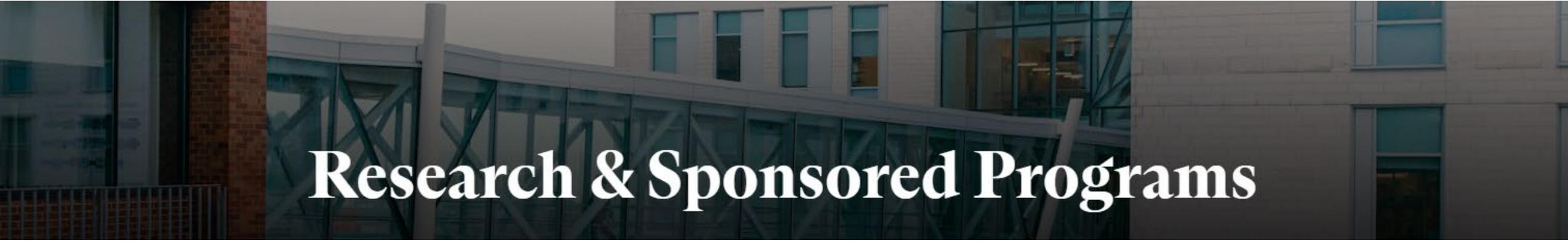


Effort Certification

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 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

[ECC \(Log In Here\)](#)

[Effort Reporting Guidance](#)

[UMB Effort Certification Process](#)

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

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

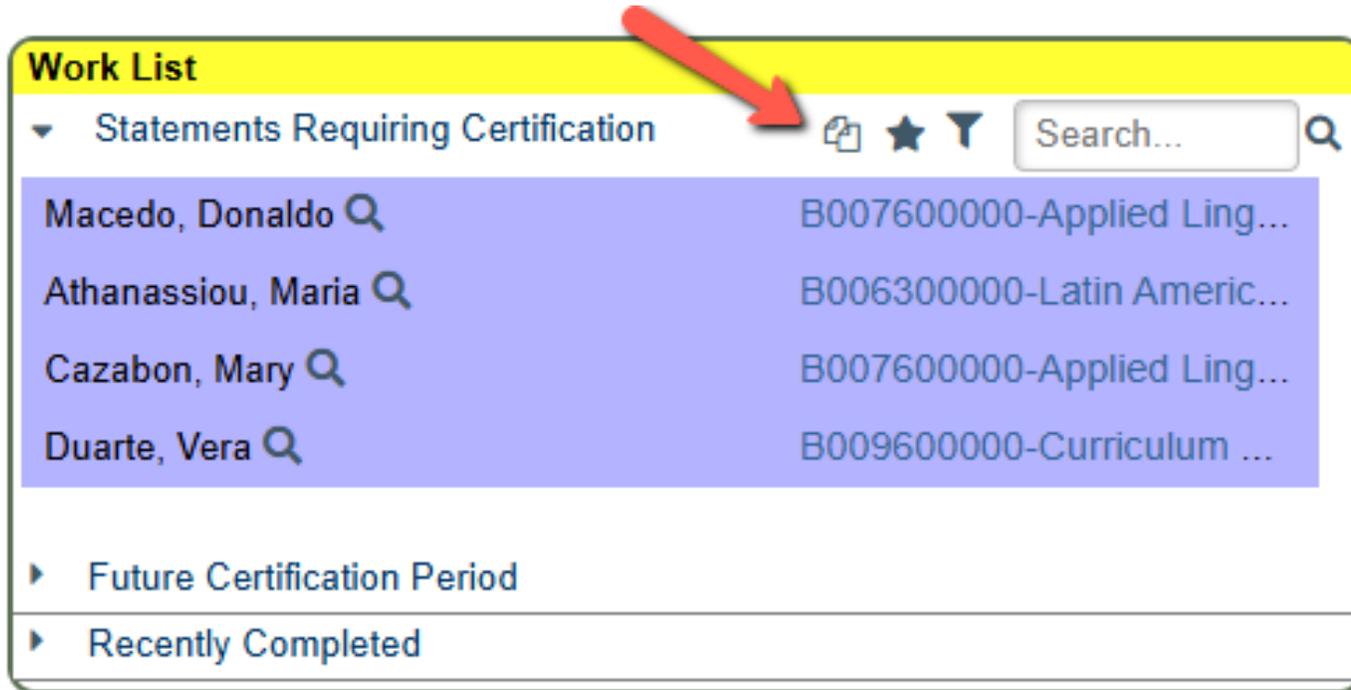
The screenshot shows the UMass Boston ECC effort reporting system interface. At the top left is the UMass Boston logo. To the right is a search bar with the placeholder text "Enter Search Criteria" and a magnifying glass icon. Further right is the user greeting "Hello, Virginia Maki" with a dropdown arrow. Below this is a navigation menu with tabs: Home, Certify, Manage, Reports, Administration, and Links. Under the Home tab, there are sub-links for "Home Page" and "About". The main content area is titled "Work List for Virginia Maki" and includes a help icon. A welcome message states: "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." Below the message is a section titled "Statements Awaiting Certification (2)" with a refresh icon. Underneath is a table titled "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



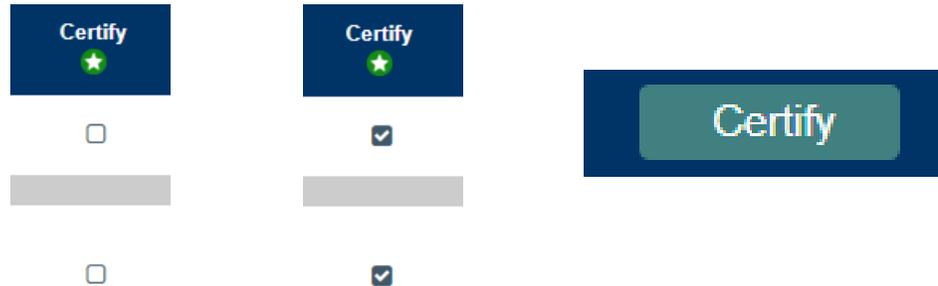
The screenshot shows a 'Work List' interface. At the top, there is a yellow header bar with the text 'Work List'. Below this, there is a section titled 'Statements Requiring Certification' with a dropdown arrow on the left. To the right of this title are four icons: a document with a checkmark, a star, a funnel, and a search icon. A red arrow points to the document with a checkmark icon. Below the title and icons is a table with four rows, each representing a person and their associated statement. The first row is highlighted in blue. Below the table, there are two expandable sections: 'Future Certification Period' and 'Recently Completed'.

Statements Requiring Certification	
Macedo, Donaldo	B007600000-Applied Ling...
Athanassiou, Maria	B006300000-Latin Americ...
Cazabon, Mary	B007600000-Applied Ling...
Duarte, Vera	B009600000-Curriculum ...

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:

Title: Graduate Research Assistant
Department: B000100000 - B000100000-Chancellor's Office

Location: Appointment:
Effort Coordinator: Kimberlee Roselando - 10156036

Email: ksawyer@umassp.edu

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

Status:  Not Certified, Not Processed

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.

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