

# **Effort Certification**

## **Training for Certifiers**



**Research & Sponsored Programs**

# AGENDA

- Introduction - What is Effort Certification and why is it important?
- Regulatory Requirements
- What Gets Certified?
- Roles and Responsibilities
- Certification Schedule
- Tools and Resources
- How to Certify
- Hands-on Demo – Offered During Live Trainings
- Questions?

# Effort Reporting - Introduction

## What is Effort Reporting and why is it important?

To be compliant with regulations regarding compensation for personal services, UMass Boston must ensure that salaries and wages charged to sponsored projects are allocable, allowable, reasonable, and consistently applied.



The UMass System uses ECC to provide the required after the fact verification that employee compensation charged to sponsored projects is applied as expected and represents a reasonable approximation of effort committed to those projects.

# Effort Reporting – Regulatory Requirements

## **Federal Regulations Require a System of Internal Controls that:**

- Reasonably assures accurate, allowable, and allocable distribution among specific activities or cost objectives.
- Includes processes to perform periodic after-the-fact reviews of interim charges made to a Federal award based on budget estimates.
- All necessary adjustments must be made so that the final amount charged to the Federal award is accurate, allowable, and properly allocated.

## **Regulated Under:**

- 2 CFR Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards ([Uniform Guidance](#))

## **UMass Systems:**

- PeopleSoft Finance and HR provide controls for accounting and allocations, but lack that after-the-fact confirmation for salaried employees
- ECC fills that gap

# Effort Reporting – What is Certified

## UMass Boston Certifies Only as Required

- Effort Statements are assessed for certification requirement
- Typically, this means they include:
  - Federal funding or as required by sponsor
  - Payroll that is applied without requiring time reporting in HR
- All other statements are marked as No Certification Required

## Where does ECC data come from?

- PeopleSoft Finance and HR
  - Projects and Commitments from Finance
  - Person and Payroll from HR
- Automatic Data Feeds
  - Routinely loads and is monitored by UITs at the UMass System level
  - Exception reporting is delivered for campus maintenance

# Effort Reporting – Roles & Responsibilities

## Principal Investigators (PIs)

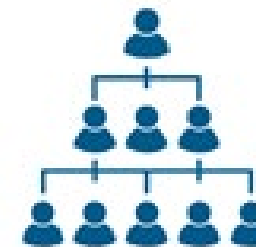
- Verify effort commitments are captured accurately (viewable in SUMMIT)
- Monitor sponsored project expenditures
- Certify effort for themselves and employees paid from their sponsored projects
  - Self-certifiers certify their own effort statements

## Effort Coordinators (ECs)

- Are available to answer questions PIs may have about certifying
- Assigned by department – every department must have at least one EC
  - Departments that are fully supported by the new DRA structure will have a DRA assigned as their EC
- Manage their department through the Department Dashboard in ECC
- Ensure all effort statements are certified for their departments
- Review and process effort tasks in ECC

## ORSP Central Administrators (CAs) - Ginny & Tracey

- Manage the ECC System
- Send out effort notifications
- Provide training and resources
- Monitor the [ecc@umb.edu](mailto:ecc@umb.edu) email inbox



[View ORSP Contacts by Department](#)

# Effort Reporting – Certification Schedule

## UMass Boston Certifies Effort Annually by Academic Year

- Effort Period = September 1 through August 31
- Certification Period = Timeframe for certifying the previous academic year

## 2024 Schedule

- 2023 – 2024 Academic Year Effort Period
  - September 1, 2023, through August 31, 2024
- Certification Period
  - Period opens for certification November 4, 2024
  - Period closes December 20, 2024
- When certifying, it is helpful to be mindful of the schedule to better understand the payroll and effort being certified

# Effort Reporting – Tools & Resources

## Self Service

- [Certifier Training Video](#) – 3 minutes, in the Links section within ECC



## Resources on the ORSP Website

- [Roles & Responsibilities Matrix](#)
- UMass Boston [Effort Reporting](#) - Includes login link and guidance

## Effort Reporting





# Effort Reporting – Tools & Resources

## SUMMIT Reporting

- Sponsored Project Activity – To monitor payroll applied to your projects
- See the SUMMIT section of the [Training & Education](#) page on the ORSP website

