
SUNY Oswego ORSP “HOW-TO DOCUMENT”

How do I Interpret and Process an Effort Report in ecrt?

Summary

Federal regulations require effort certification for anyone with salary charges that are reimbursed (or cost shared) to a federal or federal flow-through award. 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 electronic certification dashboard (ecrt) at the start of each certification period. Reports are created three (3) times a year: spring, summer, and fall.

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.

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 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.

When to Certify Effort

Certification should occur no later than 120 days after the end of the period of performance (i.e., the base effort dates), 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](#).

How do I Certify Effort?

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

Access ecrt by opening a Web browser and entering the following URL: www.rfsuny.org/ecrt

1. Click the log-in button



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



3. 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

4. The 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).

University at Albany

Welcome, | Sign Out

Home **Certify** Manage Reports Administration Links

Work List for [Name]

Welcome to the ecrt effort reporting system. The tabs below list all of the Effort certification tasks. Pay your attention - whether it is certifying statements, processing statements, or following up on outstanding statements. To view and resolve a specific task, select the link in the task description.

Statements Awaiting Certification (8)		Effort Tasks (94)			
Statement Owner	Department	Due Date	Type	Status	PI
[Name]	8772 - 010 Professional Development Program	8/10/2012	Base	Ready to be Certified	[Icon]
[Name]		9/7/2012	Base	Ready to be Certified	[Icon]
[Name]		10/5/2012	Base	Ready to be Certified	[Icon]
[Name]		12/28/2012	Base	Ready to be Certified	[Icon]
[Name]	8776 - 010 Hindelang Criminal Justice Research Center	3/23/2012	Base	Ready to be Certified	[Icon]
[Name]		4/20/2012	Base	Ready to be Certified	[Icon]
[Name]		5/18/2012	Base	Ready to be Certified	[Icon]
[Name]		6/15/2012	Base	Ready to be Certified	[Icon]

5. PIs or other designated certifiers access an effort statement by either:
 - a. Clicking an individual name under the **Statement Owner** column. (See pink arrow in above screen-shot) OR
 - b. Clicking a “Ready to be Certified” icon  under the **Status** column. (See orange arrow in above screen-shot)

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

Effort Statement for Murphy, Aaron (600 SUNY-Monthly); Base effort, from 01/01/2012 to 05/24/2012, due 8/31/2012; Status: Ready to be Certified

Awards [-]	Salary Charges	Cost Share Charges	Total Charges	Certified Effort	Certify
Sponsored - Federal/Federal Flow-through					
42380 Roles of Nfi Genes in Mouse Lung Development					
42380 Roles of Nfi Genes in Mouse Lung Development	25.00%	0.00%	25.00%	25.00%	<input type="checkbox"/>
<i>Award Total:</i>	25.00%	0.00%	25.00%	25.00%	
Sponsored - Federal/Federal Flow-through Total:					
	25.00%	0.00%	25.00%	25.00%	
Sponsored - Non Federal					
55104 Role of Nfix in neural stem cells and glioblastoma					
55104 Role of Nfix in neural stem cells and glioblastoma	25.00%	0.00%	25.00%	25.00%	<input type="checkbox"/>
<i>Award Total:</i>	25.00%	0.00%	25.00%	25.00%	
58339 Western New York Stem Cell Culture and Analysis Center					
58339 Western New York Stem Cell Culture and Analysis Center	9.40%	0.00%	9.40%	9.40%	<input type="checkbox"/>
58341 Cost Sharing for Award 58339	0.00%	0.60%	0.60%	0.60%	<input type="checkbox"/>
<i>Award Total:</i>	9.40%	0.60%	10.00%	10.00%	
Sponsored - Non Federal Total:					
	34.40%	0.60%	35.00%	35.00%	
Non Sponsored					
000260 600 Other Institutional Activities	40.00%	0.00%	40.00%	40.00%	<input type="checkbox"/>
Non Sponsored Total:					
	40.00%	0.00%	40.00%	40.00%	
Grand Total:					
	99.40%	0.60%	100.00%	100.00%	All None

▶ Notes 

▶ Attachments 

6. Review the effort statement to verify the salary and/or cost share charges are reasonable and applicable to the activities performed.
7. For the displayed effort statement click the checkbox for each award line, or click the “All” link and 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.

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

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 312-2890 or andrea.ross@oswego.edu**. After your questions have been answered and/or corrections to the statement made, you can then certify the report(s).

What happens if I do not complete the certification?

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

Additional Documentation & Resources

[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](#)

Questions?

If you have any question regarding the information on your effort statement, please contact the **SUNY Oswego campus effort-reporting administrator, Andrea Ross at 312-2890 or andrea.ross@oswego.edu**.

Contact Information

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