order of best user experience:

1. The latest version of Firefox.
2. The latest version of Google Chrome.
3. The latest version of Safari for Mac computers and most mobile devices.
4. Internet Explorer 9.

If Internet Explorer is used it is best to run it in Compatibility View:

- Click the **Compatibility View** icon on the address bar located at the top of your browser window:



If this icon is not visible go to **Tools > Compatibility View** and check the box next to **Display all websites in Compatibility View**.

Work List: The ecrt Home Page

The **Work List** is the first page all users see when they log in to **ecrt**. The primary method of navigating within **ecrt** is to use the tabs across the top of the screen (indicated by the red box below):

- a** • **Home** – Returns the user to the **Work List** from anywhere in the application.
- **Certify** – Allows the user to access the **My Statements** page, where all of the effort statements listed on the **Work List** may be certified.
- **Manage** – Allows the user to access the **Department Dashboard** and **Look-up** pages. Available **only** to primary effort coordinators, effort coordinators and restricted effort coordinators. **Note:** Principal investigators (PIs) and others who will certify effort will not see this tab.
- **Reports** – Takes the user to the **Reports** page, where all reports that the user has the assigned right to view may be run.
- **Administration** – Allows effort coordinators access to the **Manage Users** page where they can look up an individual's **ecrt** username, employee type, and role in **ecrt**.
- **Links** – These links are identical to those displayed in the blue box on the left side of the page.

University of Albany

Welcome, [User Name] | Sign Out

Home Certify Manage Reports Administration Links

Work List for [User Name]

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.

Statements Awaiting Certification (8) Effort Tasks (94)

Statement Owner	Department	Due Date	Type	Status	PI
[User Name]	8772 - 010 Professional Development Program	8/10/2012	Base	Ready to be Certified	[Radio Button]
		9/7/2012	Base	Ready to be Certified	[Radio Button]
		10/5/2012	Base	Ready to be Certified	[Radio Button]
		12/28/2012	Base	Ready to be Certified	[Radio Button]
[User Name]	8776 - 010 Hindelang Criminal Justice Research Center	3/23/2012	Base	Ready to be Certified	[Radio Button]
		4/20/2012	Base	Ready to be Certified	[Radio Button]
		5/18/2012	Base	Ready to be Certified	[Radio Button]
		6/15/2012	Base	Ready to be Certified	[Radio Button]

The **Work List** displays a tab named **Statements Awaiting Certification**:

Note: It is possible that primary effort coordinators/effort coordinators will not see data associated with them on this tab. Proxy certifiers will see the PI and/or any staff whose effort they are delegated to certify.

- b** • The **Statement Owner** column lists the names of the individuals whose effort statements are available to review and certify. This list will include the PI and any individuals whose effort the PI has to certify. The **Department** column lists each individual's department in the format of a four- or five-digit department code number, the three-digit campus location code, and the department name.
- The **Due Date** column lists the date each effort certification needs to be completed.
- The **Type** column displays a default effort statement type of base.
- The **Status** column displays the current status of the effort statements listed such as "Ready to be Certified" or "Building, Not Ready for Certification."
- If a PI has other individuals whose effort he or she certifies the **PI** column displays a radio button after those individuals' names. Click the button to display the awards (or accounts) that the individual performed activities for during the effort reporting period of performance.

The **Work List** displays another tab named **Effort Tasks**. This tab is only available to primary effort coordinators and displays tasks, e.g., payroll adjustment reconciliation, certifications routed for processing, manual certifications routed for processing, etc., that they will need to process before a certification is finalized.



Statements Awaiting Certification	Effort Tasks (94)	
Task	Type	Date
Payroll Adjustment Reconciliation [Link] routed for processing	Process Payroll Adjustment	01/14/2013
Payroll Adjustment Reconciliation [Link] routed for processing	Process Payroll Adjustment	01/14/2013
Payroll Adjustment Reconciliation [Link] routed for processing	Process Payroll Adjustment	01/14/2013
Payroll Adjustment Reconciliation [Link] routed for processing	Process Payroll Adjustment	01/02/2013
Payroll Adjustment Reconciliation [Link] routed for processing	Process Payroll Adjustment	01/02/2013

Access an Effort Statement

From the **Work List** an effort statement may be accessed in one of three ways. To view an effort statement:

- Navigate to **Certify** on the menu bar and select **My Statements**.
- Click the **Statements Awaiting Certification** tab and click a hyperlinked name under the **Statement Owner** column.
- Click on an individual effort statement icon on the right side of the screen under the **Status** column.

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

Work List for [Name]
 Welcome to the ecr 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.

Statement Owner	Department	Due Date	Type	Status	PI
Shinde, Carshan V - 82517	8772 - 010 Professional Development Program	8/10/2012	Base		
		9/7/2012	Base		
		10/5/2012	Base		
		12/28/2012	Base		
[Name]	8776 - 010 Hindelang Criminal Justice Research Center	3/23/2012	Base		
		4/20/2012	Base		
		5/18/2012	Base		
		6/15/2012	Base		

The ecrt Effort Statement

The effort statement is divided into four sections:

- a. The **Statement Information** section
- b. The **Work List** section
- c. The **Detail** section
- d. The **Notes and Attachments** section



The **Statement information** section displays information about the PI and his or her effort statements. Click the right-facing arrow to expand the **Statement Owner** information:

Hopkins, Kimberly

▼ Statement Owner

Title: Principal Investigator Effort Coordinator: Charles Marks

Department: School of Computer Science and Engineering Email: kimberly.hopkins@rfsunytraini

▼ Effort Statements ★

▼ Needing certification ★

Base 8/31/2012 Ready to be Certified

▶ In progress ★

▶ Historical

This area displays the individual's title, department, the campus effort reporting administrator who will respond to questions and e-mail address.

The **Effort Statements** section includes three subsections:

- 1. Statements Needing Certification
 - a. This area displays effort statements that need to be certified.
 - b. Any statement that is **Ready to be Certified** will be displayed first.
- 2. Statements that are In Progress
 - a. This area displays effort statements that are currently in a building status.
 - b. This is the current period of performance and an effort statement is being created based on the individual's salary expenditures (charging instructions).
- 3. Historical Statements
 - a. This area displays effort statements that were previously certified.
 - b. Click the line for the statement you wish to view.
 - c. Press **Ctrl** on the keyboard and click with the mouse to select multiple statements.

Hopkins, Kimberly

▶ Statement Owner

▼ Effort Statements ★

▼ Needing certification ★

Base 8/31/2012 Ready to be Certified

▼ In progress ★

Base 11/16/2012 Building, Not Ready for Certification

▼ Historical

Click the right-facing arrow to expand these sections. Use the scroll bar to scroll down and view all statements.

- Base is the default effort statement type.
- The displayed date is the date by which the effort statement must be certified.
- The icon followed by text indicates the status of the effort statement.

b

The **Work List** section is a condensed version of the Work List from the **ecrt** home page. Individuals responsible for certifying effort of their staff will see the names of that staff listed in this section under their name.

Work List	
▼ Active	
Lee, Pham	600 Computer Science and Engineering
Tan, Mary	600 Computer Science and Engineering

Click an individual’s name to view their effort statement information. Click your name in the **Work List** section to return to your effort statement information.

c

The third section is the effort statement **Detail**.

The top portion of the effort statement detail includes header information, a message area and tools:

Effort Statement for [Name] (SUNY-Monthly); Base effort, from 08/20/2012 to 12/31/2012; Status: Building, Not Ready for Certification	
<p>WARNING - This Effort Statement has an exception account with payroll loaded to it that prevents it from being certified.</p> <p>INFO - This Effort Statement cannot be certified because it is in the Building, Not Ready for Certification status.</p>	
	On Hold: <input type="checkbox"/> \$ Value Override Status

The header section lists the individual’s name, campus name and employee type, the effort reporting period of performance, the effort certification due date and the effort statement status. The term “base” refers to the default effort statement type.

The message area displays information about the effort statement and only appears under certain circumstances. For example:

- WARNING: This effort statement cannot be certified because there is no primary effort coordinator for the owner of this statement.
- WARNING: This effort statement has an exception account with payroll loaded to it that prevents it from being certified.
- INFO: This effort statement has been previously saved.
- INFO: This effort statement cannot be certified because it is in the Building, Not Ready for Certification status.

