



Employee Compensation Compliance Certification Guide

November 2019

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Certification Overview

Certification is the process of attesting that the sponsored effort reported in ECC is accurate.

Sponsored effort is the amount of time spent on an activity that is compensated by a sponsored account. For example, you may work on research sponsored by the National Institute of Health, and this effort will need to be certified.

Non-sponsored effort does not require certification, but may be tracked by your institution for reporting purposes.

As a certifier, proxy, or designee, certification tasks will be automatically assigned and available to you during the certification period set by your institution.

The Effort Certification Process

Certification is one step in a larger workflow.

First, data is loaded into ECC to create a statement. A department administrator then pre-reviews this statement if required.

When the pre-review period is complete, statements are routed to a certifier, proxy, or designee for certification.

After statements are certified, ECC generates historical records using the data collected. This data is included in internal reporting as well as audit reporting when needed.



Certification of Effort

As a certifier, proxy, or designee, statements will be available to you if the following conditions are met:

- You, a proxy individual, or a project for which you are assigned have recorded effort during the period of performance set by your institution
- The statement has been pre-reviewed by a department or effort coordinator if required
- Your institution's certification period is open


Finding Your Statements

Certification tasks are automatically routed to you when they become available. Depending on your role and rights, you may have multiple locations available to view your statements. ECC generates email notifications when your statements are ready for certification.

The Home Page

Your primary task list is displayed on the Home page within ECC. Any statements awaiting certification appear on this page.

Statements are categorized into **Effort**, **Project**, and **Time Study** statement sections, if applicable to your organization. Principal Investigators will additionally have an **Associated Project Statements** section displaying any project statements for which they have view-only rights for the associated award.

 **Note:** Your institution may have set your default start page to the Home page, which will automatically take you to the Home page after you log in. Your available statements appear here.

If your start page is *not* the Home page, you'll have two locations from which to locate your statements:

- The Home Page
- My Effort Statements

▶ To navigate to a statement from the Home page:

1. Click **Home** from the top navigator.
2. Click **Home Page** if available.
3. Click the **Ready for Certification** link to navigate to the selected statement.

My Effort Statements

▶ To navigate to a statement from anywhere in ECC:

1. Click **Certify** from the top navigator.
2. Click **My Effort Statements** from the top sub-navigator, or

3. Click **My Project Statements** from the top sub-navigator.
4. Click the **Ready for Certification** link to navigate to the selected statement.

Statements Awaiting Certification (8)							
Effort Statements							
Statement Owner	Department	Period	Due Date	Type	Status	PI	
Karoli, Tim	Hurontesting-Huron Testing Department	Project Q3 2018	11/30/2018	Base	Ready for Certification		
		Project Q4 2018	1/31/2019	Base	In Progress		
Kelley, Mike	Hurontesting-Huron Testing Department	Project Q3 2018	11/30/2018	Base	Ready for Certification	●	

Associated Project Statements							
Project Title	Account Number	Sponsor	Period	Due Date	Status	Staff	
Endocardium Formation During Heart Develop...	3048990008	Training Sponsor	Project Q2 2017	9/29/2017	Ready for Certification	●	

The Effort Statement page is separated into the following panels:

- Work List
- Statement Information
- Certification Panel

Work List							
Statements Requiring Certification							
Statement Owner	Department	Period	Due Date	Type	Status	PI	
Karoli, Tim	Huron Testing Department						
Kelley, Mike	Huron Testing Department						

Karoli, Tim - 99687705							
Statement Owner							
Effort Statements							
Base	Period	Due Date	Type	Status			
Base	11/30/2018			Ready for Certification			
In progress							
Historical							

Karoli, Tim - 99687705 (Payroll Confirmation)							
Base Effort Period: 07/01/2018 to 09/30/2018							
Due Date: 11/30/2018							
Status: Ready for Certification							
Accounts	Total Payroll \$	Payroll	Cost Share	Computed Effort	Certified Effort	Certify?	
Sponsored							
3048990005 Inhibition in Cancer Therapy	\$15,000.00	12 %	0 %	12 %	\$ 12 %	<input type="checkbox"/>	

The Work List displays any statements currently requiring certification. You can also see statements that are in the In Progress and Recently Completed statuses.

The Statement Information panel shows the statement selected, and any additional information about the statement, such as the date and status information.

