The Research Foundation for The State University of New York

EFFORT CERTIFICATION AND REPORTING TECHNOLOGY (ECRT)

Administrator Certification Training Materials (Part 3 of 4)

May 2013

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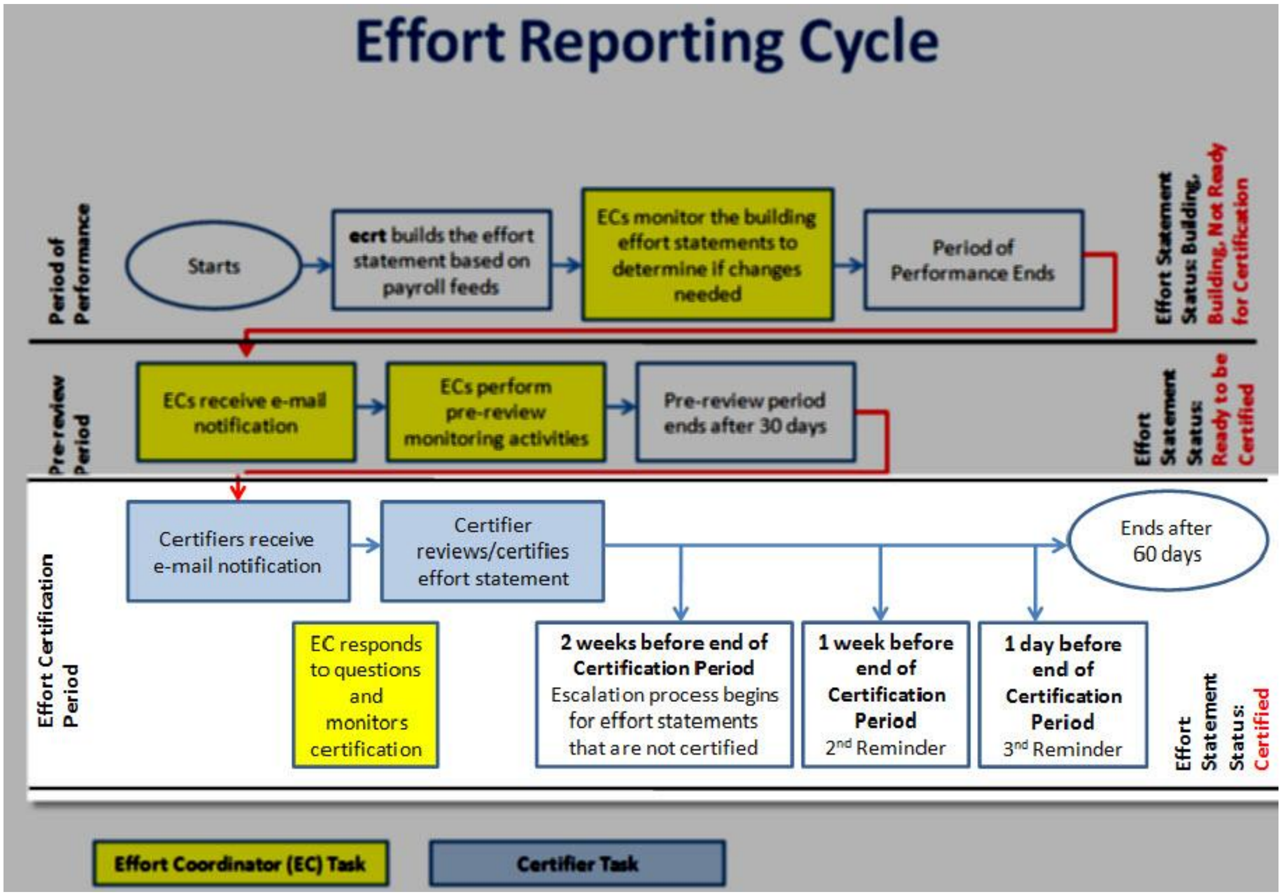
Certification Overview



Once the pre-review period is over effort statement statuses are changed from “Building, Not Ready for Certification” to “Ready to be Certified” and certifiers are notified to certify their effort statements via a system-generated e-mail. Certifiers are principal investigators (PIs) or their designated proxy certifier or restricted effort coordinator.

Certifiers are responsible for certifying federal and federal flow-through effort for themselves and any staff working on their projects.

ecrt will automatically process effort statements with the following type of activity:

- 100 percent nonfederal.
- 100 percent nonsponsored.
- A combination of nonfederal/nonsponsored activity that totals to 100 percent (no federal or federal flow-through activity on the statement).
- All nonexempt effort statements until such time as **ecrt** is used for these certifications.

During the certification period primary effort coordinators/effort coordinators are:

- Continuing to take corrective actions and taking effort statements off hold.
- Processing labor distribution adjustments and other effort tasks.
- Responding to questions.
- Monitoring certifications.

Certification Purpose

During the certification period primary effort coordinators/effort coordinators:

1. Run the “Certification Status Report” to create a roster of effort statements that require certification.
2. Continue the pre-review process for any outlier effort statements that might still be on hold:
    a. Refer to the “Administrator Pre-review Training Materials” document.
    b. Run the “Effort Statements on Hold Report” for an updated roster of effort statements that are on hold.
3. Process effort tasks.
4. Respond to certifier questions.
5. Run the “Certification Status Report” to monitor certification progress until all effort statements for the period of performance are certified.

Contact effort@rfsuny.org with questions.

Certification: Run the “Certification Status Report”

Purpose
The “Certification Status” report is used to monitor the progress of effort statement certifications for the campus or assigned department(s).

Frequency
Run this report at the beginning of the certification period to create a roster of the effort statements that require certification.

Note
On the first day of the campus certification period automatic processes are run in **ecrt** so that:

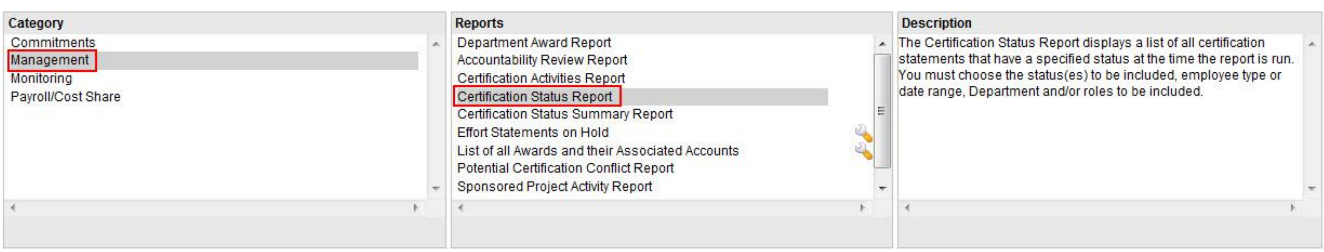
- Statements with federal or federal flow-through effort will change to a “Ready to be Certified” status and a system-generated e-mail will be sent automatically to individuals required to certify effort.
- Statements with 100 percent nonfederal or nonsponsored effort (or some combination thereof) will change to an “Automatically Processed” status.
- Statements for nonexempt staff will change to an “Automatically Processed” status.

Roles with Access
Primary Effort Coordinators, Effort Coordinators

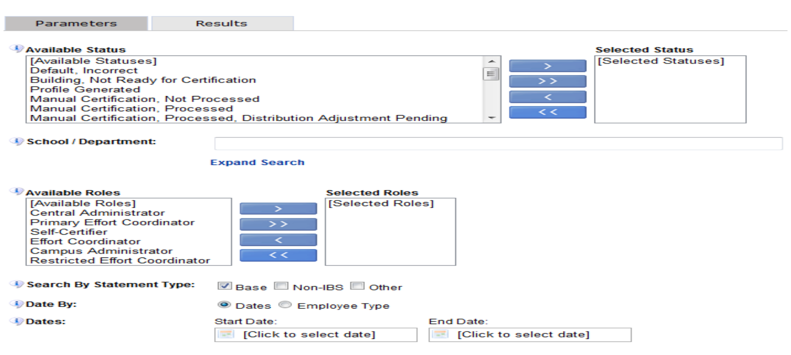
ecrt Report Category
Management

Run the “Certification Status Report”

