UNDCC Compliance Coordinator (CC) FAQs

WHAT AND WHO ARE COMPLIANCE COORDINATORS (CCs)?

A Compliance Coordinator (CC) is a role filled by a department-selected employee that is responsible for the Pre-Review of Project Statements, as well as working as the liaison to communicate with department faculty and staff regarding completion of Payroll Certification in UND's Compensation Compliance (UNDCC) system.

WHAT IS THE DIFFERENCE BETWEEN A PRIMARY COMPLIANCE COORDINATOR (CC) AND A NON-PRIMARY COMPLIANCE COORDINATOR (CC)?

The Primary Compliance Coordinator (CC) receives email notifications and reminders from the system that include links to Project Statements. Non-Primary Compliance Coordinators (CCs) do not receive notifications from the system; however, they can see the Assigned Projects and Pre-Review Project Statements the same as the Primary CC. The Primary CCs are responsible for completing the Pre-Review (clicking the Pre-Review button) in the UNDCC system.

WHAT DOES A COMPLIANCE COORDINATOR (CC) DO?

A Compliance Coordinator (CC) plays a key role in the Payroll Certification process. They are responsible for Pre-Reviewing all Project Payroll Statements housed in their assigned department and monitoring the Certification Period to assist with timely PI Certification.

WHAT ARE THE COMPLIANCE COORDINATORS (CCs) DUTIES AND RESPONSIBILITIES?

Compliance Coordinators (CCs) are responsible for the following:

- Completing UNDCC Compliance Coordinator Training.
- Understanding of UND's payroll system, including establishing/updating payroll through Position Funding Forms and Retros.
- Timely review and completion of Pre-Review of Project Statements.
- Requesting necessary updates to personnel in payroll updates, department updates, and designees.

WHAT IS PRE-REVIEW?

Pre-Review is a department review of Project Payroll Statements prior to releasing the Project Statements to faculty for certification. Steps are as follows:

1. Log into UNDCC (https://ecc.und.edu/undcc/) when the Pre-Review Period has begun.
2. Review the Statement Awaiting Certification tab for your department employees in Ready for Pre-Review status.

3. Select individual employees from the Homepage Associated Projects tab and review their Statement to verify sponsored and/or non-sponsored direct charges.
4. If adjustments are needed, they must be made in PeopleSoft. Project Statements cannot be edited in UNDCC.
5. If all information is correct, click the Pre-Review button. The statement will be ready to certify by faculty when the Certification Period begins.

WHAT IS THE PRE-REVIEW PERIOD AND HOW LONG DOES IT LAST?

During the Pre-Review Period, Compliance Coordinators (CCs) are to log into the UNDCC system and complete all necessary Pre-Reviews. The Pre-Review Period begins prior to the opening of the Certification Period and lasts 21 days. Departments with a large volume of Project Statements to Pre-Review may need more time to complete the process. If that is the case, CCs should contact UND Central Administration at und.cc@und.edu to discuss a limited extension of the Pre-Review Period.

WHERE DO COMPLIANCE COORDINATORS (CCs) COMPLETE PRE-REVIEW?

The Pre-Review is completed in the UNDCC system and can be accessed using the following link: https://ecc.und.edu/undcc/.

The Compliance Coordinators (CCs) will use their Single Sign On (SSO) credentials to log into the UNDCC system. Any Project Statements requiring the CCs review will automatically appear on their Homepage, under the Associated Projects tab. The Homepage is the default start page upon logging into the UNDCC system.

WHAT SHOULD THE COMPLIANCE COORDINATOR (CC) BE LOOKING FOR DURING PRE-REVIEW?

Pre-Review should be a "good faith" review based on the Compliance Coordinators (CCs) knowledge of the project at the time. Here are examples of important questions the CC should ask themselves during review:

- Do all employees paid from the project (direct or cost shared) for the period of performance appear on the statement?
- Is there a variance between the expected amount and actual amount charged?
- Is anyone being charged to the project that was not anticipated?
- Is anyone missing from the statement whose payroll should have been charged?

THE EMPLOYEE'S HOME DEPARTMENT IS INCORRECT ON THE PROJECT STATEMENT, HOW DO COMPLIANCE COORDINATORS (CCs) FIX IT?