The Certification Panel is where you'll complete certification of the statement. Sponsored and non-sponsored accounts with payroll, cost share, computed effort, and certified effort are listed here.

Certifying an Effort Statement

To certify effort, select a statement that is in the Ready for Certification status. Effort statements always show 100% of an individual's effort during the period of performance.

Simms, Rebecca - NDUS001 (Semi Annual)							
Base Effort Period: 07/01/2015 to 12/31/2015							
Due Date: 1/31/2016							
Status: Ready for Certification							
Accounts	Total Payroll \$	Payroll	Cost Share	Computed Effort	Certified Effort	Certify?	
Sponsored							
330202 Development of Artificial Lung	\$15,000.00	25 %	0 %	25 %	\$ 25 %	<input type="checkbox"/>	
8082015 Determinants and Significance of Corticosterone Regulation	\$30,000.00	50 %	0 %	50 %	\$ 50 %	<input type="checkbox"/>	
Sponsored Total:	\$45,000.00	75%	0%	75%	75%		
Non Sponsored							
140001 Gastroenterology Departmental Account	\$15,000.00	25 %	0 %	25 %	\$ 25 %	<input type="checkbox"/>	
Non Sponsored Total:	\$15,000.00	25%	0%	25%	25%		
Grand Total:	\$60,000.00	100%	0%	100%	100%		

Your institution may grant you editing rights to change the certified effort fields. If any values are incorrect, change them to reflect the correct percentage of effort. This will route the statement back to an effort coordinator for review. When the review is complete, ECC may route the statement back to you for re-certification.

► **To certify an effort statement:**

1. Verify that the values in the Certified Effort column represent the percentage of time spent for each account.

Accounts	Total Payroll \$	Payroll	Cost Share	Computed Effort	Certified Effort	Certify?
Sponsored						
3048990005 Inhibition in Cancer Therapy	\$15,000.00	12 %	0 %	12 %	\$ 12 %	<input type="checkbox"/>
3048990007 Research Network on Mind-Body Interactions	\$35,000.00	28 %	0 %	28 %	\$ 28 %	<input type="checkbox"/>
3048990008 Endocardium Formation During Heart Development	\$30,000.00	24 %	0 %	24 %	\$ 24 %	<input type="checkbox"/>
3048990006 National Space Biomedical Research Institute Core Research Program	\$15,000.00	12 %	0 %	12 %	\$ 12 %	<input type="checkbox"/>
Sponsored Total:	\$85,000.00	76%	0%	76%	76%	
Non Sponsored						
1000567891 Huron University NonSponsored Funds	\$30,000.00	24 %	0 %	24 %	\$ 24 %	<input type="checkbox"/>
Non Sponsored Total:	\$30,000.00	24%	0%	24%	24%	
Grand Total:	\$125,000.00	100%	0%	100%	100%	

2. Make changes, if appropriate.
3. To save your progress and come back to complete this statement later, click the **Save** button.
4. Select the **Certify** check box for a single line, or click the **Certify** icon to select all check boxes. All check boxes must be selected to complete certification.

Certified Effort	Certify?
\$ 12 %	<input checked="" type="checkbox"/>
\$ 28 %	<input type="checkbox"/>
\$ 24 %	<input type="checkbox"/>

Certified Effort	Certify?
\$ 12 %	<input checked="" type="checkbox"/>
\$ 28 %	<input checked="" type="checkbox"/>
\$ 24 %	<input checked="" type="checkbox"/>
\$ 12 %	<input checked="" type="checkbox"/>
76%	
\$ 24 %	<input checked="" type="checkbox"/>

5. Click the **Certify** button.

Certified Effort	Certify?
\$ <input type="text" value="12"/> %	<input checked="" type="checkbox"/>
\$ <input type="text" value="28"/> %	<input checked="" type="checkbox"/>
\$ <input type="text" value="24"/> %	<input checked="" type="checkbox"/>
\$ <input type="text" value="12"/> %	<input checked="" type="checkbox"/>
76%	
\$ <input type="text" value="24"/> %	<input checked="" type="checkbox"/>
24%	
100%	
<input type="button" value="Certify"/> <input type="button" value="Save"/>	

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.

6. Click OK.

Attestation

Certification Attestation Effort 07/01/2018 - 09/30/2018 ?

