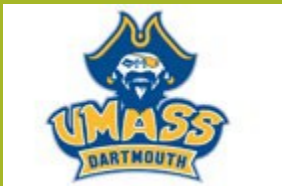


EFFORT REPORTING

How to Certify Effort in Employee Compensation Compliance
ECC



How Do I Know When To Certify?

- UMass Dartmouth certifies effort on an Annual basis.
- The Certification will cover the previous Fall, Spring and Summer sessions.
- Starting with the certification period ending August 31, 2021, UMASS Dartmouth will only certify statements that contain **federally funded** sponsored projects.
- Statements that do not include federally funded sponsored projects will be automatically processed with the designation of “No Certification Required”.
- **You will be notified via a system generated email when it is time to certify.**



How Do I Certify My Effort?

- Log into WWW.UMASSD.EDU
- Click on RESEARCH
- Click in Research Development & Administration
- Click on Office of Research Administration
- Under Resources click on Online Tools
- Select ECC



Effort Certification

RESEARCH // OFFICE OF RESEARCH ADMINISTRATION HOME // HOW TO // AWARD MANAGEMENT // **EFFORT CERTIFICATION**



TIME AND EFFORT
THE BASICS OF EFFORT REPORTING
SUMMER AND OTHER EFFORT REQUIREMENTS
UMASS GUIDANCE ON EFFORT REPORTING POLICIES
FORMS

The University of Massachusetts Dartmouth has implemented a web-based effort reporting system called **ECC (Employee Compensation Compliance)**.

ECC will support and facilitate the annual time and effort reporting requirements of the federal government and the UMASS system.

For questions regarding ECC please contact: Catherine Palmer, Financial Systems & Reporting Manager, 508-999-8965

More information on Time & Effort and ECC

- [UMass Guidance on Effort Reporting Policies](#)
- [Time & Effort](#)
- [The Basics of Effort Reporting](#)
- [Summer and Other Effort Requirements](#)
- [Effort Conversion Table](#)

Training Tools

- [ECC Self-Certifier/PI Training](#)
- [ECC Search/Lookup Training](#)
- [ECC Revised Cost Share Training](#)

Contact

Office of Research Administration

Foster Administration Building, 007
University of Massachusetts
Dartmouth
285 Old Westport Road
Dartmouth, MA 02747-2300

📞 508.999.8953

✉ ORA.info@umassd.edu

- Select ECC (Employee Compensation Compliance)



Secure Access Login

- This will bring you to the Secure Access Login
- Put in your USER Name and Password and select Dartmouth as your Campus. Then hit the Login button



Welcome to ECC

Welcome to the next big thing in time and effort reporting... Employee Compensation Compliance (ECC)

At UMASS Dartmouth, we have deployed the web-based ECC system to serve as the new tool to facilitate the institution's effort reporting and certification process. The institution's previous system, ECRT, will no longer be used. .

ECC is a web-based technology that intuitively guides certifiers and administrators through the various facets of the effort reporting and certification process on a periodic basis. It is very similar to the ECRT system. The ECC system uses a guided process to walk you through the steps that you will need to complete your effort certification. Our institution's process will be simplified and standardized as a result of this technology ... keeping the process simple for you, the end user.

The ECC system is designed to help you comply with the provisions of this institution's effort reporting policies, federal policy OMB Circular A-21 section J.10., NIH Salary Limitation on Grants, and other relevant agency policies that govern the need to provide certification of an individual's effort pursuant to his/her sponsored and non-sponsored programs. Faculty and staff are required to complete and submit an Effort Certification Statement for review and approval by a user's respective deadline.

So, log in and get started. You will be certified before you know it!

