



Coffee Chat Series

Certifier Proxy and Designee

- Determining the Need
- Completing the Request

Financial Compliance for Research





Agenda

1. **What is the Difference between Proxy and Designee and How Do I Know Which is Needed?**
2. **Completion of Proxy forms**
3. **Identification of Designee Requirements and Completion of Form**
4. **General Proxy and Designee Information**



Definition of Roles

Proxy

- Provides a delegate the ability to certify the PI's personal effort statement only.

This delegation is a ***person to person*** relationship.

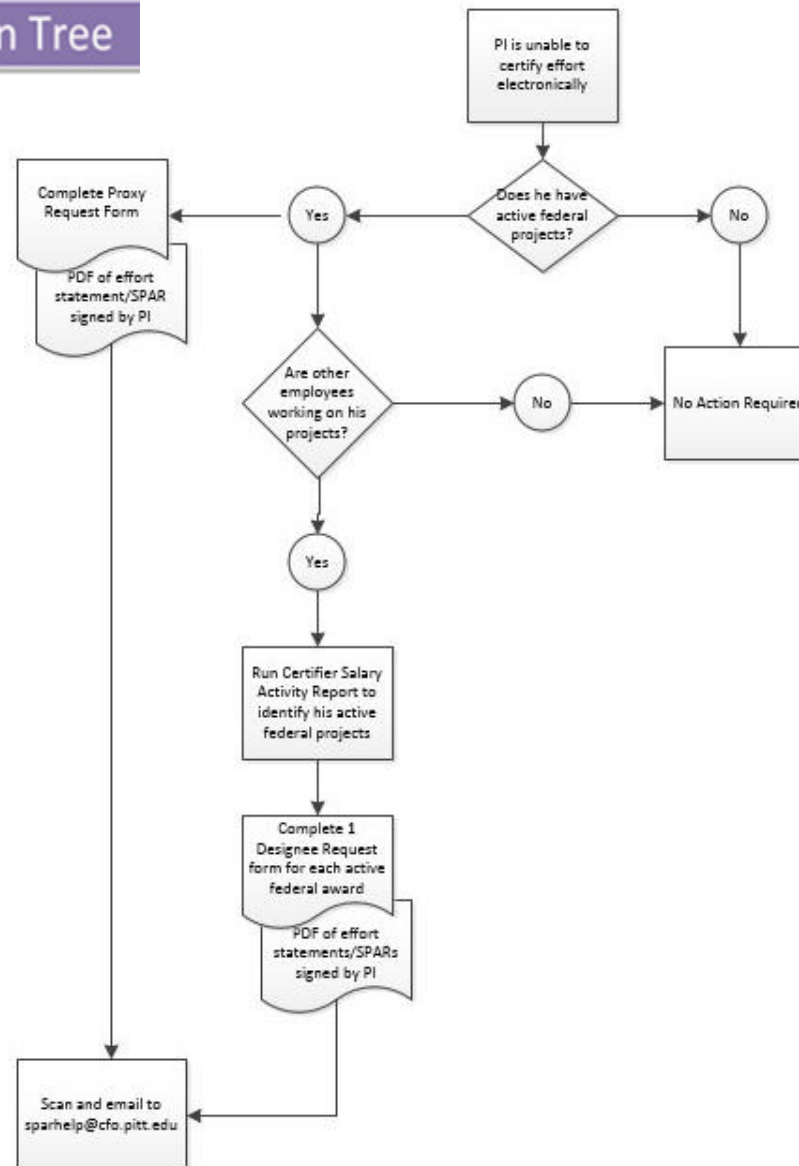
Designee

- Provides a delegate the ability to certify effort statements of all non-PI employees with effort on a specific federal sponsored project. PIs (or an approved Proxy) are always responsible to certify their own personal effort statements.

This delegation is a ***person to project*** relationship.



Proxy/Designee Decision Tree





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Proxy Required for PIs with Active Federal Sponsored Projects

1. Complete Proxy request form:
<http://www.cfo.pitt.edu/fcr/documents/ProxyRequestForm.pdf>
2. Include complete explanations on the justification page as to why the PI is unable to certify and why the Proxy was selected for this delegation of certification responsibilities. If in the justification you indicate that the Proxy has first-hand knowledge (requires that Proxy was on-site witnessing or assisting in the actual work), explain the relationship in detail.
3. If Proxy does not have first-hand knowledge of the work performed by this PI, attach other suitable means of verification for Proxy to compare with effort statement to certify.
 - a. If period of performance has ended, print a pdf version of the effort statement(s) for PI's signature using the PDF icon identified in red box below:

Smith, Jessica - 820721 (Semester) Base Effort Period: 01/01/2019 to 04/30/2019 Due Date: 7/31/2019 Status: Certification Required

WARNING - You cannot certify this Effort Statement because you do not have the right to certify Statements.