Below this information are the tools that are available:

- A refresh icon
- A reports icon that allows you to run a report such as a payroll report directly from the effort statement
- A PDF icon if you want to export a PDF version of the effort statement
- A \$ Value link that converts the effort percentages to dollar amounts
- An Override Status link that allows you to change the status of an effort statement, e.g., from “Certified” to “Ready to be Certified.”

Below the tools are six columns. The effort statement column names vary based on the names selected by your campus.

- Awards
- Salary Charges, Reimbursed Effort or Direct Charged Salary RF/IFR
- Cost Share Charges or Unreimbursed (Cost Shared) Effort
- Total Charges or Total Effort
- Certified Effort
- Certify

Awards [-]	Salary Charges	Cost Share Charges	Total Charges	Certified Effort	Certify
Sponsored - Federal/Federal Flow-through					
75666 Advanced Behavior Recognition in Crowd Environment - Continuation					
75666 Advanced Behavior Recognition in Crowd Environment - Continuation	45.36%	0.00%	45.36%	\$ 45.36%	<input type="checkbox"/>
66566 Cost Share to Award 75666 Project 1081071	0.00%	36.02%	36.02%	\$ 36.02%	<input type="checkbox"/>
<i>Award Total:</i>	45.36%	36.02%	81.38%	81.38%	
Sponsored - Federal/Federal Flow-through Total:	45.36%	36.02%	81.38%	81.38%	
Sponsored - Non Federal					
97487 CAREER: G*: A Parallel System for Efficiently Processing Large Graphs					
97487 CAREER: G*: A Parallel System for Efficiently Processing Large Graphs	5.01%	0.00%	5.01%	\$ 5.01%	<input type="checkbox"/>
<i>Award Total:</i>	5.01%	0.00%	5.01%	5.01%	
Sponsored - Non Federal Total:	5.01%	0.00%	5.01%	5.01%	
Non Sponsored					
000260 600 Other Institutional Activities	13.61%	0.00%	13.61%	\$ 13.61%	<input type="checkbox"/>
Non Sponsored Total:	13.61%	0.00%	13.61%	13.61%	
Grand Total:	63.98%	36.02%	100.00%	100.00%	All None

An effort statement includes salary expenditures charged to the following awards:

- Sponsored awards
 - Federal
 - Federal flow-through
 - Cost share awards for federal and federal flow-through awards
- Sponsored - Nonfederal awards
 - Cost share awards for nonfederal awards
- Nonsponsored awards
 - Voluntary uncommitted cost share awards
 - Other institutional activities
 - Other types of nonsponsored awards

The **Awards** column lists the sponsored and nonsponsored awards an individual had salary expenditures charged to during the effort reporting period of performance.

- The **Sponsored – Federal/Federal Flow-through** section includes the individual’s federal and federal flow-through awards. The effort statement displays a main heading that lists the award number and name. There is the potential for two indented subheadings under each award heading:
 - One with the identical award number and name for salary expenditures that are directly charged to the sponsor.
 - A second one for a cost share award if the PI committed to cost sharing effort. In the above sample effort statement the PI committed to cost sharing on one award and the cost share award is indicated by a red box.

- The **Sponsored – Non Federal** section includes the individual’s awards that are not federally sponsored, e.g., an award from a private corporation. Awards in this section will follow the main heading and indented subheading set up as described above:
 - One with the identical award number and name for salary expenditures that are directly charged to the sponsor.
 - A second one for a cost share award if the PI committed to cost sharing effort.
- The **Non Sponsored** section includes any voluntary uncommitted cost sharing awards, other institutional activity and activity on other types of nonsponsored awards.

To view the amount of effort that was committed to each award roll your mouse over the main award heading. A pop-up window will open with the commitment information and the PI name and e-mail address.

Click the indented subheading lines that are blue hyperlinks to view the **Award Summary** page. This page includes information about the award including the individuals with effort on the award.

The **Salary Charges** column displays the percentage of salary that was directly charged to the sponsor for the corresponding award during the period of performance.

The **Cost Share Charges** column displays the percentage of salary that was cost shared—not reimbursed by the sponsor—for the corresponding award during the period of performance.

The **Total Charges** column displays the sum of the percentage in the **Salary Charges** column plus the percentage in the **Cost Share Charges** column.

The **Certified Effort** column is automatically populated with the percentages from the **Total Charges** column.

Note: There may be awards on the effort statement with 0 percentages in the salary, cost share, total and certified effort columns—see below:

Awards [-]	Salary Charges	Cost Share Charges	Total Charges	Certified Effort	Certify
Sponsored - Federal					
Federal Flow-through					
56434 RNA Modifications as Biomarkers of Environmental Stress and Inflammation					
56434 RNA Modifications as Biomarkers of Environmental Stress and Inflammation	5.00%	0.00%	5.00%	5.00%	<input type="checkbox"/>
Award Total:	5.00%	0.00%	5.00%	5.00%	
62195 Targeted Degradation of DNA Damage Response Proteins by Autophagy					
62195 Targeted Degradation of DNA Damage Response Proteins by Autophagy	0.00%	0.00%	0.00%	0.00%	<input type="checkbox"/>
Award Total:	0.00%	0.00%	0.00%	0.00%	
62548 Nanoparticle Exposure Assessment During Chemical Mechanical Planarization Operations					
62548 Nanoparticle Exposure Assessment During Chemical Mechanical Planarization Operations	0.00%	0.00%	0.00%	0.00%	<input type="checkbox"/>
Award Total:	0.00%	0.00%	0.00%	0.00%	
Sponsored - Federal					
Federal Flow-through Total:					
	5.00%	0.00%	5.00%	5.00%	

This happens in the following situations:

- There is committed effort on the sponsored program for the effort reporting period of performance but no corresponding salary charges (reimbursed and/or unreimbursed cost share charges).

- The salary charges applied to the sponsored program were small and rounded down to 0 percent.
- Salary charges were applied and then removed from the sponsored program so that the total of the debits and credits was 0 percent.

The **Certify** column contains checkboxes that need to be checked to certify the effort statement. The certifier has the option to click the **All** link at the bottom of the statement to check all the boxes or click each box individually.

Each column is subtotaled by award and by section—sponsored and nonsponsored. The columns are also totaled at the bottom. The figures will display as a decimal to the nearest hundredth or will be rounded to a whole number depending on your campus configuration.



The **Notes and Attachments** section of the effort statement includes the following:

- **Get Help:** Click this button to send an e-mail to your effort reporting administrator if you have questions about the effort statement.
- **Close:** Click this button to close the effort statement.
- **Certify:** Click this button to certify the effort statement.
- **Manual Certification:** Click this button if you need to certify an effort statement where the certifier signed a hard copy of the effort statement (available **only** to primary effort coordinators).
- **No Certification Required:** Click this button if a certifier known to have nonfederal activity only has federal or federal flow-through charges of 0 percent (available **only** to primary effort coordinators).

The screenshot shows the top navigation bar with buttons: **Get Help**, **Certify**, **Manual Certification**, **No Certification Required**, and **Close**. Below this are three sections:

- Notes:** Contains two entries dated 01/08/2013. The first note states: "Due to a salary transfer, your certification was reopened via a payroll adjustment by [Name]". The second note states: "Your certification was reopened by [Name] on 1/8/13 4:00 PM."
- Attachments:** Currently empty.
- Certifiers & Approvers:** A table listing individuals who certified or approved the effort statement.

Role	Name	Award Title	PI Type
Certifier	[Name]	59884 Impacts of Forest Management on	Award PI
Certifier	[Name]	59468 CS SUNY ESF Gateway Combined Heat and	Award PI
Certifier	[Name]	57081 CS Biomass Green Energy Cooperative	Award PI
Certifier	[Name]	57149 CS Farm and Forest to Fuel: An Integrative	Award PI
Certifier	[Name]	49470 CS Renewable Fuels Roadmap and	Award PI
Certifier	[Name]	48746 CS Accelerated Commercialization and	Award PI
Certifier	[Name]	48421 CS Designing, Developing and	Award PI
Certifier	[Name]	56646 CS Energy Efficient and State Roadway	Award PI
Certifier	[Name]	51689 Regional Biomass Feedstock Partnership-	Award PI
Certifier	[Name]	60853 CS Genetic Improvement for Yield and	Award PI
Certifier	[Name]	51908 CS Regional Biomass Feedstock	Award PI
Certifier	[Name]	56055 Development and Deployment of a Short	Award PI
Certifier	[Name]	56293 CS Regionally Specific Carbon Cycling,	Award PI
Certifier	[Name]	56290 Regionally Specific Carbon Cycling,	Award PI
Certifier	[Name]	56056 CS Development and Deployment of a Short	Award PI
Approver	[Name]	N/A	Department Effort Coordinator

The **Notes** and **Attachments** sections, located below the buttons, allow users to attach supporting documentation or notes to an effort statement.

