




# UNCERTIFIED EFFORT AND WRITE-OFFS

**ECC tools for Monitoring Uncertified Effort**

**Office of Financial Compliance for Research**

## ➤ Associated Certifiers Tab on Home Page


University of Pittsburgh




























Hello, **Mary Valenti** ▼

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### Work List for Mary Valenti

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		Associated Certifiers (13) 					
Statement Owner	Department	Period	Due Date	Type	Status	PI	
Conti, Tracey	35211-35211_Family Medicine	01/01/2019-04/30/2...	07/23/2019	Base	 Certification Required		
Empey, Philip	33204-33204_Pharmacy&Therap...	01/01/2019-04/30/2...	07/23/2019	Base	 Certification Required		
Lin, Chyongchiou	35211-35211_Family Medicine	01/01/2019-04/30/2...	07/23/2019	Base	 Certification Required		
Maier, John	35211-35211_Family Medicine	01/01/2019-04/30/2...	07/23/2019	Base	 Certification Required		
Massart, Mylynda	35211-35211_Family Medicine	01/01/2019-04/30/2...	07/23/2019	Base	 Certification Required		
Moehling, Krissy	35209-35209_Pediatrics	01/01/2019-04/30/2...	07/23/2019	Base	 Certification Required		
Nowalk, Mary	35211-35211_Family Medicine	01/01/2019-04/30/2...	07/23/2019	Base	 Certification Required		
Raviotta, Jonathan	35211-35211_Family Medicine	01/01/2019-04/30/2...	07/23/2019	Base	 Certification Required		
Saul, Sean	35211-35211_Family Medicine	01/01/2019-04/30/2...	07/23/2019	Base	 Certification Required		
South-Paul, Jeannette	35211-35211_Family Medicine	01/01/2019-04/30/2...	07/23/2019	Base	 Certification Required		
Susick, Michael	35211-35211_Family Medicine	01/01/2019-04/30/2...	07/23/2019	Base	 Certification Required		
Williams, Katherine	35211-35211_Family Medicine	01/01/2019-04/30/2...	07/23/2019	Base	 Certification Required		
Zimmerman, Richard	35211-35211_Family Medicine	01/01/2019-04/30/2...	07/23/2019	Base	 Certification Required		

**Lists all uncertified statements related to you including employees of departments assigned to you and employees from other areas working on grants within your department(s). This is an all-inclusive listing by Statement Owner name.**