1. Click **Certification Status Report** in the **Reports** column.



2. Parameter options appear below:

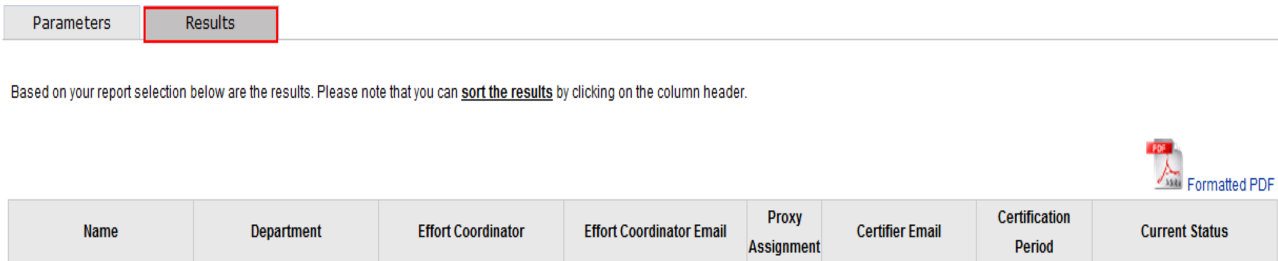


3. Enter the following fields:

Field	Action
Available Status	1. Click **Ready to Be Certified** in the **Available Status** column to select it. 2. Click the single right arrow (**>**) to move that status to the **Selected Status** box.
School/Department:	1. Enter the first three letters of the campus name. 2. Click the campus name from the drop-down menu.
Available Roles	Do not select any values for this field.
Search By Statement Type:	Click the **Base** checkbox to select it. • **Base** refers to an individual's institutional base salary (IBS) effort statement. • **Non-IBS** and **Other** refers to salary expenditures that the RF does not include on effort statements, e.g., extra service, vacation pay, severance, etc.
Date By:	Click the **Dates** radio button to select it.
Dates:	1. Click in the box under **Start Date:** to select the start date of the effort reporting period, e.g., the start date for the spring 2013 effort reporting period: a. A pop-up calendar opens. b. Select the month from the month drop-down menu. c. Select the year from the year drop-down menu. d. Click the date on the calendar. 2. Click in the box under **End Date:** to select the end date of the effort reporting period, e.g., the end date for the spring 2013 effort reporting period: a. A pop-up calendar opens. b. Select the month from the month drop-down menu. c. Select the year from the year drop-down menu. d. Click the date on the calendar. **Note**: Compare the periods of performance for SUNY monthly and RF biweekly employees. Use the earliest start date and the latest end date when selecting dates for these fields. For example: Use the start and end dates highlighted in red • Spring 2013 SUNY period of performance: **1/1/2013** – 5/15/2013 • Spring 2013 RF period of performance: 1/1/2013 – **5/31/2013**

4. Click **Run Report**.

5. The report results are displayed:



6. Click **Excel** in the lower right corner to export the report results and save them.

Query Results

Field	Description
Name	The last and first name of the person whose effort statement requires certification.
Department	The primary department of the person whose effort statement requires certification.
Effort Coordinator	The person responsible for coordination between the campus research or sponsored programs office and faculty/research staff in the departments to facilitate administration of the effort commitment, charging and certification process.
Effort Coordinator Email	The effort coordinator's e-mail address.
Proxy Assignment	The first and last name of the person who is assigned to be a proxy certifier for the person listed. This field will display **N/A** if there is no assigned proxy.
Certifier Email	The e-mail address of the person whose effort statement requires certification.
Certification Period	The timeframe included on the person's effort statement, i.e., the effort reporting period of performance
Current Status	The current status of the effort statement. For effort statement status descriptions refer to the "Effort Statement Statuses" guidance document.

Additional Information about the ecrt "Certification Status" Report Parameters

You must select values for the **Available Status:** and **Dates:** fields to get report results.

If you wish to further refine your results you may also use the **School/Department:**, **Available Roles** and **Employee Type:** fields to narrow your results.

Field	Action
Available Status	The single right arrow (**>**) will move one status to the to the **Selected Status** box. The double right arrow (**> >**) will move all statuses to the **Selected Status** box. The single left arrow (**<**) will remove one status from the **Selected Status** column. The double left arrow (**< <**) will remove all of the statuses from the **Selected Status** column. For effort statement status descriptions refer to the "Effort Statement Statuses" guidance document.
School/Department:	You may also select a department, school or college in this field to narrow your query results.
Available Roles	This field allows you to narrow your query results to an **ecrt** role. 1. Click a role in the Available Roles column to select it. **For Example**: Click Self-Certifier to view effort statements of individuals who certify their effort. 2. Click the single right arrow (**>**) to move that role to the **Selected Roles** box. 3. If you want to select more than one role repeat steps 1 and 2 for all the roles you want to view. 4. To select all roles click the double right arrow (**> >**). **Note**: The single left arrow (**<**) will remove one role from the **Selected Roles** column. The double left arrow (**< <**) will remove all of the roles from the **Selected Role** column.
Search By Statement Type:	The default setting is that the **Base** checkbox is selected. • **Base** refers to an individual's institutional base salary (IBS) effort statement. • **Non-IBS** and **Other** refers to salary expenditures that the RF does not include on effort statements, e.g., extra service, vacation pay, severance, etc. **Note**: You may check more than one box (or all of the boxes) but certification is only required for base effort statements.
Date By:	The default setting is that the **Dates** radio button is selected. • Selecting the **Dates** radio button requires you to enter a **Start Date** and **End date** in the **Dates:** field.

Field	Action
	• Selecting the **Employee Type** radio button requires you to select the employee type and a period of performance.
Employee Type:	This field only displays if **Employee Type** is selected in the **Date By:** field. Select SUNY-Monthly, RF-Biweekly or RF-Nonexempt from the drop-down menu.
Period:	This field only displays if **Employee Type** is selected in the **Date By:** field. Select a period of performance from the drop-down menu.
Dates:	1. Click in the box under **Start Date:** to select the start date of the time period you want to query: a. A pop-up calendar opens. b. Select the month from the month drop-down menu. c. Select the year from the year drop-down menu. d. Click the date on the calendar. 2. Click in the box under **End Date:** to select the end date of the time period you want to query: a. A pop-up calendar opens. b. Select the month from the month drop-down menu. c. Select the year from the year drop-down menu. d. Click the date on the calendar.

Certification: “Effort Statements on Hold Report”

Purpose
The “Effort Statements on Hold” report identifies individuals whose effort statements were put on hold for reasons that need to be resolved (e.g., payroll suspense). Effort statements that are on hold will ***not*** be systematically released for certification until the hold is removed.

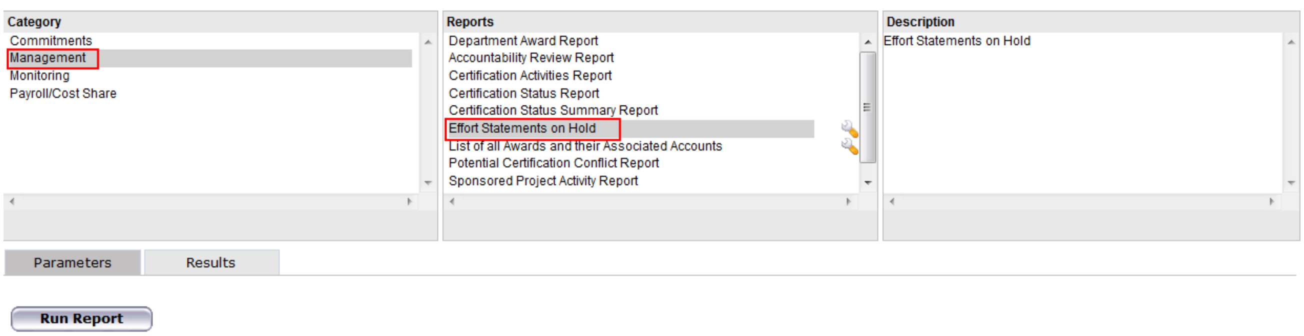
Frequency
Run this report at the beginning of the certification period to determine if there are still effort statements on hold. These effort statements will need corrective action before they are released to the certifier for certification.

Roles with Access
Primary Effort Coordinators, Effort Coordinators

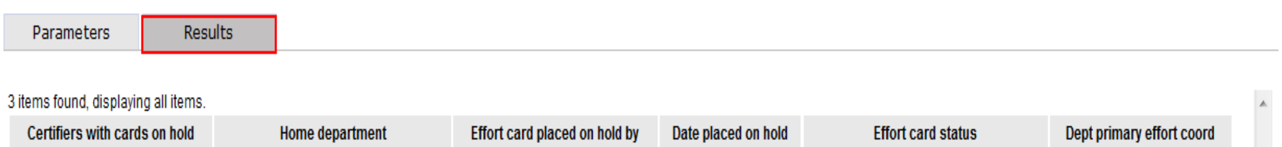
ecrt Report Category
Management

Run the “Effort Statements on Hold” Report

1. Click **Effort Statements on Hold** in the **Reports** column.



2. Click **Run Report**.
3. Query results for the campus will display if there are effort statements on hold:



4. Click the **Excel** icon in the bottom right corner of the window to export the query to Excel and save it.

Query Results

Note: If there are no effort statements on hold a "This report contains no data" message appears.

Field	**Action**
Certifiers with cards on hold	The last and first name of the person whose effort statement is on hold.
Home department	The primary department of the person whose effort statement is on hold.
Effort card placed on hold by	The person who placed the effort statement on hold.
Date placed on hold	The date the effort statement was placed on hold.
Effort card status	The current status of the effort statement. For effort statement status descriptions refer to the "Effort Statement Statuses" guidance document.
Dept. primary effort coord	The person responsible for coordination between the campus research or sponsored programs office and faculty/research staff in the departments to facilitate administration of the effort commitment, charging and certification process.

Next Steps

1. Once the corrective action is performed verify that it corrected the issue that caused you to place an effort statement on hold.
   Note: If a labor distribution adjustment was needed you will need to wait for the Oracle processing to occur and for the weekly **ecrt** data upload to process before the change will appear in **ecrt**.
2. If the issue was corrected you will remove the hold placed on the effort statement.
   a. The effort statement will be released to the certifier (or proxy certifier/restricted effort coordinator) for certification.
3. If the issue was not corrected ***do not*** remove the hold until the issue is fixed.

