

EFFORT CERTIFICATION REPORT (ECR)

PROCEDURES

1. Semi-annual effort certification reports

Pay groups are as follows:

State Non-classified

PeopleSoft Professional pay groups

ICT = Internal Contract

IND = Internal Daily

INT = Internal Hourly

Effort certification reports (ECR) for the period July to December will be produced and distributed by the payroll office to departments within 30 calendar days after the last pay day of the reporting period. Since fiscal year end adjustments normally delay the distribution of ECR for the period January to June, these reports will be produced and distributed to departments within 45 calendar days after the last pay day of the reporting period. The ECR reports will be distributed to Business Managers or Department Heads and will include a memo of instruction (1st memorandum) along with a roster listing.

Signed semiannual ECR should be returned to the payroll office as quickly as possible. Reports must be returned within 30 calendar days of their distribution. Departments that do not return ECR within 30 calendar days will receive a 2nd memorandum (exhibit 2) to Business Managers or Department Heads from the Payroll Manger identifying delinquent reports. ECR that remain outstanding 15 calendar days after the 2nd memorandum will necessitate a 3rd memorandum (exhibit 3) to Business Managers or Department Heads with a copy to their Dean or Department Head from the Assistant Controller-Payroll. ECR not returned within 10 calendar days of the 3rd memorandum will generate a 4th memorandum (exhibit 4) from the Controller to the Dean or Director requiring the immediate return of any outstanding ECRs. Failure to respond to this 4th request within 5 calendar days will result in the transfer of non-certified charges to appropriate overhead accounts.

2. ECR Every other pay period (13 times a year)

Pay groups are as follows:

State Classified

PeopleSoft pay-group

PGR = Graduate Assistants

STU = Students

Effort certification reports (ECR) for the State Classified and PeopleSoft Graduate Assistants and Students are produced by the payroll office and distributed to departments within 12 calendar days of the end of the last pay day of the reporting period. The ECR will be distributed to Business Managers or Department Heads and will include a memo of instruction (1st memorandum) along with a roster listing.

Signed ECR should be returned to the payroll office as quickly as possible. They must be returned within 21 calendar days of their distribution. Departments that do not return ECR within 21 calendar days will receive a 2nd memorandum (exhibit 2) to Business Managers or Department Heads from the Payroll Manager identifying delinquent reports. ECR that remains outstanding 14 calendar days after the 2nd memorandum will necessitate a 3rd memorandum (exhibit 3) to Business Managers or Department Heads with a copy to their Dean or Department Head from the Assistant Controller-Payroll. ECR not returned within 7 calendar days of the 3rd memorandum will generate a 4th memorandum (exhibit 4) from the Controller to the Dean or Director requiring the immediate return of any outstanding ECR. Failure to respond to this 4th request within 5 calendar days will result in the transfer of non-certified charges to appropriate overhead accounts.

Emp. Type	State Classified	PeopleSoft Grad Assts (PGR), & Students (STU)	State Non-Classified	PeopleSoft Professional (ICT, IND, INT)
Freq. of ECR	Every other pay period	Every other pay period	Semiannual	Semiannual
Distribution of ECR With 1st memorandum	12 days from last payday	12 days from last payday	30 days from last payday or 45 days at end of fiscal year	30 days from last payday or 45 days at end of fiscal year
Date Due in Payroll Office	21 days	21 days	30 days	30 days
Date 2nd Memorandum	21 days	21 days	30 days	30 days
Date 3rd Memorandum	35 days	35 days	45 days	45 days
Date 4th Memorandum	42 days	42 days	55 days	55 days
Transfer of payroll	47 days	47 days	60 days	60 days

3. USP-2s Submitted to Change Distribution After a Reporting Period has Ended

The University's Cost Transfer Policy (Policy #97-04) identifies situations when cost transfers are not permitted. One such situation is when a request to transfer salary expenditures is not in compliance with OMB Circular A-21. That Federal regulation specifically prohibits transfers of salary charges for periods in which effort has been certified.

