## EFFORT COORDINATOR TRAINING 2023

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## Agenda

- Effort Reporting Updates for FY23
- Effort Responsibilities
- ECC Basic Information
- Home Page Navigation
- Department Dashboard
- Certifying Effort Statements
- Processing Effort Tasks
- Effort \& ECC Reports
- Questions


## Effort Reporting Updates for 2023

## Organizational Oversight

Controller's Office<br>The Controller's Office will now be the Department responsible for overseeing and executing the ECC effort reporting process at UMass Amherst.<br>Primary Contact:<br>Kerri L. Bolow; Assistant Controller; Finance, Cost Analysis and Grant Management<br>Email: Kbolow@umass.edu

## AFIT

AFIT will work closely with the Controller's Office continue to oversee the ECC process \& updates and to provide technical assistance .

## Effort Reporting Dates

- Effort Period of Performance: July 1, 2022 - June 30, 2023 (FY23)
- Effort Certification Window:

Official Period:
Tuesday, October 3, 2023- Friday, November 17, 2023

- Three email reminders will be sent to Self-Certifiers/PIs with open effort cards:
- Opening Notification: Tuesday, October 3, 2023
- Mid-Period Reminder: Monday, October 23, 2023
- Closing Notification: Monday, November 13, 2023


## Effort Reporting Updates \& Reminders

## Prior Year Data/ Actions needed

- Still some open cards from previous fiscal years.
- Some outstanding processing tasks need to be completed by Effort Coordinators
- Timely certification compliance is being coordinated between The Office of Research and Engagement, Research Administration Advisory Board, Financial and Cost Analysis, and the Controller's Office.


## Help for Departments and Self-Certifiers/PI's

- The Pl's have access to a 'get help' button on their effort cards that will open an email to their effort coordinator.
- Video \& Slide Presentation available on our website: https://www.umass.edu/afsystems/effort-reporting
- Certified only as required - Pl's without Federal funding may not need to go into ECC to certify.
- Effort Reporting Reconciliation Reports: These reports are available on a Summit Dashboard for Effort Coordinators or Pis to review (AMH Reports--> Payroll Reconciliation). These reports will reconcile PI payroll between the ECC system and what is posted in Summit. Contact AFIT for assistance.
- Open sessions and one-on-one help will be available.
- Submit a help request ticket: ecc@umass.edu


## Effort Responsibilities

## Effort Coordinator Responsibilities

Effort Coordinators are key facilitators in making sure that the Effort Statement Cards are certified.

Effort Coordinators are responsible for:

- Acting as a liaison between central HR and the Self-Certifier/PI to ensure the appropriate effort is recorded.
- For logging into the ECC system to manage and keep track of outstanding effort cards.
- For following up with their Self-Certifiers/PIs to complete certification.


## Important Terms

- Self-Certifier: Primary Individual who has responsibility for certifying their effort.
- PI: A person listed as a principal investigator, project director, co-investigator, co-project director, or someone with comparable responsibilities on a sponsored project.
- Effort Card/Statement: The statement of effort that the Self-Certifiers/PIs are required to certify.
- ECC: Employee Compensation Compliance (formerly called ECRT) The computer system Self-Certifiers/PIs and Effort Coordinators log in to for managing the Effort Certification process.


## Effort Certification - Principles of Effort Reporting



- Effort reporting is the federally-mandated process by which the salary charged to a sponsored project is documented as being reasonable in relation to the effort expended on that project.
- When an award is granted as part of the award documents the PI identifies the amount of effort they plan to commit to the award. The Effort Certification process validates whether that commitment has been met.
- Certification of an effort statement must reasonably reflect the activity for which the employee is compensated by the University of Massachusetts.
- Effort Certification is completed on an annual basis using ECC web-based software. The period of certification is based on the fiscal year.


## ECC Certification Process

- During the period of performance (fiscal year), data is loaded into ECC. This is done close to real-time, so effort cards will be up to date at all times.
- Once the fiscal year ends, the Effort Coordinators (ECs) have time to process any adjustments, set up cost sharing, and otherwise review the effort cards.
- Once the certification period begins, the Self Certifiers/PIs (Pls and other key personnel on sponsored awards) log into ECC to certify their effort. Pl's have to certify the effort of all research staff paid by their awards.
- Awards that require certification are:
- All federally sponsored payroll dollars, or
- Awards that specifically require certification as part of their award documentation.
- Employees that do not have those types of payroll are auto-certified by the system.
- If changes are made to the effort statement by the Self-Certifier, the card will generate a task for the Effort Coordinator to review. The effort coordinator will need to determine if cost transfers or other adjustments are necessary. The EC can then complete the processing, or send the card back to the certifier to make changes.