Certification: Process an Effort Task for an Effort Statement with an Attached File and/or Note

Purpose
To review and process an effort task for an effort statement with an attachment and/or note.

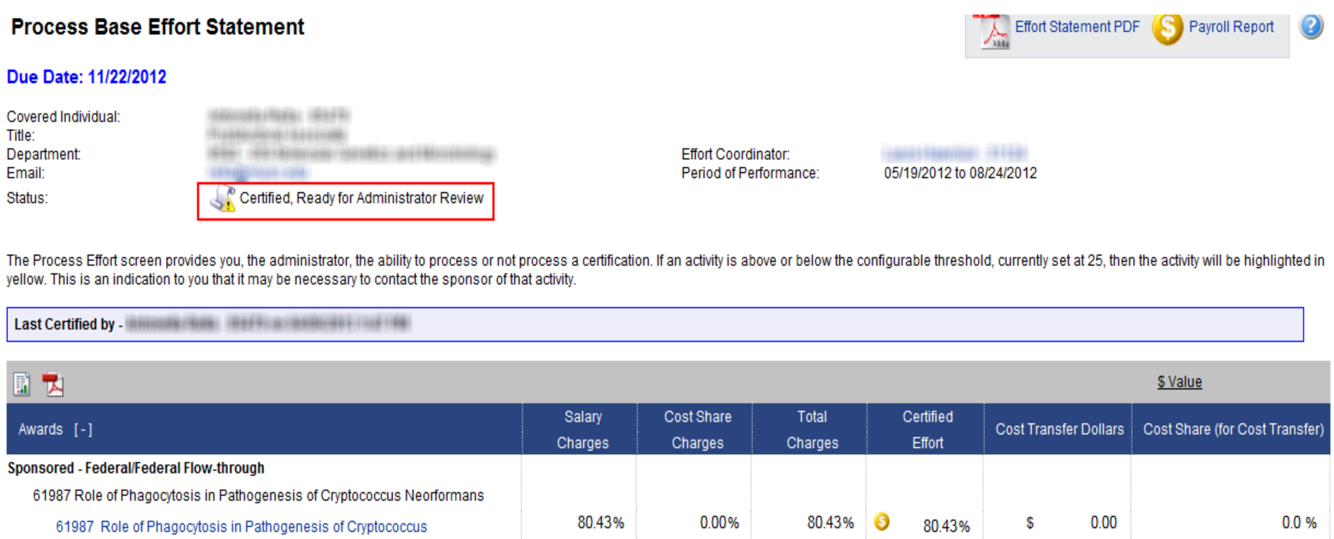
Frequency
Users may attach a file and/or add a note to an effort statement. This creates an effort task for the campus primary effort coordinator because the file and/or note must reviewed and approved before the effort statement certification is complete.

Roles with Access
Primary Effort Coordinators

ecrt Report Category
Not Applicable

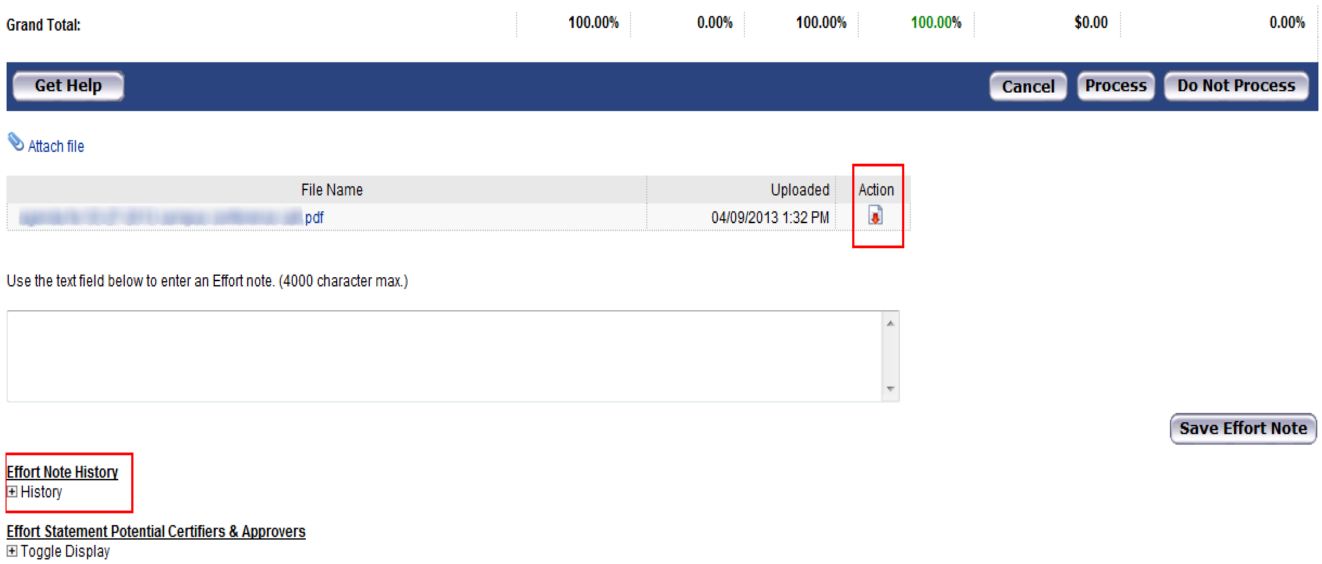
Process the Effort Task

1. Click the **Certification for [self-certifier name and identification number] routed for processing** hyperlink that is located on the **Effort Tasks** tab of the **Work List**.
2. The **Process Base Effort Statement** webpage for the individual opens:



Note: The effort statement status is "Certified, Ready for Administrator Review."

3. Scroll down to the bottom of the individual's effort statement to the attachments and notes section.



4. Review the attachment (if applicable):
    a. Click the **File Name** hyperlink or the **Download** icon () under the **Action** section to open the attached file.
    b. Close the file when you are finished reviewing it.
5. Review the note (if applicable):
    a. Click the **+** sign next to **History** under the **Effort Note History** section to view notes that were added to the effort statement.
    b. The note(s) will display below.
    c. Review the note(s).
    d. If you need to edit a note click the **Edit Note** icon () next to the applicable note.
6. Perform one of the following options:
    a. Process the effort task without any changes.
    b. Process the effort task with changes.
    c. Do Not Process the effort task.

A: Process the Effort Task Without Any Changes

Follow these steps if you agree with the attached file and/or note and do not want to change it or add your own file and/or note.

1. Click **Process**.
2. A **Message from webpage** pop-up window opens with the following message: “This statement is being processed, you will return to your Effort Task List. Processing may take up to 30 seconds; there is no need to refresh this page.”
3. Click **OK**.

Results:

- The effort task no longer appears on the **Effort Tasks** tab.
- The effort statement status is automatically changed to “Certified.”
- No further action is needed by you or the certifier.

B: Process the Effort Task With Changes

Follow these steps if you agree with the attached file and/or note but you want to add your own file and/or note.

1. Attach a file (if applicable):
    a. Scroll down the effort statement and click the **Attach File** hyperlink.
    b. Click **Browse…** to select the file you want to attach from a directory on your computer.
    c. Click **Attach File**.
    Note: Only image files (i.e., .tif, .gif, .png, .bmp, and PDF) may be attached to the effort statement.
    d. A star icon appears next to the **Attachments** section to indicate that a file was attached.
2. Add a note (if applicable):
    a. Type your note the text box that is above the **Effort Note History** section.
    b. Enter your changes and click **Save Effort Note**.
    c. Your note will appear in the **Effort Note History** section—you may need to click the **+** icon to expand the section.
3. Click **Process**.
4. A **Message from webpage** pop-up window opens with the following message: "This statement is being processed, you will return to your Effort Task List. Processing may take up to 30 seconds; there is no need to refresh this page."
5. Click **OK**.

Results:

- The effort task no longer appears on the **Effort Tasks** tab.
- The effort statement status is automatically changed to "Certified."
- No further action is needed by you or the certifier.

C: Do Not Process the Effort Task

Follow these steps if you need to discuss the file and/or note with the certifier before processing the effort task or if you do not agree with the file and/or note.

1. Click the **Cancel** button to return to your **Work List**—the effort statement status remains in the "Certified, Ready for Administrator Review" status.
   Note: Central office does not recommend clicking the **Do Not Process** button as this will prompt the certifier to certify the effort statement again and the primary effort coordinator will receive another effort task.
2. Talk to the certifier or other appropriate parties as needed.
3. Once you are satisfied, complete the steps above to process the effort task either with or without changes.
4. If you want to delete the file and/or note send an e-mail to effort@rfsuny.org. Only a central office system administrator has the rights to delete files and notes.
    a. Central office will notify the campus once the file or note is removed.
    b. Campus staff may then complete the steps above to process the effort task.

Results:

a. The effort task no longer appears on the **Effort Tasks** tab.
b. The effort statement status is automatically changed to "Certified."
c. No further action is needed by you or the certifier.

Certification: Manually Certify an Individual's Effort Statement

Purpose
To manually certify an effort statement ***after*** receiving a signed paper effort statement.