Therefore, USP-2 forms requesting salary distribution changes on research or cost sharing projects that are submitted after an effort reporting period (after ECR are produced) will not be processed unless the ECR have been properly documented to identify the appropriate change in effort. If an ECR was not returned by the department, then a written notice will be sent to the department to document the USP-2 cannot be processed until the corrected and approved ECR is returned to Payroll Office.

4. IP-2 Form is the Distribution change document for the PeopleSoft In-House Payrolls

For further information please review the University's Effort Certification Manual found on the Controllers web page <http://www.uri.edu/controller>



MEMORANDUM
University of Rhode Island
Office of the Controller - Payroll Accounting
(401) 874-4148 (office) (401) 874-5206 (fax)

DATE:

TO: Business Managers or Department Heads

FROM: Jeanne Nava, Payroll Accounting Office

SUBJECT: Semi-annual Effort Certification Reports (State Non-Classified)

Enclosed are the semi-annual effort certification reports (ECR) for the first/last six months of the fiscal year _____. These reports contain the salary distribution information for the period _____ to _____.

The individual chairpersons/directors/Principal Investigators assume the responsibility for reviewing and where appropriate, approving their staff's effort reports. ECR are used to confirm that the distribution of activity represents a reasonable estimate of work performed by the employee during that period, the reports will be signed by the employee, principal investigator, or responsible official(s) using suitable means of verification that the work was performed.

The percentages shown on the ECR are a weighted average of effort for the period _____ through _____. Please keep in mind that these percentages only reflect the salary distribution that was effective in the payroll system for these dates.

In the event that an ECR is incorrect, please note the necessary corrections on the ECR and attach a properly completed IP-2 or USP-2 to initiate the change. Changing the ECR will not change the payroll source document.

It is mandatory that we receive all ECR by (_____). Business managers, chairpersons, and directors are responsible for the distribution, collection, and return of the ECR to the URI Payroll Accounting Office in a timely manner.

If you have any questions, refer to the Effort Certification System User Manual, chapter 4 and 5, http://www.uri.edu/controller/pdf/grant/Effort_Certification_Manual_070105.doc or contact Jeanne Nava in the URI Payroll Accounting Office at 874-2038 or jnava@uri.edu.

Enclosure



MEMORANDUM
University of Rhode Island
Office of the Controller - Payroll Accounting
(401) 874-4148 (office) (401) 874-5206 (fax)

DATE:

TO: Business Managers or Department Heads

FROM: Wendy Belue, Payroll Accounting Office

SUBJECT: Effort Certification Reports (Grad Assts/Students)

Enclosed are the Effort Certification Reports (ECR) for pay periods 11 and 12 two pay periods _____ to _____ of the fiscal year _____.

The individual chairpersons/directors/Principal Investigators assume the responsibility for reviewing and where appropriate, approving their staff's effort reports. ECR are used to confirm that the distribution of activity represents a reasonable estimate of work performed by the employee during that period, the reports will be signed by the employee, principal investigator, or responsible official(s) using suitable means of verification that the work was performed.

These reports contain the salary distribution information. The federal government has mandated a change to collect effort certifications for classified employees, students and graduate assistants be processed every 2 pay periods rather than semiannually. In the event that an ECR is incorrect, please note the necessary corrections on the ECR and attach a properly completed IP-2 or USP-2 to initiate the change. Changing the ECR will not change the payroll source document.

It is mandatory that we receive all ECR by _____. Business managers, chairpersons, and directors are responsible for the distribution, collection, and return of the ECR to the payroll accounting office in a timely manner.

If you have any questions, refer to the Effort Certification System User Manual, chapter 4 and 5, http://www.uri.edu/controller/pdf/grant/Effort_Certification_Manual_070105.doc, or contact Wendy Belue in the URI Payroll Accounting office at 874-4148 or wbel@uri.edu.

