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## SUNY Oswego ORSP “HOW-TO DOCUMENT”

### How to Interpret and Complete an Effort Report in Employee Compensation Compliance (ECC/ecrt)?

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#### Summary

Federal regulations require effort certification for anyone with salary charges that are reimbursed (or cost shared) to a federal, federal flow-through, and state-funded awards.

If a Principal Investigator (PI), employee, or other authorized personnel is responsible for certifying effort, they will receive an automated email notification to log in to the ECC dashboard following each certification period. For SUNY Oswego, reports are created three (3) times a year: spring(01Jan-31May), summer(01Jun-31Aug), and fall(01Sep-31Dec).

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#### What is effort reporting, and why do we need to do it?

Effort reporting is a federally-mandated process by which the salary and wages charged (or cost shared) to a sponsored program are certified (by the PI, employee, or designated person who has knowledge of the effort) as being reasonable in relation to the actual work expended on that project.

New York State agencies, regardless of funding source, have also adopted the federal regulations pertaining to effort reporting in the New York State master contract.

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#### Statement of Policy

##### Method for Certification

The RF's effort certification method is After-the-Fact Activity Records, meaning they are produced after the reporting period is complete.

##### Whose Effort is Required to be Certified

All RF and SUNY employees with salary charges (reimbursed or cost shared), to a federally funded or state-funded sponsored program must be certified.

##### Who Must Certify Effort

PIs must certify their own effort and the effort of staff working on their federally funded or state-funded sponsored programs. The PI may delegate this responsibility to the employee or a designated proxy certifier who must have suitable means of verification. Please contact ORSP if you wish to set up a proxy certifier.

##### When to Certify Effort

Certification should occur no later than 120 days after the end of the reporting period (i.e., the base effort dates 01Jan-31May, 01Jun-31Aug, 01Sep-31Dec), unless extenuating circumstances exist. If extenuating circumstances exist, contact the campus effort reporting administrator to document the reason why certification required additional time

##### Records Retention

Effort statements and the applicable documentation to support effort certification must be retained in accordance with the RF [Records Management Policy](#); certification in ECC/ecrt fulfills this requirement.

## How to Certify Effort

PIs or their designated proxy certifier or restricted effort coordinator are responsible for certifying the effort of sponsored research staff.

Access ECC by opening a Web browser and entering the following URL: <https://bit.ly/31rfjJx>

1. Click the SUNY RF logo under the “Log In Through the RF Website” column:



2. Enter your RF ID# and password. (ORSP can supply you with the appropriate RF ID# but you must create or change your own password)

To access **RFSUNY Applications**, enter your RF website user name and password below. If you do not have a user account, [request one here](#).

> [Forgot your password?](#)  
> [Problems logging in? Contact Customer Services](#) at (518) 434-7222.

Username

Password

Login

3. Click the “Continue” button
4. The ECC/ecrt web page opens to the Work List, which provides access to the effort statements that require certification. Navigate ecrt using the tabs across the top of the screen (indicated by the red box below).

Work List for [User Name]

Statements Awaiting Certification (3)

Statement Owner	Department	Period	Due Date	Type	Status	PI
[Redacted]	639-230 Accounts Payable/Finance	01/01/2020-05/31/2020	9/29/2020	Base	Building, Not Ready for Certification	
[Redacted]		06/01/2020-08/31/2020	12/30/2020	Base	Building, Not Ready for Certification	
[Redacted]	591-230 [Redacted]	09/01/2019-12/31/2019	4/30/2020	Base	Not Certified, Not Finalized, Re-Ope...	

5. Pls or other designated certifiers access an effort statement by either:
  - a. Clicking an individual name under the **Statement Owner** column. (See long arrow in above screen-shot) OR
  - b. Clicking the text under the **Status** column. Text will usually be “Ready to be Certified” or “Not Certified, Not Finalized, Re-Opened by Distribution Adjustment Reconciliation” (See short arrow in above screen-shot)

An effort statement, like the example below, is then displayed.

Awards	Total Payroll and Cost Sharing	Salary %	Cost Share %	Certified Effort	Total Charges	Salary Validated
Sponsored Other						
[Redacted]	\$2,000.00	20.00 %	0.00 %	\$ 20.00 %	20.00 %	<input checked="" type="checkbox"/>
Award Total:	\$2,000.00	20.00%	0.00%	20.00%	20.00%	
Sponsored Other Total:	\$2,000.00	20.00%	0.00%	20.00%	20.00%	
Non Sponsored						
[Redacted]	\$8,000.00	80.00 %	0.00 %	\$ 80.00 %	80.00 %	<input checked="" type="checkbox"/>
Non Sponsored Total:	\$8,000.00	80.00%	0.00%	80.00%	80.00%	
Grand Total:	\$10,000.00	100.00%	0.00%	100.00%	100.00%	

6. Review the effort statement to verify the salary and/or cost share charges are reasonable and applicable to the activities performed. This data is populated from approved timesheets for the period.
7. For the displayed effort statement click the checkbox for each award line, or select all lines by clicking the star under “Salary Validated” then click “Certify”.
8. Read the certification attestation statement and click “I Agree” to affix your electronic signature.
9. Click “OK” to confirm on the pop-up window. The effort certification is complete.

Repeat steps 5-9 for all effort statements that are designated “Ready to be Certified” for the individuals for whom you certify.

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### **What if I have questions, or believe the statement is incorrect?**

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If you have any question regarding the information on your effort statement, or believe the statement is incorrect, please contact the **Oswego campus effort reporting administrator, Andrea Ross at 315-312-2890 or [andrea.ross@oswego.edu](mailto:andrea.ross@oswego.edu)**. After your questions have been answered and/or corrections to the statement made, you can then certify the report(s).

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### **What happens if I do not complete the certification?**

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All PIs are required to certify effort for all individuals whose salaries are charged directly to their federal and federal flow-through awards, or for effort identified as cost share. If you do not certify your effort reports, you are deemed to be out of compliance with federal regulations. This places the university at risk of losing existing and future funding from sponsoring agencies

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### **Additional Documentation & Resources**

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[Introduction to the Effort Reporting Electronic Tool](#)  
[Certify My Effort](#)  
[Certify My Effort and the Effort of My Staff](#)  
[Effort Reporting Essentials for Principal Investigators](#)  
[Introduction to the Effort Reporting Electronic Tool \(12 minutes\)](#)  
[Certify My Effort and the Effort of My Staff \(6 minutes\)](#)  
[Certify My Effort \(4 minutes\)](#)  
[2 CFR Part 200](#)  
[OMB Circular A-21](#)  
[OMB Memoranda 01-06](#)

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### **Questions?**

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### **Contact Information**

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