Covered Individual: Tim Karoli - 99887705	Location:
Title: PI	Appointment:
Department: Hurontesting - Huron Testing Department	Effort Coordinator: Beth Arnold - 99887702
Email: timkaroli@hurontest.net	Period of Performance: 07/01/2018 to 09/30/2018
Status: ✘ Ready for Certification	Commitment Level: Not Specified

I certify the salary charged, salary transfers processed and effort certified this period reasonably reflect the work performed in the designated period, and that I have sufficient technical knowledge and/or I am in a position that provides me with suitable means of verification that the work was performed.

7. Verify that the attestation information is correct, and click **I Agree**.

The effort statement is certified. Repeat these steps for any additional effort statements in your work list.

Certifying an Effort Statement as a Proxy

If you are acting as a proxy certifier, you'll complete certification using the same steps you would for certifying your own effort. You can identify which effort statements are for your proxy individual by the proxy icon displayed on the Statements Awaiting Certification tab.

The screenshot shows a web interface titled "Effort Statements". Below the title are two tabs: "Associated Project Statements" and "Associated Delegated Project Statements". A dark blue header bar contains the text "Statement Owner". Below this, the name "Karoli, Tim" is displayed. At the bottom, the name "Kelley, Mike" is shown next to a small blue icon of a person with a red border, indicating a proxy certifier.

In this example, our PI is Tim Karoli. Tim is the proxy certifier for Mike Kelley.

Certifying a Project Statement

To certify a project statement, select a statement in the Ready for Certification status.

If your institution uses the Project Statement module, you may certify either project effort, or confirm project payroll dollars. Project statements display all of the individuals who worked on the project. You will confirm project effort for each individual.




The screenshot shows a table titled "Project Statement for 304899008: Endocardium Formation During Heart Development (Project Q2 2017)". The table has columns for Employee, Department, Object Code, Payroll \$, Cost Share \$, Total \$, Total %, Confirm, and Hover Over. The status is "Ready for Certification".

Employee	Department	Object Code	Payroll \$	Cost Share \$	Total \$	Total %	Confirm	Hover Over
Edgington, Bennett - 99887720	Huron Testing Department - HuronTesting	6010	\$3,000.00	\$0.00	\$3,000.00	100%	<input type="checkbox"/>	
Heims, Irish - 99887721	Huron Testing Department - HuronTesting	6150	\$700.00	\$0.00	\$700.00	78%	<input type="checkbox"/>	
Karoli, Tim - 99887705	Huron Testing Department - HuronTesting	6010	\$30,000.00	\$0.00	\$30,000.00	25%	<input type="checkbox"/>	

► **To certify a project statement:**




1. Verify that the effort amounts for each individual is accurate.
2. You can view payroll information for each individual by clicking the hover-over icon for:
 - a. View all payroll
 - b. Run payroll report

★ **Note:** You must have the correct rights in ECC to view this information. Contact your Central Administrator for assistance.




Confirm	Hover Over
<input type="checkbox"/>	
<input type="checkbox"/>	
<input type="checkbox"/>	

Save Home

3. Select the **Confirm** check box for each individual, or click the **Confirm** icon to select all check boxes.

Total %	Confirm	Hover Over
100%	<input checked="" type="checkbox"/>	
78%	<input type="checkbox"/>	
25%	<input type="checkbox"/>	

Confirm Save Home

	Confirm	Hover Over
100%	<input checked="" type="checkbox"/>	
78%	<input checked="" type="checkbox"/>	
25%	<input checked="" type="checkbox"/>	

Confirm Save Home

4. Click the **Confirm** button.

Attestation

Account Title: Endocardium Formation During Heart Development
 Account Name: 3048990008 - Endocardium Formation During Heart
 Period: Project Q2 2017
 Certifier: Karoli, Tim - 99887705
 Personnel Being: Edgington, Bennett - 99887720
 Heims, Irish - 99887721
 Karoli, Tim - 99887705

I certify the salary charged and effort certified this period reasonably reflect the work performed in the designated period, and that I have sufficient technical knowledge and/or I am in a position that provides me with suitable means of verification that the work was performed.

Cancel **I Agree**

5. If the information is correct, click the **I Agree** button.

The statement is certified. Repeat these steps for any additional project statements.

Certifying a Project Statement as a Designee

If you are assigned as a designee, it's your responsibility to certify project effort for your assigned accounts. Assigned project statements appear in your work list, and in the **My Project Statements** tab.

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