

EFFORT CERTIFICATION AND REPORTING TECHNOLOGY (ECRT)

**Administrator Pre-review
Training Materials
(Part 2 of 4)**

May 2014

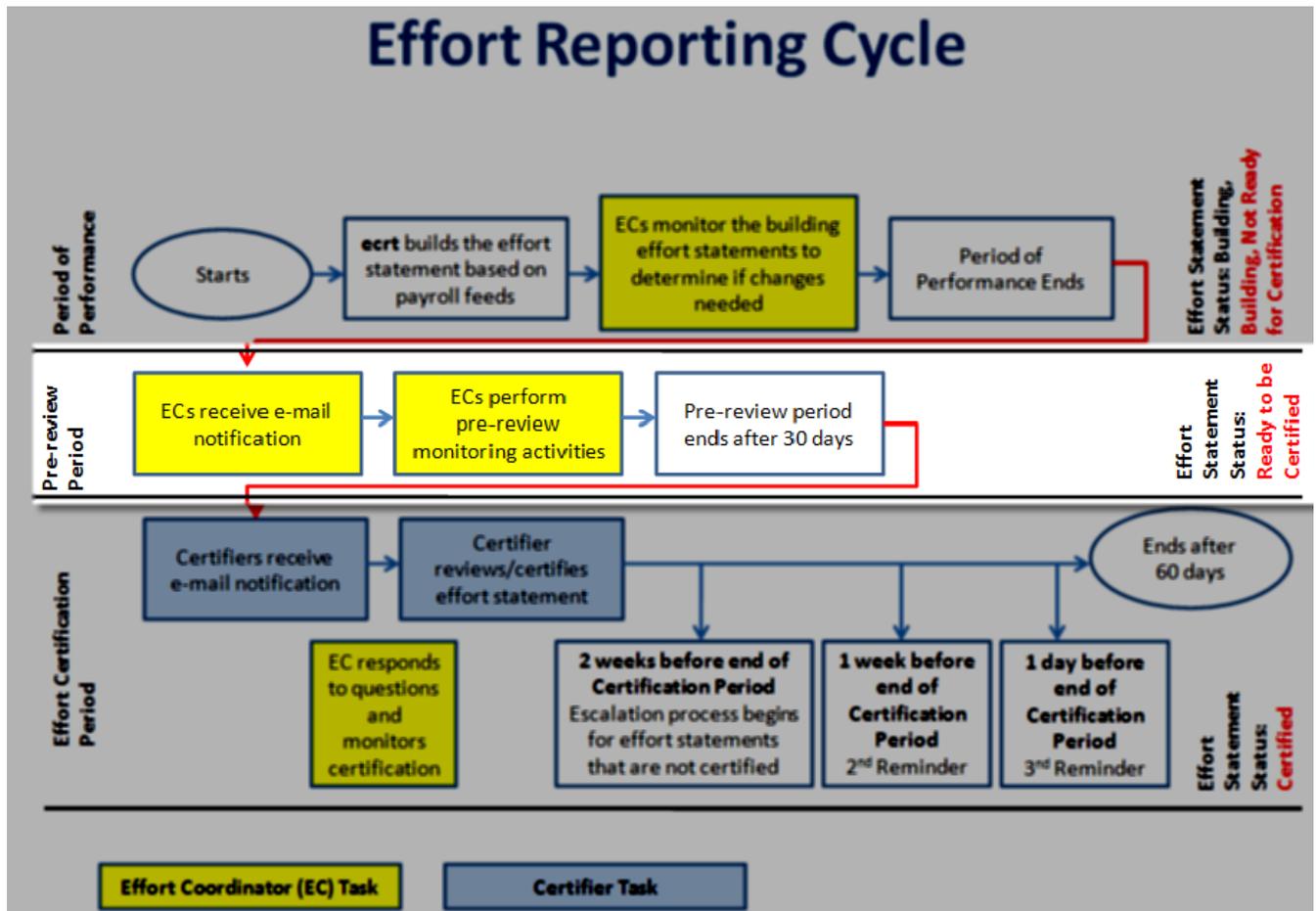
SUNY



Table of Contents – Pre-Review

Topic	Page
Overview.....	3
Purpose.....	4
Pre-Review Cycle.....	5
Run the “Certification Status Report”	6
Review Report Results for Missing Core Data	8
Review Report Results for Multiple Effort Statements	8
Run the “Effort not Equal to 100 Percent” Report	11
Run the “Sponsored Project Employee Summary (SPES) Report”	15
Run the “Individuals with Negative Payroll Report”	18
Run the “Award Without Principal Investigators Report”	20
Run the “Self Certifiers with Federal/Non-Federal/ Nonsponsored Effort” Report	22
Run the “Staff with Federal/Non-Federal/Nonsponsored Effort” Report	25
Why are there Zero Percentages in the Certified Effort Column on my Effort Statement?.....	28
Put Effort Statements on Hold.....	30
Change the Status of an Effort Statement to No Certification Required.....	31
Process Multiple Effort Statements	32
Verify that Labor Distribution Adjustments Corrected Effort Statements Placed on Hold	34
Run the “Effort Statements on Hold Report”	36
Remove the “Hold” Placed on an Individual Effort Statement.....	38
Run the “List of All Users” Report to Verify Self-Certifier and Restricted Effort Coordinator Roles ...	39
Run “List of Staff by PI with Proxy Assignments Report”.....	42
Optional: Change Percentage of Certified Effort Column.....	45
Optional: “List of all Awards and their Associated Accounts Report”	47
Change History	49

Overview



Data is loaded into the **ecrt** application from the RF's Oracle business applications. This data is used as the starting point for the pre-review process.

Effort statements are in a "Building, Not Ready for Certification" status as the payroll information is loaded into **ecrt**. Once the pre-review period ends, effort statements for SUNY and RF biweekly exempt employees are changed by the system to a status of "Ready to be Certified."

The pre-review process is a period of time for effort coordinators to:

- Review effort statements that are in the "Building, Not Ready for Certification" status.
- Put effort statements with issues (outliers) on hold so they are not automatically released for certification until the issue is corrected.

Note: An [Effort Reporting Checklist](#) is available to assist campuses in tracking tasks performed during the entire effort reporting cycle.

Purpose

The purpose of the pre-review process is to:

1. Run the "Certification Status Report" to:
 - a. Create a roster of effort statements for the period.
 - b. Identify missing core data.
 - c. Check for individuals with multiple effort statements.
2. Run the "Effort not Equal to 100 Percent Report" to identify effort statements within or outside the tolerable certification range.
3. Run the "SPES Report" for monitoring payroll suspense and overpayments.
4. Run the "Individuals with Negative Payroll Report."
5. Run the "Award without Principal Investigators Report" to identify awards missing principal investigators (PIs).
6. Identify individuals with a mixture of federal and nonfederal and/or nonsponsored activity.
 - a. Run the "Self Certifiers with Federal/Non-Federal/Nonsponsored Effort" report.
 - b. Run the "Staff with Federal/Non-Federal/Nonsponsored Effort" report.
7. Put effort statements "on hold" that need corrective action before they can be released to the certifier.
8. Change the status of an effort statement to No Certification Required.
9. Process multiple effort statements.
10. Verify that labor distribution adjustments corrected effort statements placed "on hold."
11. Run "Effort Statements On Hold Report."
12. Change effort statements to "remove holds" and release statements to certifiers.
13. Run the "List of All Users Report" to verify self-certifiers and restricted effort coordinators.
14. Review PIs with proxy assignments.
15. Optional pre-review activities:
 - a. Change percentage on **Certified Effort** column (if applicable – campus decision).
 - b. Run the "List of All Awards and their Associated Accounts Report" to verify that cost share awards were established for all awards with cost share commitments.

Note:

Campuses with a small amount of effort reporting activity may choose to perform the following streamlined pre-review processes:

- **Pre-Review All Effort Statements**
 - Run the "Certification Status Report" (step 1 above) to create a roster of effort statements.
 - View each of the statements in **ecrt**.
 - Place statements with issues on hold.

Once the applicable corrective actions are completed in Oracle and uploaded to **ecrt**, remove the hold from the effort statement. This will release the statement to the certifier for certification.

Contact effort@rfsuny.org with questions.

Pre-Review Cycle

Pre-review is a cyclical process. The tasks described in the “Pre-review Purpose” section of this document are not one-time only tasks. Primary effort coordinators/effort coordinators need to repeat these tasks until the effort statements placed on hold are corrected, the holds are removed, and the statements are released to the certifier. Eventually all effort statements need to be certified.



Run the “Certification Status Report”

Purpose

During pre-review the “Certification Status” report is used to:

- Create an initial roster of effort statements.
- Monitor missing e-mail addresses and primary departments.
- Identify individuals with multiple effort statements.

Frequency

During pre-review the effort coordinator should run this report to create an initial roster of effort statements that need to be certified for the effort reporting period. Run it as needed to verify that missing core data was corrected.

Note

Effort statements are still in a “building” status during the pre-review period. The results from this report when it is run during the pre-review period will include **all** effort statements for your campus. Statements that have 100 percent nonfederal and/or nonsponsored activity are included in addition to statements for nonexempt staff.

Once the pre-review period ends and the certification period begins:

- Statements with federal or federal flow-through effort will change to a “Ready to be Certified” status and will be released for PIs to certify.
- Statements with 100 percent nonfederal or nonsponsored effort (or some combination thereof) 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:

The screenshot shows a web-based interface for generating a report. At the top, there are two tabs: "Parameters" (selected) and "Results". Below the tabs, there are several sections for configuring the report:

- Available Status:** A list of status options including "Default, Incorrect", "Building, Not Ready for Certification", "Profile Generated", "Manual Certification, Not Processed", "Manual Certification, Processed", and "Manual Certification, Processed, Distribution Adjustment Pending". There are four arrow buttons (single right, double right, single left, double left) to move items between the "Available Status" and "Selected Status" boxes.
- School / Department:** A text input field with an "Expand Search" link below it.
- Available Roles:** A list of roles including "Central Administrator", "Primary Effort Coordinator", "Self-Certifier", "Effort Coordinator", "Campus Administrator", and "Restricted Effort Coordinator". Similar arrow buttons are used to move items to the "Selected Roles" box.
- Search By Statement Type:** Three checkboxes: "Base" (checked), "Non-IBS", and "Other".
- Date By:** Two radio buttons: "Dates" (selected) and "Employee Type".
- Dates:** Two date selection boxes labeled "Start Date:" and "End Date:", each with a calendar icon and the text "[Click to select date]".
- Run Report:** A prominent button at the bottom.

3. Enter the following fields:

Field	Action
Available Status	<ol style="list-style-type: none"> 1. Click Building, Not Ready for Certification 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:	Do not select any values for this field.
Available Roles	Do not select any values for this field.
Search By Statement Type:	<p>Click the Base checkbox to select it.</p> <ul style="list-style-type: none"> • 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:	<ol style="list-style-type: none"> 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 fall 2013 effort reporting period: <ol style="list-style-type: none"> 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 fall 2013 effort reporting period: <ol style="list-style-type: none"> a. A pop-up calendar opens.