The Compliance Coordinator (CC) will need to submit a Position Request/Change Form to HR/Payroll to correct the employee's home department in PeopleSoft.

THE PROJECT'S PRINCIPAL INVESTIGATOR (PI) IS LEAVING THE UNIVERSITY, WHAT SHOULD THE COMPLIANCE COORDINATOR (CC) DO?

The Compliance Coordinator (CC) will need to work with their Dean or Department Chair to identify someone with firsthand knowledge of the ongoing work for this project and contact UNDCC Central Administration at und.cc@und.edu to request a designee to certify the Project Statement.

WHAT IS THE DIFFERENCE BETWEEN EFFORT AND PAYROLL DISTRIBUTION?

Payroll distributions and effort reports are not the same thing. Payroll distributions are the distribution of an individual's salary, while effort reports describe the allocation of an individual's actual time and effort spent on specific projects, whether it is reimbursed by the sponsor or not. Thus, effort reporting is separate from and can be independent of salary charges.

Payroll and Effort are both a by-product of the compensation cycle but are used to designate different parts of that process. Payroll is an accounting for the funding sources of the individual's salary. An individual's effort is the allocation of the individual's activity which may occur differently than in an award proposal or than in the current payroll system due to various factors which may include appointment to new positions within the University (i.e., Department Chair), change in teaching responsibilities, or receipt of new awards.

HOW OFTEN IS PAYROLL CERTIFIED?

Payroll is certified on a semester basis.

- Fall Semester – August 16 to December 31
- Spring Semester – January 1 to May 15
- Summer Semester – May 16 to August 15

ARE THERE ANY SALARY CODES EXCLUDED FROM CERTIFICATION?

Yes, the following Account Codes are excluded from Certification:

- Hourly
- Faculty Overload – designated "P" in PeopleSoft – Account Code 515010
- Staff Overload – designated "S" in PeopleSoft – Account Code 511005

WHAT REPORTS ARE AVAILABLE IN UNDCC?

UNDCC offers reports that can be used to validate that the data in UNDCC matches the data in PeopleSoft. For questions about which reports to run, Compliance Coordinators (CCs) can contact their Grants Officer or UNDCC Central Administration at und.cc@und.edu.

NOTE: All queries that begin with "NDU_GM" are PeopleSoft Finance queries. All others are HRMS queries.

The following reports are available in UNDCC:

UNDCC Report Name	Report Description	Related Queries in PeopleSoft
Project Status Report	Lists all Project Statements and their status at the time the report is run.	NDU_GM11_PROJ_INFO or NDU_GM81_GCA_AWARDS *NOTE: these queries do not provide the status of the project statements in UNDCC.

UNDCC Report Name	Report Description	Related Queries in PeopleSoft
Payroll and Cost Share Report	A summary report showing all payroll and cost share transactions for a specific individual and date range.	NDU_CA_GL_RECON NDU_EF_COST_SHARE_INFO NDU_GM91_COST_SHARE_INFO
SPES (Sponsored Project Employee Summary) Report	The SPES Report lists all employees that had payroll and/or cost share charged to a specific project.	NDU_CA_GL_RECON NDU_EF_COST_SHARE_INFO NDU_GM91_COST_SHARE_INFO
PI and Staff Report	Lists all individuals charging a PI's accounts, and their monthly payroll distributions on every account they are charging. The cost share column displays "True" if at least one payroll transaction on that sponsored project is cost share.	There is not a similar query in PeopleSoft, but this report can be compared to information in these three queries: NDU_CA_GL_RECON NDU_EF_COST_SHARE_INFO NDU_GM91_COST_SHARE_INFO
Payroll Report	The Payroll Report is a payroll summary report for a specific individual, Departments or Account and date range.	NDU_CA_GL_RECON NDU_EF_COST_SHARE_INFO NDU_GM91_COST_SHARE_INFO

WHERE CAN I GO IF I HAVE MORE QUESTIONS?

For any questions regarding payroll certification or UNDCC, Compliance Coordinators (CCs) can visit the UNDCC webpage (https://campus.und.edu/finance/grants-contracts-accounting/undcc.html) or contact UNDCC Central Administration at und.cc@und.edu.