## ➤ Department Dashboard – Covered Individuals Associated to this Department

Name	Employee Type	Employee ID	Role	Statements	Action
<b>- Sponsored - Federal</b> ★ ✉					
Conti , Tracey Denise	Semester	70791	No Role	🟢🟡🟢🟢	🟢 🔍 ✉
Fox , Andrea R	Semester	78752	No Role	🟢🟢🟢🟢	🟢 🔍 ✉
Lin , Chyongchiou Jeng	Semester	19922	No Role	🟢🟡🟢🟢	🟢 🔍 ✉
Maier , John Stewart	Semester	137162	PI	🟢🟡🟢🟢	🟢 🔍 ✉
Maier , Robin Marie	Semester	64164	No Role	🟢🟢🟢🟢	🟢 🔍 ✉
Massart , Mylynda B	Semester	158085	PI	🟢🟡🟢🟢	🟢 🔍 ✉
Moehling , Krissy K	Semester	111440	No Role	🟢🟢🟢🟢	🟢 🔍 ✉
Nowalk , Mary Patricia	Semester	43980	No Role	🟢🟡🟢🟢	🟢 🔍 ✉
Raviotta , Jonathan Marc	Semester	137506	No Role	🟢🟡🟢🟢	🟢 🔍 ✉
Saul , Sean Gregory	Semester	154037	No Role	🟢🟡🟢🟢	🟢 🔍 ✉
South-Paul , Jeannette	Semester	49864	PI	🟢🟡🟢🟢	🟢 🔍 ✉
Susick Jr, Michael	Semester	135747	No Role	🟢🟡🟢🟢	🟢 🔍 ✉
Williams , Katherine Vopicka	Semester	19158	No Role	🟢🟡🟢	🟢 🔍 ✉
Woodyear , Dawna Hoyle	Semester	93673	No Role	🟢🟢🟢🟢	🟢 🔍 ✉
Yonas , Michael Allan	Semester	111363	No Role	🟢🟢🟢	🟢 🔍 ✉
Zahnhausen , Patricia Elaine	Semester	49208	No Role	🟢🟢🟢🟢	🟢 🔍 ✉
Zimmerman , Richard K	Semester	19331	PI	🟢🟡🟢🟢	🟢 🔍 ✉
<b>+ Non-Sponsored</b> ★ ✉					
<b>- Non-Department</b> ★ ✉					
Bartsch , Sarah Marie	Semester	124896	No Role	🟢🟢	🟢 ✉
Cousins , Trisha Ann	Semester	157200	PI	🟢	🟢 ✉
Duran , Luis G	Semester	105986	No Role	🟢	🟢 ✉
Empey , Philip E	Semester	111922	PI	🟢🟡	🟢 ✉
Johnson , Monika	Semester	163117	No Role	🟢	🟢 ✉
Junecko , Beth Fallert	Semester	17192	No Role	🟢🟢	🟢 ✉
Kulka , Kathleen A	Semester	5937	No Role	🟢	🟢 ✉
Magnu , Jessica Ann	Semester	125107	No Role	🟢🟢🟢🟢	🟢 ✉
McHugh , Kevin J	Semester	74539	No Role	🟢	🟢 ✉
Moehling , Krissy K	Semester	111440	No Role	🟢🟡	🟢 ✉
Yonas , Michael Allan	Semester	111363	No Role	🟢	🟢 ✉
<b>+ Terminated</b> ★ ✉					



The Department Dashboard, Covered Individuals, Sponsored-Federal, Non-Department, and Terminated sections identify uncertified statements (red icons) in your home department and those in other departments but working on your federal grants. You also should pay attention to any statements on hold (large red box surrounding icon, see Massart above) or statements with Salary Reallocations Pending icon (🟡) or Recertification Required icon (🔄).

## ➤ Department Dashboard Certification Summary

### Not a Reliable Indicator of Uncertified Effort

**Certification Summary Chart:** Statement Type ☒ Base ☒ Non-IBS Employee Type Semester ▼ Period 1/1/2019 to 4/30/2019 ▼ 

The default search is for base Effort statements for all Certifiers in this Department , for the current period of performance

Status	Semester	
❗ Certification Required 	11	100.000%
✅ Certification Not Required 	11	
🔴 On Hold	1	

The Department Dashboard Certification Summary Chart only provides statement counts in each category for current employees of the specified department. Therefore, the effort statements reported in the Non-Department and Terminated sections of the Dashboard are not included in these statistics, but represent a risk of write-off to the specified department if the effort is not certified.


## ➤ Certification Status Report (Lists Statement Owner for a Single Department)

### Parameters

Reporting	Home	Certify	Manage	Reports	Administration	Links
Reporting						
<b>Category</b> Management Monitoring Payroll/Cost Share	<b>Reports</b> Certification Status Report Certification Status Summary Report External Audit Report		<b>Description</b> The Certification Status Report displays a list of all certification statements that have a specified status at the time the report is run.  You must choose the status(es) to be included, employee type or date range, Department and/or roles to be included.			
Parameters   Results						
<div><div><b>Available Status</b> Not Certified, Not Processed, Clinical Only Uncertified, Reserved Multiple Statements, Different Statuses Certified, Not Processed Certification Complete Transfer in Progress or Pending Certification Not Required</div><div>&gt; &gt;&gt; &lt; &lt;&lt;</div><div><b>Selected Status</b> [Available Options] Certification Required Recertification Required - M Recertification Required Salary Reallocation Pending</div></div> <div><b>School / Department:</b> 35211_Family Medicine <a href="#">Expand Search</a></div> <div><div><b>Available Roles</b> [Available Options] Auditor Central Admin - FIS Central Admin Viewer Central Administrator CSSD Access Lead Effort Coordinator Mo Role</div><div>&gt; &gt;&gt; &lt; &lt;&lt;</div><div><b>Selected Roles</b> [Available Options]</div></div> <div><b>Search By Statement Type:</b> <input checked="" type="checkbox"/> Base <input type="checkbox"/> Non-IBS <input type="checkbox"/> Other</div> <div><b>Date By:</b> <input type="radio"/> Dates <input checked="" type="radio"/> Employee Type</div> <div><b>Employee Type:</b> Semester</div> <div><b>Period:</b> 1/1/2019 to 4/30/</div> <div>Run Report</div>						