A gold star (highlighted by the red box above) indicates that there is information in that section. Click the arrow to expand the section and view the notes and/or attachments.

The Certifiers & Approvers section lists the PIs who will certify the various awards on the effort statement as well as the department effort coordinator. Unless there is an assigned department effort coordinator, this will be the campus primary effort coordinator.

Actions Available from the Effort Statement

View Summary Award Information

Click the indented subheading lines that are blue hyperlinks to view the **Award Summary** page. This page includes information about the award including the individuals with effort on the award:

Award Summary

Award Name: Gamma crystallin modifications&mechanisms of lens capacity
Award Number: 52771
Award Type: Federal
Award Amount: \$1,602,821.47
Award Sponsor Name: National Eye Institute
Award Sponsor Number: 1070
Award Sponsor Project Number: 5R01EY01053518
Award PI: [Susan Parks, MD](#) (Primary Effort Coordinator: [Susan Parks, MD](#))
Award Owner: N/A
Start to End Date: 12/01/2009 to 11/30/2013
Exception Award:
Cost Sharing Requirement:
K-Award:

Associated Department

Department Code	Department Name
8680	010 Chemistry

Covered Individuals associated with this Award

7 items found, displaying all items.

Certifier Name	Department
Susan Parks, MD	010 Chemistry
Mark Smith, MD	010 Chemistry
Christopher Adams, MD	010 Chemistry
Christopher Adams, MD	010 Chemistry
Mark Smith, MD	010 Chemistry
Mark Smith, MD	010 Chemistry
Christopher Adams, MD	010 Chemistry

7 items found, displaying all items.

Run Reports

You may run reports directly from an effort statement to view more information about the data used to build the effort statement for the period of performance you are viewing.

1. Click the **Reports** icon (indicated by the red box below).
2. Click the name of the report you want to run.



3. The report will open in a new Web browser.

The “Payroll Report” displays the detail for the effort reporting period of performance. It provides detailed salary distribution by award and pay period and should be reviewed for accuracy and completeness.

Export a PDF Copy of the Effort Statement

To export and save a hard copy of the effort statement:

1. Click the **PDF Reports** icon:

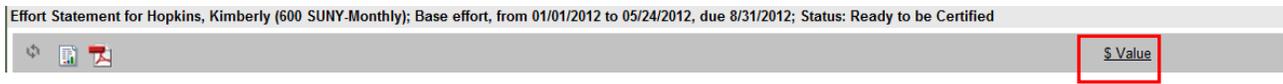


2. The **File Download** pop-up window opens.
3. Click **Open**.
4. The PDF version of the effort statement will open.

View Dollar Amounts

To view the dollar amounts instead of the percentages displayed in the effort statement columns:

1. Click the **\$ Value** link in the header above the column names:



2. The percentages will convert to dollar amounts:

				% Value	
Awards [-]	Salary Charges	Cost Share Charges	Total Charges	Certified Effort	Certify
Sponsored - Federal/Federal Flow-through					
75666 Advanced Behavior Recognition in Crowd Environment - Continuation	\$ 63190.60	\$ 0.00	\$ 63190.60	45.36%	<input type="checkbox"/>
75666 Advanced Behavior Recognition in Crowd Environment - Continuation	\$ 0.00	\$ 50188.46	\$ 50188.46	36.02%	<input type="checkbox"/>
66566 Cost Share to Award 75666 Project 1081071					
<i>Award Total:</i>	\$63190.60	\$50188.46	\$113379.06	81.38%	
Sponsored - Federal/Federal Flow-through Total:					
	\$63190.60	\$50188.46	\$113379.06	81.38%	
Sponsored - Non Federal					
97487 CAREER: G*: A Parallel System for Efficiently Processing Large Graphs	\$ 6978.71	\$ 0.00	\$ 6978.71	5.01%	<input type="checkbox"/>
97487 CAREER: G*: A Parallel System for Efficiently Processing Large Graphs					
<i>Award Total:</i>	\$6978.71	\$0.00	\$6978.71	5.01%	
Sponsored - Non Federal Total:					
	\$6978.71	\$0.00	\$6978.71	5.01%	
Non Sponsored					
000260 600 Other Institutional Activities	\$ 18960.08	\$ 0.00	\$ 18960.08	13.61%	<input type="checkbox"/>
Non Sponsored Total:					
	\$18960.08	\$0.00	\$18960.08	13.61%	
Grand Total:					
	\$89129.39	\$50188.46	\$139317.85	100.00%	All None

3. Click the **% Value** link to return to the percentage view.

Note: The effort statement must be in the percentage view to be certified.

Reports

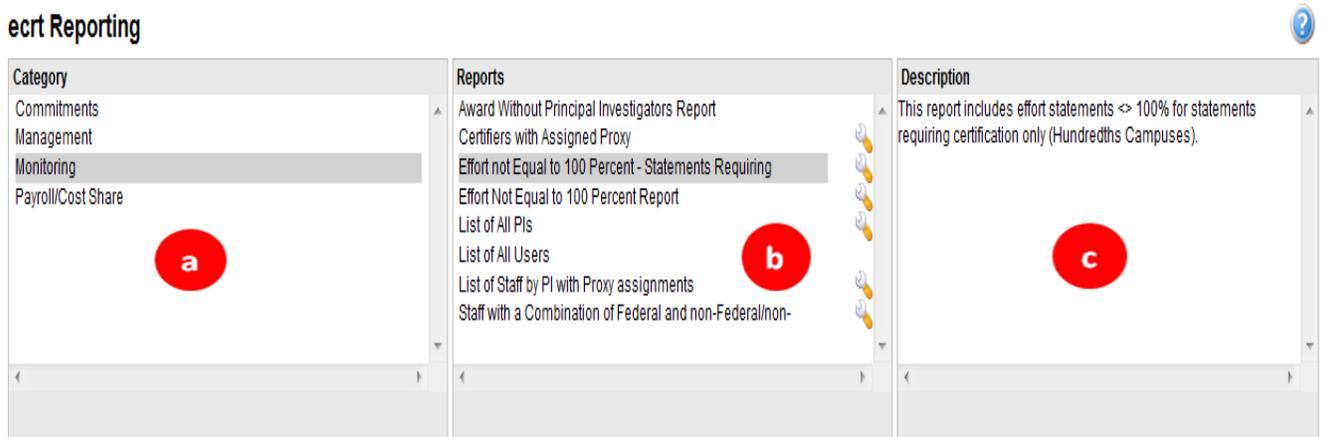
The **Reports** page may be accessed in one of two ways:

- Click the **Reports** tab at the top of the screen.
- Click the **Reports** icon above the **Awards** section on an effort statement.



The **Reports** page has three boxes that you will use to select the report that you want to run:

- Category:** eCRT organizes reports into categories. Your first step in running a report is to select a category.
- Reports:** After you select a category the list of reports available in that category appears in the middle box. Select a report and the report description will appear in the right box and report parameters or the **Run Report** button appear below.
- Description:** The right box provides a description of the report selected.



