



**SUNY
DOWNSTATE**
Medical Center



EFFORT REPORTING

DECEMBER 2014

Introductions and Topics

- Introductions / Training process
- Federal requirements under OMB A-21
- Basics of effort certification
- Why do we Certify Effort?
- The SUNY Research Foundation e-Cert System

Effort Policy and System Operations– Outreach/Training

Academic Senior Administrators

- Executive & Academic Management (Dean's & Vice Presidents)
- Advisory Council on Research
- Chairs Faculty meetings

Department Administrators

- Targeted training of College/School administrators
- Distribution and training of Standard Operating Procedures

Faculty Outreach

- RF Grant Manager sessions with faculty (planning,)
- Small group faculty meetings



Time & Effort Requirements

- A-21, §J.10 prescribes
 - Criteria for acceptable methods for payroll distributions
 - Examples of acceptable methods
 - Salary rates for faculty members
 - Period outside the academic year salaries (e.g. summer)
- NIH Grant Policy Statement – payments for dual appointment
- PHS 398 – definition of the Institutional Base Salary
- DS-2, Subparts 2.4, 2.5 and associated continuation sheets
- Time & Effort policy & procedures

Applicable Section of A-21

- The system will reflect categories of activities expressed as ***a percentage distribution of total activities.*** (§J.10.c.(1)(b), *Plan-Confirmation*)
- These reports will reflect an after-the-fact reporting of the percentage distribution of activity of employees (§J.10.c.(2)(b). ***After-the-fact Activity Records***)
- [Personal activity] reports will reasonably reflect the activities for which employees are ***compensated by the institution.*** (§ J.10.b.(2)(a)(ii))

Applicable Section of A-21 (Continued)

- Charges for work performed on sponsored agreements will be based on the individual faculty member's ***regular compensation*** for the continuous period which, under the policy of the institution concerned, constitutes the basis of his salary. “ (§ J.10.d.(1))
- The distribution system must “conform to the ***existing policies of the institution***, consistently applied.” (§ J.10.a.)



What is effort certification?

- Method to ensure that salary being paid from an award aligns with the work being done on the award
- A process to show that time committed to a project is actually performed as committed
- A method to establish documented records to link salary distribution to the certification.

What is effort certification?

- Effort is usually expressed as a percentage



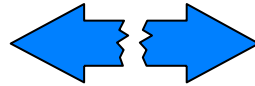
- Certification forms will normally show the payroll percent along with the effort percent
- These forms are then either signed on paper(biweekly RF Staff) or certified electronically.

100% of What?



Typical Medical Center Activity Components of Faculty Salary

Function



Funding

- Instruction/Dept. Research
- Organized Research
- Cost Sharing
- Patient Care
- Hospital Administration
- Graduate Medical Education
- Other Academic Activities

- General Funds
- Grants & Contracts
- FPP Professional Fees
- Hospital Contracts
- GME Hospital Transfers?
- Endowment & Gifts

Standard Faculty Compensation: X-Y-Z Concept

X	Y	Z
Academic Base <u>Salary Component</u>	Clinical Base <u>Salary Component</u>	Incentive <u>Component</u>
General Fund	Professional Fees	Professional Fees
Tuition Grants/Contracts Endowment Funds Other	Capitation Income Third Party Income State Service Contracts	Capitation Income

Payments for Dual Appointments

- For investigators with university and clinical practice plan appointments, compensation from both sources may be considered the base salary if the following criteria are met:
 - Clinical practice compensation must be guaranteed by the university;
 - Clinical practice effort must be shown on the university appointment form and must be paid through the university; and
 - Clinical practice effort must be included and accounted for on the university's effort report.



Why do we certify effort?