On Hold: ☐

Projects	Salary Distributed	Cost Sharing	Actual Effort	Certified Effort	Certify/ Acknowledge Checkboxes
Sponsored - Federal					
550001 Biological Science Award					
05.55002.5001.00000.130036.00000.00000.M - 1 Research Network on Mind-Body Interactions	50.00 %	0.00 %	50.00 %	\$ 50.00 %	<input type="checkbox"/>
<i>Award Total:</i>	50.00%	0.00%	50.00%	50.00%	
Sponsored - Federal Total:	50.00%	0.00%	50.00%	50.00%	
Non Sponsored					
02.10016.5001.00000.00000.00000.00000.N - 1 Testing Department Funds II	50.00 %	0.00 %	50.00 %	\$ 50.00 %	<input type="checkbox"/>
Non Sponsored Total:	50.00%	0.00%	50.00%	50.00%	
Grand Total:	100.00%	0.00%	100.00%	100.00%	



- a. If the period of performance is on-going and the effort statement doesn't accurately represent the PI's activity, insert a screenshot of the SPAR in the certification template (<http://www.cfo.pitt.edu/fcr/documents/SPAR%20Certification%20template.docx>) and print for PI signature. Caution, all SPAR mods must be made to the departing PI's SPAR before preparing this document so that the Proxy can verify %s based on PI's signed evidence.
- b. The timing of the PI's termination may require signed documentation for two periods of performance. For example, if the PI leaves in May or June before the January-April certification period opens, you will need a signed effort statement or SPAR for the January-April period and also the May-August period.
- c. Provide a copy of these documents to the Proxy for verification of percentages on the final effort statement(s).

4. Have all parties sign the Proxy request form. Scan the Proxy request form and all supporting documentation and email to sparhelp@cfo.pitt.edu. Enter the PI name and 'Proxy/Designee Request' in the subject line (e.g. John Doe-Proxy/Designee Request).

This completes the process for requesting a Proxy to certify the PI's personal effort statement. All requests are subject to approval by the CFO or his designee.



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How to Determine Whether Designee Form(s) are Required

Certifier Salary Activity Report – Parameters

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Home Certify Manage Reports Administration Links

Reporting

Reporting

Category	Reports	Description
Management	Certifier Payroll Summary Report	This report will produce a list of all individuals charging a certifier's Project(s) and their activities. Select a given PI and a starting month. The report will show the associated certifiers for that PI along with 12 months of payroll activity starting with the month that you selected. Searching by first name then last name will not produce results. You must search by last name only, first name only, id number only, or by last name then first name.
Monitoring	Certifier Salary Activity Report	
Payroll/Cost Share	Cost Share Report	
	Payroll Adjustment Reconciliation Report	
	Payroll Report	
	SPES (Sponsored Project Employee Summary) Re...	

Parameters Results

1 PI:

2 Search By Statement Type: ☒ Base ☐ Non-IBS ☐ Other

Date By: ☒ Dates ☐ Employee Type

Dates: Start Date: End Date:

Run Report

- 1 Enter the PI name and/or employee number.
- 2 Enter the start and end date of the period you wish to query. You have the ability to view up to twelve months' worth of payroll data.



Certifier Salary Activity Report – Results



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Reporting

Reporting



Category	Reports	Description
Management	Certifier Payroll Summary Report	choice from the list of choices.
Monitoring	Certifier Salary Activity Report	
Payroll/Cost Share	Cost Share Report	
	Payroll Adjustment Reconciliation Report	
	Payroll Report	
	SPES (Sponsored Project Employee Summary) Report	

Parameters

Results

Results of the Certifier Salary Activity report are displayed in a scrollable window.

Name	Grant Number	Type	May 2019	Jun 2019	Jul 2019	Aug 2019	Sep 2019	Oct 2019	Nov 2019	Dec 2019	Total	% of Total
Chuck Noll	05.55007.5001.00000.130023.00000.00000.M - 1	Base	\$0.00	\$2,000.00	\$0.00	\$2,000.00	\$0.00	\$0.00	\$0.00	\$0.00	\$4,000.00	45.45 %
	05.55002.5001.00000.130056.00000.00000.M - 1		\$2,000.00	\$0.00	\$2,000.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$4,000.00	45.45 %
	02.10016.5001.00000.000000.00000.00000.N - 1		\$200.00	\$200.00	\$200.00	\$200.00	\$0.00	\$0.00	\$0.00	\$0.00	\$800.00	9.09 %
Chuck Noll Totals:			\$2,200.00	\$2,200.00	\$2,200.00	\$2,200.00	\$0.00	\$0.00	\$0.00	\$0.00	\$8,800.00	100.00 %
Jessica Smith	05.55002.5001.00000.130036.00000.00000.M - 1	Base	\$1,000.00	\$0.00	\$1,000.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$2,000.00	50.00 %
	02.10016.5001.00000.000000.00000.00000.N - 1		\$0.00	\$1,000.00	\$0.00	\$1,000.00	\$0.00	\$0.00	\$0.00	\$0.00	\$2,000.00	50.00 %
Jessica Smith Totals:			\$1,000.00	\$1,000.00	\$1,000.00	\$1,000.00	\$0.00	\$0.00	\$0.00	\$0.00	\$4,000.00	100.00 %
Grand Totals:			\$3,200.00	\$3,200.00	\$3,200.00	\$3,200.00	\$0.00	\$0.00	\$0.00	\$0.00	\$12,800.00	

Excel XML PDF RTF

Results may be downloaded using the icons in the lower right hand corner of the report results.