Reports can be exported to Excel, XML, PDF or rich text format (RTF) by clicking the icon that appears at the bottom of the report results:



ecrt Reports

Report Category: Management					
Huron or Custom	Report Name	Roles with Access	Available Parameters	Data displayed	Pre-review or Certification
Huron	Certification Status Report	Primary effort coordinator (PEC), effort coordinator (EC), restricted effort coordinator (REC)	Available status; School / Department; Department / Sub Department; Available roles; Search by statement type; Date by dates or employee type; Dates	Employee name; Department; Effort coordinator, Effort coordinator e-mail; Proxy assignment; Certifier e-mail; Certification period; Current status	Both
Custom	Effort Statement on Hold	PECs, ECs, RECs	No parameters	Certifiers with effort statements on hold; Home department; Effort statement placed on hold by; Date placed on hold; Effort statement status; Department primary effort coordinator	Both
Custom	List of All Awards and their Associated Accounts	PECs, ECs, RECs	No parameters	Award number; Award name; Account number; Account name; Department; Sponsor name; Account PI; Budget; Start date; End date; Cost share requirement; ARRA account	Pre-review

Report Category: Monitoring					
Huron or Custom	Report Name	Roles with Access	Available Parameters	Data displayed	Pre-review or Certification
Huron	Award Without Principal Investigators Report	PEC, EC	No parameters	Award number; Award name; Department; Start date; End date	Pre-review
Huron	Effort Not Equal to 100%* * Whole Numbers or Hundredths	PECs, ECs	Available Status	Certifier; Employee type; Start date; End date; Certified effort percent; Description; Institution	Both
Custom	List of All Users	PECs, ECs, RECs	Letter of last name; Role; School / Department; School / Sub department	Name; Username; Primary department; E-mail address; Role name; Faculty; Action	Pre-review
Custom	List of Staff by PI with Proxy Assignments	PECs, ECs	Available status	PI name; PI proxy; Award name; Staff; Staff primary department; Staff proxy; Period of performance; effort statement status	Pre-review
Custom	Self Certifiers with Federal / Nonfederal / Nonsponsored Effort	PECs, ECs	Available Status	Self certifier; Employee type; Self certifier primary dept; Period of performance; effort statement status; Award; Award type; Certified Effort; Pi name	Pre-review
Custom	Staff with Federal / Nonfederal / Nonsponsored Effort	PECs, ECs	Available Status	Staff; Employee type; Staff primary dept; Period of performance; effort statement status; Award; Award type; Certified Effort; Pi name	Pre-review

Report Category: Payroll/Cost Share					
Huron or Custom	Report Name	Roles with Access	Available Parameters	Data displayed	Pre-review or Certification
Custom	Individuals with Negative Payroll	PECs, ECs, RECs	No parameters	Certifier; Period start date; Period end date; Institution	Pre-review
Huron	Payroll Report	PECs, ECs, RECs, self-certifiers	Employee; School / Department; School / Sub department; Search by statement type; Date by dates or employee type; Dates; (Employee type; Period)	Certifier; Department; Department number; Grant; Pay period; Payroll; Pay %; Pay type; Employee type; effort statement type	Both
Huron	SPES Report	PECs, ECs, RECs, self-certifiers	Date by month or employee type; Month; Award; (Employee type; Period)	Persons charged or cost shared to this award; Certification period; Department; Role(s); Award number; Award name; Pay (\$); Pay (%); C/S (\$); C/S (%); Commitment (%); Computed (%); Certified (%); Action	Both

Searching within ecrt

To search for an employee, a department, an award, or other information **ecrt** offers a type-ahead function. This is available from anywhere there is a text field to enter a search parameter. For example:

- Department dashboard page
- Look-up page
- Report parameters
- Manage users

Type at least three letters or numbers in the text box field; **ecrt** will use these letters or numbers to display possible suggestions.

Look-up Page

The Look-Up page allows you to search for people or Award. To find a person, enter all or part of the name and click the **Go** button. To find an Award, enter all or part of the Award name or number in the Award field and click the **Go** button.

Employee:

- Smith Zach
- Smith Robe
- Smith Jenni
- Smith Tori -
- Sundar Smi
- Smith Willia
- Smith Robe
- Smjd Johar
- Smith Jasoi

Type additional letters or numbers as needed to further refine your search. Once the information you are looking for appears on the list click the line you want to select it. That information will appear in the text field box.

Note: To search for your campus name type the first three letters of the campus name. You should **not** use your location code because too many results will be returned. For example: Type **STO** for Stony Brook University. Department names are listed as they appear in the campus organization hierarchy.

- 050 History
- 050 Life Science Storeroom
- 050 Stony Brook Foundation
- 050 Stony Brook Child Care Center
- 050 Stony Brook Manhattan Facilities
- 050 Stony Brook Child Care Center (3)
- 050 Stony Brook Foundation (3)
- 050 Stony Brook University

Search By Statement Type:

Date By:

Dates:

Hover Over Feature

Some fields in **ecrt** display information in a pop-up window if you roll your mouse over them. For example:

- Committed effort information will display if you hover over the non-hyperlinked award line from an effort statement:

Effort Statement for **51890 - Nonlinear Effects in Quantum Condensed Matter Systems** (RF-Biweekly); Base effort, from 05/19/2012 to 08/24/2012; Status: Certified

Commitment

Commitment between: 09/01/2011 to 08/31/2013

Total: 8.33%

Cost Shared: 0.0%

Charged: 8.33%

Awarded: 8.33%

Note: Based on your previous certifications, in order to meet the Effort Commitment for 51890 - Nonlinear Effects in Quantum Condensed Matter Systems, the required Effort should be 8.33%.

PI Contact

Name: Alexandre Abanov
Email: effort@rfsuny.org

- The award PI will display if you hover over the hyperlinked award name from the **Award Summary** page:

Award Summary

Award Name: Nonlinear Effects in Quantum Condensed Matter Systems
 Award Number: 51890
 Award Type: Federal
 Award Amount: \$270,000.00
 Award Sponsor Name: National Science Foundation
 Award Sponsor Number: 3232
 Award Sponsor Project Number: DMR0906866
 Award PI: [Alexandre Abanov - 39798](#) (Primary Effort Coordinator: [Sheila H Routh - 39798](#))
 Award Owner: N/A
 Start to End Date: 06/15/2009 to 08/31/2012
 Exception Award:
 Cost Sharing Requirement:
 K-Award:

Associated Department

Department Code	Department Name
8445	050 Physics

Award Relationships

Award Number	Award Name
51890	Nonlinear Effects in Quantum Condensed Matter Systems

Covered Individuals associated with this Award

One item found.	PI: Alexandre Abanov - 39798
-----------------	--

- The person's name, effort reporting period of performance and effort statement status if you hover over an effort statement icon on the **Department Dashboard** page:

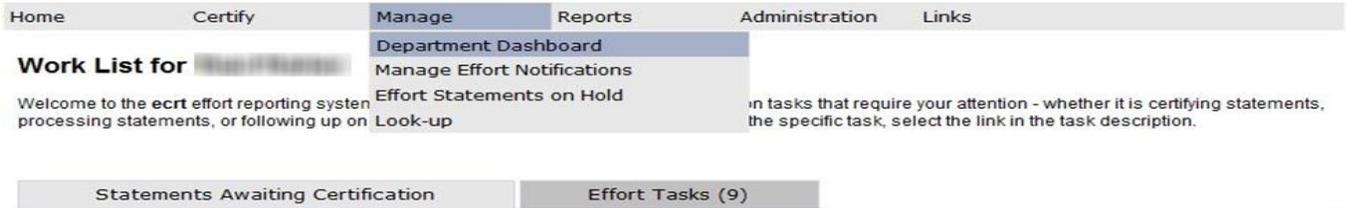
Name	Type	Statements	Commitment
Sponsored			
Adm. Services (1400)	Stony Brook RF-Biweekly		
Adm. Services (1400)	Stony Brook RF-Biweekly		
Adm. Support (1401)	Stony Brook SUNY-Monthly		
Adm. Support (1401)	Stony Brook RF-Biweekly		
Adm. Support (1402)	Stony Brook RF-Biweekly		
Adm. Support (1403)	Stony Brook RF-Biweekly		
Adm. Support (1404)	Stony Brook SUNY-Monthly		
Adm. Support (1405)	Stony Brook RF-Biweekly		
Adm. Support (1406)	Stony Brook RF-Biweekly		
Adm. Support (1407)	Stony Brook RF-Biweekly		
Adm. Support (1408)	Stony Brook RF-Biweekly		

Adm. Services (1400)
 Aug 25 2012 to Dec 31 2012
 Base, Building, Not Ready for Certification (Stony Brook RF-Biweekly)

Access the Department Dashboard

The **Department Dashboard** page allows you to review all the information related to your assigned department(s), including: employees, awards and effort statements associated to that department.