Continue

- This will bring you to the Welcome screen
- Hit Continue button



Work List for

Welcome to the **ecrt** 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 (7)

Effort Statements

Statement Owner	Department	Period	Due Date	Type	Status	PI
<input type="text" value="PI Name"/>	D262000000-D262000000-BioEngineering	Academic Year 2019	11/26/2020	Base	✘ Not Certified, Not Processed	
<input type="text" value="Student A"/>	D265300000-D265300000-Co-Op Engineering	Academic Year 2019	11/26/2020	Base	✘ Not Certified, Not Processed	●
<input type="text" value="Student B"/>	D262000000-D262000000-BioEngineering	Academic Year 2019	11/26/2020	Base	✘ Not Certified, Not Processed	●
<input type="text" value="Student C"/>	D263000000-D263000000-Mechanical Engine...	Academic Year 2019	11/26/2020	Base	✘ Not Certified, Not Processed	●
<input type="text" value="Student D"/>	D265300000-D265300000-Co-Op Engineering	Academic Year 2019	11/26/2020	Base	✘ Not Certified, Not Processed	●
<input type="text" value="Student E"/>	D264000000-D264000000-Materials and Textiles	Academic Year 2019	11/26/2020	Base	✘ Not Certified, Not Processed	●
<input type="text" value="Student F"/>	D265300000-D265300000-Co-Op Engineering	Academic Year 2019	11/26/2020	Base	✘ Not Certified, Not Processed	●

- You will be brought to your work list. Click on your name.



Work List

Statements Requiring Certification

PI	D262000000-BioEngineering
Student A	D265300000-Co-Op Engineering
Student B	D262000000-BioEngineering
Student C	D263000000-Mechanical Engineering
Student D	D265300000-Co-Op Engineering
Recently Completed	D264000000-Materials and Textiles

PI

- Statement Owner
- Effort Statements
 - Needing certification
 - Base 11/26/2020 ✘ Not Certified, Not Processed
 - Historical

PI (Yearly) Base Effort Period: 09/01/2018 to 08/31/2019 Status: Not Certified, Not Processed

INFO - This Effort Statement has been previously saved.

[\\$ Value](#) [Effort Calc](#)

Accounts	Commitments	Payroll Dollars	Payroll	Revised Cost Share	Computed Effort	Certified Effort	Certify?
Sponsored							
53106-S32100000029106 Federal - ABI Innovation: A New Computat - NSF	16.64 %	\$8,802.84	6.65 %	0.00 %	6.65 %	<input type="text" value="6"/> %	<input type="checkbox"/>
53416-S31110000040658 Private - Bayesian Machine Learning Tool - BWH	11.77 %	\$13,359.47	10.09 %	0.00 %	10.09 %	<input type="text" value="10"/> %	<input type="checkbox"/>
53416-S32100000041859 Private - Viral Micro-Epidemics and Evol - DARTCOLLEG	4.20 %	\$0.00	0.00 %	0.00 %	0.00 %	<input type="text" value="0"/> %	<input type="checkbox"/>
Sponsored Total:	32.61%	\$22,162.31	16.74%	0.00%	16.74%	16%	
Non Sponsored							
NONSP Non-Sponsored Effort	0.00 %	\$110,267.72	83.26 %	0.00 %	83.26 %	<input type="text" value="84"/> %	<input type="checkbox"/>
Non Sponsored Total:	0.00%	\$110,267.72	83.26%	0.00%	83.26%	84%	
Grand Total:	32.61%	\$132,430.03	100.00%	0.00%	100.00%	100%	

Save

Notes

Attachments

- Here is an example of an effort statement. It is broken out in two different segments. The top is Sponsored Effort and the bottom is Non Sponsored Effort. Since one of the projects is Federal, the statement will need to be certified.



Commitments Column

Accounts	Commitments
Sponsored	
53106-S32100000029106 Federal - ABI Innovation: A New Computat - NSF	16.64 %
53416-S31110000040658 Private - Bayesian Machine Learning Tool - BWH	11.77 %
53416-S32100000041859 Private - Viral Micro-Epidemics and Evol - DARTCOLLEG	4.20 %
Sponsored Total:	32.61%
Non Sponsored	
NONSP Non-Sponsored Effort	0.00 %
Non Sponsored Total:	0.00%
Grand Total:	32.61%

- The Commitments column details the percentage of effort you committed to each project for the certification period.
- It is imported directly from PeopleSoft, which is based upon percentages allocated to each award.
- If there is a difference greater than 5% between committed effort and certified effort, an explanation **must** be added in the Notes section.