- Certification provides a “record” that validates work was performed in accordance with the charges
- Additionally, the certification process helps to ensure that costs are:
 - Allowable
 - Allocable
 - Accurate
 - Consistently applied

Expressed As a Percentage

Time spent on one particular activity

= X %

Divided by

Time spent on all activities for which an individual is compensated by their IBS

Sponsored Agreements: Research, Training, Other Sponsored Activities
Non Sponsored Activities: Teaching, Instructional, Department Research, Administration, Public and Community Service, Clinical

This is the **basis** for projecting effort or certifying effort. **This is what constitutes 100% effort**



Effort Commitments

- When a proposal is submitted, effort is committed for key personnel
- The amount of commitment that is on the final award needs to be met
- For federal awards, this committed amount should not be reduced by 25% or more without agency approval (§200.308.c.3)
- Effort certification process should allow you to compare committed effort to payroll distribution percentage.

Effort Percent

- 100% Effort = Total Time Estimated for all university activities, i.e., only those activities compensated by the Institutional Base Salary
- Excluded from effort reporting is any compensation received from sources other than the Institution
- 100% Effort \neq 40 hours \neq 60 hours \neq 10 hours, etc.
- No fixed work week



Effort Verification - Sample Questions

- Are all of my current active awards represented in my effort plan?
- What effort do I need to apply on each grant during the remaining time of the budget period to meet my effort commitment?
- Are there any compliance issues e.g. over-commitments, internal maximum thresholds?
- Do I need to obtain prior approvals from sponsors or notify Principal Investigators on effort commitment reductions?