Frequency
There may be extenuating circumstances when a certifier needs to approve a manually-created effort statement to certify his or her effort. For example:

- A retroactive labor distribution adjustment impacts an Oracle effort report that was certified prior to January 1, 2012
  Note: Data in the **ecrt** environment is from January 1, 2012 going forward. If an effort report from a prior period needs to be recertified it will need to be recreated manually.
- Individuals with multiple assignments at different campuses.
- The **ecrt** effort statement is displaying information incorrectly due to the processing that occurred in Oracle.

Primary effort coordinators will need to create a manual effort statement for the certifier to approve and then manually certify the individual's effort statement in **ecrt**.

Roles with Access
Primary Effort Coordinators

ecrt Report Category
Not Applicable

Create a Paper Effort Statement

Use the [Manual Certification of Effort Form] to recreate the effort statement for the effort reporting period of performance:

The Research Foundation for the State University of New York
Manual Certification of Effort Form

Period of Certification: Spring 2013 (January 1 - May 15, 2013)
RF ID Number of Certified Individual: 45678
Full Name of Certified Individual: Dr. Effort Example
Department: Chemistry

Sponsored - Federal/Federal Flow-through				
Award Number	**Award Name**	**Salary Charges**	**Cost Share Charges**	**Certified Effort Percent**
12345	Sponsored Example1	3.00%		3.00%
	Cost Share Example1		3.00%	3.00%
Sponsored - Nonfederal				
Award Number	**Award Name**	**Salary Charges**	**Cost Share Charges**	**Certified Effort Percent**
45678	Nonfederal Example1	0.00%		0.00%
	Cost Share Example 2		4.00%	4.00%
			Total Sponsored	**10%**
Non Sponsored				
Award Number	**Award Name**	**Salary Charges**	**Cost Share Charges**	**Certified Effort Percent**
91234	Nonsponsored Example1	90%	0%	90%
				0%
			Total Non Sponsored	**90%**
			Grand Total	**100%**

I confirm that I have firsthand knowledge of the activities performed by the above mentioned employee(s) and the distribution of the percent of salary is reasonable.

Print Name ______________________________

Signature ______________________________ **3/21/2013 8:58**

Note:

1. Refer to the Oracle effort report or **ecrt** effort statement for the impacted period.
2. Fill in the following fields that are located at the top of the spreadsheet:
    a. Period of Certification: The effort reporting period of performance that needs to be certified.
    b. RF ID Number of Certified Individual: The RF identification number of the individual whose effort is being certified.
    c. Full Name of Certified Individual: The name of the individual whose effort is being certified.
    d. Department: The primary department of the individual whose effort is being certified.
3. Fill in the award information and salary/cost share charge percentages as applicable in the following sections:
    a. Sponsored – Federal /Federal Flow-through
    b. Sponsored – Nonfederal
    c. Non Sponsored

   Note: Insert more lines as needed.
4. Have the certifier (or proxy certifier/restricted effort coordinator if applicable) approve the manual effort statement.
   Note: An e-mail response from the certifier stating that they approve the effort statement is acceptable as his or her electronic attestation of the effort.
5. Save the effort statement and the certifier's e-mail as a PDF file in a directory that is accessible from your computer.
   Note: If the certifier signed the manual effort statement scan the signed effort statement and save it to a directory that is accessible from your computer.

Manually Certify the Effort Statement

Prerequisite

- An electronic copy of the approved effort statement (and certifier e-mail, if applicable) that is saved to a directory that is accessible from your computer.

For Effort Statements that Exist in ecrt:

1. Access an individual's effort statement in **ecrt** using one of these methods:
    a. Use the **Manage Users** page.
    b. Use the **Look Up** page.
    c. Use the **Department Dashboard**.
2. Scroll down the effort statement.
3. Attach the certifier's e-mail:
    a. Click the paperclip icon next to **Attachments**.
    b. Click **Browse…** to select the file you want to attach from a directory on your computer.
    c. Click **Attach File**.
       Note: Only image files (i.e., .tif, .gif, .png, .bmp, and PDF) may be attached to the effort statement.
    d. A star icon appears next to the **Attachments** section to indicate that a file was attached.
4. Attach the manual effort statement:
    a. Click **Manual Certification** and a pop-up window opens.
    b. Click **Browse…** to select the individual's signed effort statement or timesheet from a directory on your computer.
    c. Type a reason for the manual certification in the **Please enter a note explaining this action:** text box.
    d. Click **Submit**.

5. The effort statement status changes to **Manual Certification, Not Processed**.
6. An effort task is created that the primary effort coordinator must process for the certification to be complete. Refer to the "Process an Effort Task for a Manually Certified Effort Statement" section below.

For Effort Statements Prior to January 1, 2012:
Effort statements for periods before January 1, 2012 do not exist in **ecrt**. If you have a manually-certified effort statement for a period prior to this date you will need to save it with the campus's archived paper effort statements.

Certification: Process an Effort Task for a Manually Certified Effort Statement

Purpose
To review and process an effort task for an effort statement that was manually certified.

Frequency
An effort task is created for the primary effort coordinator after an effort statement is manually certified. This task must be processed before certification of the effort statement is complete.

Roles with Access
Primary Effort Coordinators

ecrt Report Category
Not Applicable

Process the Effort Task

1. Click the **Manual certification for [self-certifier name and identification number] routed for processing** hyperlink that is located on the **Effort Tasks** tab of the **Work List**.
2. The **Process Base Effort Statement** for the individual opens.
3. Review the signed effort statement or timesheet that was attached to the effort statement:
    a. Click the **File Name** hyperlink or the **Download** icon ( ) under the **Attach File** section to open the attached file.
    b. Close the file when you are finished reviewing it.
4. Review the note (if applicable):
    a. Click the **+** sign next to **History** under the **Effort Note History** section to view notes that were added to the effort statement.
    b. The note(s) will display below.
    c. Review the note(s).
    d. If you need to edit a note click the **Edit Note** icon ( ) next to the applicable note
    e. The note will appear in the text box that is above the **Effort Note History** section.
    f. Enter your changes and click **Save Effort Note**.
5. Click **Process**.
6. A **Message from webpage** pop-up window opens with the following message: “This statement is being processed, you will return to your Effort Task List. Processing may take up to 30 seconds; there is no need to refresh this page.”
7. Click **OK**.

Results:

- The effort task no longer appears on the **Effort Tasks** tab.
- The effort statement status is automatically changed to “Manually Certified.”
- No further action is needed by you or the certifier.

Certification: Process an Effort Task for a Retroactive Labor Distribution Adjustment

Purpose
To review and process an effort task for retroactive labor distribution adjustments for SUNY and RF biweekly employees

Frequency
If a labor distribution adjustment was entered in Oracle that impacts a certified effort statement (status in **ecrt** = Certified) the primary effort coordinator will get a payroll adjustment reconciliation effort task in **ecrt** and needs to:

- Determine if the labor distribution adjustment is accurate.
- Post the adjustment and reopen the effort statement— the PI ***will*** be required to recertify the effort statement.
- Post the adjustment without reopening the effort statement—the PI ***will not*** be required to recertify the effort statement.

Note: Labor distribution adjustments are automatically applied to effort statements in these statuses:

- Ready to be Certified
- Building, Not Ready for Certification
- Ready to be Certified, Reopened

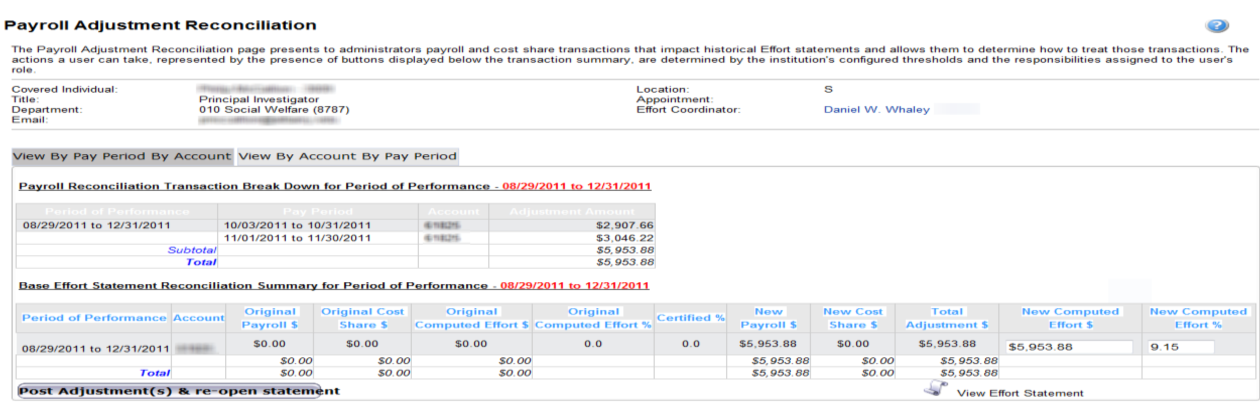
More information about the labor distribution adjustment process in **ecrt** is available in the [“ECRT Administrator Supplement Training Materials” document].

Roles with Access
Primary Effort Coordinators

ecrt Report Category
Not Applicable

Process the Effort Task

1. Click the **Payroll Adjustment Reconciliation [self-certifier name and identification number] routed for processing** hyperlink that is located under the **Task** column on the **Effort Tasks** tab of the **Work List**.
2. The **Payroll Adjustment Reconciliation** for the individual opens.