How to Interpret/Use Results of Certifier Activity Report

Results list all personnel working on departing PI's federal projects and all of their activities for 12 months from the date entered in the parameters section.

1. The PI's federal sponsored projects are highlighted in gold.
2. A separate Designee request form must be completed for each unique project identified in gold. If in the justification you indicate that the Designee has first-hand knowledge (meaning was on-site witnessing or assisting in the actual work), explain the relationship in detail.
3. If the named Designee does not have first-hand knowledge of the work performed on the project(s) by each of the employees with a gold line, prepare other suitable means of verification for the Designee to use to certify statements.
 - a. If the period of performance has ended, print a pdf version of the effort statement(s) for PI's signature using the icon identified in red box below:

Smith, Jessica - 820721 (Semester) Base Effort Period: 01/01/2019 to 04/30/2019 Due Date: 7/31/2019 Status: Certification Required					
WARNING - You cannot certify this Effort Statement because you do not have the right to certify Statements.					
On Hold: <input type="checkbox"/>					
Projects	Salary Distributed	Cost Sharing	Actual Effort	Certified Effort	Certify/ Acknowledge Checkboxes
Sponsored - Federal					
550001 Biological Science Award					
05.55002.5001.00000.130036.00000.00000.M - 1 Research Network on Mind-Body Interactions	50.00 %	0.00 %	50.00 %	\$ 50.00 %	<input type="checkbox"/>
<i>Award Total:</i>	50.00%	0.00%	50.00%	50.00%	
Sponsored - Federal Total:	50.00%	0.00%	50.00%	50.00%	
Non Sponsored					
02.10016.5001.00000.000000.00000.00000.N - 1 Testing Department Funds II	50.00 %	0.00 %	50.00 %	\$ 50.00 %	<input type="checkbox"/>
Non Sponsored Total:	50.00%	0.00%	50.00%	50.00%	
Grand Total:	100.00%	0.00%	100.00%	100.00%	



- a. If the period of performance is on-going and the effort statement is not complete, insert a screenshot of the SPAR in the certification template (<http://www.cfo.pitt.edu/fcr/documents/SPAR%20Certification%20template.docx>) and print for PI signature. Caution, all SPAR mods must be made to the departing PI's projects before preparing this document so that the Designee can verify %s based on PI's signed evidence.
- b. The timing of the PI's termination may require signed documentation for two periods of performance. For example, if the PI leaves in May or June before the January-April certification period opens and work has continued through his termination date, you will need signed effort statements or SPARs for each employee for the January-April period and also the May-August period.
- c. Provide a copy of each documents to the Designee for verification of percentages on the final effort statement(s).

4. Have all parties sign the Designee request form(s). Scan the **Designee request form(s)**, the **Certifier Salary Activity report** used above, and **all supporting documentation** and email the package to sparhelp@cfo.pitt.edu. Enter the PI name and 'Proxy/Designee Request' in the subject line (e.g. John Doe-Proxy/Designee Request).

This completes the process for requesting a Designee to certify the activity on the PI's federal sponsored project(s). All requests are subject to approval by the CFO or his designee.



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General Proxy/Designee Information

- Duration of the Proxy/Designee assignment, unless otherwise indicated, is established for one certification period, or two when the initial request included documentation for a second partial period of performance. It is required that if work is to continue after the PI's departure that a new PI will be formally approved by the sponsor.
- Supporting documentation submitted with the request forms such as the signed pdfs of effort statements or SPAR screenshots, must be legible. If we can't read the accounts and percentages, neither can the Proxy, Designee or auditor. The request will be returned for resubmission.
- If your request is returned for any reason (missing signatures, insufficient justification, illegible forms, etc.), you must correct the deficit and resubmit the entire package. **Piecemeal submissions will not be accepted.**



General Proxy/Designee Information (Con't)

- One Designee form is required for each federal sponsored project and covers all employees with effort on that project, except the PI.
- Do not submit Designee Requests for **non-federal** sponsored projects. Non-federal sponsored projects do not require certification, therefore, do not need to have Designees appointed.
- If federal sponsored projects only have effort by the PI, no Designee request is required. The Proxy will certify the PI's entire effort statement, including that federal project effort.
- Different Designees may be appointed for different federal projects for the same PI. The determination should be made as to who is most suitable based on his/her knowledge of the technical nature and volume of work performed related to that scope of work.
- Department administrators should begin assembling all required documentation for Proxy/Designee requests when it is first learned that a PI will be terminating. This will make it easier to obtain PI signatures before he/she leaves campus.