1. From your **Work List** hover over **Manage** and click **Department Dashboard**:



2. If you are assigned to more than one department you will be asked to choose a department to administer.
3. Click the down arrow to select a department from the drop-down list.
 - a. **Or** you may start typing the name of the department name in the text box and the department will populate in the drop-down box.

Department Dashboard

Choose a Department to administer. The search can be conducted using Department name or Department and sub-Department number. Results are produced more quickly using Department and sub-Department number.

4. The **Department Dashboard** opens.

Note: If you are only assigned to one department the **Department Dashboard** will automatically open and you will not be prompted to perform steps 2 and 3.

About the Department Dashboard

This first section allows you to access information for another department if you are assigned the right to view information for more than one department.

Department Dashboard

Choose a Department to administer. The search can be conducted using Department name or Department and sub-Department number. Results are produced more quickly using Department and sub-Department number.

Submit

Certification Summary for last Period of Performance:

This section lists the number and percentage of effort statements by effort statement status and by employee type. It provides a snapshot of effort certifications for the department.

Certification Summary For Last Period of Performance:

	RF-Biweekly		RF-Nonexempt	
Building, Not Ready for Certification	166	96.5%	37	100.0%
Certified, Finalized, Distribution Adjustment				
Pending	6	3.5%	0	0.0%
Auto Approved	1		0	

Department Basic Information:

This section lists the name of the department and the **ecrt** code number assigned to the department.

Department Basic Information:

Name:	Professional Development Program	Type:	
Description:	Professional Development Program	Code:	8772
Active:	Yes		

Department Effort Coordinators:

This section lists the individuals assigned as effort coordinators to the departments. The department effort coordinator and the primary effort coordinator for the campus are highlighted in yellow. Any other listed individuals are effort coordinators for the campus. All of these individuals have access to the department's information.

Department Effort Coordinator(s):

Name	Address	Phone	Action
Barbara [redacted]			
[redacted]			
[redacted]			
[redacted]			

Department Viewers:

Users that may be granted inquiry only access to the department information.

Department Viewer(s):

Name	Address	Phone	Action
None found			

Covered Individuals associated to this Department:

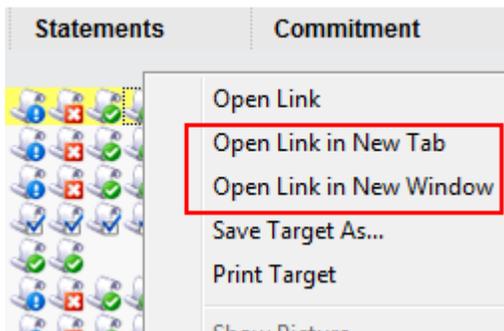
This section lists the individuals in the department with effort on the department's sponsored awards or other institutional activity (OIA) for the department. The **Statements** column allows you to see at-a-glance the statuses of the three most recent effort statements for each individual. Click an effort statement icon to view that effort statement. **Note:** You may have to click + to expand the section and view the individuals.

Covered Individuals associated to this Department:

Name	Type	Statements	Commitment
- Sponsored			
...	RF-Biweekly	...	On track
...	RF-Nonexempt	...	On track
...	RF-Nonexempt	...	On track
...	RF-Biweekly	...	On track
...	RF-Biweekly	...	On track
...	RF-Nonexempt	...	On track
...	RF-Biweekly	...	On track
...	RF-Nonexempt	...	On track
...	RF-Biweekly	...	On track
...	RF-Biweekly	...	On track
...	RF-Biweekly	...	On track
...	RF-Biweekly	...	On track
...	RF-Biweekly	...	On track
...	RF-Nonexempt	...	On track

Hint: Right-click an effort statement icon under the **Statements** column. Next click to select either:

- **Open Link in New Tab:** Opens the effort statement in the same browser window on a new tab.
- **Open Link in New Window:** Opens the effort statement in a new browser window.



Opening an effort statement in a new tab or window saves time as you will not need to reload the **Department Dashboard** page after viewing an effort statement. The **Department Dashboard** will still be available in the initial browser tab or window.

Award(s) within this Department:

This section lists the active and inactive awards assigned to the department. Active awards are those with end dates the day you are viewing the information or later. Inactive awards are those with end dates that are earlier than the day you are viewing the information. For example: Today is February 1, 2013.

- Award A has an end date of October 7, 2013 and would be listed in the **Active** section.
- Award B has an end date of February 1, 2013 and would be listed in the **Active** section.
- Award C has an end date of January 31, 2013 and would be listed in the **Inactive** section.

Award(s) within this Department:

- Active					
Name	Number	Start Date	End Date	SPES	
Analysis of the functional status of the p53 tumor suppressor and correlation with the response to treatment	58307	09/01/2011	08/31/2012		↕
Collaborative Program/Novel Mechanisms of Male Localization in Grain-Bearing Plants: An Integration of	47624	08/01/2008	07/31/2012		↕
Behavior, Neurobiology and Biomechanics					
Collaborative Research: Molecular Adaptation and Genetic Competition	46407	08/01/2008	07/31/2012		↕
Effects of herbicide exposure on male reproduction in <i>Oenothera biennis</i> L.	58887	06/09/2011	05/31/2014		↕
ICM Region 2 Workforce Program Development Grant	54242	01/01/2010	12/31/2012		↕
Evolution of Religion: Combining Bottom-Up and Top-Down Approaches	52798	10/01/2009	09/30/2012		↕
Genome-wide protein-DNA interactions responding to chronic spinal treatment	57052	03/01/2011	02/28/2013		↕
Investigating the role of ROCK1 in epithelial cell inflammatory responses	55236	09/01/2010	08/31/2013		↕
Quantifying Herbicide Deposition of Nitrogen Compounds and Metals in the Headwaters of the Chesapeake Bay					
Waterford Phase 2	52461	11/01/2009	08/31/2012		↕
Quantifying Herbicide Deposition of Nitrogen Compounds and Metals in the Headwaters of the Chesapeake Bay					
Waterford Phase 1	58888	08/01/2011	07/31/2012		↕
Religious Conceptions of the Afterlife from a Cultural Evolutionary Perspective and a General Field of Evolutionary					
Religious Studies	39885	06/01/2006	12/31/2012		↕
Role of DblA in biofilm dispersion and adherence properties of <i>P. aeruginosa</i>	57447	08/08/2009	07/31/2012		↕
Role of PrfB12 in biofilm antimicrobial resistance	57586	09/01/2009	08/31/2012		↕
Signal transduction mechanism of <i>P. aeruginosa</i> biofilm dispersion response	57051	03/01/2011	02/28/2014		↕
Study of Genom Sensing Auto Inducer 2 (AI-2) in <i>Campylobacter</i> University of Michigan	58548	09/01/2010	06/30/2012		↕
The Business and Biology of Stem Cells in Cell Therapy	54558	07/01/2010	06/30/2012		↕
The role of religion in managing the commons	57125	01/15/2011	01/11/2013		↕
Undergraduate Science Education Grant	58295	09/01/2010	08/31/2012		↕
+ Inactive					

Understanding the ecrt Production Environment

Data Files

The RF's Oracle business applications are the system of record. Data is uploaded to **ecrt** via six different files:

File Name	Definition
Department File	The campus organizational hierarchy.
Sponsor File	<p>The campus location code, Oracle sponsor number and name, and the sponsor type:</p> <ul style="list-style-type: none"> • Federal, e.g., National Institutes of Health • Nonfederal, e.g., New York State Department of Education • Nonsponsored, e.g., Other institutional activity (OIA)
Award File	Sponsored programs and corporate award information, e.g., award names, start and end dates, award PI, cost share award information and expenditures.
Certifier File	<p>Information about SUNY and RF employees. Will include:</p> <ul style="list-style-type: none"> • SUNY and RF employees with an active assignment as of December 31, 2011. • E-mail addresses, actual department name/job title information. • LDAP IDs for those campuses using InCommon to log in to ecrt. <p>Notes:</p> <ul style="list-style-type: none"> • All SUNY monthly and RF employees who are PIs are automatically assigned the role of self-certifier. • SUNY employees no longer at the campus will be in ecrt if you did not terminate their status. • Fellows are excluded. <ul style="list-style-type: none"> ○ If at any time during the year a fellow was given an active SUNY or RF assignment or if a fellow was paid from payroll suspense they will be uploaded to ecrt. • Once a certifier record is created for an individual it cannot be deleted from ecrt.
Payroll File	<p>Payroll data and distribution adjustments for the following employee types will be included:</p> <ul style="list-style-type: none"> • SUNY employees • RF employees • RF nonexempt employees <p>Payroll suspense transactions (debits and credits) are uploaded to ecrt.</p> <p>Payroll data for fellows is excluded. However, if at any time during the year a fellow a fellow was given an active SUNY or RF assignment with labor distribution charging instructions payroll will be uploaded to ecrt.</p>
Commitment File	Committed effort data for PIs, co-PIs and other key personnel.