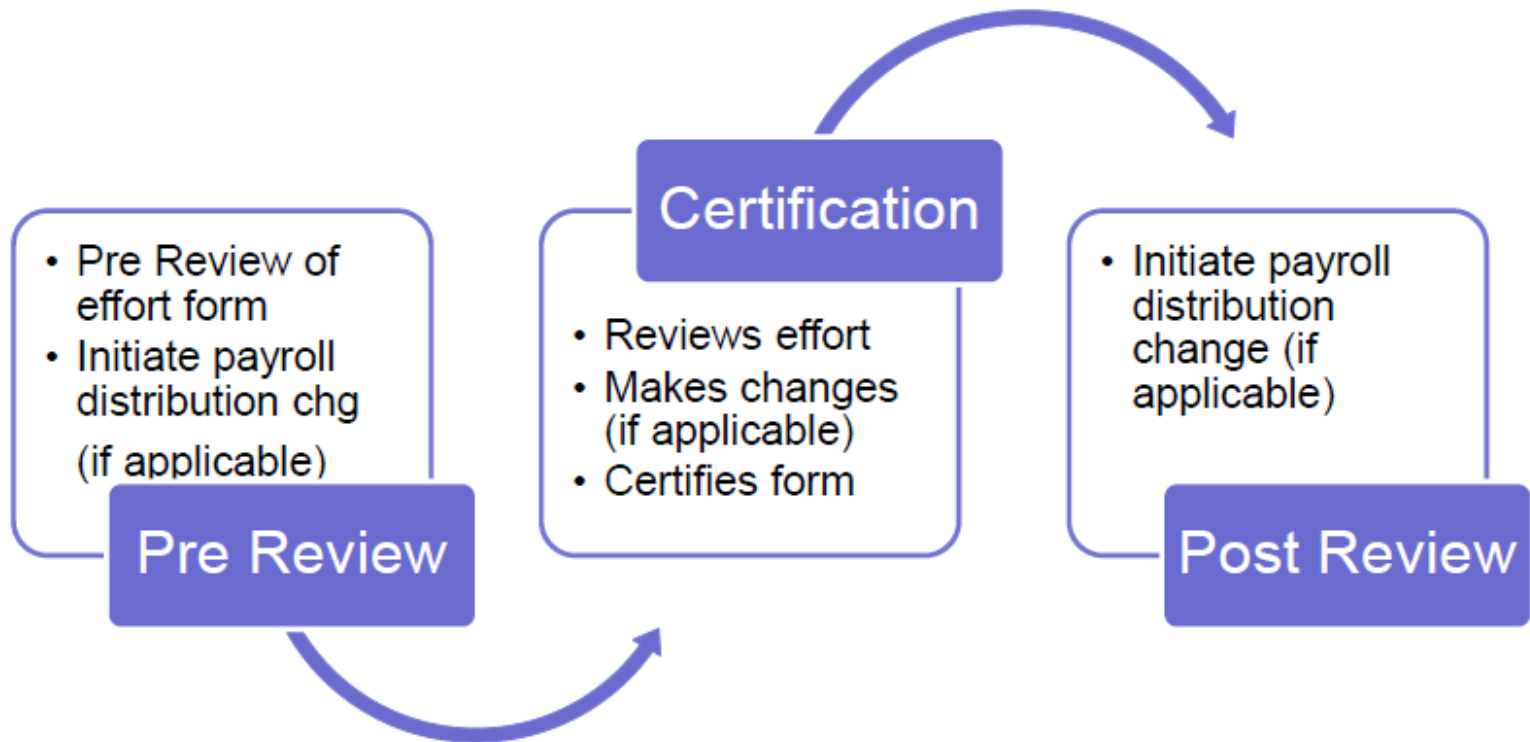


Effort Verification - Sample Questions

- Will I have an effort commitment for upcoming no-cost extension requests?
- What are my future effort plans e.g. likely proposals to be awarded?
- Are payroll distribution changes required to account for actual/planned effort including cost share?



Certification Process



Committed Effort Management/Tracking

- Organize effort commitments into a plan for faculty/staff
- Increase effort compliance awareness of faculty/staff
- Provide information in a meaningful way for faculty
- Resolve effort compliance issues during mid-year effort certification
- Compare effort plan with actual payroll distribution results
- Facilitate workload planning between Chairs & faculty
- Decrease retroactive payroll distribution transfers



Semi-Annual Effort Certification/Verification Process

Using the basic effort reporting questions above the faculty member would review each project account and validate their effort or make necessary adjustments.



Institutional Base Salary

- The annual compensation that the applicant organization pays for an employee's appointment, whether that individual's time is spent on research, teaching, patient care, or other activities.
- Base salary excludes any income that an individual may be permitted to earn outside of duties to the applicant organization. (**excludes "Temporary Also Receives" payments**)
- Base salary may not be increased as a result of replacing institutional salary funds with grant funds.



NIH Salary Cap

- A **Salary Cap** -- is a maximum annual rate of salary for full-time effort that can be charged to an agency's award and is applicable only to direct charges
 - Amounts charged to both NIH grants and to cost sharing cost centers
- NIH salary caps are indexed to a specific Government Executive Pay Level.
 - The salary for the Executive Pay Level may vary for each Government Fiscal Year in which the funds are awarded.

NIH Salary Cap (continued)

- A **Funding Limitation** is defined as the limitation on the annual rate of salary for full-time effort that the agency provides in a given award.
 - This limit is usually established at the time of a competitive award based on the salary cap in effect at the time.
- However, if, after a competitive award is made, the NIH announces an increased Salary Cap, the agency will allow PIs to re-budget awarded funds, in that or future years, to charge the higher salary level.
 - NIH has not historically provided additional funds for this purpose.



NIH Salary Cap (continued)

- The salary over the cap cannot be treated as cost sharing to federal grants.
 - It must be treated as **unallowable costs**.



Addendum

- How to navigate the SUNY Research Foundation's e-Cert System.

Navigate to the RF Homepage

- Navigate to the Research Foundation (RF) homepage at <http://www.rfsuny.org>
- Select the “Certify your effort (ecrt)” option.

The screenshot displays the Research Foundation (RF) homepage. At the top, there are three main navigation bars: "People, Infrastructure, Technology" (blue), "Sponsored Programs Administration" (purple), and "Innovation and Partnerships" (teal). Below these, there are three featured content blocks. The first block, "Innovation", features a photo of a man and text about a nanotech process for heat-resistant dyes. The second block, "Greenhouse Gas Effects", features a landscape photo and text about studying the past to predict the future. The third block, "Discovery", features a photo of a man and text about a molecule that lowers plasma cholesterol and atherosclerosis. At the bottom, there are four columns of links. The first column, "News & Events", lists various news items. The second column, "Economic Outreach & Entrepreneurship", lists various outreach programs. The third column, "Information For: Researchers", lists various resources for researchers, with "Certify Your Effort (ecrt)" highlighted by a red box. The fourth column, "Learning & Development", lists various learning opportunities.

