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Effort Reporting and Certification Process

I. PURPOSE

Provide guidance on effort reporting and certification for externally funded awards for UMass Boston.

II. SCOPE

Applies to all UMass Boston Principal Investigators, their delegates, and those staff identified as Effort Coordinators.

III. Related Documents and Resources

- [UMass Guidance on Effort Reporting](#)
- UMass Boston ORSP [Policies and Processes A-Z](#), see Roles and Responsibilities
- A Certifier training video is available under the Links section in ECC
- UMass Boston [ORSP Effort Reporting](#) webpage, includes log in link for ECC
- Email for questions: ECC@umb.edu

IV. Acronyms and Definitions

- Principal Investigator (PI) – Primarily responsible for the preparation, conduct, and administration of sponsored projects.
- Designee – A staff member assigned to certify employees paid from a specific sponsored project on behalf of the PI.
- Employee Compensation Compliance (ECC) – The effort certification system for UMass.
- Effort Coordinator (EC) – Ensures their areas are fully certified, serves as a liaison between ORSP and their investigators assisting with certification questions and helping their certifiers through the certification process.
- Proxy – A person assigned to certify an entire effort statement on a certifier's behalf.

V. UMass Boston Certification Process

UMass Boston certifies salaried effort annually for any sponsored projects that are federally funded or where the sponsor requires certification. Certification is a necessary part of our internal controls as it provides after-the-fact confirmation that the effort expended in support of the project is reasonably aligned with the compensation paid from the project.

Effort Certification System – ECC

UMass Boston uses the effort certification system, Employee Compensation Compliance (ECC) to certify effort annually in the fall for the previous academic year. ECC is a UMass system wide



application that integrates with PeopleSoft HR and Grants to ensure data loading into ECC is accurate, up to date, and complete.

The ECC system sends out notifications and reminders periodically throughout the certification period to help facilitate certification. Notifications are targeted to include only recipients who have certifications outstanding for the current effort period. If an email is received it is because the recipient has an effort statement that requires certification. The communications include a link to the ECC system and contact information for those who need assistance.

Roles and Responsibilities

Principal Investigators (PIs) are responsible for completing annual effort certifications in a timely manner. PIs certify their own effort as well as the effort of staff paid from their sponsored projects. PIs may delegate this responsibility provided the delegate has direct knowledge or suitable means to verify the compensation and effort reported is reasonably accurate.

Effort Coordinators (ECs) are responsible for ensuring effort is certified for the areas they support. ECs are key facilitators, acting as a liaison between ORSP and PIs to resolve any questions or concerns, and logging into ECC to manage outstanding effort statements.

ORSP is responsible for ensuring UMass Boston is in compliance with effort reporting requirements. ORSP provides training and resources to manage effort certification within the ECC system and provides guidance in interpretation of institutional policies and federal regulations.

Academic Leadership involvement is integral to ensure a culture of compliance at UMass Boston. Department Chairs and Center Directors will be brought in when repeat communications have proven ineffective in ensuring certification of late or outstanding effort statements, see the Failure to Certify section below.

See the Roles and Responsibilities Matrix linked in the Resources section above for additional information.

Failure to Certify

ORSP will coordinate with PIs, ECs, and academic leadership to ensure that UMass Boston is compliant with our certification requirements. All instances of non-compliance will be reported to academic leadership. Continued non-compliance will result in further escalation, loss of eligibility as a PI, which may result in withholding of additional compensation, suspension of RTF spending, and proposal submission privileges.