Field	Action
	<p>b. Select the month from the month drop-down menu.</p> <p>c. Select the year from the year drop-down menu.</p> <p>d. Click the date on the calendar.</p> <p>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.</p> <p>For example: Use the start and end dates highlighted in red</p> <ul style="list-style-type: none"> Fall 2013 SUNY period of performance: 8/15/2013 – 12/31/2013 Fall 2013 RF period of performance: 8/24/2013 – 12/31/2013

- Click **Run Report**.
- The report results are displayed:

Parameters Results

Based on your report selection below are the results. Please note that you can sort the results by clicking on the column header.

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Name	Department	Effort Coordinator	Effort Coordinator Email	Proxy Assignment	Certifier Email	Certification Period	Current Status
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- Click **Excel** in the lower right corner if you want to export the report results and save them.

Review Report Results for Missing Core Data

- Review report for the following:
 - Actual department names for SUNY employees
 - E-mail addresses for all **ecrt** users
- Coordinate with your human resources contact to input missing core data (including job titles) in Oracle. Refer to page 11 in the [ECRT Administrator Supplemental Training Materials \(Part 4 of 4\)](#).

Review Report Results for Multiple Effort Statements

- Review the report for individuals listed on more than one row. If someone is listed more than once it indicates they have more than one effort statement for the period of performance.
- Refer to the “Processing Multiple Effort Statements” section of this document for corrective actions.

Query Results

Field	Description
Name	The last and first name of the person whose effort statement requires certification.

Field	Description
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	<p>The single right arrow (>) will move one status to the to the Selected Status box.</p> <p>The double right arrow (>>) will move all statuses to the Selected Status box.</p> <p>The single left arrow (<) will remove one status from the Selected Status column.</p> <p>The double left arrow (<<) will remove all of the statuses from the Selected Status column.</p> <p>For effort statement status descriptions refer to the "Effort Statement Statuses" guidance document.</p>
School/Department:	You may also select a department, school or college in this field to narrow your query results.
Available Roles	<p>This field allows you to narrow your query results to an ecrt role.</p> <ol style="list-style-type: none"> 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

Field	Action
	<p>Roles box.</p> <p>3. If you want to select more than one role repeat steps 1 and 2 for all the roles you want to view.</p> <p>4. To select all roles click the double right arrow (>>).</p> <p>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.</p>
Search By Statement Type:	<p>The default setting is that the Base checkbox is selected.</p> <ul style="list-style-type: none"> • 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. <p>Note: You may check more than one box (or all of the boxes) but certification is only required for base effort statements.</p>
Date By:	<p>The default setting is that the Dates radio button is selected.</p> <ul style="list-style-type: none"> • Selecting the Dates radio button requires you to enter a Start Date and End date in the Dates: field. • Selecting the Employee Type radio button requires you to select the employee type and a period of performance.
Employee Type:	<p>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.</p>
Period:	<p>This field only displays if Employee Type is selected in the Date By: field. Select a period of performance from the drop-down menu.</p>
Dates:	<ol style="list-style-type: none"> 1. Click in the box under Start Date: to select the start date of the time period you want to query: <ol style="list-style-type: none"> 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: <ol style="list-style-type: none"> 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.

Run the “Effort not Equal to 100 Percent - *” Report

* The name of this report is dependent on how your campus displays percentages on effort statements:

- For campuses using whole numbers the report name is **Effort Not Equal to 100% (Whole Numbers)**
- For campuses using hundredths the report name is: **Effort Not Equal to 100% (Hundredths)**

Purpose

To identify individuals with effort outside of the tolerable range and place their effort statements on hold.

Frequency

The roles identified should monitor individuals during the pre-review process to identify effort statements with total effort outside the tolerable certification range.

Effort Statements within the Tolerable Range

An effort statement may display a total effort percentage in the range of 98 – 102 percent (whole number campuses) or 98.00 – 102.00 percent (hundredths campuses) due to the manner in which **ecrt** handles rounding. This is acceptable and compliant as this is a tolerable range.

Certification Options

Each campus should decide the option that works best for their campus process:

1. Do not adjust the percentage in the **Certified Effort** column. Effort statements will be released for certification with the displayed percentage. (Most campuses do not update the certified effort percentage.)
2. Adjust the percentage in the **Certified Effort** column so that the effort totals 100 or 100.00 percent. (See the “Change Percentage of Certified Effort Column” section of this document.)

Note: The “Edit Certified Effort Field on Effort Statement” right is **required** to enable a primary effort coordinator to modify this value. Send an e-mail to effort@rfsuny.org if your campus wants this ability.

Effort Statements Outside the Tolerable Range

If you have effort statements with effort that is outside the tolerable range you will need to place them on hold. These statements will need corrective action before they can be released for certification. Corrective actions may include:

- Removing payroll from suspense.
- Adjusting labor distribution charging instructions.

Roles with Access

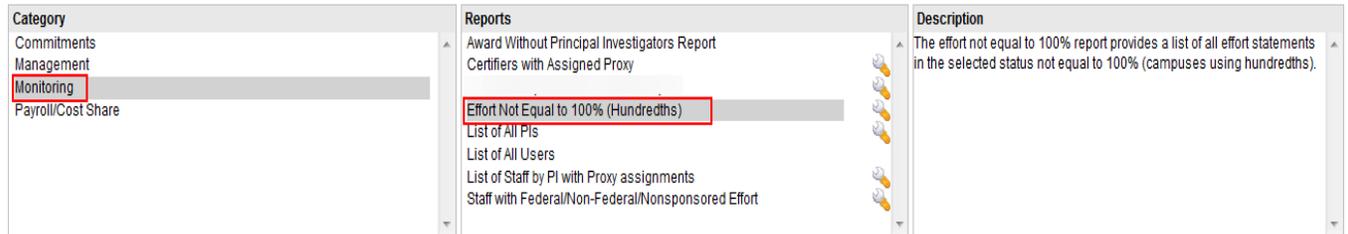
Primary Effort Coordinators, Effort Coordinators

ecrt Report Category

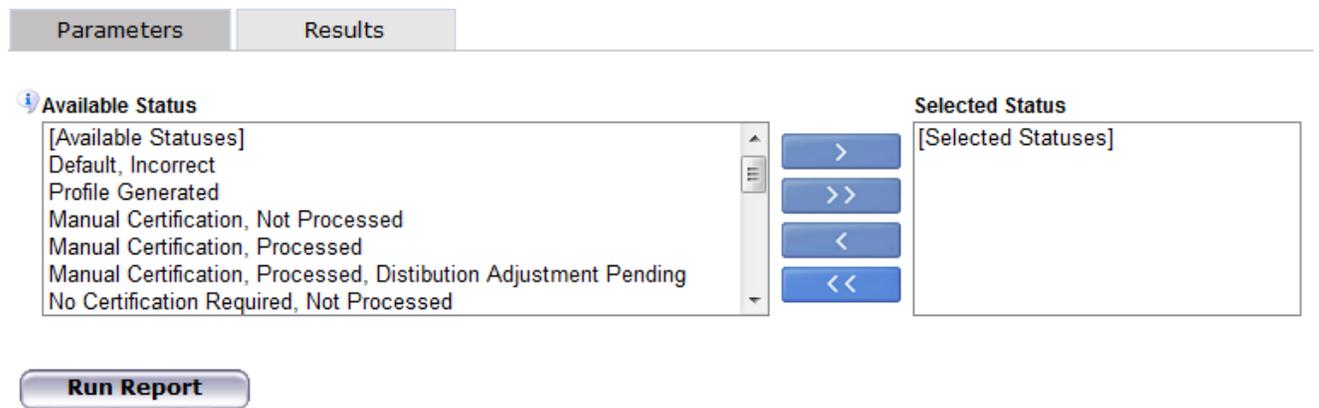
Monitoring

Run the “Effort not Equal to 100 Percent Report”

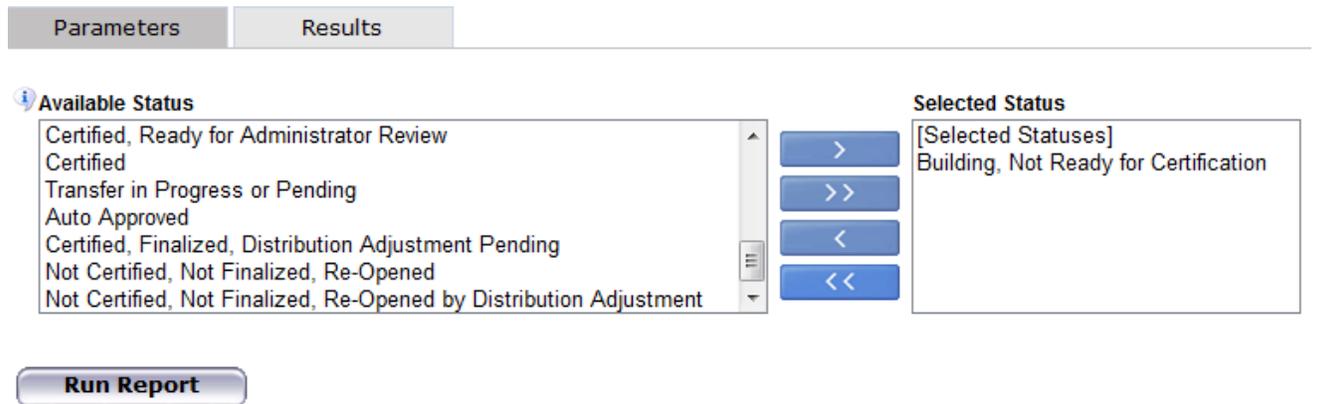
1. Click **Effort not Equal to 100 Percent - Statements Requiring Certification** in the **Reports** column.



2. Parameter options appear below:



3. Click **Building, Not Ready for Certification** in the **Available Status** column to select it.
4. Click the single right arrow (>) to move that status to the **Selected Status** box:



5. Click **Run Report**.

6. The report results are displayed:

Parameters	Results
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3 items found, displaying all items.

Certifier	Employee type	Start date	End date	Certified effort percent	Description	Institution
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7. Click **Excel** in the lower right corner to export and save the report results.
8. Sort the Excel file tab by certified effort percent to identify the effort statements that fall within the tolerable range:
 - a. Select the cells with the column heading names:

Certifier	Start date	End date	Certified effort percent	Institution
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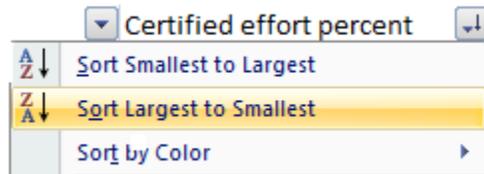
- b. Click the **Sort & Filter** icon on the tool bar and click **Filter**:



- c. Down arrows appear next to each column heading name:

Certifier	Start date	End date	Certified effort percent	Institution
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- d. Click the **Certified effort percent** arrow to filter the report results by certified effort percentage.
 - e. Click **Sort Largest to Smallest**:



9. Place any outlier effort statements on hold.
10. Investigate why the effort statements display a total effort percentage outside the tolerable range—including those with 0 percent total effort.

11. If an effort statement displays 0 percent total effort and this is correct change the status of the effort statement to **No Certification Required**. (Refer to the “Change the Status of an Effort Statement to No Certification Required” section of this document.)