## ECC - Employee Compensation Compliance System <br> Basic Information

## ECC System Login \& Help Information

Administration \& Finance Information Technology

## Effort Reporting

The Employee Compensation Compliance (ECC) system a web-based system used for effort reporting and certification. The ECC system helps researchers comply with UMass effort reporting policies, federal OMB Uniform Guidance compensation policies, NIH Salary Limitation on Grants, and other relevant agency policies that require certification of an individual's effort on sponsored programs. As part of the process, Principal Investigators (PIs) are required to certify their own effort and the effort of their researchers.

Principal Investigators are required to be familiar with policies regarding Effort Reporting. For all UMass Amherst Sponsored funding policies and guidelines please refer to the documents posted at https://www.umass.edu/research/documents.

Compensation and Effort Certification related policies and guides:
Additional Compensation https://www.umass.edu/research/policy/additional-compensation-sponsoredprojects
Minimum Effort https://www.umass.edu/research/policy/minimum-effort-sponsored-project
Cost Sharing https://www.umass.edu/research/policy/cost-sharing-policy
Cost Transfers https://www.umass.edu/research/policy/cost-transfer-policy
Need Help?
Please email ecc@umass.edu.
Related Resources
ECC System Job Aids


Chat with Remote Report a Technician Support ProblemApplication Security
search this site Go

Login to Application
> ECC (Effort Reporting)

## Quick Links

- P/Self Certifier Training Video
- Online OWL Training
- omb Uniform Guidance
- NH Grant Policies and Guidance


## https://www.umass.edu /afsystems/effortreporting

Pl/Self Certifier Training Video

## Menu \& Home Page

The home page will show up to 3 tabs of information, depending on your role and available tasks:

- Statements Awaiting Certification
- Effort Tasks
- Associated Certifiers

| Mass Anherst |  |  |  | Enter Search Criteria |  | Hello, $\square_{\square}$ |
| :---: | :---: | :---: | :---: | :---: | :---: | :---: |
|  | Certify | Manage | Reports | Administration | Links |  |
| Home Page About |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
| Welcome to the ECC effort reporting system. The tabs below list all of the effort certification tasks that require your attention - whether it is certifying statements, processing statements, or following up on outstanding statements. To view and resolve the specific task, select the link in the task description. |  |  |  |  |  |  |
| Statements Awaiting Certification | Effort Tasks (9) |  | Associated Certifiers |  |  |  |
| Type | Identifier |  | Name |  | Date |  |
| Process Base Certification Statement | - |  |  |  | 03/01/2021 10:16 An |  |

## Help Links

UMassAmherst
Certify
Manage
Reports Administration
Links
PI Certification Training Video UMass Principles of Effort Certification
National Institutes of Health: Grants Policy and Guidance



Links Menu: The Policy and Procedure documents as well as training materials for specific roles are found under the links menu.


- Help Icon: Most screens contain a help icon available in the upper right portion of the page.
- Clicking this button will bring up a separate window containing help on the portion of the system currently being worked in.
- The Help Document still refers to the prior name for ECC; ECRT.
- This is a general help guide. If you have specific UMass process questions, contact ecc@umass.edu.


## Search Bar \& Look-up Page

Search Bar - ECC has a Search Bar that is available at the top of every page.
You will be directed to the Look-up Page if your search contains more than one result.
Look-up Page - Navigate directly to the Lookup Page by going to Manage > Look-up.

Search Options: You can search for:

- An Employee go to their Effort Statement,
- A Department to go to the Department Dashboard page, or
- A Grant to go to the Award/Grant Summary page.