Payroll Adjustment Reconciliation

The Payroll Adjustment Reconciliation page presents to administrators payroll and cost share transactions that impact historical Effort statements and allows them to determine how to treat those transactions. The actions a user can take, represented by the presence of buttons displayed below the transaction summary, are determined by the institution's configured thresholds and the responsibilities assigned to the user's role.

Covered Individual:
Title: Principal Investigator
Department: 010 Social Welfare (8787)
Email:
Location: S
Appointment:
Effort Coordinator: Daniel W. Whaley

View By Pay Period By Account | View By Account By Pay Period

Payroll Reconciliation Transaction Break Down for Period of Performance - 08/29/2011 to 12/31/2011

Period of Performance	Pay Period	Account	Adjustment Amount
08/29/2011 to 12/31/2011	10/03/2011 to 10/31/2011		$2,907.66
	11/01/2011 to 11/30/2011		$3,046.22
Subtotal			*$5,953.88*
Total			*$5,953.88*

Base Effort Statement Reconciliation Summary for Period of Performance - 08/29/2011 to 12/31/2011

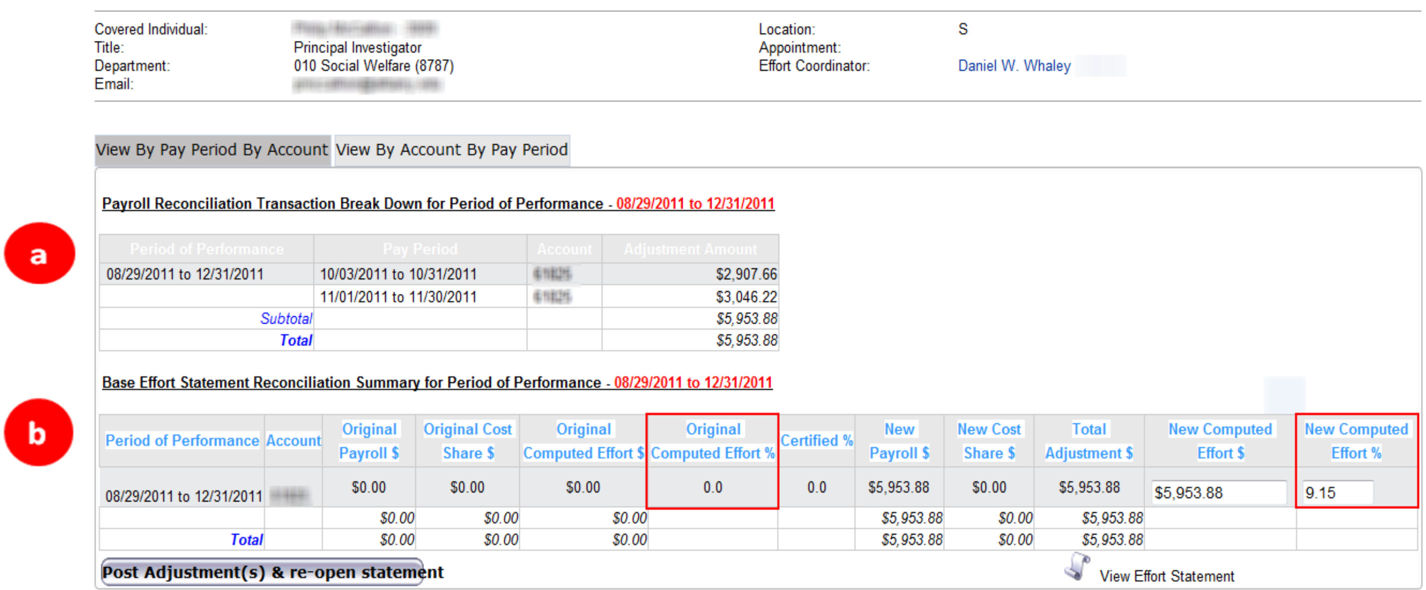
Period of Performance	Account	Original Payroll $	Original Cost Share $	Original Computed Effort $	Original Computed Effort %	Certified %	New Payroll $	New Cost Share $	Total Adjustment $	New Computed Effort $	New Computed Effort %
08/29/2011 to 12/31/2011		$0.00	$0.00	$0.00	0.0	0.0	$5,953.88	$0.00	$5,953.88	$5,953.88	9.15
		$0.00	*$0.00*	*$0.00*			*$5,953.88*	*$0.00*	*$5,953.88*		
Total		*$0.00*	*$0.00*	*$0.00*			*$5,953.88*	*$0.00*	*$5,953.88*		

Post Adjustment(s) & re-open statement

View Effort Statement

Review the Retroactive Labor Distribution Adjustment

3. Review the adjustment amounts in the **Payroll Reconciliation Transaction Break Down for Period of Performance** section (indicated by the “a” below).
    a. Verify that they are accurate for the period of performance, pay period and award (account) number listed.
4. Review the **Base Effort Statement Reconciliation Summary for Period of Performance** section (indicated by the “b” below).
5. Compare the values in the **Original Computed Effort %** column to the values in the **New Computed Effort %** column—indicated in the red boxes.
6. Subtract the percentage in the **Original Computed Effort %** column from the percentage in the **New Computed Effort %** column.
    a. If there is ***less than*** a 5 percent difference between the percentages listed in these columns the certifier does not need to recertify the impacted effort statement.
    b. If there is ***more than*** a 5 percent difference then the certifier will need to recertify the effort statement.



Covered Individual:
Title: Principal Investigator
Department: 010 Social Welfare (8787)
Email:
Location: S
Appointment:
Effort Coordinator: Daniel W. Whaley

View By Pay Period By Account | View By Account By Pay Period

a

Payroll Reconciliation Transaction Break Down for Period of Performance - 08/29/2011 to 12/31/2011

Period of Performance	Pay Period	Account	Adjustment Amount
08/29/2011 to 12/31/2011	10/03/2011 to 10/31/2011		$2,907.66
	11/01/2011 to 11/30/2011		$3,046.22
Subtotal			$5,953.88
Total			$5,953.88

b

Base Effort Statement Reconciliation Summary for Period of Performance - 08/29/2011 to 12/31/2011

Period of Performance	Account	Original Payroll $	Original Cost Share $	Original Computed Effort $	Original Computed Effort %	Certified %	New Payroll $	New Cost Share $	Total Adjustment $	New Computed Effort $	New Computed Effort %
08/29/2011 to 12/31/2011		$0.00	$0.00	$0.00	0.0	0.0	$5,953.88	$0.00	$5,953.88	$5,953.88	9.15
		$0.00	$0.00	$0.00			$5,953.88	$0.00	$5,953.88		
Total		$0.00	$0.00	$0.00			$5,953.88	$0.00	$5,953.88		

Post Adjustment(s) & re-open statement

View Effort Statement

Post the Adjustment and Reopen the Effort Statement

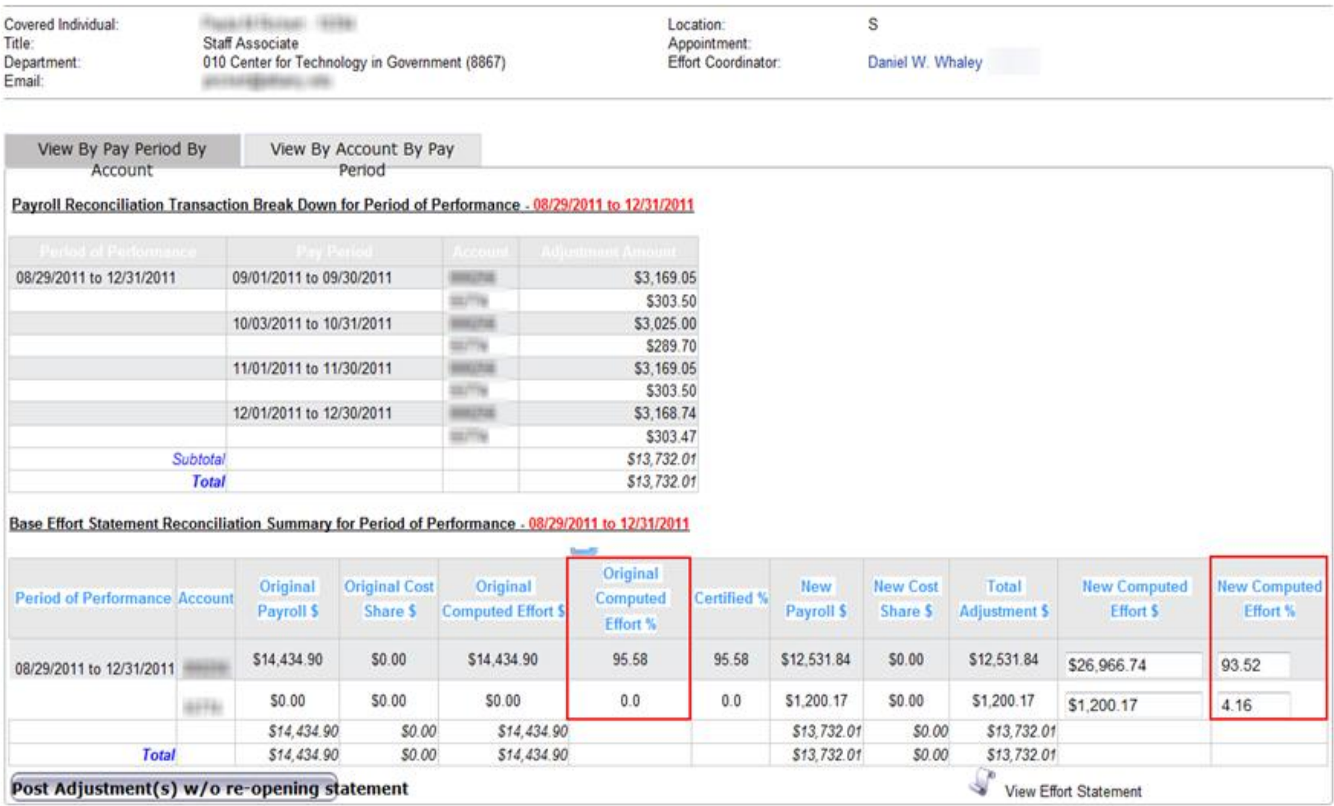
Note: This action is only available for labor distribution adjustments that are ***more than*** a 5 percent difference. In the above screen shot this individual’s original computed effort was 0.0 percent and the new computed effort is now 9.15 percent. That is a difference of 9.15 percent and the individual will need to recertify their effort statement.