Note: To maintain the integrity of the effort statement **ecrt** displays the line item on the effort statement even though there are no payroll charges, these statements need to be changed to **No Certification Required** to ensure that the certifier does not receive notification to certify an effort statement.

Query Results

Note: This report does not include effort statements that were:

- Automatically processed by **ecrt**—statements with only nonfederal and/or nonsponsored activity.
- Certified.
- Pending payroll adjustments.

Field	Action
Certifier	The last and first name of the person whose effort statement is not equal to 100 percent.
Employee type	Indicates whether the person is: <ul style="list-style-type: none"> • A SUNY monthly employee. • An RF biweekly employee (exempt).
Start date	The start date of the timeframe included on the person’s effort statement, i.e., the start of the effort reporting period of performance.
End date	The end date of the timeframe included on the person’s effort statement, i.e., the end of the effort reporting period of performance.
Certified effort percent	The effort percentage on the effort statement for the start and end date timeframe.
Description	The current status of the effort statement. For effort statement status descriptions refer to the “Effort Statement Statuses” guidance document.
Institution	The campus name.

Run the “Sponsored Project Employee Summary (SPES) Report”

Purpose

To identify individuals with effort charged to payroll suspense and/or payroll overpayments so that their effort statements are placed on hold and corrected.

Frequency

Effort coordinators should run this report during the pre-review process to place effort statements with SUNY and RF payroll suspense or payroll overpayment charges on hold. **ecrt** does not allow effort statements with charges in payroll suspense to be certified. Individuals with effort charged to payroll suspense must have a distribution adjustment completed to properly allocate the effort to a sponsored award(s) or to a cost sharing award(s).

Roles with Access

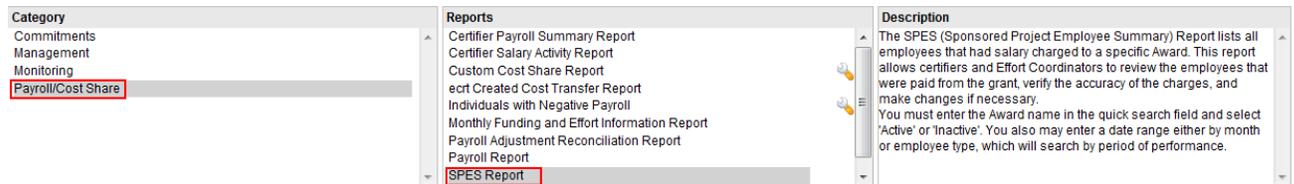
Primary Effort Coordinators, Effort Coordinators

ecrt Report Category

Payroll/Cost Share

Run the SPES Report

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



2. Parameter options appear below.

Parameters Results

Date By: Month Employee Type

Month: [Click to select month] [Click to select year]

Award: Active Inactive

Run Report

3. Enter the following fields:

Field	Action
Date By:	Click the Employee Type radio button to select it.
Award:	<ol style="list-style-type: none"> 1. Type SUSP in the text box. 2. Your campus suspense awards appear in a drop-down list. 3. Click to select the Payroll Suspense Award to view employees with RF payroll in suspense.
Employee Type:	Use the drop-down menu to select RF-Biweekly .

Field	Action
Period:	Use the drop-down menu to select the period of performance for RF biweekly employees –this is the period that will be certified after the current pre-review period.

- Click **Run Report**.
- The report results are displayed:

Parameters **Results**

Based on your report selection below are the results. Please note that you can sort the results by clicking on the column header.

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Department Name: RF Operations Campus Specific
 Department Code: 10535
 Award Name: Payroll Suspense Award
 Award Number: 000160
 Award Type: Nonsponsored
 Award PI Name:
 Award Sponsor Name:
 Award Sponsor Number:
 Award Sponsor Project Number:
 Award Start to End Date: 07/01/1999 to 06/30/2022
 Filter Start to End Date: 01/01/2012 to 01/01/2013
 Total: \$1,057.50

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
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- Click the **Excel** icon in the bottom right corner of the window to export the query to Excel and save it.
- Repeat steps 3 – 6 to view employees with SUNY payroll in suspense and payroll overpayments:

For SUNY payroll suspense enter the following report parameters:

Field	Action
Date By:	Click the Employee Type radio button to select it.
Award:	<ol style="list-style-type: none"> Type SUSP in the text box. Your campus suspense awards appear in a drop-down list. Click to select the CS&IFR Suspense Award to view employees with SUNY payroll in suspense.
Employee Type:	Use the drop-down menu to select SUNY-Monthly .
Period:	Use the drop-down menu to select the period of performance for SUNY monthly employees –this is the period that will be certified after the current pre-review period.

For payroll overpayments enter the following report parameters:

Field	Action
Date By:	Click the Employee Type radio button to select it.
Award:	<ol style="list-style-type: none"> Type the first three numbers of your campus payroll overpayment award. Your campus payroll overpayment award appears in a drop-down

Field	Action
	list. 3. Click to select it and view employees with payroll overpayments. Note: For a list of campus payroll overpayment accounts refer to “Payroll Overpayment Account” document .
Employee Type:	Use the drop-down menu to select RF-Biweekly .
Period:	Use the drop-down menu to select the period of performance for RF biweekly employees –this is the period that will be certified after the current pre-review period.

8. If you have individuals with payroll suspense or payroll overpayment you will need to place their effort statements on hold and take corrective action.

Query Results

Note: If there are no individuals with payroll suspense or overpayments a “This report contains no data” message appears.

Field	Action
Persons Charged or Cost Shared to this Award	The name of the individual with payroll suspense.
Certification Period	The timeframe , i.e., the effort reporting period of performance, of the effort statement with payroll suspense.
Department	The primary department of the individual.
Role(s)	The role assigned to the individual in ecrt , e.g., self-certifier. Notes: <ul style="list-style-type: none"> All SUNY monthly and RF employees with the role of principal investigator (PI) on a sponsored award are assigned the role of self-certifier. If this field is blank it means that the award PI (or that person’s proxy certifier or restricted effort coordinator) is responsible for certifying the individual’s effort.
Award Number	The number of the award.
Award Name	The full name of the award.
Pay (\$)	The dollar amount of payroll that is in suspense.
Pay (%)	The percentage of the individual’s total effort that is in suspense.
C/S (\$)	This cost sharing field is not applicable to suspense awards.
C/S (%)	This cost sharing field is not applicable to suspense awards.
Commitment (%)	This field is not applicable to suspense awards.
Computed (%)	The percentage of total effort that is payroll suspense for the individual.
Certified (%)	The effort percentage for the payroll suspense award.
Action	An icon in this column indicates that the effort statement had new information posted to it since it was last opened. The SPES report may display inaccurate data in these cases. Click the icon to refresh the effort statement and reset the data in the report.

Run the “Individuals with Negative Payroll Report”

Purpose

To identify individuals with negative payroll amounts and place their effort statements on hold and corrected.

Frequency

The roles identified should run this report during the pre-review process to place effort statements with negative payroll on hold. These statements will require a labor distribution adjustment to remove the negative payroll before the statements are released for certification.

Roles with Access

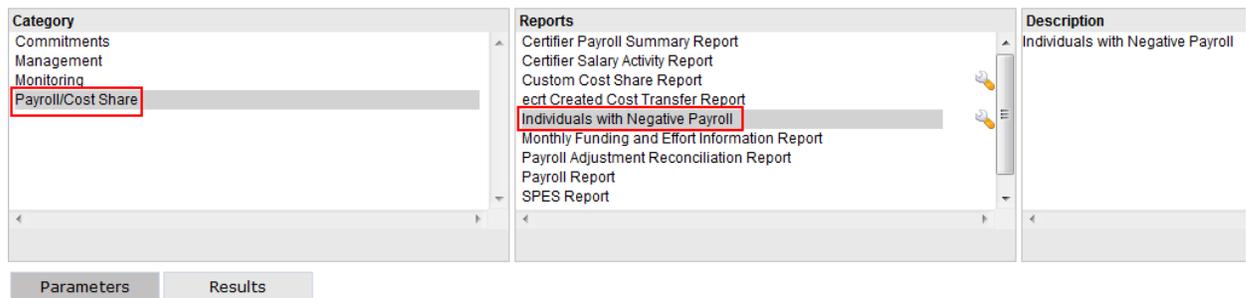
Primary Effort Coordinators, Effort Coordinators

ecrt Report Category

Payroll/Cost Share

Run the ecrt “Individuals with Negative Payroll” Report

1. Click **Individuals with Negative Payroll** in the **Reports** column.



Run Report

2. Click **Run Report**.
3. Query results for the campus will display if there are individuals with negative payroll:



4. Click the **Excel** icon in the bottom right corner of the window to export the query to Excel and save it.
5. If you have individuals with negative payroll you will need to place their effort statements on hold and take corrective action.

Query Results

Note: If there are no individuals with negative payroll a “This report contains no data” message appears.

Field	Action
Certifier	The first and last name of the person whose effort statement is on hold.
Period start date	The start date of the timeframe included on the person’s effort statement, i.e., the start of the effort reporting period of performance.
Period end date	The end date of the timeframe included on the person’s effort statement, i.e., the end of the effort reporting period of performance.
Institution	The campus name.

Run the “Award Without Principal Investigators Report”

Purpose

The “Award Without Principal Investigators” report identifies awards that do **not** have an assigned principal investigator (PI).

Frequency

The roles identified should run this report during the pre-review process. If there are any awards missing a PI the appropriate PI should be added to Oracle before the effort statements are released for certification.

Roles with Access

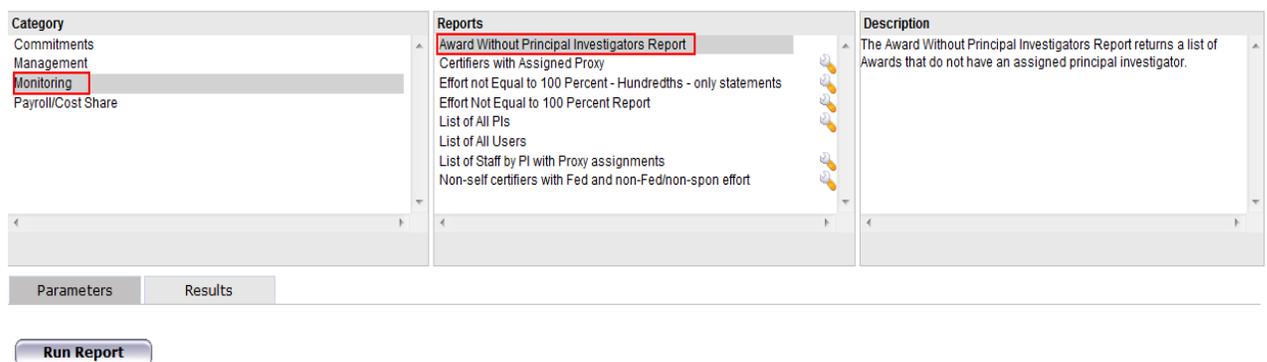
Primary Effort Coordinators, Effort Coordinators

ecrt Report Category

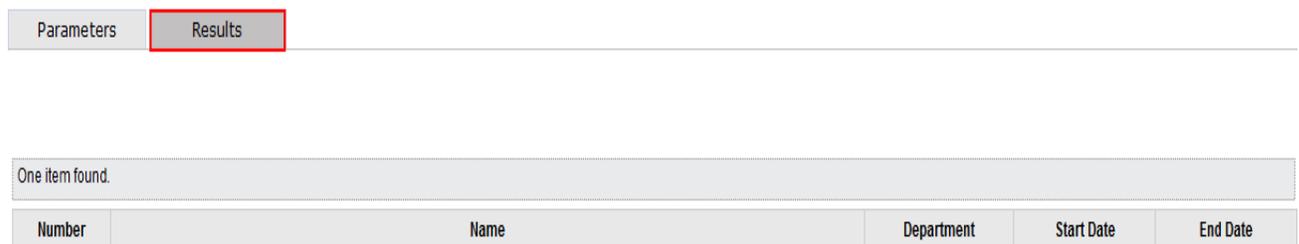
Monitoring

Run the “Award Without Principal Investigators ” Report

1. Click **Award Without Principal Investigators Report** in the **Reports** column.



2. Click **Run Report**.
3. Query results for the campus will display if there are awards without an assigned PI:



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

Query Results

Note: If there are awards without an assigned PI a “This report contains no data” message appears.