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Home Page About
```



Look-up Page
The Look-Up page allows you to search for Employee, Award(s), Grant(s), or Department(s). After at least three (3) characters of the name or number are entered the system displays the possible matches in three separate lists - one for Employee, one for Department, and one for Award and Grant. You then can continue to enter data or select a match from the list and be taken to the appropriate page - the Effort statement page, the Department Dashboard, or the Award/Grant Summary page. The Award/Grant Summary page opens in new browser page. If you enter enough data to return only one result, you will be directed to the appropriate page automatically.

The Enter and Tab keys do not allow selection of data.


## ECC Home Page Tabs

## Home Page: Effort Tasks Tab

Effort Tasks - This tab contains effort processing and payroll adjustment tasks for your review.

- Click on the blue Type link to open the task.
- For more information see the section on Processing Effort Tasks



## Home Page: Statements Awaiting Certification Tab

## Statements Awaiting

Certification - A summary and status of the cards that you are responsible to certify.

- Your Self Certifiers/PIs will see this tab when they log in.



## Home Page: Associated Certifiers Tab

Associated Certifiers - This tab is used to monitor all uncertified effort statements.

- It displays all statements in a 'Not Certified’ status that you are associated to.
- As statements are certified, they will drop off your Associated Certifiers list.



## Department Dashboard

## Department Dashboard



The information that an Effort Coordinator needs to manage the effort certification process is divided into three tabs:

- People,
- Award and Grant, and
- Department Information

The Certification Summary Chart gives the number of statements in each status for the certification period.


## Effort Card Statement Pre-Review \& Certifying

## Effort Certification Page



The Effort Certification /
Effort Card page contains 3 sections:

- Work List
- Individual's Information
- Effort Card Statement


| Doe, Jane - 10000000 (Annual) Base Effort Period: 07/01/2020 to 06/30/2021 | Status: Not Certified, Not Processed |  |  |  |  |
| :---: | :---: | :---: | :---: | :---: | :---: |
| ® 凅 |  |  | On Hold: $\square$ S Value Add Grant |  |  |
| Accounts | Payroll | $\begin{aligned} & \text { Revised Cost } \\ & \text { Share } \end{aligned}$ | Computed Effort | Certified Effort | Certify? |
| Sponsored <br> 53106-S111 $\qquad$ Federal - NIH $\qquad$ NIH <br> 53106-S111 $\square$ Federal - NIH $\square$ $\square$ - $\square$ | $\begin{gathered} 0.66 \% \\ 63.58 \% \end{gathered}$ | $\begin{aligned} & 0.00 \% \\ & \hline 0.00 \% \end{aligned}$ | $\begin{array}{r} 0.66 \% \\ 63.58 \% \end{array}$ | $\begin{array}{r} 1 \\ \hline 64 \% \\ \hline \end{array}$ | $\nabla$ |
| Sponsored Total: | 64.24\% | 0.00\% | 64.24\% | 65\% |  |
| Non Sponsored 51342- <br> General Operating | 35.77 \% | 0.00\% | 35.77 \% | $36 \%$ | $\nabla$ |
| Non Sponsored Total: | 35.77\% | 0.00\% | 35.77\% | 36\% |  |
| Grand Total: | 100.01\% | 0.00\% | 100.01\% | 101\% |  |
| Get Help |  |  |  |  |  |

## Effort Certification Page: Work List (Top Left)

Work List: The work list is used to determine which statements to view.

Here you are able to load statements, and utilize effort card search tools.

Status Drop-downs:

- Statements Requiring Certification
- In Progress
- Recently Completed

| Work List |  |  |
| :--- | :--- | :--- |
| Statements Requiring Certification |  |  |
| Doe, Jane | ADPT010400-Veterinary ... |  |
|  | ADPT190500-Chemistry |  |
|  | ADPT091100-UMass Trans... |  |
|  | ADPT090600-Chemical Eng... |  |
|  | ADPT190500-Chemistry |  |
| In Progress |  |  |
| Recently Completed |  |  |

## Effort Certification Page: Individual's Information (Top Right)

Selecting a single name from the top left work list window will:

- Populate the top right window with information specific to that individual
- Will automatically display the most recent open statement of the individual in the lower window.


## Doe, Jane - 10000000



## Effort Certification Page



## Effort Certification Page: Effort Card Statement Header



## Effort Certification Page: Effort Card Statement Information

## Sections at the bottom of the Effort Card

 Statement:- Notes and Attachments - For you to add supporting documentation and comments.
- Transactions - This list shows all transactions that effected the statement.
- Activity Log - shows all system actions that have occurred related to the card.
- Email Log - will show any emails that have been sent to the statement owner.