7. Click the **Post Adjustment(s) & re-open statement** button.
8. You are returned to your **Work List**.

Note: The individual will receive an e-mail indicating that they need to recertify the effort statement.

Post the Adjustment Without Reopening the Effort Statement

Note: This action is only available for labor distribution adjustments that are ***less than*** a 5 percent difference. As you can see in the below screen shot, this individual's original computed effort was 95.58 percent and the new computed effort is now 93.52 percent. That is a difference of 2.06 percent (95.58-93.52 = 2.06), and there is no need for the individual to recertify their effort statement.



Covered Individual:	[redacted]	Location:	S
Title:	Staff Associate	Appointment:	
Department:	010 Center for Technology in Government (8867)	Effort Coordinator:	Daniel W. Whaley
Email:	[redacted]		

View By Pay Period By Account | View By Account By Pay Period

Payroll Reconciliation Transaction Break Down for Period of Performance - 08/29/2011 to 12/31/2011

Period of Performance	Pay Period	Account	Adjustment Amount
08/29/2011 to 12/31/2011	09/01/2011 to 09/30/2011	[redacted]	$3,169.05
		[redacted]	$303.50
	10/03/2011 to 10/31/2011	[redacted]	$3,025.00
		[redacted]	$289.70
	11/01/2011 to 11/30/2011	[redacted]	$3,169.05
		[redacted]	$303.50
	12/01/2011 to 12/30/2011	[redacted]	$3,168.74
		[redacted]	$303.47
Subtotal			*$13,732.01*
Total			*$13,732.01*

Base Effort Statement Reconciliation Summary for Period of Performance - 08/29/2011 to 12/31/2011

Period of Performance	Account	Original Payroll $	Original Cost Share $	Original Computed Effort $	Original Computed Effort %	Certified %	New Payroll $	New Cost Share $	Total Adjustment $	New Computed Effort $	New Computed Effort %
08/29/2011 to 12/31/2011	[redacted]	$14,434.90	$0.00	$14,434.90	95.58	95.58	$12,531.84	$0.00	$12,531.84	$26,966.74	93.52
	[redacted]	$0.00	$0.00	$0.00	0.0	0.0	$1,200.17	$0.00	$1,200.17	$1,200.17	4.16
		$14,434.90	*$0.00*	*$14,434.90*			*$13,732.01*	*$0.00*	*$13,732.01*		
Total		*$14,434.90*	*$0.00*	*$14,434.90*			*$13,732.01*	*$0.00*	*$13,732.01*		

Post Adjustment(s) w/o re-opening statement

View Effort Statement

9. Click the **Post Adjustment(s) w/o re-opening statement** button.
10. You are returned to your **Work List**.

Certification: Look up an ecrt Username for a Certifier

Purpose
To look up a certifier's **ecrt** username.

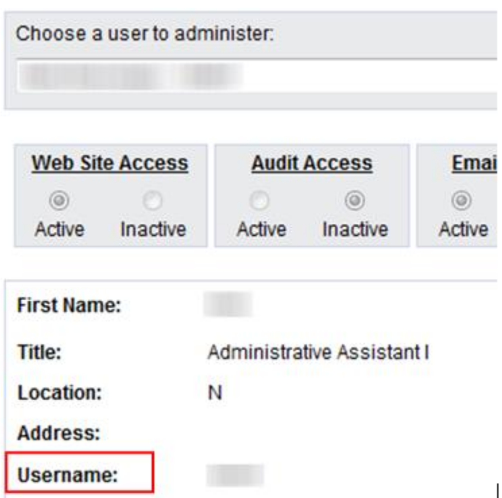
Frequency
It is possible that a certifier may ask his or her effort reporting administrator for their **ecrt** username. Perform this task as needed throughout the certification period.

Roles with Access
Primary Effort Coordinators, Effort Coordinators

ecrt Report Category
Not Applicable

Look Up an ecrt Username

1. Hover over the **Administration** tab on the menu bar and select **Manage Users**.
2. Enter the first three letters of the first or last name of the individual.
3. Click the individual's full name from the drop-down menu.
4. Click **Choose**.
5. The **Manage Users** page displays.
6. The individual's username is displayed in the third box down on the screen underneath the **Name**, **Title**, **Location** and **Address** fields:



Certification: Run the "Payroll Report"

Purpose
To view payroll applied to an individual's effort statement during the effort reporting period of performance.

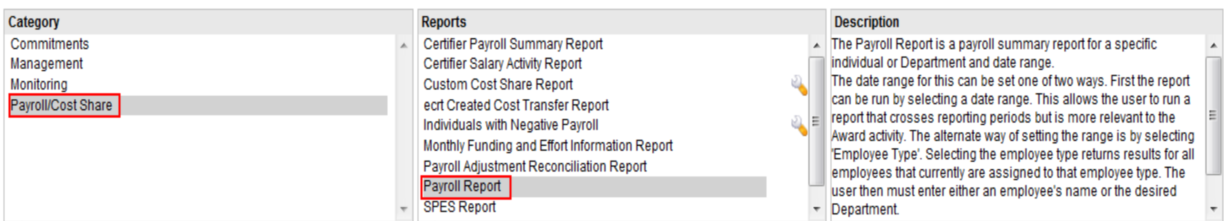
Frequency
Run this report to understand how payroll was distributed to an award.

Roles with Access
Primary Effort Coordinators, Effort Coordinators

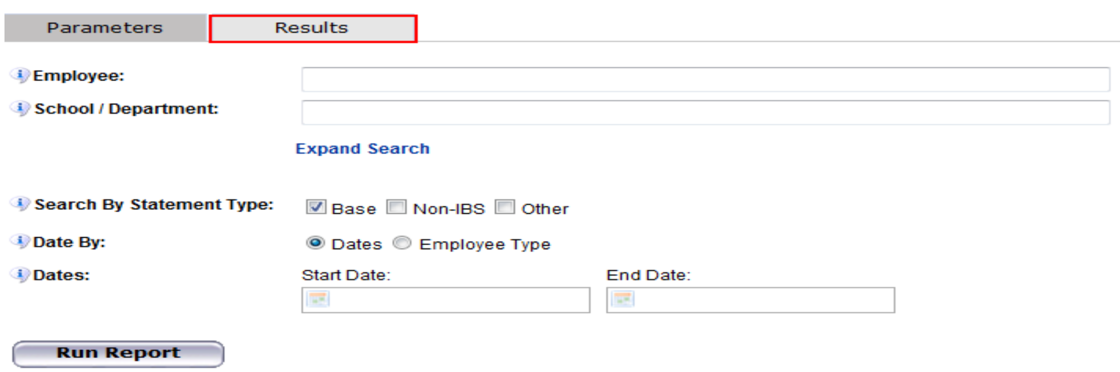
ecrt Report Category
Payroll/Cost Share

Run the Payroll Report

1. Click **Payroll Report** in the **Reports** column.



2. Parameter options appear below.

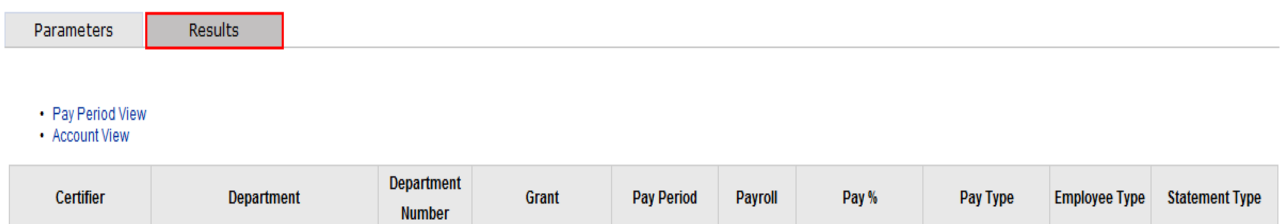


3. Enter the following fields:

Field	Action
Employee:	1. Enter the first three letters of an individual's last name. 2. Click the individual's name from the drop-down menu.
Search By Payroll Type:	The **Base** box should be checked.
Date By:	Click **Dates** to view payroll data for a particular effort reporting period.