Field	Action
Number	The number of the award.
Name	The full name of the award.
Department	The award-owning organization.
Start Date	The start date of the award.
End Date	The end date of the award.

Run the “Self Certifiers with Federal/Non-Federal/ Nonsponsored Effort” Report 🧠

Purpose

To identify self-certifiers with a mixture of federal **and** nonfederal and/or nonsponsored activity. Self-certifiers are SUNY monthly employees and RF employees with the role of PI. This report also identifies self-certifiers with sponsored programs that have 0 percent effort on their effort statement.

Frequency

The roles identified should run this report during the pre-review process to:

- Identify self-certifiers with a mixture of activity.
- Determine if they want to certify the nonfederal and/or nonsponsored activity before the effort statements are released for certification.
- Identify individuals with 0 percent effort on sponsored programs.

ecrt does not automatically process nonfederal and nonsponsored activity if there is federal and/or federal flow-through activity on an effort statement. In these cases the self-certifiers, proxy certifiers or restricted effort coordinators for the federal award and for the nonfederal/nonsponsored award are notified to certify the effort statement.

Certification Options

Each campus should decide the option that works best for their campus process. Options include:

1. Effort coordinators would identify these individuals and certify the nonfederal and/or nonsponsored activity **only** during the pre-review process. PIs for any federal/federal flow-through activity would be notified to certify that portion of the effort statement.
2. Effort statements would be released for certification as they are. PIs on the federal award(s) and PIs on the nonfederal and/or nonsponsored award(s) would be notified to certify the effort statement and it would be added to their Work Lists.
3. PI on the federal award could certify all of the activity.

Sponsored Awards with 0 Percent Activity

You may see individuals with sponsored programs that have a certified effort value of 0 percent in the report results. 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).
- Salary charges were applied and then removed from the sponsored program so that the total of the debits and credits was 0 percent.
- The salary charges applied to the sponsored program were small and rounded down to 0 percent.

If a labor distribution adjustment is needed to apply reimbursed or unreimbursed (cost shared) salary charges to the sponsored program put the effort statement on hold. After the labor distribution adjustment is processed in Oracle and uploaded to **ecrt** the hold may be removed.

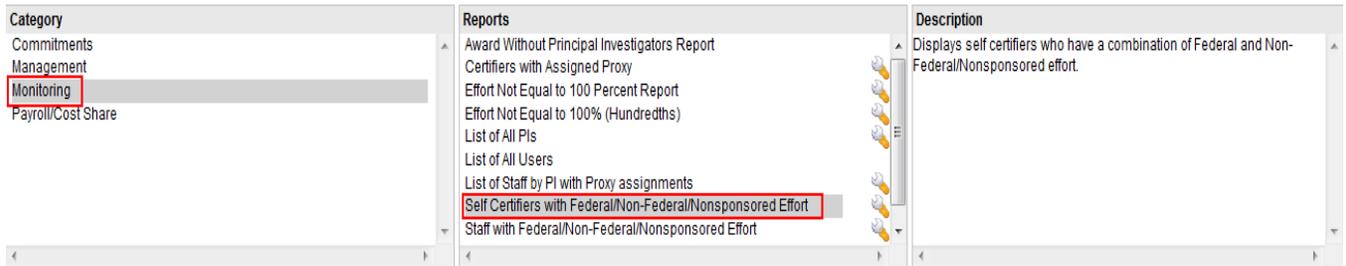
Roles with Access

Primary Effort Coordinators, Effort Coordinators

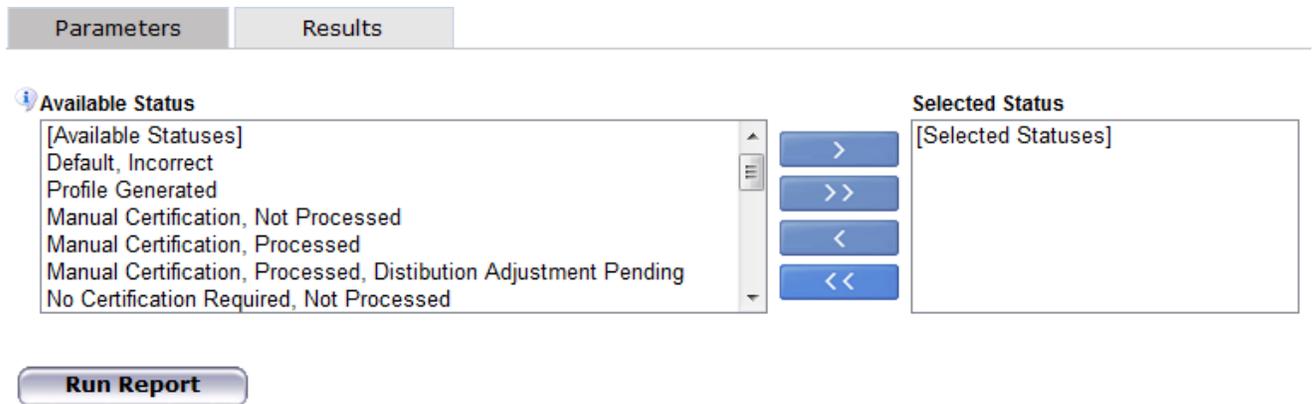
ecrt Report Category
Monitoring

Run the “Self Certifiers with Federal/Non-Federal/Non-Sponsored Effort” Report

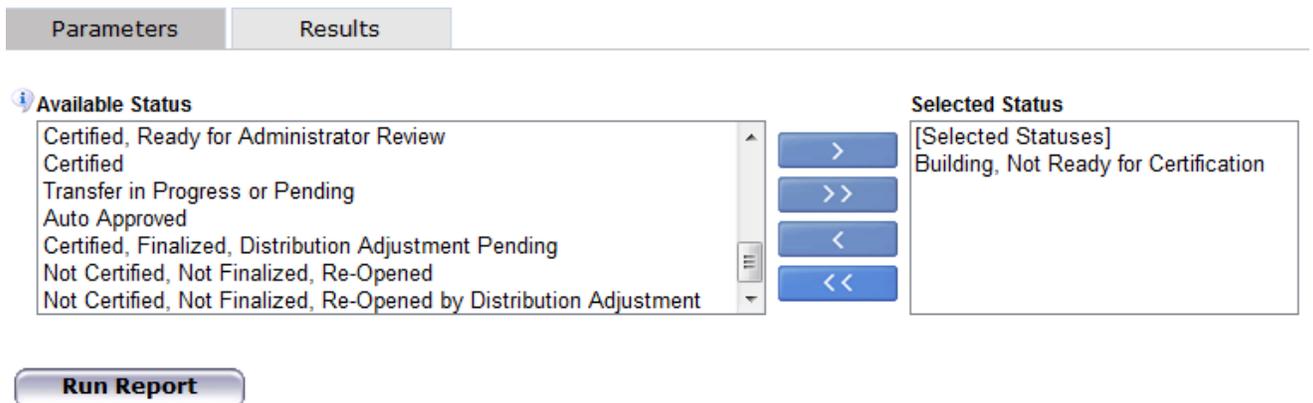
1. Click **Staff with a Combination of Federal and non-Federal/non-Sponsored Effort** in the **Reports** column.



2. Parameter options appear below:



3. Click **Building, Not Ready for Certification** in the **Available Status** column to select it.
4. Click the single right arrow (>) to move that status to the **Selected Status** box:



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

Parameters	Results
------------	---------

499 items found, displaying 1 to 25.[First/Prev] 1, 2, 3, 4, 5, 6, 7, 8 [Next/Last]

Staff	Employee type	Staff primary dept	Period of performance	Statement status	Award	Award type	Certified effort	Pi name
-------	---------------	--------------------	-----------------------	------------------	-------	------------	------------------	---------

7. Click the **Excel** icon in the bottom right corner of the window to export the query to Excel and save it.
8. Review the report for sponsored programs with 0 percent in the **Certified Effort** column.
 - a. A SUNY IFR/CS Form is needed if the individual had effort on the award.
 - b. If the individual did not have effort on the award mark the effort statement as no certification required. (Refer to the “Change the Status of an Effort Statement to No Certification Required” section of this document.

Query Results

Field	Action
Self certifier	The name of the self-certifier with a mixture of activity. Note: Each award is listed on an individual row. If someone has charges to a federal award, a nonfederal award and a nonsponsored award (e.g., RF allocation award, Royalty award, Staffing Services award, etc.) they will be listed on three different rows in the query results.
Employee type	Indicates whether the person is: <ul style="list-style-type: none"> • A SUNY monthly employee • An RF biweekly employee (exempt)
Self certifier primary dept	The primary department of the self-certifier.
Period of performance	The timeframe included on the person’s effort statement, i.e., the effort reporting period of performance.
Statement status	The effort statement status, e.g., Ready to be Certified. For effort statement status descriptions refer to the “Effort Statement Statuses” guidance document .
Award	The number and full name of the award.
Award type	Indicates whether the award is: <ul style="list-style-type: none"> • Sponsored - Federal/Federal Flow-through • Sponsored – Non Federal • Non Sponsored
Certified effort	The percentage of effort applicable to that award. Note: If a sponsored program is listed with 0 in this column you should determine if a labor distribution adjustment is needed.
Pi name	The last and first name of the principal investigator.

Note: If there is activity in payroll suspense awards on an effort statement the statement should be placed on hold so that corrective action may be taken before the statement is released to the PI.

Run the “Staff with Federal/Non-Federal/Nonsponsored Effort” Report

Purpose

To identify individuals with a mixture of federal **and** nonfederal and/or nonsponsored activity. This report also identifies staff with sponsored programs that have 0 percent effort on their effort statement.

Frequency

The roles identified should run this report during the pre-review process to:

- Identify individuals with a mixture of activity.
- Determine if they want to certify the nonfederal and/or nonsponsored activity before the effort statements are released for certification.
- Identify individuals with 0 percent effort on sponsored programs.

ecrt does not automatically process nonfederal and nonsponsored activity if there is federal and/or federal flow-through activity on an effort statement. In these cases the principal investigators (PI), proxy certifiers or restricted effort coordinators for the federal award and for the nonfederal/nonsponsored award are notified to certify the effort statement.

