



**The Research
Foundation for**

The State University of New York

**Effort Reporting Essentials for
Proxy Certifiers and Restricted Effort
Coordinators**

Topics

- Roles and Responsibilities
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Roles and Responsibilities

- A “proxy certifier” or “restricted effort coordinator” may be delegated the authority to certify effort for another individual
- An individual in either of these roles:
 - ❑ Has first-hand knowledge of the individual’s effort
 - ❑ Has suitable means of verifying that the work was performed
 - ❑ Will receive the e-mail notifications that would otherwise be sent to the PI
- Their tasks are to:
 - ❑ Review effort statements for accuracy and completeness
 - ❑ Certify effort
 - ❑ Attest to the certification

Training Curriculum

Proxy certifiers/restricted effort coordinators should review the following materials that are available on the [RF public Web site](#):

- Video simulations:
 - Introduction to the Effort Reporting Electronic Tool
 - Certify Effort as a Proxy Certifier
- “How to” documents with step-by-step instructions for each of the simulations
- Additional Information:
 - Effort Statement Statuses
 - Glossary of Terms

Effort Certification Compliance Overview

- As recipients of external funding from both federal and other sponsors the RF must comply with numerous rules and regulations disseminated by the federal government and sponsors
- The federal Office of Management and Budget (OMB) sets forth broad policies governing grant and contract financial administration
 - OMB Circular A-21, Section J.10 outlines acceptable methods for supporting charges related to compensation for personal services on federal grants and contracts (effort certification)
- The rationale for this requirement is that:
 - Salary charges are based on estimates in proposals of how effort will be expended
 - Effort certification verifies how effort was actually expended

Effort Certification Compliance Overview

- Effort Certification:
 - ❑ Provides support for salaries charged to sponsored programs (and reimbursed by the sponsor) as well as for cost sharing salary (not reimbursed by the sponsor)
 - ❑ Documents that effort commitments have been met
- The proxy certifier or restricted effort coordinator is responsible to ensure that charges to sponsored programs are:
 - ❑ Consistent with the effort expended by those working on the grant or contract as they relate to personnel costs
 - ❑ In compliance with federal and RF policies and campus procedures
 - ❑ Allowable, reasonable and allocable to the sponsored program charged

New Effort Certification Process

- Current manual paper-based Oracle effort certification process will change to a new online effort reporting Web-based tool: Effort Certification and Reporting Technology (**ecrt**)
 - Effort certification will be completed using electronic signatures
 - All the payroll detail for the effort reporting period is available within the tool
- The proxy certifier or restricted effort coordinator will receive an e-mail prompting them to certify effort for the individuals for whom they are delegated authority

Effort Certification Process

Implementation of **ecrt** will be effective for all campuses:

- **Spring 2013** effort reporting period of performance for campuses that use academic periods
- **January 1 – June 30, 2013** effort reporting period of performance for campuses that use semiannual periods
 - ❑ Upstate Medical University
 - ❑ SUNY Downstate Medical Center
 - ❑ Empire State College
 - ❑ System Administration

Initial ecrt Certification Cycle

Dates	Activity	Responsibility
January 1 to May/June 2013	Payroll Data is loaded to ecrt and effort statements are building: <ul style="list-style-type: none"> • SUNY monthly payroll processing • RF biweekly payroll 	Automatic process within ecrt
May/June 2013 (30-day period)	Effort statements are reviewed Payroll adjustments are processed	Campus Effort Reporting Administrator
June/July 2013	An e-mail is sent to each PI with a link to access ecrt	Automatic process within ecrt
June/July to August/September 2013 (60-day period)	“Certification Period” – timeframe for PI to certify their effort and effort of their staff; PI will electronically certify Effort Statements	PI (or proxy certifier/restricted effort coordinator)
2 weeks and 1 week before the end of the certification period	Reminder e-mails are sent to PIs for any effort statements still needing certification	Automatic process within ecrt
1 day before the end of the certification period	Final e-mails are sent to PIs to comply with the certification deadline of November 30th	Automatic process within ecrt

Data in ecrt

The Oracle business system is the system of record for all source data that is uploaded to **ecrt**

- **Payroll file:** SUNY monthly salary – through the IFR/Cost Sharing processing, RF biweekly payroll, labor schedule charging instructions, distribution adjustments (salary cost transfers)
- **Award file:** Award full name, companion cost share awards, award start and end dates, award PI, budget amount, etc.
- **Commitment file:** Committed effort data for PIs, co-PIs and other key personnel
- **Certifier File:** Includes PI e-mail address, actual department name and actual job title information. All SUNY monthly and RF employees with a role of PI on a sponsored award will be assigned the role of self-certifier in **ecrt**
- **Sponsor File:** Includes sponsors and award type of federal, nonfederal and nonsponsored (includes other institutional activity)

Select Glossary of Terms and Definitions

Term	Definition
Self-Certifier	Faculty/PI that certifies their own Effort Statements
Proxy Certifier	<p>An individual who certifies on behalf of a Faculty/PI who has:</p> <ol style="list-style-type: none"> 1. Direct knowledge of the work to confirm that the distribution of activity represents a reasonable estimate of the work performed during the period, and that the activities allocable as direct costs are appropriate <u>and</u> 2. Suitable means of verification that the work was performed and is consistent with the overall distribution of the compensated activities. A suitable means of verification includes, but is not limited to: documentation in the form of project reports, calendars, time sheets.
Period of Performance	The established effort reporting cycle (start and end date) specific to your campus either Academic Period or Semi-Annual Period
Certification Period	The time during which you certify effort. This begins after the corresponding Period of Performance. The Certification Period will vary at each campus and will conform to RF Policy
Computed Effort	The sum of salary charges plus cost sharing charges
Certified Effort	The percentage of total distribution of payroll that an individual actually devoted to sponsored projects and other activity during the effort reporting period – must always equal 100%
Effort Statement	Summary of an individual’s distribution of payroll and cost share charges by sponsored award for a specific time period

Select Glossary of Terms and Definitions

IFR	Income Fund Reimbursable Process used to reimburse SUNY for a SUNY faculty's salary charged to sponsored programs and reimbursed by the sponsor
Committed Effort	The estimated amount of time that a faculty commits to in an award budget submitted to a sponsor and includes both reimbursed and unreimbursed salary expense
Cost Sharing	That portion of a sponsored program budget that is contributed by the institution and/or other nonfederal sponsors. It is salary expense that is not reimbursed by the sponsor
Restricted Effort Coordinator	<p>An individual who certifies on behalf of a Faculty/PI who has:</p> <ol style="list-style-type: none"> 1. Direct knowledge of the work to confirm that the distribution of activity represents a reasonable estimate of the work performed during the period, and that the activities allocable as direct costs are appropriate <u>and</u> 2. Suitable means of verification that the work was performed and is consistent with the overall distribution of the compensated activities. A suitable means of verification includes, but is not limited to: documentation in the form of project reports, calendars, time sheets.
Salary Cost Transfer	A transaction that reassigns expenditures that were previously charged to one award and transfers them to another award

Effort Statement Statuses

The table below illustrates the most common effort statement statuses

Effort Statement Status	Definition
Ready to be Certified	The effort statement is ready for PI, Proxy Certifier or REC review and certification.
Building, Not Ready for Certification	An effort statement is being built for the current effort reporting period of performance. Salary expenditures will be applied to applicable awards each pay period.
Certified	The effort statement was certified and the certification process is complete.
Certified, Ready for Administrator Review	The effort statement was certified by the PI, Proxy Certifier or REC with a note and/or attachment.