People, Infrastructure, Technology

Sponsored Programs Administration

Innovation and Partnerships

Innovation
Nanotech process makes inexpensive dyes heat-resistant
Learn more ▶

Greenhouse Gas Effects
Studying the past to predict the future
Learn more ▶

Discovery
Molecule lowers plasma cholesterol and atherosclerosis
Learn more ▶

News & Events
Carestream, UBMD Orthopaedics to Develop 3-D Medical Imaging System
Research: Trying to Capture a Flux of Carbon Dioxide from Fresh Water
SUNY BEST Speakers Look to Create 'College Town,' Keep Grad Local
SUNY Oswego Gets \$2.88

Economic Outreach & Entrepreneurship
Partnering with SUNY
START-UP NY
SUNY Networks of Excellence
Innovation Programs/Funding Opportunities
Technology Accelerator Fund (TAF)

Information For: Researchers
Certify Your Effort (ecrt)
Principal Investigators Handbook
Human & Animal Subjects Research
Export Controls
Connect, Collaborate, Find Funding

Learning & Development
Learning Tuesdays:
> 10/21 - Audit
> 11/18 - Open Enrollment & Benefits Update
> 12/9 - Cost Sharing
Leadership Academy



Login Navigation

- Click on the “Log-in to Effort Reporting and Certification Technology (ecrt)”.



The screenshot shows the homepage of the Effort Reporting Certification system. At the top is a dark blue navigation bar with white links: Home, Who We Are, What We Do, Innovation, Reports & Publications, Working at the RF, Contact the RF, and Policies & Procedures. Below this is a large blue banner with the text "Effort Reporting Certification" in white. To the left of the banner is a smaller image showing two people working at a computer. Below the banner, on the left, is a vertical menu with the following links: Effort Reporting Homepage, Principal Investigators, Proxy Certifiers, Restricted Effort Coordinators, and Administrators. To the right of the menu, there is a paragraph of text: "Beginning with effort statements for the Spring 2013 / first-half of 2013 periods of performance, all campuses are required to use the online effort reporting tool - [Effort Certification and Reporting Technology \(ecrt\)](#)." Below this text is a red-bordered box containing a small image of people and the text "Log-in to Effort Reporting and Certification Technology (ecrt)".

Home Who We Are What We Do Innovation Reports & Publications Working at the RF Contact the RF Policies & Procedures

Effort Reporting Certification

Effort Reporting Homepage
Principal Investigators
Proxy Certifiers
Restricted Effort Coordinators
Administrators

Beginning with effort statements for the Spring 2013 / first-half of 2013 periods of performance, all campuses are required to use the online effort reporting tool - [Effort Certification and Reporting Technology \(ecrt\)](#).

 Log-in to Effort Reporting and Certification Technology (ecrt)


Benefits of ecrt include:

- No paper forms to sign and route
- Just a few clicks to complete your effort certification
- View even more information about your effort and sponsored awards:
 - Detailed payroll transactions
 - The dollar amounts behind the effort percentages
 - Staff charging effort to your awards
 - The amount of effort you committed to each award
- Access your information anytime and anywhere you have Internet access—mobile devices too!

Login Navigation (cont.)

- Click on the SUNY RF logo

[Home](#) [Who We Are](#) [What We Do](#) [Innovation](#) [Reports & Publications](#) [Working at the RF](#) [Contact the RF](#) [Policies & Procedures](#)




Effort Certification and Reporting Technology (ecrt) Login

Based on your campus location, choose one of the below options to log in to the **Effort Certification and Reporting Technology (ecrt)**.

> [Access ecrt overview and training materials](#)

Log In Through Your Campus Website


If you are at a campus listed below, access **ecrt** by clicking your logo.



SUNY COLLEGE OF NANOSCALE
SCIENCE AND ENGINEERING

Log In Through the RF Website

If you are at a campus location other than the campuses listed to the left, log in to **ecrt** by clicking the RF logo.