Certification Options

Each campus should decide the option that works best for their campus process. Options include:

1. Effort coordinators would identify these individuals and certify the nonfederal and/or nonsponsored activity **only** during the pre-review process. PIs for any federal/federal flow-through activity would be notified to certify that portion of the effort statement.
2. Effort statements would be released for certification as they are. PIs on the federal award(s) and PIs on the nonfederal and/or nonsponsored award(s) would be notified to certify the effort statement and it would be added to their Work Lists.
3. PI on the federal award could certify all of the activity.

Sponsored Awards with 0 Percent Activity

You may see individuals with sponsored programs that have a certified effort value of 0 percent in the report results. 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).
- Salary charges were applied and then removed from the sponsored program so that the total of the debits and credits was 0 percent.
- The salary charges applied to the sponsored program were small and rounded down to 0 percent.

If a labor distribution adjustment is needed to apply reimbursed or unreimbursed (cost shared) salary charges to the sponsored program put the effort statement on hold. After the labor distribution adjustment is processed in Oracle and uploaded to **ecrt** the hold may be removed.

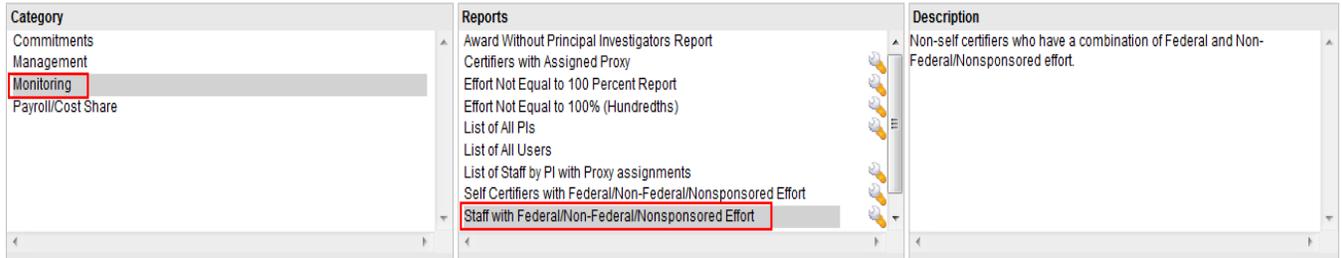
Roles with Access

Primary Effort Coordinators, Effort Coordinators

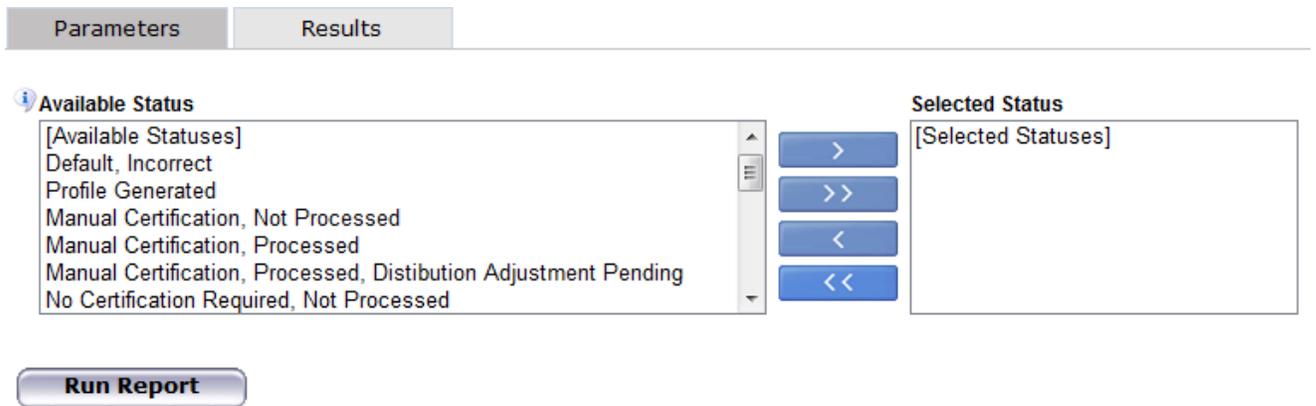
ecrt Report Category
Monitoring

Run the “Staff with Federal/Non-Federal/Non-Sponsored Effort” Report

9. Click **Staff with a Combination of Federal and non-Federal/non-Sponsored Effort** in the **Reports** column.

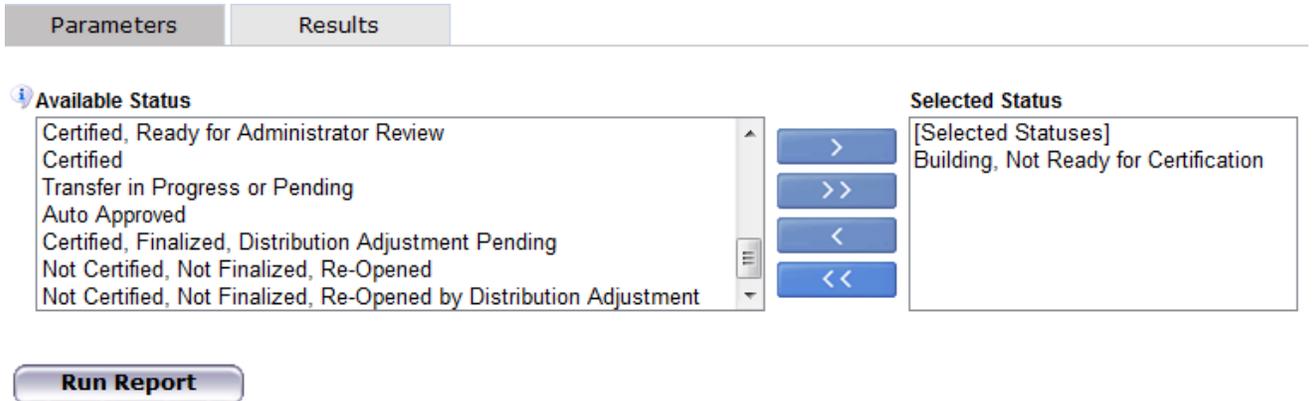


10. Parameter options appear below:



11. Click **Building, Not Ready for Certification** in the **Available Status** column to select it.

12. Click the single right arrow (>) to move that status to the **Selected Status** box:



13. Click **Run Report**.

14. The report results are displayed:

Parameters	Results
------------	---------

499 items found, displaying 1 to 25.[FirstPrev] 1, 2, 3, 4, 5, 6, 7, 8 [Next/Last]

Staff	Employee type	Staff primary dept	Period of performance	Statement status	Award	Award type	Certified effort	Pi name
-------	---------------	--------------------	-----------------------	------------------	-------	------------	------------------	---------

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

16. Review the report for sponsored programs with 0 percent in the **Certified Effort** column.

- a. A SUNY IFR/CS Form is needed if the individual had effort on the award.
- b. If the individual did not have effort on the award mark the effort statement as no certification required. (Refer to the “Change the Status of an Effort Statement to No Certification Required” section of this document.)

Query Results

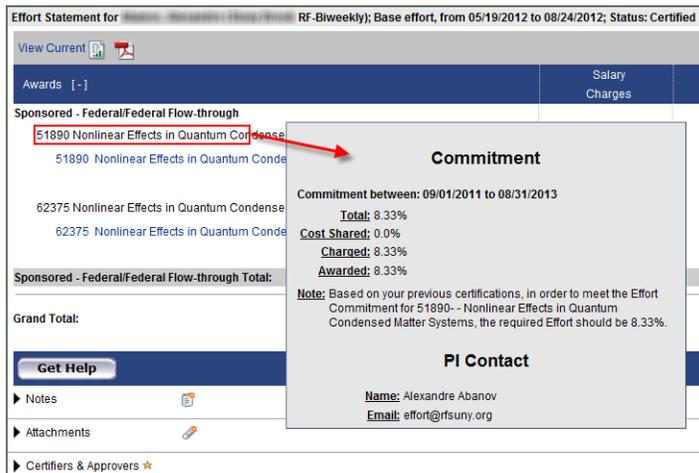
Field	Action
Staff	The name of the individual with a mixture of activity. Note: Each award is listed on an individual row. If someone has charges to a federal award, a nonfederal award and a nonsponsored award (e.g., RF allocation award, Royalty award, Staffing Services award, etc.) they will be listed on three different rows in the query results.
Employee type	Indicates whether the person is: <ul style="list-style-type: none"> • A SUNY monthly employee • An RF biweekly employee (exempt)
Staff primary dept	The primary department of the staff member.
Period of performance	The timeframe included on the person’s effort statement, i.e., the effort reporting period of performance.
Statement status	The effort statement status, e.g., Ready to be Certified. For effort statement status descriptions refer to the “Effort Statement Statuses” guidance document .
Award	The number and full name of the award.
Award type	Indicates whether the award is: <ul style="list-style-type: none"> • Sponsored - Federal/Federal Flow-through • Sponsored – Non Federal • Non Sponsored
Certified effort	The percentage of effort applicable to that award. Note: If a sponsored program is listed with 0 in this column you should determine if a labor distribution adjustment is needed.
Pi name	The last and first name of the principal investigator.

Note: If there is activity in payroll suspense awards on an effort statement the statement should be placed on hold so that corrective action may be taken before the statement is released to the PI.

Why are there Zero Percentages in the Certified Effort Column on the Effort Statement?

1. 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).

Committed effort is the amount or percentage of time that a PI expects to achieve over the lifetime of the award. To view committed effort information roll your mouse over the non-hyperlinked award line (indicated by the red box below) on the effort statement:



If you ...	Then ...
Do Not want to apply reimbursed or unreimbursed salary charges to the sponsored program during this period of performance	The effort statement may be certified.
Do want to apply reimbursed or unreimbursed salary charges to the sponsored program during this period of performance	Put the effort statement on hold and perform a labor distribution adjustment to apply the appropriate salary charges. The labor distribution adjustment will be uploaded to ecrt on the Monday of the week following the adjustment. Once you confirm the salary charges on the effort statement are correct you may release the statement to the certifier.

In rare circumstances, the 0 percentages in the **Certified Effort** column might be due to the reasons listed in the below table.

To determine if either apply to the effort statement run the **Payroll Report** from the statement:

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



If ...	Then ...
<p>2. Salary charges were applied and then removed from the sponsored program so that the total of the debits and credits was 0 percent.</p>	<p>The effort statement may be certified.</p> <p>If salary charges are applied to an award—even if they are later removed—that award will appear on the effort statement to maintain its historical accuracy.</p>
<p>3. The salary charges applied to the sponsored program were small and rounded down to 0 percent.</p>	<p>The effort statement may be certified.</p> <p>If the 0 percent salary charges apply to a federal or federal flow-through sponsored program ecrt will still require certification of the effort statement. If there is no other federal/federal flow-through activity the effort coordinator may mark the effort statement as no certification required. (Refer to the “Change the Status of an Effort Statement to No Certification Required” section of this document.)</p>

Put Effort Statements on Hold

Purpose

To place effort statements with issues that need corrective action on hold.

Frequency

During pre-review the roles identified need to review their campus effort statements for issues that will require investigation and/or corrective action before they are released to certifiers for certification.