Payroll and Cost Share Columns

Payroll Dollars	Payroll	Revised Cost Share
\$8,802.84	6.65 %	0.00 %
\$13,359.47	10.09 %	0.00 %
\$0.00	0.00 %	0.00 %
\$22,162.31	16.74%	0.00%
\$110,267.72	83.26 %	0.00 %
\$110,267.72	83.26%	0.00%
\$132,430.03	100.00%	0.00%

- The Payroll Dollars column lists the payroll dollars charged to each project during the certification period.
- The Payroll column details the percentage of effort calculated based upon the payroll dollar amount expended for the certification period.
- This detail imported directly to ECC from PeopleSoft.
- The Revised Cost Share is used by the Effort Coordinator to Include Cost Share.
- All Cost Share effort is detailed in the Non-Sponsored section and entered by ORA per the award cost share commitment.



Computed Effort and Certified Effort Columns

Computed Effort	Certified Effort	Certify? ★
6.65 %	<input type="text" value="6"/> %	<input type="checkbox"/>
10.09 %	<input type="text" value="10"/> %	<input type="checkbox"/>
0.00 %	<input type="text" value="0"/> %	<input type="checkbox"/>
16.74%	16%	
83.26 %	<input type="text" value="84"/> %	<input type="checkbox"/>
83.26%	84%	
100.00%	100%	

Save

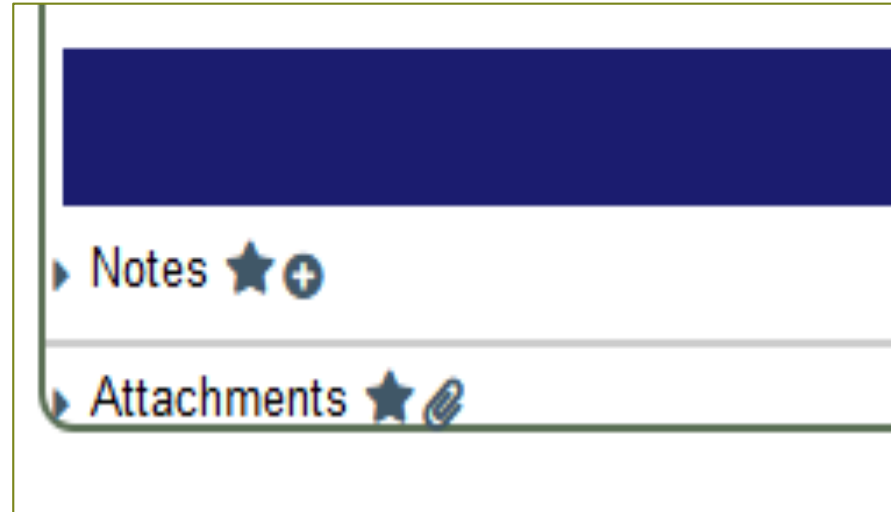
- Computed effort is what the system has calculated based upon your payroll data.
- You are able to adjust in the Certified Effort column if your effort was different for the certification period.
- If the variance between the Computed column and Certified Column is greater than 5%, a note **must** be added to the card



Accounts	Commitments	Payroll Dollars	Payroll	Revised Cost Share	Computed Effort	Certified Effort	Certify? ★
Sponsored							
53106-S3210000029106 Federal - ABI Innovation: A New Computat - NSF	16.64 %	\$8,802.84	6.65 %	0.00 %	6.65 %	<input type="text" value="6"/> %	<input type="checkbox"/>
53416-S31110000040658 Private - Bayesian Machine Learning Tool - BWH	11.77 %	\$13,359.47	10.09 %	0.00 %	10.09 %	<input type="text" value="10"/> %	<input type="checkbox"/>
53416-S32100000041859 Private - Viral Micro-Epidemics and Evol - DARTCOLLEG	4.20 %	\$0.00	0.00 %	0.00 %	0.00 %	<input type="text" value="3"/> %	<input type="checkbox"/>
Sponsored Total:	32.61%	\$22,162.31	16.74%	0.00%	16.74%	19%	
Non Sponsored							
NONSP Non-Sponsored Effort	0.00 %	\$110,267.72	83.26 %	0.00 %	83.26 %	<input type="text" value="81"/> %	<input type="checkbox"/>
Non Sponsored Total:	0.00%	\$110,267.72	83.26%	0.00%	83.26%	81%	
Grand Total:	32.61%	\$132,430.03	100.00%	0.00%	100.00%	100%	

- In this case , the Certifier moved 3% of effort from the Non Sponsored line to the last project on the Sponsored section.
- Since the total must equal 100%, certified effort for Non Sponsored must be reduced by 3% to now equal 81%.
- The PI should add a note in the notes section to account for the change in effort (Notes are required for changes in excess of 5%).
- After any changes be sure to click the **SAVE** bottom on the bottom right.