Work List: The ecrt Home Page

- The **Work List** provides access to the effort statements that need certification. Navigate **ecrt** using the tabs across the top of the screen (indicated by the red box)

SUNY RF Welcome, Sign Out

SUNY Downstate Medical Center

[Home](#) [Certify](#) [Manage](#) [Reports](#) [Administration](#) [Links](#)

Work List for

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

Statements Awaiting Certification (0)

Statement Owner	Department	Due Date	Type	Status	PI
There are no Effort statements associated to you.					

Training

- » Principal Investigators
- » Proxy Certifiers
- » Restricted Effort Coordinators
- » Administrators

Additional Resources

- » How to Certify Your Staff
- » Campus Periods of Performance
- » Acceptable Percentage Range for Effort Certification
- » Why are there 0 Percentages in the Certified Effort Column on my Effort Statement?
- » Effort Statement Statuses
- » Glossary of Terms

Regulations

- » OMB Circulars
- » National Institutes of Health: Grants Policy and Guidance





Certify the Effort of Research Staff

- Access an effort report statement by either: 1) Clicking a name under the **Statement Owner** column or 2) Clicking a “Ready to be Certified” icon under the **Status** column

SUNY RF Research Foundation for SUNY

Welcome, [Name] | Sign Out

Home Certify Reports Administration Links

Work List for [Name]

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

Statements Awaiting Certification (3)

Statement Owner	Department	Due Date	Type	Status	PI
[Name]	Computer Science and Engineering	8/31/2012	Base	Ready to be Certified	
		11/16/2012	Base	Building, Not Ready for Certification	
[Name]	Computer Science and Engineering	8/31/2012	Base	Ready to be Certified	



Certify the Effort of Research Staff (cont.)

- To certify statements one at a time click an individual's name in the **Work List**.
- To certify all the individuals click the checkmark icon (highlighted).
- The selected statements will display below the work list.



Certify the Effort of Research Staff (cont.)

- Review the effort statement(s).
- For the displayed effort statement(s) click the checkbox for each award line or click the **All** link and then click **Certify**.
- Read the certification attestation statement and click **I Agree** to affix your electronic signature.
- Click **OK** to confirm on the pop-up window.
- The effort certification is complete.

Effort Statement for [] (Downstate SUNY-Monthly); Base effort, from 07/01/2014 to 12/31/2014; Status: Building, Not Ready for Certification

INFO - This Effort Statement cannot be certified because it is in the Building, Not Ready for Certification status.

On Hold: ☐ \$ Value

Awards [-]	Salary Charges	Cost Share Charges	Total Charges	Certified Effort	Certify
Sponsored - Federal/Federal Flow-through					
[] Initiative					
[] Initiative	5.91%	0.00%	5.91%	5.91%	<input type="checkbox"/>
Award Total:	5.91%	0.00%	5.91%	5.91%	
[] Women					
[] Women	6.67%	0.00%	6.67%	6.67%	<input type="checkbox"/>
Award Total:	6.67%	0.00%	6.67%	6.67%	
[] Project					
[] Cost Share []	0.00%	2.95%	2.95%	2.95%	<input type="checkbox"/>
Award Total:	0.00%	2.95%	2.95%	2.95%	
[] 2014					
[] 2014	6.05%	0.00%	6.05%	6.05%	<input type="checkbox"/>
Award Total:	6.05%	0.00%	6.05%	6.05%	
[] Program					
[] Program	25.00%	0.00%	25.00%	25.00%	<input type="checkbox"/>
Award Total:	25.00%	0.00%	25.00%	25.00%	
Sponsored - Federal/Federal Flow-through Total:	43.63%	2.95%	46.58%	46.58%	
Non Sponsored					
000261 100 Other Institutional Activities	50.68%	0.00%	50.68%	50.68%	<input type="checkbox"/>
64634 RF Allocation Reserve Account FY 2013-2014	2.74%	0.00%	2.74%	2.74%	<input type="checkbox"/>
Non Sponsored Total:	53.42%	0.00%	53.42%	53.42%	
Grand Total:	97.05%	2.95%	100.00%	100.00%	All None

Get Help Close Save No Certification Required