Effort statement statuses are changed from “Building, Not Ready for Certification” to “Ready to be Certified” and an e-mail is sent by **ecrt** to certifiers to let them know they have an effort statement to certify. This is a process that is automatically triggered based on the campus certification period start date that is set-up in **ecrt**.

To prevent this from happening for effort statements requiring investigation and/or corrective action, the effort statements must be placed on hold.

Roles with Access

Primary Effort Coordinators, Effort Coordinators

ecrt Report Category

Not applicable

Identify Effort Statements that Need to be Placed on Hold

1. Review the results from the following reports:
 - a. “Effort not Equal to 100 Percent Report”
 - b. “SPES Report”
 - c. “Individuals with Negative Payroll Report”
 - d. “Award without Principal Investigators Report”
 - e. “Self-Certifiers with Federal/Non-Federal/Nonsponsored Effort Report”
2. If results are returned after running the above reports place the effort statements on hold because they require investigation and/or corrective action.

Put an Effort Statement on Hold

1. Access the individual’s effort statement using one of the methods below:
 - a. Use the **Manage Users** page
 - b. Use the **Look Up** Page
 - c. Use the **Department Dashboard**
2. Click the **On Hold** checkbox above the **Certified Effort** column on the effort statement.
3. Click **OK** to confirm placing the effort statement on hold.
4. The **On Hold Confirmation** pop-up window opens.
5. Type a reason for placing the effort statement on hold in the **Reason for hold is required:** text box.
6. Click **Confirm**.
7. A message appears stating you successfully placed the effort statement on hold.
8. Click **Close** to close the pop-up window.
9. **On Hold** should appear in bold, red text next to the **On Hold** checkbox on the effort statement.

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.

Process Multiple Effort Statements

Multiple effort statements are created under the following circumstances:

- The effective dates, primary flag and labor schedule for the assignment do not match the dates of the period of performance.
- An individual has multiple jobs.
- An individual on the RF payroll changes from a nonexempt to an exempt employee during the period of performance.

For more information about the impact of assignment set ups on effort statements refer to the “Steps for Moving SUNY Employees to and From the RF Summer Payroll” section on page 38 in the [ECRT Administrator Overview Training Materials](#).

Identifying Multiple Effort Statements

Run the “Certification Status Report” in **ecrt** to identify individuals with multiple effort statements. An individual listed more than once on this report has multiple effort statements.

It is possible for an individual to have multiple SUNY effort statements, multiple RF effort statements, or a combination of SUNY and RF effort statements. In these situations you will need to perform one of the processing options listed below.

For more information about this report refer to the “Certification Status Report” section on page 6 of this guide.

Investigating Multiple Effort Statements

1. Use **Manage > Look Up** to view the individual’s effort statements.
2. **Put each one of the multiple effort statements on hold.**
3. Run the payroll report for each statement to view the salary charges **ecrt** applied to the effort statement.
4. Review the applicable data in Oracle.

Effort Statement Certification

A. Processing Multiple Effort Statements that need to be Combined

Create a manual effort statement for the certifier to certify under the following circumstances:

- If the payroll charges were split between the effort statements and should be combined to accurately reflect the individual’s effort for the period of performance.
- If the individual had multiple jobs during the period of performance.

1. Use the [Manual Certification of Effort Form](#) to recreate the effort statement.
2. E-mail the effort statement to the certifier (or proxy certifier/restricted effort coordinator if applicable) to have the individual certify the 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.

3. Remove the hold from both **ecrt** effort statements.
4. Manually certify one of the effort statements after you receive the approved manual effort statement from the certifier:
 - a. If the individual has both SUNY and RF effort statements use the effort statement that matches the individual's employee type, e.g., use the SUNY effort statement for a SUNY employee.
 - b. Attach a PDF version of the manual effort statement and the certifier's e-mail to the effort statement in **ecrt**.
5. Change the status of the effort statements that **are not** being certified by the certifier to "No Certification Required."
Note: For more information refer to the "Change the Status of an Effort Statement to No Certification Required" section in this document.

For more information about creating and certifying a manual effort statement refer to the "Manually Certify an Individual's Effort Statement" section on page 15 in the [ECRT Administrator Certification Training Materials](#).

B. Processing Multiple Effort Statements with Identical Effort

In some cases multiple effort statements might have identical awards, payroll charges and effort percentages. It is acceptable for the certifier to certify one of the effort statements. The effort coordinator should change the status of the remaining effort statements to "no certification required."

1. Select the effort statement that you want the certifier to certify.
 - a. If the individual has both SUNY and RF effort statements use the effort statement that matches the individual's employee type, e.g., use the SUNY effort statement for a SUNY employee.
 - b. Review the effort statement again to make sure that all of the awards, payroll charges and effort percentages are correct for the period of performance.
2. Remove the hold from each effort statement.
3. Change the status of the effort statements that **are not** being certified by the certifier to "No Certification Required."
Note: For more information refer to the "Change the Status of an Effort Statement to No Certification Required" section in this document.
4. Notify the certifier that he or she has an effort statement to certify or wait until the certification reminder e-mail is sent.

Verify that Labor Distribution Adjustments Corrected Effort Statements Placed on Hold

Purpose

To verify that labor distribution adjustments corrected payroll suspense and negative payroll issues so that the hold may be removed from those effort statements.

Frequency

After labor distribution adjustments are processed in Oracle and uploaded to **ecrt** the roles identified should verify that the adjustments corrected the issue with the effort statement in question.

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

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

If the labor distribution adjustment corrected the issue the hold should be removed so that the effort statement is released for certification.

Roles with Access

Primary Effort Coordinators, Effort Coordinators

ecrt Report Category

Not Applicable

Prerequisite

A labor distribution adjustment was processed in Oracle.

Identify Individuals Whose Effort Statements Required Labor Distribution Adjustments

1. Refer to the query results from the reports you ran to identify individuals with payroll suspense and negative payroll (steps 3 and 4 from the “Pre-Review Purpose” section of this document).
 - a. If you no longer have these results you may run the “Effort Statement on Hold” report.
 - b. You may also run the Oracle [“RF Cost Transfer Register” Report](#) to identify completed labor distribution adjustments.
2. You will need to check the effort statements for all of these individuals in **ecrt**.

Review Effort Statements for Individuals with Labor Distribution Adjustments

1. Access an individual's effort statement.
2. Review the impact of the labor distribution on the effort statement:
 - a. Click the **Reports** icon in the header above the **Awards** column.
 - b. Click **Payroll Report**.



- c. Verify that the labor distribution adjustment corrected the issue.
3. Repeat steps 1 -2c for the individuals that you identified had labor distribution adjustments.
4. If the labor distribution adjustment corrected the payroll suspense or negative payroll you will need to remove the hold from the effort statement.

Run the “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 released for certification until the hold is removed.

Frequency

The roles identified should run this report after effort statements are placed on hold during the pre-review process. This creates a roster of the effort statements that require corrective action before they are released for certification.

Roles with Access

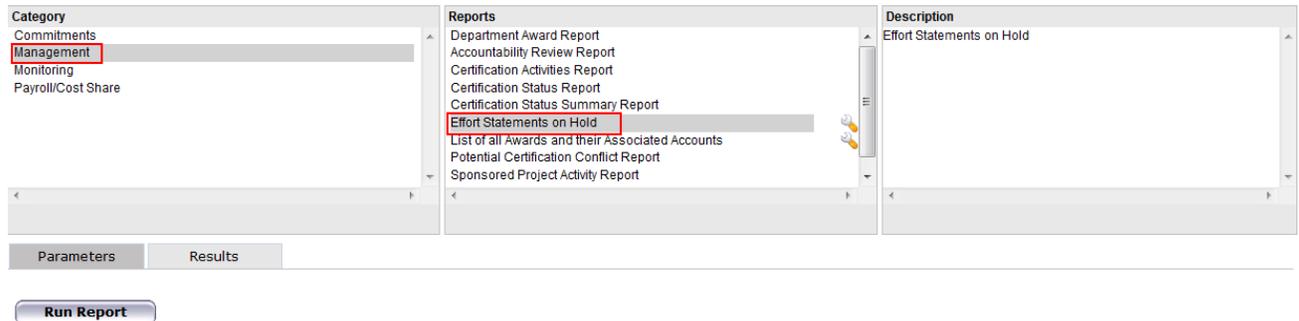
Primary Effort Coordinators, Effort Coordinators

ecrt Report Category

Management

Run the “Effort Statements on Hold” Report

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



The screenshot shows a software interface with three columns: 'Category', 'Reports', and 'Description'. In the 'Category' column, 'Management' is selected and highlighted with a red box. In the 'Reports' column, 'Effort Statements on Hold' is selected and highlighted with a red box. An Excel icon is visible in the bottom right of the 'Reports' column. The 'Description' column contains the text 'Effort Statements on Hold'. Below the columns are two tabs: 'Parameters' and 'Results'. Below the tabs is a button labeled 'Run Report'.

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



The screenshot shows the 'Results' tab selected and highlighted with a red box. Below the tabs, it says '3 items found, displaying all items.' A table with columns: 'Certifiers with cards on hold', 'Home department', 'Effort card placed on hold by', 'Date placed on hold', 'Effort card status', and 'Dept primary effort coord' is visible.

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

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.

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.

Remove the “Hold” Placed on an Individual Effort Statement

Purpose

To remove the “hold” placed on an individual effort statement.

Frequency

The roles identified should remove the “hold” placed on effort statements throughout the pre-review process once corrective actions are completed. An effort statement is placed on “hold” if any issues are identified during the pre-review process. Once corrective action is taken, the “hold” should be removed to release the effort statement for certification.

Roles with Access

Primary Effort Coordinators, Effort Coordinators

ecrt Report Category

Not applicable

Prerequisite

A corrective action to resolve the issue identified with the effort statement was completed.

Remove the Hold from an Individual Effort Statement

1. Access the individual’s effort statement using one of the following methods:
 - a. Use the **Manage Users** page
 - b. Use the **Look Up Page**
 - c. Use the **Department Dashboard**
2. Click the **On Hold** checkbox above the **Certified Effort** column on the effort statement to deselect it.
3. A **Message from webpage** pop-up window opens with the following message: “Are you sure you want to take this effort statement off hold?”
4. Click **OK** to confirm that you want to take the effort statement off hold.
5. A **Hold Release Confirmation** pop-up window opens with the following message: “Effort statement was successfully taken off hold.”
6. Click **Close** to close the pop-up window.
7. The bold, red **On Hold** text should no longer appear next to the **On Hold** checkbox on the effort statement.

Note: You cannot remove holds from a group of effort statements.

Run the “List of All Users” Report to Verify Self-Certifier and Restricted Effort Coordinator Roles

Purpose

During pre-review the “List of All Users” report is used to:

- Verify that the roles of self-certifier and restricted effort coordinator are properly assigned
- Monitor their ECRT usernames (only those campuses using InCommon to log in to **ecrt**).

Frequency

During pre-review this report is run to view the list of individuals who are assigned either a self-certifier role or a restricted effort coordinator role in **ecrt**.

The role of self-certifier was automatically assigned to the following individuals:

- All SUNY monthly employees
- RF biweekly employees with the role of PI on a sponsored program.