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SECOND REQUEST

DATE:

TO: Business Managers or Department Heads

FROM: Maryann Duggan, Payroll Manager

SUBJECT: Second Notice - Effort Certification Reports

Effort Certification Reports (ECR) for pay periods 11, and 12, two pay periods _____ to _____ of the fiscal year _____ have not been returned for employees listed on the attached document. The reports are now past due.

In the event that an ECR is incorrect, please note the necessary corrections on the ECR and attach a properly completed IP-2 or USP-2 to initiate the change. Changing the ECR will not change the payroll source document.

Please complete and return the ECR immediately to avoid further action. Business managers, chairpersons, and directors are responsible for the distribution, collection, and return of the ECR to the URI Payroll Accounting Office in a timely manner.

If you need copies of the ECR, or if you have any questions, refer to the Effort Certification System User Manual, chapter 4 and 5, http://www.uri.edu/controller/pdf/grant/Effort_Certification_Manual_070105.doc.

If you have already submitted the ECR forms, please provide me with the date they were completed or with copies of the ECR.

If you have questions regarding State Non-Classified, contact Jeanne Nava in the URI Payroll Accounting Office at 874-2038 or jnava@uri.edu.

If you have questions regarding Grad Assistants/Students, contact Wendy Belue in the URI Payroll Accounting office at 874-4148 or wbel@uri.edu.

Thank you for your immediate attention on this important matter.

Enclosure



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THIRD REQUEST

DATE:

TO: Business Managers or Department Heads

FROM: James Cacciola, Assistant Controller

SUBJECT: Third Notice - Effort Certification Reports (Grad Assts/Students)

I have been informed by the University Payroll Manager that the Effort Certification Reports (ECR) for pay periods 11, and 12, two pay periods _____ to _____ of the fiscal year _____ have not been returned for employees listed on the attached document.

Federal regulations require that we collect and maintain ECR for all employees charged to research projects. The Federal Government Office of Management and Budget (OMB) Circular A-21, Section J-10 requires the University to certify the effort of all employees assigned to research projects. Failure to comply with these regulations can adversely impact the University through the disallowance of salary expenditures charged to research projects. Business managers, chairpersons, and directors are responsible for the distribution, collection, and return of the ECR to the URI Payroll Accounting Office in a timely manner.

Outstanding ECR must be returned immediately to prevent this matter from being referred to the University Controller.

If you have already submitted the ECR forms, please provide me with the date they were completed or with copies of the ECR.

Thank you for your immediate attention on this important matter.

If you have questions regarding State Non-Classified, contact Jeanne Nava in the URI Payroll Accounting Office at 874-2038 or jnava@uri.edu.

If you have questions regarding Grad Assistants/Students, contact Wendy Belue in the URI Payroll Accounting office at 874-4148 or wbel@uri.edu.

Enclosure

c: Dean/Director/Department Head



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FINAL NOTICE

DATE:

TO: Dean, Director or Department Head

FROM: Sharon Bell, Controller

SUBJECT: **Fourth and Final Notice** - Effort Certification Reports

I have been informed that the Effort Certification Reports (ECR) for pay periods 11, and 12; two pay periods _____ to _____ of the fiscal year _____ have not been returned for employees on the attached document.

Federal regulations require that we collect and maintain effort certification reports for all employees charged to research projects. The Federal Government Office of Management and Budget (OMB) Circular A-21, Section J-10 requires the University to certify the effort of all employees assigned to research projects. **ECR identified in this memorandum that are not returned by (_____) will result in the transfer of all salary and fringe charges from the research projects identified on the ECR to the College's overhead account.**

If you have already submitted the ECR forms, please provide me with the date they were completed or with copies of the ECR.

If you have questions regarding State Non-Classified, contact Jeanne Nava in the URI Payroll Accounting Office at 874-2038 or jnava@uri.edu.

If you have questions regarding Grad Assistants/Students, contact Wendy Belue in the URI Payroll Accounting office at 874-4148 or wbel@uri.edu.

Thank you for your immediate attention on this important matter.

Enclosure

c: Business Manager or Department Head