- Certifiers \& Approvers - This list shows all the people who are required to certify and process the statement and what tasks they are responsible for.



## Effort Certification Page: Effort Card Statement Certification

| Doe, Jane-10000000 (Annual) Base Effort Period: 07/01/2020 to 06/30/2021 | Status: Not Certified, Not Processed |  |  |  |  |
| :---: | :---: | :---: | :---: | :---: | :---: |
| * 國 |  |  | On Hold: $\square$ \$ Value Add Grant |  |  |
| Accounts | Payroll | Revised Cost Share | Computed Effort | Certified Effort | Certify? |
| Sponsored |  |  |  |  |  |
| 53106-S111 Federal - NIH: $\square$ - NIH | 0.66 \% | 0.00 \% | 0.66 \% | 1 \% | $\checkmark$ |
| 53106-S111 Federal - NIH - NIH | 63.58 \% | $0.00 \%$ | 63.58 \% | 64 \% | $\checkmark$ |
| Sponsored Total: | 64.24\% | 0.00\% | 64.24\% | 65\% |  |
| Non Sponsored |  |  |  |  |  |
| 51342- | 35.77 \% | 0.00 \% | 35.77 \% | 36 \% | $\checkmark$ |
| Non Sponsored Total: | 35.77\% | 0.00\% | 35.77\% | 36\% |  |
| Grand Total: | 100.01\% | 0.00\% | 100.01\% | 101\% |  |
| Get Help |  |  |  |  | Certify |

- Accounts - includes the effort category (Sponsored or Non Sponsored) and the account title
- Payroll - amount of effort calculated based on the payroll data for the period of certification.
- Revised Cost Share - contains percentage of wages classified as cost sharing that were manually updated by an Effort Coordinator to include in the Cost Sharing total on the statement.
- Computed Effort - the sum of the payroll and cost share columns.
- Certified Effort -certifiers are able to enter the percentage of effort that was actually expended on the projects associated with the account.
- Certify Checkboxes - to certify that the effort and payroll amounts are correct for each account.


## Processing Effort Tasks

## Effort Tasks



## Effort Task - Note Added

There is no change in the level of effort, but the certifier has included a note so this card requires review and processing.


## Effort Task - Cost Transfer Needed



## Open an Effort Card For Re-Certification



## Effort \& ECC Reports

## Summit Payroll Reconciliation Report



## Summit Payroll Reconciliation Report

Project Payroll Summary

| Project ID | Description | Employee Name | Employee ID | Fund Code - Desc | Ledger Amount | FY Effort Amount |
| :---: | :---: | :---: | :---: | :---: | :---: | :---: |
| S191 | Harvard | $\mathrm{A} \square+\square$ | $\square$ | 53405 - Private Direct G\&C Level 5 | 29,941 | 14,787 |
|  |  | 0 O |  | 53405 - Private Direct G\&C Level 5 | 695 | 373 |
| S191 Total |  |  |  |  | 30,636 | 15,160 |
| S19 | I | Al | $4 \times$ | 53405 - Private Direct G\&C Level 5 | 8,068 | 8,068 |
|  |  | W | - | 53405 - Private Direct G\&C Level 5 | 6,537 | 6,369 |
| S19 Total |  |  |  |  | 14,605 | 14,437 |
| Grand Total |  |  |  |  | 45,241 | 29,597 |

## ECC Reports



## ECC Helpful Reports

| Report | Navigation | Description |
| :--- | :--- | :--- |
| Sponsored Project <br> Employee <br> Summary | ECC > Reporting > Payroll/Cost <br> Share >SPES (Sponsored <br> Project Employee Summary) <br> Report | The Sponsored Project Employee Summary (SPES) <br> report lists all of the employees and amounts <br> associated with effort on a specific account, for the <br> effort reporting period. It shows the amounts both as <br> percent and dollar amounts. |
| Certifier Salary <br> Activity | ECC > Reporting > Payroll/Cost <br> Share >Certifier Salary Activity <br> Report | The Certifier Salary Activity Report displays the <br> salary information for all supporting individuals <br> charging the selected Certifier's awards. |
| Uncertified Effort <br> Lines | ECC > Reporting > Management <br> > Uncertified Effort Lines with <br> College \& Email Info | This report lists all the uncertified effort lines for the <br> entire university. You will have to sort it to show only <br> your department. |

## Committed Effort Look-Up

## PeopleSoft Finance - Project Team Detail

Navigation: Navigator > Grants > Awards > Project > Enter Search Criteria > Project Team > Team Detail Tab


## Award Documentation - Budget Page/

Budget Narrative
Navigation: Your Documentation or Summit >
Sponsored Activity Page

## Summit <br> FDM: Department Management

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Summary Activity Transaction Detail Chartfield Lookup Balance Sheet Fiscal Reporting
Budget Balance Activity Fund Balance Activity Non Sponsored Activity Sponsored Activity
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$\triangle$ Information


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## THANK YOU FOR ATTENDING THIS ECC TRAINING!

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