Once a restricted effort coordinator is assigned that individual remains in that role until he or she is removed. Restricted effort coordinators should be monitored to verify that they have suitable means of verification with respect to the effort of PIs and staff on sponsored programs during the period of performance.

Roles with Access

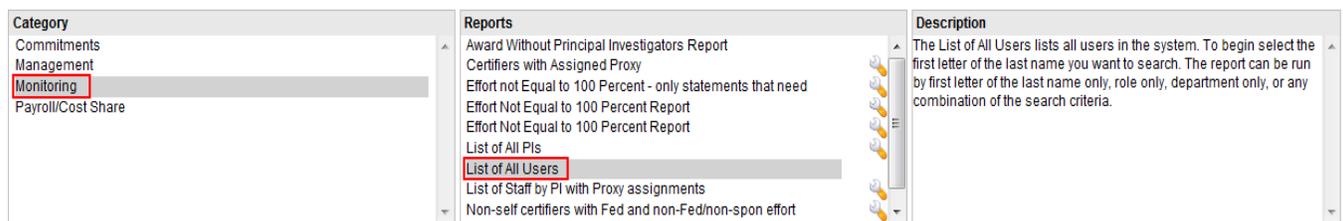
Primary Effort Coordinators, Effort Coordinators

ecrt Report Category

Monitoring

Run the “List of All Users Report” for Self-Certifiers

1. Click **List of All Users** in the **Reports** column.



2. Parameter options appear below:

The screenshot shows a form with two tabs: 'Parameters' and 'Results'. Under 'Parameters', there are three dropdown menus: 'Select Letter of Last Name:' with a '[Select]' dropdown, 'Role:' with a '[Select]' dropdown, and 'School / Department:' with a text input field. Below these is a blue 'Expand Search' link and a 'Run Report' button.

3. Enter the following fields:

Field	Action
Role:	Click Self-Certifier from the drop-down menu to select it.

4. Click **Run Report**.

5. The report results are displayed:

Parameters Results

Based on your report selection below are the results. Please note that you can **sort the results** by clicking on the column header.

54 items found, displaying 1 to 50.
 [First/Prev] 1, 2 [Next/Last]

Name	User Name	Primary Department	Email Address	Role Name	Faculty Action
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6. Click the **Excel** icon in the bottom right corner of the window to export the report to Excel and save it.

7. Review report for:

- a. Individuals who do not have the role of PI on a sponsored award and would not certify their own effort.
- b. Campuses using InCommon to log in to **ecrt**: Individuals who have their RF identification number listed instead of their LDAP ID in the **User Name** column.

8. Send a list of those individuals to effort@rfsuny.org to have the self-certifier role removed or to correct their **ecrt** username.

9. Once the self-certifier role is removed the individual will appear on the Work List of the PI who is responsible for certifying the individual’s effort statement.

Run the “List of All Users Report” for Restricted Effort Coordinators

1. Click **List of All Users** in the **Reports** column.

Category	Reports	Description
Commitments Management	Award Without Principal Investigators Report	The List of All Users lists all users in the system. To begin select the first letter of the last name you want to search. The report can be run by first letter of the last name only, role only, department only, or any combination of the search criteria.
	Certifiers with Assigned Proxy	
	Effort not Equal to 100 Percent - only statements that need	
	Effort Not Equal to 100 Percent Report	
	Effort Not Equal to 100 Percent Report	
	List of All PIs	
	List of All Users	
	List of Staff by PI with Proxy assignments	
	Non-self certifiers with Fed and non-Fed/non-spon effort	
Monitoring		
Payroll/Cost Share		

2. Parameter options appear below:

Parameters Results

④ Select Letter of Last Name: [Select] ▾
 ④ Role: [Select] ▾
 ④ School / Department:
 Expand Search

Run Report

- Enter the following fields:

Field	Action
Role:	Click Restricted Effort Coordinator from the drop-down menu to select it.

- Click **Run Report**.
- The report results are displayed:

Parameters	Results
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Based on your report selection below are the results. Please note that you can sort the results by clicking on the column header.

54 items found, displaying 1 to 50. [First/Prev] 1, 2 [Next/Last]					
Name	User Name	Primary Department	Email Address	Role Name	Faculty Action

- Click the **Excel** icon in the bottom right corner of the window to export the report to Excel and save it.
- Review report to determine if the restricted effort coordinator list needs to be updated.
- Review report to:
 - Determine if the restricted effort coordinator list needs to be updated.
 - Campuses using InCommon to log in to **ecrt**: Individuals who have their RF identification number listed instead of their LDAP ID in the **User Name** column.
- Send a list of the changes to effort@rfsuny.org.

Query Results

Field	Action
Name	The last and first name of the individual.
User Name	The ecrt username for the individual. This value will be either the individual's RF employee number or the person's e-mail address.
Primary Department	The primary department of the individual.
Email Address	The individual's e-mail address.
Role Name	The role assigned to the individual in ecrt , e.g., self-certifier. Note: All SUNY monthly and RF employees with the role of principal investigator (PI) on a sponsored award are assigned the role of self-certifier.
Faculty	This column is not applicable to the RF. ecrt automatically designates an individual in the self-certifier role as faculty—regardless of whether they are faculty.
Action	Click the magnifying glass to view more information about the individual, including: employee type, awards to which the individual is associated, and proxy certifier designation (if applicable).

Run “List of Staff by PI with Proxy Assignments Report”

Purpose

The “List of Staff by PI with Proxy Assignments Report” lists all principal investigators (PIs), the PI’s proxy certifier if one is assigned, the PI’s staff, and the proxy certifier for staff if one is assigned.

Frequency

The roles identified should monitor individuals during the pre-review process to:

- Verify that all individuals who should have a proxy certifier have one assigned—including the staff associated with a principal investigator who has a proxy certifier.
- Determine if a proxy certifier assignment needs to be removed or changed.
- Identify if a proxy certifier or a restricted effort coordinator is needed for PIs with staff whose effort the PI needs to certify.

A **proxy certifier** is designated on a one-to-one basis and is used when the proxy certifier only needs to certify the effort of the PI and a few staff members working on the PI’s project.

A **restricted effort coordinator** is designated when an individual will certify effort on behalf of a PI—or multiple PIs—and the staff working on the PI’s sponsored programs.

Proxy Certifier	Restricted Effort Coordinator (REC)
<ul style="list-style-type: none"> • Has “suitable means of verification” with respect to the effort of those he/she is certifying. 	<ul style="list-style-type: none"> • Has “suitable means of verification” with respect to the effort of those he/she is certifying. • An REC may often be a supervisor within a department.
<ul style="list-style-type: none"> • Use when a PI has few staff associated with a project. 	<ul style="list-style-type: none"> • Use when a PI has many staff associated with a project.
<ul style="list-style-type: none"> • Proxy certifiers are assigned on a 1-to-1 basis (excludes staff associated with a PI’s project). 	<ul style="list-style-type: none"> • RECs assigned through the department dashboard. • Department staff assigned to the REC.
<ul style="list-style-type: none"> • Proxy certifier’s ecrt Work List will include the individuals for whom they must certify. 	<ul style="list-style-type: none"> • Staff for whom the REC will certify appear in the Department Dashboard instead of the Work List.
	<ul style="list-style-type: none"> • Use when there is a need to divide responsibilities within a department(s)

Once a proxy certifier or restricted effort coordinator is assigned that individual remains in that role until he or she is removed. Proxy certifiers and restricted effort coordinators should be monitored to verify that they have suitable means of verification with respect to the effort of PIs and staff on sponsored programs during the period of performance.

Roles with Access

Primary Effort Coordinators, Effort Coordinators

ecrt Report Category

Monitoring

Run the “List of Staff by PI with Proxy Assignments Report”

1. Click **List of Staff by PI with Proxy Assignments** in the **Reports** column.

Category	Reports	Description
Commitments	Award Without Principal Investigators Report	List of Staff by PI with Proxy assignments
Management	Certifiers with Assigned Proxy	
Monitoring	Effort not Equal to 100 Percent - only statements that need	
Payroll/Cost Share	Effort Not Equal to 100 Percent Report	
	List of All PIs	
	List of All Users	
	List of Staff by PI with Proxy assignments	
	Non-self certifiers with Fed and non-Fed/non-spon effort	

2. Parameter options appear below:

Parameters	Results
<p>Available Status</p> <p>[Available Statuses]</p> <ul style="list-style-type: none"> Default, Incorrect Profile Generated Manual Certification, Not Processed Manual Certification, Processed Manual Certification, Processed, Distribution Adjustment Pending No Certification Required, Not Processed 	<p>Selected Status</p> <p>[Selected Statuses]</p> <p>></p> <p>>></p> <p><</p> <p><<</p>
<p>Run Report</p>	

3. Click **Building, Not Ready for Certification** in the **Available Status** column to select it.
4. Click the single right arrow (>) to move that status to the **Selected Status** box:

Parameters	Results
<p>Available Status</p> <ul style="list-style-type: none"> Certified, Ready for Administrator Review Certified Transfer in Progress or Pending Auto Approved Certified, Finalized, Distribution Adjustment Pending Not Certified, Not Finalized, Re-Opened Not Certified, Not Finalized, Re-Opened by Distribution Adjustment 	<p>Selected Status</p> <p>[Selected Statuses]</p> <p>Building, Not Ready for Certification</p> <p>></p> <p>>></p> <p><</p> <p><<</p>
<p>Run Report</p>	

5. Click **Run Report**.

6. The report results are displayed:

Parameters		Results					
565 items found, displaying 1 to 25.[First/Prev] 1, 2, 3, 4, 5, 6, 7, 8 [Next/Last]							
Pi name	Pi proxy	Award	Staff	Staff primary dept	Staff proxy	Period of performance	Statement status

7. Click **Excel** in the lower right corner if you want to export the report results and save them.

Query Results

Field	Action
Pi name	The last and first name of the principal investigator.
Pi proxy	The name of the PI's proxy certifier if one is assigned. If there is not an assigned proxy certifier "No Proxy" is displayed in this field.
Award	The number and full name of the award.
Staff	The name(s) of individuals whose effort the PI is responsible for certifying.
Staff primary dept	The primary department of the staff member.
Staff proxy	The name of a staff member's proxy certifier if one is assigned. If there is not an assigned proxy certifier "No Proxy" is displayed in this field.
Period of performance	The timeframe included on the person's effort statement, i.e., the effort reporting period of performance.
Statement status	The effort statement status, e.g., Ready to be Certified. For effort statement status descriptions refer to the "Effort Statement Statuses" guidance document .

Optional: Change Percentage of Certified Effort Column

Purpose

To change the **Certified Effort** column to 100 or 100.00 percent for effort statements with effort inside the tolerable range of 98 – 102 percent (whole number campuses) or 98.00 – 102.00 percent (hundredths campuses).

Frequency

For campuses that decided to manually round certified effort percentages to 100 or 100.00 percent the primary effort coordinator should modify the value in the **Certified Effort** column before the effort statement is released to the certifier. This action will need to be completed for all effort statements before the pre-review period ends.