Data Upload and Effort Reporting Schedule

The **ecrt** production environment includes Oracle data from **January 1, 2012** going forward. Any changes made in Oracle will be uploaded to **ecrt** via weekly data feeds and will include data as of the previous Friday. Delta files consist of any new or updated information made to the department, sponsor, award, certifier, payroll and commitment files.

Notes:

- The period of performance end date for SUNY monthly employees will vary based on the end date of the campus academic period.
- An [Effort Reporting Checklist](#) is available to assist campuses in tracking tasks performed during the entire effort reporting cycle.

May 2013						
Sun	Mon	Tues	Wed	Thurs	Fri	Sat
			1	2	3 RF Payroll	4
5	6 Delta File Upload Data as of May 3	7	8	9	10	11
12	13 Delta File Upload Data as of May 10	14	15	16	17 RF Payroll	18
19	20 Delta File Upload Data as of May 17	21	22 Period of Performance ends for SUNY Monthly Employees	23 Pre-review period starts PEC/ECs receive e-mail notification (SUNY)	24	25
26	27 Memorial Day	28 Delta File Upload Data as of May 24	29 SUNY Payroll	30	31 RF Payroll Period of Performance ends for RF Biweekly Employees	

Effort Statement Statuses are "Building, Not Ready for Certification" for period of performance and pre-review period

Run the "List of All Users Report" to verify e-mail addresses, job titles and primary department names (Administrator Pre-Review Training Materials, page 13)

June 2013						
Sun	Mon	Tues	Wed	Thurs	Fri	Sat
						1 PEC/ECs receive e-mail notification (RF)
2	3 Delta File Upload Data as of May 31	4	5	6	7	8
Perform the pre-review tasks that are outlined in the Administrator Pre-Review Training materials, page 4						
9	10 Delta File Upload Data as of June 7	11	12	13	14 RF Payroll	15
16	17 Delta File Upload Data as of June 14	18	19	20	21	Perform corrective actions to fix issues with effort statements placed on hold. If applicable: <ul style="list-style-type: none"> Change percentages on the Certified Effort column of individuals whose effort statement does not total 100 percent. Certify the nonfederal and/or nonsponsored activity for individuals with a mixture of activity.
23	24 Delta File Upload Data as of June 21	25	26 SUNY Payroll	27	28 RF Payroll	
30 SUNY and RF pre-review period ends						
July 2013						
	1 Delta File Upload Data as of June 28 SUNY and RF Certification Period Starts; Certifiers receive e-mail notification	2	3	4	5	
<ul style="list-style-type: none"> Effort statement statuses switch to "Ready to be Certified" Effort statements for individuals with only nonfederal and/or nonsponsored activity are automatically processed Run the "Certification Status Report" to create a roster of SUNY monthly and RF Biweekly effort statements requiring certification (Administrator Certification Training Materials, page 5) 						

Effort Statement Set Up

Award Type	Location on Effort Statement	Certification Requirement	How Certified
Federal	Sponsored section	Required	Effort statement created, PI, proxy certifier or restricted effort coordinator (REC) certifies
Federal flow-through	Sponsored section	Required	Effort statement created, PI, proxy certifier or REC certifies
Mandatory and voluntary committed cost share awards	Sponsored section	Required	Effort statement created, PI, proxy certifier or REC certifies
Nonfederal	Sponsored section	Not required *	Effort statement created, Automatically processed by ecrt if 100% nonfederal activity
Other institutional activities (OIA)	Nonsponsored section	Not required *	Effort statement created, Automatically processed by ecrt if 100% nonsponsored activity
Voluntary uncommitted cost share awards	Nonsponsored section	Not required *	Effort statement created, Automatically processed by ecrt if 100% nonsponsored activity
RF corporate awards, e.g., allocation, staffing services, royalty awards, etc.	Nonsponsored section	Not required *	Effort statement created, Automatically processed by ecrt if 100% nonsponsored activity

* **Note:** If there is federal and/or federal flow-through activity combined with nonfederal and/or nonsponsored activity the PI, proxy certifier or restricted effort coordinator is notified to certify the effort statement.

Payroll Suspense Awards

In most circumstances payroll suspense awards will not display on the effort statement if the debits and credits applied to that award for an individual net to zero. In the event that it does display, and labor distribution adjustments did not correct the issue, create a manual effort statement for the individual to certify.

Effort Statement Statuses

Icon	Status	Definition
Most Common Statuses		
	Building, Not Ready for Certification	An effort statement is being created for the current effort reporting period of performance. Salary expenditures will be applied to applicable awards each pay period.
	Ready to be Certified	The effort statement is ready for review and certification. Effort statements move to this status when the certification period begins and the statement requires certification.
	Certified, Ready for Administrator Review	The effort statement was certified with a note and/or attachment. The effort reporting administrator needs to review the effort statement.
	Certified	The effort statement was certified and the certification process is complete. Note: Effort statements requiring administrator review will automatically update to this status once that review is finished.
	Automatically Processed	The effort statement was automatically processed by ecrt because the individual did not have effort on federal or federal flow-through awards. Note: Effort statements for nonexempt employees will be automatically processed until such time as they use ecrt to certify effort.
Additional Statuses		
	Certified, Distribution Adjustment Ready for Administrator Review	A distribution adjustment was created that impacts a certified effort statement. The effort reporting administrator will review the payroll transaction and contact the certifier if necessary.
	Manually Certified, Ready for Administrator Review	Due to extenuating circumstances a hard copy of the effort statement was signed by the certifier. The effort reporting administrator needs to record that in ecrt .
	Manually Certified	The effort statement was manually certified, recorded in ecrt , and the certification process is now complete. Note: Manually certified effort statements requiring administrator review will automatically update to this status once that review is finished.
 with a blinking dollar sign	Manually Certified, Distribution Adjustment Ready for Administrator Review	The effort statement was manually certified but an additional payroll transaction occurred that impacts the statement. The effort reporting administrator will review the payroll transaction and contact the certifier if necessary.
	No Certification Required, Ready for Administrator Review	The effort statement did not require certification because the individual had charges on federal/ federal flow-through awards that netted to zero and effort on nonfederal/nonsponsored awards. The effort reporting administrator needs to review the effort statement.
	No Certification Required	The effort statement did not require certification because the individual had charges on federal/ federal flow-through awards that netted to zero and effort on nonfederal/nonsponsored awards. Note: No certification required effort statements requiring administrator review will automatically update to this status once that review is finished.
 with a blinking dollar sign	No Certification Required, Distribution Adjustment Ready for Administrator Review	The effort statement did not require certification but an additional payroll transaction occurred that impacts the statement. The effort reporting administrator will review the payroll transaction.

Note: There are other statuses used by **ecrt** that will display in the List of Values for reports.

Available ecrt Functions by Effort Reporting Role

Available ecrt Functions	Effort Reporting Role					
	Campus Admin.	Primary Effort Coord.	Effort Coord.	Restricted Effort Coord.	Self-Certifier	Proxy Certifier
Overall monitoring of campus effort reporting process	X					
Monitor the building of effort statements in ecrt to determine if changes are needed (e.g., processing an income fund reimbursable form, cost transfer, etc.)		X	X	X		
Pre-review of effort statements in ecrt (e.g., verify previous changes are reflected, identify if other changes are needed, etc.)		X	X	X		
Flag an effort statement as “No Certification Required”		X				
Flag an effort statement for manual certification		X				
Final processing of effort statements		X				
Processing of effort tasks related to Attachments and Notes		X				
Reopen a certified effort statement		X				
Assign effort coordinators and proxies	X	X				
Run reports (based on rights)	X	X	X	X	X	X
Manage users	X	X	X	X		
View effort statements	X	X	X	X	X	X
Certify effort statements		X	X	X	X	X

Tolerable Range for Effort Certification

Campuses Using Hundredths on Effort Statements

An effort statement from the Effort Certification and Reporting Technology (**ecrt**) system may display a total effort percentage in the range of 98.00 – 102.00 percent due to the manner in which **ecrt** handles rounding. This is acceptable and compliant as this is a tolerable range.

