Vision Statement
Implement a compliant, streamlined, electronic effort reporting process by June 2012 that reduces administrative burden on campuses.

Critical Project Success Factor: Accurate Data
Accurate data is a critical success factor for the Operational Excellence in Effort Reporting project. The data needed by the Effort Certification and Technology Reporting (ecrt) software will come from Research Foundation (RF) business system, and includes:

- SUNY and RF payroll data and distribution adjustments.
- Campus department and organizational structures.
- Human resources data (e.g., name, assignment, e-mail).
- Award data (e.g., committed effort, periods of performance).
- Sponsor file data (e.g., sponsor type of federal or federal flow through).

The project team is identifying ways to streamline and improve processes for collecting and monitoring the data needed to certify effort. This includes addressing compliance gaps such as committed effort for key personnel and institutional base salary in an environment of multiple paymasters.

Cost Sharing and Effort Reporting
Most faculty research effort is either charged directly to the sponsor or is included as cost sharing. Federal agencies regard any cost sharing offered in a proposal—including the proposal narrative—as mandatory once a sponsored award is funded:

- It becomes a binding obligation and must be documented and reported.
- The value of cost sharing must be verifiable through auditable records whether the cost sharing is mandatory or not.

This includes the personal service of a principal investigator (PI), co-PI and other key personnel that is committed to as part of the cost sharing portion of a sponsored program budget.

Under federal regulations, faculty salaries that are cost shared must be properly documented and certified in the institution’s effort reporting system, just as salaries that are directly charged to a sponsored program. This applies to mandatory and voluntary committed cost shared effort. Effort that is over and above that which is identified and budgeted for in a proposal and award (voluntary uncommitted cost sharing) does not need to be certified.

Changes were recently implemented in the RF’s business system to accurately monitor and report cost sharing, including information about salary that is cost shared. This data will be included on the effort reports generated by the new ecrt system to enhance compliance with federal regulations.
Quick Fact
In the first 11 certification periods following the installation of ecrt, the University of Wisconsin—Madison had an average 98% compliance rate.

Core Campus Team
CNSE: Chris Waller
University at Albany: Paula Kaloyeros
Binghamton University: Paul Parker
University at Buffalo: Scott Shurtleff
Stony Brook University: Aaron Rosenblatt
SUNY Downstate Medical Center: Gary Leipzig
Upstate Medical University: Gina McMahon
SUNY ESF: Don Artz
SUNY New Paltz: Julie Majak
Buffalo State College: Linda Dubrawsky

Campus Configuration Meetings
Configuration meetings were held at CNSE, the University at Albany, the University at Buffalo, SUNY ESF and Upstate Medical University during the month of October. Meetings at the remaining core campuses are scheduled for the first two weeks of November. Participants at these meetings include campus staff, central office functional team members and Huron consultants.

To clarify roles and responsibilities once ecrt is implemented, the configuration meeting agenda includes:
- An ecrt demonstration.
- Mapping of the current and future effort reporting process.
- Reviewing the basic ecrt configurations and functionality.
- Discussing campus-specific change management issues.

Campus research administration staff was well represented at each campus, including: vice presidents for research (campus research officers), operations managers, and pre-award, post award, sponsored programs and RF human resources staff. Each campus was given a flash drive with reference documents, including: ecrt global settings template, list of reports, process flow and sample timeline, and effort reporting roles and responsibilities.

Next Steps
- The team will discuss options to address compliance gaps in the existing process during the November 16 team conference call.
- Minutes from the configuration meetings will be sent to the respective core campus project team members.
- Conference calls with the core campus team members will be held monthly to continue moving the project forward—the calls are scheduled and posted to the project web page.

Technical Update
The technical team is mapping the data stored in the Oracle business system to the data elements needed by ecrt, and includes data such as:
- Campus departments and organizational structures.
- Sponsor information.
- Payroll information.

The team is also working on a custom form to record committed effort data in the Oracle business system.

Key Project Milestones
- December 2011: Campus-specific configurations set up in test environment
- January 2012: Configure and review data
- June 2012: Launch of electronic effort reporting solution

More Information
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