## ➤ Certification Status Report (Lists Statement Owner for a Single Department)

### Results


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Enter Search Criteria

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Reporting

### Reporting

Category	Reports	Description
Management	Certification Status Report	The Certification Status Report displays a list of all certification statements that have a specified status at the time the report is run.  You must choose the status(es) to be included, employee type or date range, Department and/or roles to be included.
Monitoring	Certification Status Summary Report	
Payroll/Cost Share	External Audit Report	

Parameters
Results

Based on your report selection below are the results. Please note that you can [sort the results](#) by clicking on the column header.

[Formatted PDF](#)

Name	Department	Effort Coordinator	Effort Coordinator Email	Proxy Assignment	Certifier Email	Certification Period	Current Status
Conti, Tracey - 70791	35211_Family Medicine	Mary Elizabeth Valenti - 115972	pittecr@cfo.pitt.edu	N/A	pittecr@cfo.pitt.edu	01/01/2019 to 04/30/2019	! Certification Required
Lin, Chyongchiou - 19922	35211_Family Medicine	Mary Elizabeth Valenti - 115972	pittecr@cfo.pitt.edu	N/A	pittecr@cfo.pitt.edu	01/01/2019 to 04/30/2019	! Certification Required
Maier, John - 137162	35211_Family Medicine	Mary Elizabeth Valenti - 115972	pittecr@cfo.pitt.edu	N/A	pittecr@cfo.pitt.edu	01/01/2019 to 04/30/2019	! Certification Required
Massart, Mylynda - 158085	35211_Family Medicine	Mary Elizabeth Valenti - 115972	pittecr@cfo.pitt.edu	N/A	pittecr@cfo.pitt.edu	01/01/2019 to 04/30/2019	! Certification Required
Nowalk, Mary - 43980	35211_Family Medicine	Mary Elizabeth Valenti - 115972	pittecr@cfo.pitt.edu	N/A	pittecr@cfo.pitt.edu	01/01/2019 to 04/30/2019	! Certification Required
Raviotta, Jonathan - 137506	35211_Family Medicine	Mary Elizabeth Valenti - 115972	pittecr@cfo.pitt.edu	N/A	pittecr@cfo.pitt.edu	01/01/2019 to 04/30/2019	! Certification Required
Saul, Sean - 154037	35211_Family Medicine	Mary Elizabeth Valenti - 115972	pittecr@cfo.pitt.edu	N/A	pittecr@cfo.pitt.edu	01/01/2019 to 04/30/2019	! Certification Required
South-Paul, Jeannette - 49864	35211_Family Medicine	Mary Elizabeth Valenti - 115972	pittecr@cfo.pitt.edu	N/A	pittecr@cfo.pitt.edu	01/01/2019 to 04/30/2019	! Certification Required
Susick, Michael - 135747	35211_Family Medicine	Mary Elizabeth Valenti - 115972	pittecr@cfo.pitt.edu	N/A	pittecr@cfo.pitt.edu	01/01/2019 to 04/30/2019	! Certification Required
Williams, Katherine - 19158	35211_Family Medicine	Mary Elizabeth Valenti - 115972	pittecr@cfo.pitt.edu	N/A	pittecr@cfo.pitt.edu	01/01/2019 to 04/30/2019	! Certification Required
Zimmerman, Richard - 19331	35211_Family Medicine	Mary Elizabeth Valenti - 115972	pittecr@cfo.pitt.edu	N/A	pittecr@cfo.pitt.edu	01/01/2019 to 04/30/2019	! Certification Required


[Excel](#) | [XML](#) | [PDF](#) | [RTF](#)


Does not include uncertified statements for employees from other home departments working on your department grants.