Field	Action
Dates:	1. Enter the start and end dates of the ***effort reporting period*** you want to query. 2. Click in the box under **Start Date:** to select the start date of the effort reporting period: a. A pop-up calendar opens. b. Select the month from the month drop-down menu. c. Select the year from the year drop-down menu. d. Click the date on the calendar. 3. Click in the box under **End Date:** to select the end date of the effort reporting period: a. A pop-up calendar opens. b. Select the month from the month drop-down menu. c. Select the year from the year drop-down menu. d. Click the date on the calendar. **Note**: It is important to select the month and year from the drop-down menus before you click the date on the calendar to display data for the correct date.

4. Click **Run Report**.
5. The report results are displayed:



6. Click the **Excel** icon in the bottom right corner of the window to export the query to Excel and save it.

Query Results

Field	Action
Certifier	The last and first name of the individual selected in the **Employee:** field.
Department:	The primary department of the individual.
Department Number	The **ecrt**-assigned department number.
Grant	The number and full name of the award with salary charges for the individual queried.
Pay Period	The start and end date of the pay period
Payroll	The amount of salary charges applied to the award.
Pay %	The percentage of the individual's payroll that is directly charged to the award.
Pay Type	Not applicable.
Employee Type	Indicates whether the person is: • A SUNY monthly employee. • An RF biweekly employee (exempt).

Field	Action
Statement Type	The payroll type selected for the query: • **Base** = Salary charges applied to an individual's base effort statement (institutional base salary). • **Non-IBS** = Salary charges not related to an individual's institutional base salary. These charges are uploaded to **ecrt** but are not displayed on an individual's effort statement. • **Other** = Salary charges, e.g., extra service, that are uploaded to **ecrt** but not displayed on an individual's base effort statement.

Additional Information about the ecrt "Payroll Report" Parameters

ecrt requires you to select either an employee or a school/department to run the "Payroll Report." Dates must also be entered (see below).

Field	Action
Employee:	1. Enter the first three letters of an individual's last name if you want to view an individual's payroll report. 2. Click the individual's name from the drop-down menu.
School/Department:	1. Enter the first three letters of a campus, school or department name if you want to view the payroll report for one of these organizations. 2. Click the campus, school or department name from the drop-down menu.
Search By Payroll Type:	1. Click the payroll type boxes you want to include in your query to select them: a. Base = Salary charges applied to an individual's base effort statement (institutional base salary). b. Non-IBS = Salary charges not related to an individual's institutional base salary. These charges are uploaded to **ecrt** but are not displayed on an individual's effort statement. c. Other = Salary charges, e.g., extra service, that are uploaded to **ecrt** but not displayed on an individual's base effort statement. 2. The **ecrt** default is **Base** but you may select more than one type.
Date By:	1. Select one of two options: a. Click **Dates** to select it if you want to see payroll data for a range of dates that you will select from the calendar below in the **Dates:** field. b. Click **Employee Type** to select it if you want to see payroll data for a particular employee type, e.g., SUNY monthly.
Employee Type:	This field only displays if **Employee Type** is selected in the **Date By:** field. 1. Click one employee type from the drop-down menu: a. RF-Nonexempt = RF nonexempt project employees. b. SUNY-Monthly = SUNY employees, including those who come on the RF payroll during the summer. c. RF-Biweekly = RF project employees who are exempt and on the RF payroll.
Period:	This field only displays if **Employee Type** is selected in the **Date By:** field. 1. Click one effort reporting period from the drop-down menu.

<table>
<tr><th>Field</th><th>Action</th></tr>
<tr><td>Dates:</td><td>This field only displays if Dates is selected in the Date By: field.
1. Click in the box under Start Date: to select the start date of the time period you want to query:
a. A pop-up calendar opens.
b. Select the month from the month drop-down menu.
c. Select the year from the year drop-down menu.
d. Click the date on the calendar.
2. Click in the box under End Date: to select the end date of the time period you want to query:
a. A pop-up calendar opens.
b. Select the month from the month drop-down menu.
c. Select the year from the year drop-down menu.
d. Click the date on the calendar.
Notes:
• It is important to select the month and year from the drop-down menus before you click the date on the calendar to display data for the correct date.
• You may enter start and end dates that coincide with a particular effort reporting period, but this query may also be used if you want to check payroll data for other timeframes, e.g., one month or an entire year.</td></tr>
</table>

Certification: Run the Payroll Report from an Effort Statement

Purpose
To view payroll applied to an individual's effort statement during an effort reporting period of performance.

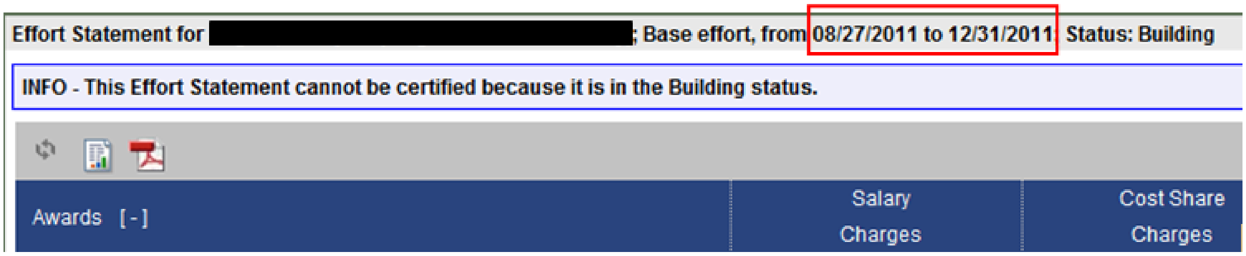
Frequency
View payroll distributions directly from an effort statement to understand how payroll was distributed to an award and better explain that information to an individual if asked.

Roles with Access
Primary Effort Coordinators, Effort Coordinators

ecrt Report Category
Not Applicable

Run the Payroll Report from an Effort Statement

1. Access an individual's effort statement using one of these methods:
    a. Use the **Manage Users** page.
    b. Use the **Look Up** page.
    c. Use the **Department Dashboard**.
2. Note the effort reporting period of performance (highlighted in the red box below) that is displayed on the bar above the effort statement:



3. Click the **Reports** icon ( ) in the header above the **Awards** column.
4. Click **Payroll Report**.

5. The Payroll Report should open in a new browser window.
6. Review the payroll charges on the report to ensure that the charges applied to the effort statement are contained within the period of performance you identified in step 3 above.

7. To view the Payroll Report for a different period of performance:
    a. An individual's effort statements are displayed in the **Statement Information** box that appears in the upper right corner next to the **Work List** box.
    b. There are three categories of effort statements:
        - **Needing certification**: The effort reporting period of performance is over and this section displays effort statements requiring certification.
        - **In progress**: The effort reporting period of performance is currently underway and this sections displays effort statements that are being built.
        - **Historical**: The effort reporting period of performance is over and this section displays effort statements that were previously certified.
    c. Click the right arrow (if necessary) to expand the effort statement category you want to view.
    d. Click the line of the effort statement you want to view.
    e. The effort statement displays below.
    f. Follow steps 3 – 6 to view the Payroll Report.

Certification: Change the Status of an Effort Statement to No Certification Required

Purpose
To change the status of an effort statement to “No Certification Required.”

Frequency
There may be times when an individual known to have nonfederal and/or nonsponsored activity ***only*** has a federal or federal flow-through sponsored program on his or her effort statement with payroll charges of 0 percent.

To maintain the integrity of the effort statement **ecrt** displays the line item on the effort statement even though there are no payroll charges. In these cases the status of the effort statement needs to be changed to “No Certification Required.” This action ensures that the certifier does not receive notification to certify an effort statement.

Effort statements for individuals with nonfederal and/or nonsponsored activity only are automatically processed by **ecrt** because we are not required to certify effort for nonfederal activity. However, if there is an incorrect federal/federal flow-through line item on an effort statement it will not be automatically processed. The action of changing an effort statement status to “No Certification Required” replaces the automatic processing so the self-certifier is not asked to certify an effort statement that does not require certification.

Roles with Access
Primary Effort Coordinators

ecrt Report Category
Not Applicable

Change the Status of an Effort Statement

1. Access an individual’s effort statement using one of these methods:
    a. Use the **Manage Users** page.
    b. Use the **Look Up** page.
    c. Use the **Department Dashboard**.
2. Click **No Certification Required**.
3. Type a reason why the effort statement does not require certification in the **Please enter a note explaining this action:** text box.
4. Click **Submit**.
5. The effort statement should have a status of “**No Certification Required, Processed**” in the **Historical** section of the box on the upper right side of the effort statement.

Certification: Reopen an Effort Statement

Purpose
To reopen an effort statement that was certified.

Frequency
In rare situations a campus may need to reopen an effort statement, and a primary effort coordinator has the authority to do so. Call central office or send an e-mail to effort@rfsuny.org to discuss this before you reopen an effort statement.

Roles with Access
Primary Effort Coordinators

ecrt Report Category
Not Applicable

Prerequisite

A certified effort statement.