Adding a Note or Attachment



- To add a note, click on the icon next to Notes. A box will pop up where you can record any pertinent information.
- If you wish to attach a file, click on the icon next to Attachments. You will be able to browse your folders and attach.

Certify? Column

Revised Cost Share	Computed Effort	Certified Effort	Certify? ★
0.00 %	6.65 %	<input type="text" value="6"/> %	<input checked="" type="checkbox"/>
0.00 %	10.09 %	<input type="text" value="10"/> %	<input checked="" type="checkbox"/>
0.00 %	0.00 %	<input type="text" value="0"/> %	<input checked="" type="checkbox"/>
0.00%	16.74%	16%	
0.00 %	83.26 %	<input type="text" value="84"/> %	<input checked="" type="checkbox"/>
0.00%	83.26%	84%	
0.00%	100.00%	100%	

- If the amounts in the Certified Effort Column are accurate, click the boxes. (Effort MUST equal 100%)
- Click the Save button and then the Certify button.



After you hit the Certify Button, you must wait for this window to pop up and then hit the **I Agree** button.

Attestation

Certification Attestation Effort 09/01/2018 - 08/31/2019 ?

Frequency: Yearly

Covered Individual:	<input type="text" value="PI Name"/>	Location:	
Title:	Assistant Professor	Appointment:	Honorific/Visiting Appointment
Department:	D262000000 - D262000000-BioEngineering	Effort Coordinator:	Catherine Palmer
Email:	ksawyer@umassp.edu	Period of Performance:	09/01/2018 to 08/31/2019
Status:	✘ Not Certified, Not Processed		

I certify that I have firsthand knowledge of (or have suitable means of verifying) work performed by this individual and that the effort distribution is reasonable in relation to the work performed.



How Do I Certify My Employees Effort?

Work List

Statements Requiring Certification

PI	D262000000-BioEngineering
Student A	D265300000-Co-Op Engineering
Student B	D262000000-BioEngineering
Student C	D263000000-Mechanical Engineering
Student D	D265300000-Co-Op Engineering
Recently Completed	D264000000-Materials and Textiles

Student A 17

- Statement Owner
- Effort Statements
 - Needing certification
 - Base 11/26/2020 ✘ Not Certified, Not Processed
 - Historical

Student A (Yearly) Base Effort Period: 09/01/2018 to 08/31/2019 Status: Not Certified, Not Processed

[\\$ Value](#) [Effort Calc](#)

Accounts	Commitments	Payroll Dollars	Payroll	Revised Cost Share	Computed Effort	Certified Effort	Certify?
Sponsored							
53106-S32100000029106 Federal - ABI Innovation: A New Computat - NSF	0.00 %	\$13,240.15	49.93 %	0.00 %	49.93 %	50 %	<input type="checkbox"/>
Sponsored Total:	0.00%	\$13,240.15	49.93%	0.00%	49.93%	50%	
Non Sponsored							
NONSP Non-Sponsored Effort	0.00 %	\$13,279.85	50.07 %	0.00 %	50.07 %	50 %	
Non Sponsored Total:	0.00%	\$13,279.85	50.07%	0.00%	50.07%	50%	
Grand Total:	0.00%	\$26,520.00	100.00%	0.00%	100.00%	100%	

Notes

Attachments

Save

- After you certify, your screen will default to the next name on your worklist.
- You only need to check the Sponsored Effort Certify box.

Then follow the same procedure as detailed for PI certification.



Key Points

- Effort must equal 100%.
- Any manual changes to certified effort should have an explanation recorded in the Notes section.
- If you have any questions or issues, please contact Catherine Palmer in the Office of Research Administration at cpalmer1@umassd.edu.