Roles with Access

Primary Effort Coordinators

ecrt Report Category

Not Applicable

Change Percentage of the Certified Effort Column

1. Use the “Effort not Equal to 100 Percent Report” to identify effort statements with certified effort percentages within the tolerable range.
2. Access an individual’s effort statement using one of the methods below:
 - a. Use the **Manage Users** page
 - b. Use the **Look Up Page**
 - c. Use the **Department Dashboard**
3. The **Certified Effort** column displays text boxes that allow the primary effort coordinator to adjust the percentage:

60852 Genetic Improvement for Yield and Establishment of Short Rotation Woody Biomass Crops on Marginal Land						
60853 CS Genetic Improvement for Yield and Establishment of Short Rotation Woody Biomass Crops on Marginal Land	0%	10%	10%	\$ 10%	<input type="checkbox"/>	
Award Total:	0.00%	10.00%	10.00%	10.00%		
Sponsored - Federal/Federal Flow-through Total:	8.00%	49.00%	57.00%	57.00%		
Sponsored - Non Federal						
58088 Growing Willow as an Alternative Cover for the Solvay Waste Beds						
58088 Growing Willow as an Alternative Cover for the Solvay Waste Beds	5%	0%	5%	\$ 5%	<input type="checkbox"/>	
Award Total:	5.00%	0.00%	5.00%	1.00%		
Sponsored - Non Federal Total:	5.00%	0.00%	5.00%	5.00%		
Non Sponsored						
000280 550 Other Institutional Activities	36%	0%	36%	\$ 36%	<input type="checkbox"/>	
58088 Growing Willow as an Alternative Cover for the Solvay Waste Beds						
58089 CS Growing Willow as an Alternative Cover for the Solvay Waste Beds	0%	1%	1%	\$ 1%	<input type="checkbox"/>	
Award Total:	0.00%	1.00%	1.00%	6%		
Non Sponsored Total:	36.00%	1.00%	37.00%	37.00%		
Grand Total:	49.00%	50.00%	99.00%	99.00%	All	None

Certify Manual Certification No Certification Required

4. Modify the percentage value in the **Certified Effort** column following these “rounding rules”:
 - a. Round other institutional activity (OIA) *first* if the effort statement has OIA.
 - b. If there is no OIA round one of the nonsponsored or nonfederal awards.
 - c. If there is only federal activity round the line item with the largest amount.

60852 Genetic Improvement for Yield and Establishment of Short Rotation Woody Biomass Crops on Marginal Land					
60853 CS Genetic Improvement for Yield and Establishment of Short Rotation Woody Biomass Crops on Marginal Land	0%	10%	10%	\$ 10%	<input type="checkbox"/>
<i>Award Total:</i>	0.00%	10.00%	10.00%	10.00%	
Sponsored - Federal/Federal Flow-through Total:	8.00%	49.00%	57.00%	57.00%	
Sponsored - Non Federal					
58088 Growing Willow as an Alternative Cover for the Solvay Waste Beds					
58088 Growing Willow as an Alternative Cover for the Solvay Waste Beds	5%	0%	5%	\$ 5%	<input type="checkbox"/>
<i>Award Total:</i>	5.00%	0.00%	5.00%	1.00%	
Sponsored - Non Federal Total:	5.00%	0.00%	5.00%	5.00%	
Non Sponsored					
000280 550 Other Institutional Activities	36%	0%	36%	\$ 37%	<input type="checkbox"/>
58088 Growing Willow as an Alternative Cover for the Solvay Waste Beds					
58089 CS Growing Willow as an Alternative Cover for the Solvay Waste Beds	0%	1%	1%	\$ 1%	<input type="checkbox"/>
<i>Award Total:</i>	0.00%	1.00%	1.00%	6%	
Non Sponsored Total:	36.00%	1.00%	37.00%	38.00%	
Grand Total:	49.00%	50.00%	99.00%	100.00%	All None

5. Repeat these steps for all effort statements with certified effort percentages in the tolerable range.
6. After all effort statements are updated run the “Effort not Equal to 100 Percent Report” again.
 - a. The report results should show effort statements that are outside the tolerable range—outliers.
 - b. Place these outlier effort statements “**On Hold**” so that corrective action may be taken before they are released to a certifier.

Optional: “List of all Awards and their Associated Accounts Report”

Purpose

The “List of all Awards and their Associated Accounts” report lists all the sponsored awards at a campus and their associated cost share awards (if applicable).

Frequency

The roles identified should run this report during pre-review to verify that:

- Cost share awards were established for all awards with cost sharing commitments.
- Salary expenditures were applied for all cost share awards with a cost sharing commitment during the effort reporting period of performance.

Refer to Chapter 10.2, Monitoring Cost Sharing, in the “[Cost Sharing: A Guide for Administrators](#)” document.

Roles with Access

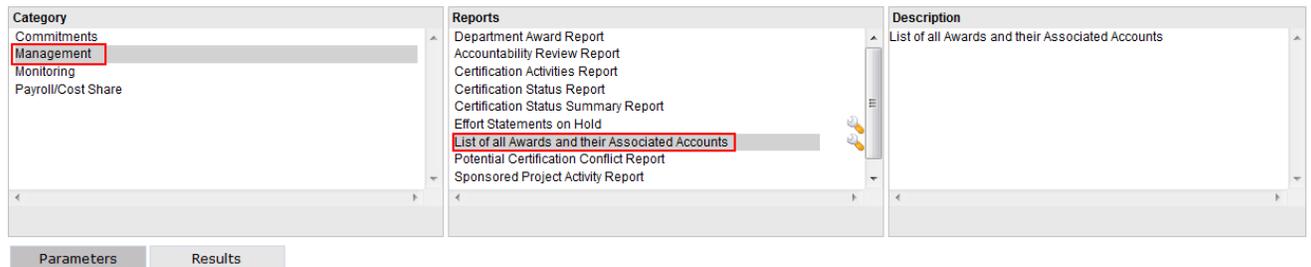
Primary Effort Coordinators, Effort Coordinators

ecrt Report Category

Management

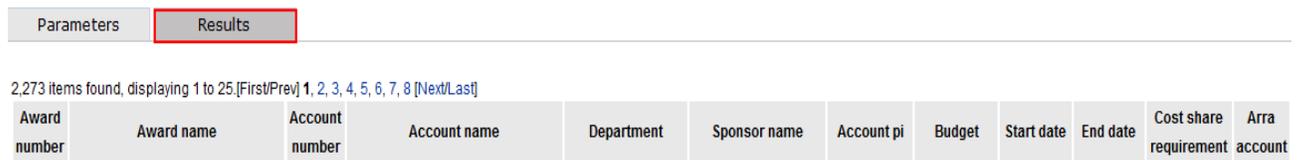
Run the “List of all Awards and their Associated Accounts” Report

1. Click **List of all Awards and their Associated Accounts** in the **Reports** column.



Run Report

2. Click **Run Report**.
3. The report results are displayed:



2,273 items found, displaying 1 to 25. [First|Prev] 1, 2, 3, 4, 5, 6, 7, 8 [Next|Last]

Award number	Award name	Account number	Account name	Department	Sponsor name	Account pi	Budget	Start date	End date	Cost share requirement	Arra account
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4. Click **Excel** in the lower right corner if you want to export the report results and save them.

Query Results

Field	Action
Award number	The Oracle award number of the sponsored award.
Award name	The Oracle full name of the sponsored award.
Account number	The Oracle award number of the cost share award (if applicable). Note: If there is no cost share award—either because there is no cost sharing or a cost sharing award was not established—the award number of the sponsored award will be displayed.
Account name	The Oracle award full name of the cost share award (if applicable). Note: If there is no cost share award—either because there is no cost sharing or a cost sharing award was not established—the award full name of the sponsored award will be displayed.
Department	The award-owning organization.
Sponsor name	The award sponsor.
Account pi	The principal investigator for the sponsored award.
Budget	The cost share award budget.
Start date	The start date of the cost share award.
End date	The end date of the cost share award.
Cost share requirement	A T in this column indicates there is a cost share requirement and an F in this column indicates there is not a cost share requirement.
Arra account	Not applicable—the RF does not tag its ARRA awards in ecrt .

Change History

Date	Section of Guide	Revision
May 2014	Entire Guide	Reordered steps for pre-review process
May 2014	Pre-Review Cycle, Page 5	Removed pre-review monitoring spreadsheet
May 2014	Run the Certification Status Report, Page 6	<ul style="list-style-type: none"> Revised purpose and frequency Added information about reviewing report for missing core data and multiple effort statements Removed reference to nonexempt employees
May 2014	Run the Effort Not Equal to 100 Percent Report, Page 11	<ul style="list-style-type: none"> Reordered certification options Revised step 10 and added step 11 to address effort statements with 0 percent total effort
May 2014	Run the Self Certifiers with Federal, Non-Federal, Nonsponsored Effort Report, Page 22	<ul style="list-style-type: none"> Revised frequency Added information about sponsored awards with 0 percent effort
May 2014	Run the Staff with Federal, Non-Federal, Nonsponsored Effort Report, Page 25	<ul style="list-style-type: none"> Revised frequency Added information about sponsored awards with 0 percent effort
May 2014	Why are there Zero Percentages in the Certified Effort Column on the Effort Statement? Page 28	New section
May 2014	Put Effort Statements on Hold, Page 30	<ul style="list-style-type: none"> Revised purpose Revised "Identify Effort Statements that Need to be Placed on Hold" section
May 2014	Change the Status of an Effort Statement to No Certification Required, Page 31	New section
May 2014	Process Multiple Effort Statements, Page 32	New section
May 2014	Run the List of All Users Report to Verify Self-Certifier and Restricted Effort Coordinator Roles Page 34	Revised entire section to reflect using report for a new purpose: <ul style="list-style-type: none"> Role verification LDAP IDs listed as usernames for campuses using InCommon to log in to ecrt
May 2013	Overview, Page 3	Included link to the Effort Reporting Checklist
May 2013	Purpose, Page 4	Added streamlined pre-review processes for campuses with a small amount of activity

Date	Section of Guide	Revision
May 2013	Run the "List of All Users" Report to Verify Core Information for Self-Certifiers, Page 13	Added note that all e-mails are set to effort@rfsuny.org in the training environment
May 2013	"List of all Awards and their Associated Accounts Report" Page 15	Added information about monitoring salary expenditures for cost share awards
May 2013	"Certification Status Report" Page 17	Added note about the impact of effort statements with a status of "Building, Not Ready to be Certified" on the report results
May 2013	"Sponsored Project Employee Summary (SPES) Report" Page 23	Changed process to run the SPES report by employee type instead of a date range.
May 2013	Verify that Labor Distribution Adjustments Corrected Effort Statements on Hold, Page 32	Added information that the Oracle "RF Cost Transfer Register" Report can be used to identify completed labor distribution adjustments
May 2013	"List of Staff by PI with Proxy Assignments" Report, Page 35	Added definitions and chart for proxy certifier and restricted effort coordinator
May 2013	Self Certifiers with Federal, Non-Federal, Nonsponsored Effort" Report, Page 38	Added information about using this report to identify individuals with sponsored programs that have a certified effort value of 0 percent
May 2013	Staff with Federal, Non-Federal, Nonsponsored Effort" Report, Page 41	Added information about using this report to identify individuals with sponsored programs that have a certified effort value of 0 percent
February 2013		New guide