The example below illustrates this:

Effort Statement for RF-Biweekly; Base effort, from 05/19/2012 to 08/24/2012, due 11/22/2012; Status: Ready to be Certified					
Awards [-]	Salary Charges	Cost Share Charges	Total Charges	Certified Effort	Certify
Sponsored - Federal/Federal Flow-through					
54099 Protein Arginine Methylation in Trypanosomes					
54099 Protein Arginine Methylation in Trypanosomes	6.45%	0.00%	6.45%	6.45%	<input type="checkbox"/>
<i>Award Total:</i>	6.45%	0.00%	6.45%	6.45%	
Sponsored - Federal/Federal Flow-through Total:	6.45%	0.00%	6.45%	6.45%	
Non Sponsored					
53887 2010/2011 RF Funded Allocation Award	70.93%	0.00%	70.93%	70.93%	<input type="checkbox"/>
57333 2011/2012 RF Funded Allocation Award	22.61%	0.00%	22.61%	22.61%	<input type="checkbox"/>
Non Sponsored Total:	93.54%	0.00%	93.54%	93.54%	
Grand Total:	99.99%	0.00%	99.99%	99.99%	All None

Get Help
Close
Certify
Manual Certification
No Certification Required

Payroll Amount	Effort Calculation - 4 Digits	Certified Effort Percentage
\$740.91	6.4535	6.45
8,143.70	70.9335	70.93
2,596.14	22.6130	22.61
\$11,480.75	100.0000	99.99

Campuses Using Whole Numbers on Effort Statements

An effort statement from the Effort Certification and Reporting Technology (**ecrt**) system may display a total effort percentage in the range of 98 – 102 percent due to the manner in which **ecrt** handles rounding. This is acceptable and compliant as this is a tolerable range.

The example below illustrates this:

Effort Statement for SUNY-Monthly; Base effort, from 05/24/2012 to 08/15/2012, due 11/13/2012; Status: Ready to be Certified					
On Hold: <input type="checkbox"/> \$ Value Override Status					
Awards [-]	Salary Charges	Cost Share Charges	Total Charges	Certified Effort	Certify
Sponsored - Federal/Federal Flow-through					
60302 Research Coordination for Insitute for Family Health					
60302 Research Coordination for Insitute for Family Health	36%	0%	36%	36%	<input type="checkbox"/>
<i>Award Total:</i>	36%	0%	36%	36%	
Sponsored - Federal/Federal Flow-through Total:					
	36%	0%	36%	36%	
Sponsored - Non Federal					
61718 Evaluation Services for Poughkeepsie Family Partnership Center					
61718 Evaluation Services for Poughkeepsie Family Partnership Center	46%	0%	46%	46%	<input type="checkbox"/>
<i>Award Total:</i>	46%	0%	46%	46%	
Sponsored - Non Federal Total:					
	46%	0%	46%	46%	
Non Sponsored					
000269 Other Institutional Activities	17%	0%	17%	17%	<input type="checkbox"/>
Non Sponsored Total:					
	17%	0%	17%	17%	
Grand Total:					
	99%	0%	99%	99%	All None

Payroll Amount	Effort Calculation - 4 Digits	Certified Effort Percentage
\$3,790.72	36.1696	36
4,868.99	46.4581	46
1,820.69	17.3723	17
\$10,480.40	100.0000	99

Steps for Moving SUNY Employees to and from the RF Summer Payroll

Background

Salary and fringe benefit charges (salary charges) for employees who perform services for Research Foundation (RF)-administered sponsored programs are reimbursed by the sponsor, cost shared by the campus, or a combination of both.

SUNY employees who perform services on sponsored programs are paid via SUNY payroll during the academic or calendar year, and the RF reimburses SUNY through the income fund reimbursement (IFR) process for those salary charges that are paid by the sponsor. If a SUNY employee with a nine or 10 month appointment is going to work on a sponsored program during the summer they are paid through the RF payroll and receive an RF paycheck.

The RF runs a monthly payroll process for SUNY employees working on sponsored programs. This process:

- Reimburses SUNY for the salary charges that are being paid by the sponsor.
- Charges salary costs to the appropriate RF award or applies the salary costs to the RF cost sharing award if cost sharing commitments were made.

To accomplish appropriate reimbursement and charging of salary costs, SUNY employees need to have:

- A “SUNY IFR Cost Sharing” assignment during the academic or calendar year while the employee is on the SUNY payroll.
- An RF summer assignment for the period of time the employee is on the RF payroll.

For SUNY employees who transition between the SUNY IFR/cost sharing and RF summer assignments, it is critical that the dates for the RF summer assignment fall **within** the summer period of performance that is established by the campus. This is needed so that accurate payroll charges are recorded on the correct effort statement.

Criteria

These processes apply to SUNY employees with both a SUNY assignment for IFR processing during the academic year and an RF assignment for summer payroll.

Examples in this document refer to a campus-specific academic calendar and periods of performance. Staff should substitute their campus academic calendar and periods of performance when performing these steps for employees at their campus.

Employee Type = SUNY Monthly				
Academic Calendar		Effort Reporting Period		Effort Statement
To	From	To	From	
08/27/2011	05/16/2012	01/01/2012	05/16/2012	Spring 2012
05/17/2012	08/15/2012	05/17/2012	08/15/2012	Summer 2012
08/16/2012	05/15/2013	08/16/2012	12/31/2012	Fall 2012
08/16/2012	05/15/2013	01/01/2013	05/15/2013	Spring 2013
05/16/2013	08/14/2013	05/16/2013	08/14/2013	Summer 2013
08/15/2013	05/XX/2014	08/15/2013	12/31/2013	Fall 2013

Process to transition a SUNY employee on an IFR assignment to the RF summer payroll

1. The SUNY employee should have an active SUNY IFR/Cost Sharing assignment during the academic year.
2. Open the employee's SUNY IFR/Cost Sharing **Assignment** form to verify the values in the following fields (refer to Figure 1):

Field Name	Value
Organization	XXX SUNY IFR Cost Sharing (where "XXX" is equal to the campus location code)
Job	No Job Required
Group	XXX.SUNY EE
Payroll	SUNY
Status	SUNY
Miscellaneous Tab	
Primary	Checkbox is checked
Effective Dates	<p>The effective From date should be the start date of the academic calendar, e.g., August 27, 2011—the start of the campus academic year.</p> <p>The effective To date is the day after the intended day of termination. In the Figure 1 example, the actual assignment dates are August 27, 2011 – May 16, 2012 so the To date is May 17, 2012.</p>

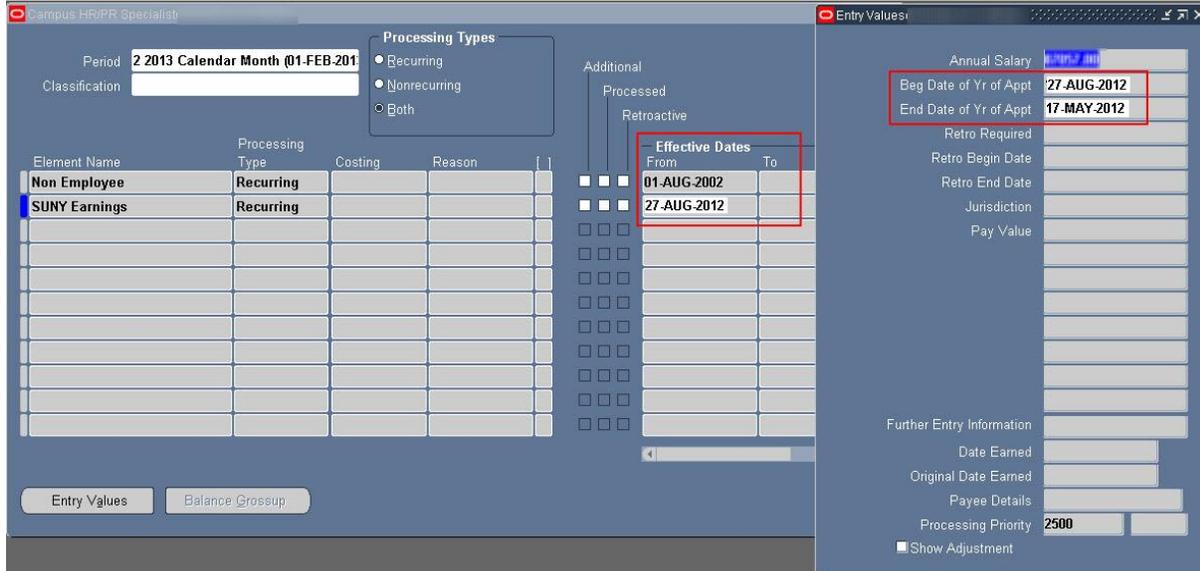
Figure 1:

3. Click the **Entries** button to view the earnings element associated with the assignment (refer to Figure 2).
Note: The earnings element will be end-dated as a function of date tracking on the **Assignment** form so dates are not needed in the **To** column under **Effective Dates**.
4. Click the **Entry Values** button to verify the correct dates are entered:

Field Name	Value
Beg Date of Yr of Appt	Date should match the date in the From field under Effective Dates on the Assignment form.
End Date of Yr of Appt	Date should match the date in the To field under Effective Dates on the Assignment form.

5. If the dates do not match, change the dates to the values indicated in the above table and save your changes.

Figure 2:



6. Close the **Entry Values** and **Earnings Elements** forms to return to the **Assignment** form.
7. Make the following changes on the **Assignment** form (refer to Figure 3):
Note: These changes end the SUNY IFR/Cost Sharing assignment for the summer period.

Field Name	Value
Status	Change this value to Terminated – Processes Pending so that the partial IFR charges for the month of May are accurately processed.
Miscellaneous Tab	
Primary	Uncheck this checkbox.
Effective Dates	The effective From date should be the start date of the summer period. The effective To date is the day after the employee intends to work during the summer period.

Figure 3

8. Open the employee's RF summer **Assignment** form.
9. Make the following changes on the **Assignment** form (refer to Figure 4):
Note: These changes activate the RF assignment for the summer period.

Field Name	Value
Status	Change this value to Active Assignment .
Miscellaneous Tab	
Primary	Check this checkbox.
Effective Dates	<p>The effective From date should be the start date of the summer period or the first date that the SUNY employee will begin work on his or her sponsored program.</p> <p>The effective To date is the day after the employee intends to work during the summer period.</p> <p>Important: The From and To dates must fall within the campus period of performance for the summer period, e.g., within May 17, 2012 and August 15, 2012 using the campus summer period of performance.</p>

Figure 4:

Assignment

Organization: 030 Chemistry
Job: Clinical Investigator
Grade: E.89
Location: 030 Buffalo

Group: 030.Employee Summer
Position:
Payroll: Biweekly
Status: Active Assignment

Assignment Number:
Assignment Category: Exempt - Regular
Collective Agreement:
Employee Category:

Standard Conditions | Statutory Information | Miscellaneous | Special Ceiling | Project Information | Grade Ladder

Internal Address:
Reason:
Projected Assignment End:
 Primary
 Manager

Effective Dates
From: 17-MAY-2012 To: 10-AUG-2012

Salary | Entries | Tax Info | Others...

10. Save your changes and close the RF summer **Assignment** form.

Process to transition a SUNY employee on the RF summer payroll to an IFR assignment

1. The SUNY employee should have an active RF assignment during the summer period.
2. Open the employee's RF **Assignment** form to verify the values in the following fields (refer to Figure 5):

Field Name	Value
Organization	A campus organization
Job	Principal investigator
Group	XXX.Employee Summer (where XXX is equal to the campus location code)
Payroll	Biweekly
Status	Active Assignment
Miscellaneous Tab	
Primary	Checkbox is checked
Effective Dates	<p>The effective From date should be the start date of the summer period or the first date that the SUNY employee will begin work on his or her sponsored program.</p> <p>The effective To date is the day after the employee intends to work during the summer period.</p> <p>Important: The From and To dates must fall within the campus period of performance for the summer period, e.g., within May 17, 2012 and August 15, 2012 using the campus summer period of performance example.</p>

Figure 5:

The screenshot shows the 'Assignment' form with the following details:

- Organization: 030 Chemistry
- Job: Clinical Investigator
- Grade: E.89
- Location: 030 Buffalo
- Group: 030.Employee Summer
- Position: (empty)
- Payroll: Biweekly
- Status: Active Assignment
- Assignment Number: (empty)
- Assignment Category: Exempt - Regular
- Collective Agreement: (empty)
- Employee Category: (empty)
- Internal Address: (empty)
- Reason: (empty)
- Projected Assignment End: (empty)
- Primary: Primary
- Manager: Manager
- Effective Dates: From 17-MAY-2012 To 10-AUG-2012

3. Click the **Entries** button to view the earnings element associated with the assignment.
Note: The effective from date matches the effective from date on the **Assignment** form.
4. If the dates do not match, change the dates to the values indicated in the above table and save your changes.
5. Make the following changes on the RF summer **Assignment** form (refer to Figure 7):
Note: These changes end the RF assignment for the summer period.

Field Name	Value
Status	Change this value to Terminated – Do Not Process .
Miscellaneous Tab	
Primary	Uncheck this checkbox.
Effective Dates	The effective From date should be one of the following: <ul style="list-style-type: none"> • The day after the last day the SUNY employee will work on his or her sponsored program during the summer period • The day before the start date of the academic year.

Figure 7:

The screenshot shows the 'Assignment' form with the following details:

- Organization: 030 Chemistry
- Group: 030.Employee Summer
- Job: Clinical Investigator
- Position: (empty)
- Grade: E.89
- Payroll: Biweekly
- Location: 030 Buffalo
- Status: **Terminated - Do Not Process** (highlighted with a red box)
- Assignment Number: (empty)
- Collective Agreement: (empty)
- Assignment Category: Exempt - Regular
- Employee Category: (empty)
- Tabs: Standard Conditions, Statutory Information, **Miscellaneous**, Special Ceiling, Project Information, Grade Ladder
- Miscellaneous Tab Fields:
 - Internal Address: (empty)
 - Reason: (empty)
 - Projected Assignment End: (empty)
 - Primary: (highlighted with a red box)
 - Manager:
- Effective Dates Section:
 - From: **11-AUG-2012** (highlighted with a red box)
 - To: (empty)
- Buttons: Salary, Entries, Tax Info, Others...

6. Save your changes and close the RF summer **Assignment** form.
7. Open the employee's SUNY IFR/Cost Sharing **Assignment** form.

8. Make the following changes on the **Assignment** form:

Note: These changes activate the SUNY IFR/Cost Sharing assignment for the academic period.

Field Name	Value
Status	Change this value to SUNY .
Miscellaneous Tab	
Primary	Check this checkbox.
Effective Dates	The effective From date should be the first date of the fall academic period, e.g., August 16, 2012. The effective To date is the day after the intended day of termination, e.g., the end of the academic year.

9. Save your changes and close the **Assignment** form.

Change History

Date	Section of Guide	Revision
May 2013	Effort Reporting Periods of Performance, Page 5	<ul style="list-style-type: none"> • Updated the SUNY monthly and RF biweekly periods of performance charts • Added process to change length of the pre-review period
May 2013	Work List: The ecrt Home Page, Page 8	Updated Administration tab description
May 2013	The ecrt Effort Statement, Page 11	Explained sponsored programs that appear on effort statements with 0 percentages in the salary, cost share, total and certified effort columns
May 2013	About the Department Dashboard, Page 27	<ul style="list-style-type: none"> • Updated the screen shots and text. • Added hint to right-click an effort statement icon to view the effort statement in a new tab or window.
May 2013	Understanding the ecrt Production Environment—Data Files, Page 30	Updated text and added nonexempt to list of payroll data that is included
May 2013	Data Upload and Effort Reporting Schedule, Pages 30 and 31	<ul style="list-style-type: none"> • Renamed section • Revised dates in first sentence • Included link to the Effort Reporting Checklist • Switched May 27 upload to May 28 (Memorial Day) • Added effort reporting schedule • Removed March 2013 calendar
February 2013		New guide