**Detail Reports**

Select Reports

☒ Payroll Detail by Employee

☐ Procurement Summary - Open PO Lines

☐ Voucher Detail

☐ Procard Detail

☐ Travel & Expense Detail

**Payroll Detail by Employee**

Payroll by Employee

Payroll by Employee reflects amounts as of the end of the month of the chosen Selected End Date

Payroll Category Payroll

Employee Name	Selected Date Range Expenditures	Project to Date Expenditures	Encumbrance	Projected Payroll	HR Encumbrance End Date
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# Effort Reporting – How to Certify


## Getting Started – Watch the Video and Tips & Tricks

- [Certifier Training Video](#) – 3 minutes, in the Links section within ECC
- Review the following Tips & Tricks

## Tips & Tricks – Home Page

- Statements Awaiting Certification shows all statements you need to certify
- Your Future Certification statement will always be present
- Click into any statement to navigate to the Certification page



Enter Search Criteria 

Hello, Virginia Maki ▾

Home

Certify

Manage

Reports

Administration


Links

Home Page


About

### Work List for Virginia Maki

Welcome to the **ECC** effort reporting system! The tabs below list the effort certification tasks that require your attention.  
Click on a link to view and resolve each task.

Statements Awaiting Certification (2) 

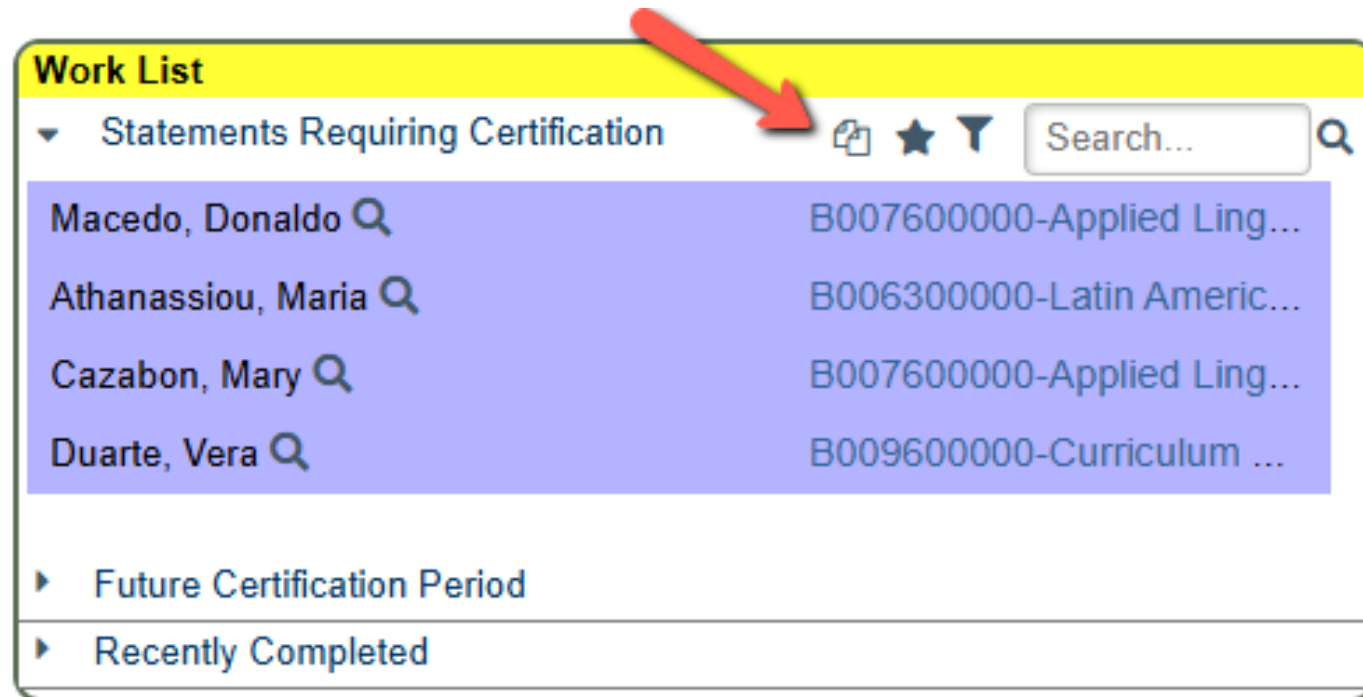
#### Effort Statements

Statement Owner	Department	Period	Due Date	Type	Status	PI
Maki, Virginia	B005400000-B005400000-Researc...	Academic 2023-2024	12/20/2024	Base	 Future Certification Period	