Reopen an Effort Statement

1. Access an individual's effort statement using one of these methods:
    a. Use the **Manage Users** page.
    b. Use the **Look Up** page.
    c. Use the **Department Dashboard**.
2. Click **Reopen** (located underneath the individual's award and effort percentage information).
3. The Message from webpage pop-up window opens with the message "Are you sure you want to reopen this certification period?"
4. Click **OK**.
5. The **Message from webpage** pop-up window opens with the message "Do you want to send an email as well?"
6. Click **OK** to send an e-mail to the certifier notifying them to recertify the effort statement.
7. The effort statement should now appear with a status of **Not Certified, Not Finalized, Re-opened** in the box located at the top right of the screen.

Certification: Run the “Certification Status Report” to Monitor Effort Statement Certifications

Purpose
The “Certification Status” report is used to monitor the progress of effort statement certifications for the campus or assigned department(s).

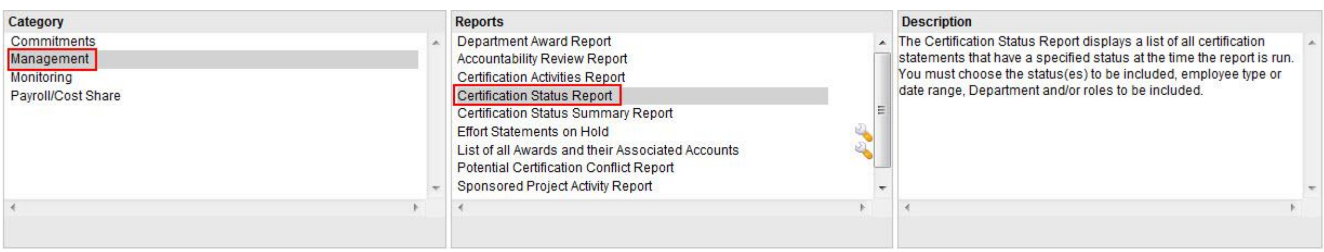
Frequency
Run this report weekly during the certification period to monitor effort statements that need to be certified for the effort reporting period.

Roles with Access
Primary Effort Coordinators, Effort Coordinators

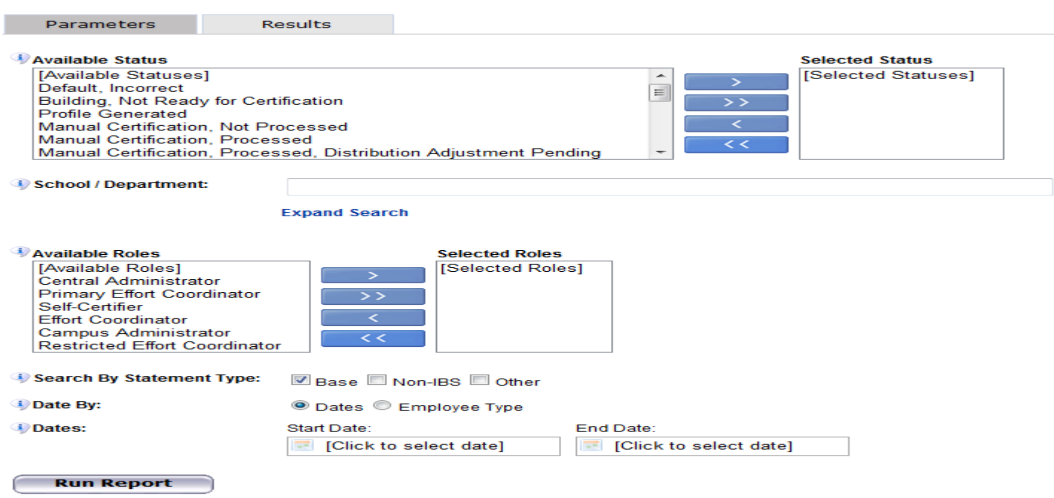
ecrt Report Category
Management

Run the “Certification Status Report”

1. Click **Certification Status Report** in the **Reports** column.



2. Parameter options appear below:

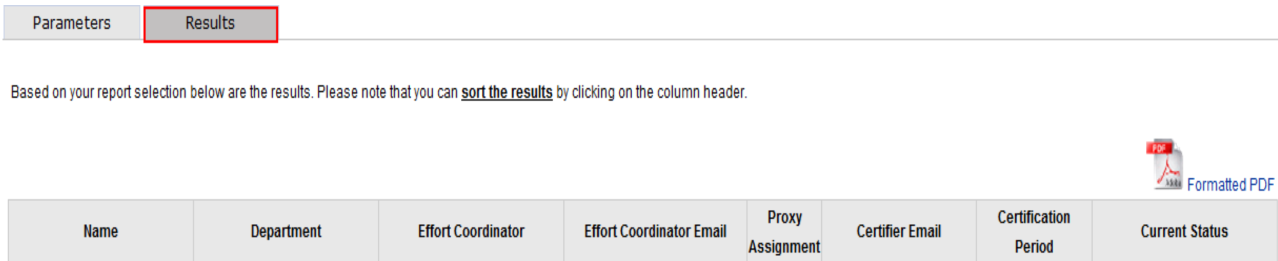


3. Enter the following fields:

Field	Action
Available Status	3. Click **Ready to Be Certified** in the **Available Status** column to select it. 4. Click the single right arrow (**>**) to move that status to the **Selected Status** box.
School/Department:	3. Enter the first three letters of the campus name. 4. Click the campus name from the drop-down menu.
Available Roles	Do not select any values for this field.
Search By Statement Type:	Click the **Base** checkbox to select it. • **Base** refers to an individual's institutional base salary (IBS) effort statement. • **Non-IBS** and **Other** refers to salary expenditures that the RF does not include on effort statements, e.g., extra service, vacation pay, severance, etc.
Date By:	Click the **Dates** radio button to select it.
Dates:	3. Click in the box under **Start Date:** to select the start date of the effort reporting period, e.g., the start date for the spring 2013 effort reporting period: a. A pop-up calendar opens. b. Select the month from the month drop-down menu. c. Select the year from the year drop-down menu. d. Click the date on the calendar. 4. Click in the box under **End Date:** to select the end date of the effort reporting period, e.g., the end date for the spring 2013 effort reporting period: a. A pop-up calendar opens. b. Select the month from the month drop-down menu. c. Select the year from the year drop-down menu. d. Click the date on the calendar. **Note**: Compare the periods of performance for SUNY monthly and RF biweekly employees. Use the earliest start date and the latest end date when selecting dates for these fields. For example: Use the start and end dates highlighted in red • Spring 2013 SUNY period of performance: **1/1/2013** – 5/15/2013 • Spring 2013 RF period of performance: 1/1/2013 – **5/31/2013**

4. Click **Run Report**.

5. The report results are displayed:



6. Click **Excel** in the lower right corner to export the report results and save them.
7. Repeat steps 1 -6 to view effort statements in the **Certified** status.
   Note: For step 3 click the following statuses in the **Available Status** column to select them:
   - Certified
   - Certified, Ready for Administrator Review
   - Manually Certified
   - Manually Certified, Ready for Administrator Review
8. Review the results of both reports:
   a. Any effort statements listed on the "Ready to Be Certified" version of this report are still outstanding. These certifiers will receive reminder e-mails from **ecrt** if they still have not certified their statements two weeks, 1 week and 1 day prior to the end of the certification period.
   b. Effort statements listed on the "Certified" version of this report are complete and no further action is necessary.
9. Save the final report in your campus records.

Query Results

Field	Description
Name	The last and first name of the person whose effort statement requires certification.
Department	The primary department of the person whose effort statement requires certification.
Effort Coordinator	The person responsible for coordination between the campus research or sponsored programs office and faculty/research staff in the departments to facilitate administration of the effort commitment, charging and certification process.
Effort Coordinator Email	The effort coordinator's e-mail address.
Proxy Assignment	The first and last name of the person who is assigned to be a proxy certifier for the person listed. This field will display **N/A** if there is no assigned proxy.
Certifier Email	The e-mail address of the person whose effort statement requires certification.
Certification Period	The timeframe included on the person's effort statement, i.e., the effort reporting period of performance
Current Status	The current status of the effort statement. For effort statement status descriptions refer to the "Effort Statement Statuses" guidance document.

Change History

Date	Section of Guide	Revision
May 2013	Certification Purpose, Page 4	• Revised and reordered certification tasks
May 2013	Run the "Certification Status Report," Page 5	• Added this task to the beginning of the guide to include information about running this report at the start of the certification period to get a roster of effort statements that need certification
May 2013	Process an Effort Task for an Effort Statement with an Attached File and/or Note, Page 12	• Moved this task forward in the guide • Combined it with the former "Add an Attachment and/or Note to an Effort Statement" task • Clarified the process
May 2013	Manually Certify an Individual's Effort Statement, Page 15	• Added template and instructions to create a manual effort statement • Moved this task forward in the guide • Clarified the process
May 2013	Process an Effort Task for a Manually Certified Effort Statement, Page 18	• Moved this task forward in the guide
May 2013	Process an Effort Task for a Retroactive Labor Distribution Adjustment, Page 19	• Moved this task forward in the guide • Added link to information about the labor distribution adjustment process in **ecrt**
May 2013	Reopen an Effort Statement, Page 30	• Moved this task forward in the guide • Added note to contact central office with this situation
May 2013	Run the "Certification Status Report" to Monitor Effort Statement Certifications, Page 31	• Updated process to include running the report for certified effort statement statuses
February 2013		New guide