# Effort Reporting – How to Certify

## Tips & Tricks – Select All on the Work List

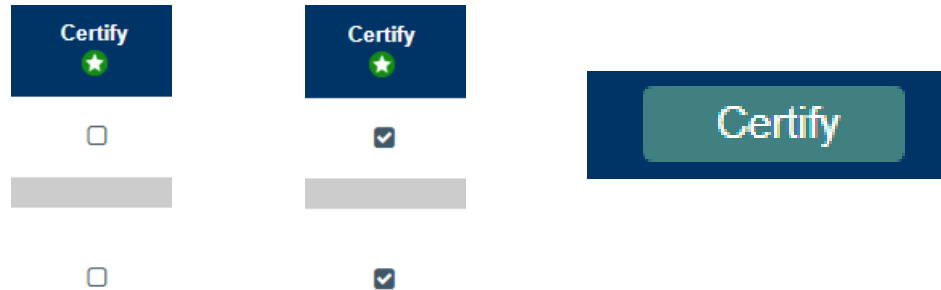
- Work List includes everyone you need to certify
- Click the 'Select All' icon to certify multiple statements at a time
- Statements to certify populate below



# Effort Reporting – How to Certify

## Tips & Tricks – Green Star to Check All Boxes

- The green star checks all boxes you can certify on that statement
- Once any boxes are checked the Certify button appears



## Tips & Tricks – Certifying Multiple Statements

- Use the Select All option, then check boxes on more than 1 statement and the Certify Checked option appears at the bottom



- Once all statements (except future) are certified, you are done!

# Effort Reporting – How to Certify

## Attestations

- Once you take a certification action, a series of notifications and attestations populate
- Read through the messages and click OK
- Do not navigate away from ECC during this process

- First Message:
  - Notification of certification being processed

Your certification is being processed. It's imperative that you don't try to close your browser during this process. All lines are being saved and you will be soon be prompted to attest to your certification.

You must click OK to proceed to the attestation screen and complete the certification process.

OK

# Effort Reporting – How to Certify

## Attestations

- Second Message - Certification Attestation

## Attestation

**Certification Attestation Effort 09/01/2022 - 08/31/2023**




### Frequency: Effort

Covered Individual: xxx

Title: Graduate Research Assistant

Department: B000100000 - B000100000-Chancellor's Office

Email: [ksawyer@umassp.edu](mailto:ksawyer@umassp.edu)

Status:  Not Certified, Not Processed

Location:

Appointment:

Effort Coordinator: Kimberlee Roselando - 10156036

Period of Performance: 09/01/2022 to 08/31/2023

*I certify that compensation charged to all sponsored projects reasonably reflects both work performed and paid absences consistent with university policy. I also certify that I have sufficient knowledge or am in a position that allows me to verify the work was performed.*

I Agree

Cancel

# Effort Reporting – How to Certify

## Hands on Demo for Live Trainings

- Demos are done from within the ECC Test Environment
- Payroll column has been turned off for these demos

# QUESTIONS



# ORSP Leadership

[Matthew Meyer](#)

Associate Vice Provost for Research  
and Director of ORSP

[Shala Bonyun](#)

Associate Director of ORSP  
Preaward Support Services

[Rebecca Hanson](#)

Associate Director of ORSP  
Postaward Support Services

[Tracey Poston, PhD](#)

Associate Director of ORSP  
Research Compliance and Integrity

[Virginia Maki](#)

Assistant Director of ORSP  
eRA Systems and Training

[Serena Wang](#)

Research Core Facilities &  
Operations Manager of ORSP