- **PI Work List – Effort Coordinator Report** (Lists all uncertified sponsored federal effort for which the Grant Department is within Your Area of Responsibility and identifies the PI responsible to certify.)

Includes all uncertified federal effort lines for any employee working on grants for which your department(s) is responsible.

## Parameters

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Enter Search Criteria 

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Reporting ▲

### Reporting

Category	Reports	Description
Management	PI Work List - Lead Effort Coordinator 	Generate a Lead Effort Coordinator report identifying all statements with uncertified effort on a federal grant for which the federal grant department is associated to their department(s). This report will show the individual responsible for certifying each federal line included in the report.
Monitoring		
Payroll/Cost Share		

Parameters

Results

Run Report

## ➤ PI Work List – Effort Coordinator Report (Lists All Uncertified Effort Related to Your Grant Departments)

### Results

ParametersResults

48 items found, displaying 1 to 25.  
[First/Prev] 1, 2 [Next/Last]

Certifier employee id	Certifier first name	Certifier last name	Statement owner employee id	Statement owner first name	Statement owner last name	Start date	End date	Grantnumber	Grantname	Grant dept	Total effort dollars	Appointment
19331	Richard	Zimmerman	19331	Richard	Zimmerman	2019-01-01 00:00:00.0	2019-04-30 00:00:00.0	05.35211.5000.00000.124966.00000.00000.M	Future of Influenza Vaccine Strategies Given Interference&Choice	35211_Family Medicine		Active Assignment
19331	Richard	Zimmerman	43980	Mary	Nowalk	2019-01-01 00:00:00.0	2019-04-30 00:00:00.0	05.35211.5000.00000.124966.00000.00000.N	Future of Influenza Vaccine Strategies Given Interference&Choice	35211_Family Medicine		Active Assignment
49864	Jeannette	South-Paul	49864	Jeannette	South-Paul	2019-01-01 00:00:00.0	2019-04-30 00:00:00.0	05.35211.5000.00000.126306.00000.00000.M	Postdoctoral Training in General, Pediatric and Public Health Dentistry and De	35211_Family Medicine		Active Assignment
19331	Richard	Zimmerman	19331	Richard	Zimmerman	2019-01-01 00:00:00.0	2019-04-30 00:00:00.0	05.35211.5000.00000.126892.00000.00000.M	Analyzing Adult Pneumococcal Vaccination Implementation in the Underserved Analyzing Adult	35211_Family Medicine		Active Assignment

48 items found, displaying 1 to 25.  
[First/Prev] 1, 2 [Next/Last]

Excel | XML | PDF | RTF

This report includes all uncertified federal effort lines related to your Grant Department(s), indicating the PI responsible to certify. **This is the most valuable tool to follow up with those PIs having uncertified effort for which your department(s) is at financial risk.**

## What is a Write-Off?

A write-off is the removal of uncertified federal effort from the project. It is accomplished through a SPAR modification by zeroing out the Actual Effort % on the federal line(s) and adding that effort to the Actual Effort % on the operating account responsible for the grant.

For example, if federal project #**05.99999**.5000.00000.123456.00000.00000.N was uncertified on write-off date, the effort would be removed from this SPAR line and **charged to 02.99999**.5000.00000.000000.00000.00000.N.

Impact of the write-off:

1. Federal sponsored money is returned to the sponsor
2. Departmental operating account is charged for the salary and fringe benefit costs associated with the uncertified effort
3. Named key personnel may not meet their level of committed effort on these awards

## Certification/Write-off Time Line

The University's Effort Reporting and Certification Policy, developed in compliance with federal regulations, provides that effort on **federally** sponsored projects is certified three times annually based on the academic terms. Effort must be certified within 90 days of the end of the period of performance (academic term).

4 months	5 Bus Days	Approx 4 wks	45 Calendar Days	5 Bus Days	Write-Off
Period of Performance	G/L Close	EC Prereview	PI Certification Window	Dean's Window	

Write-off date is always the first business day of the 4th month following the end of the Period of Performance.

Example: January - April period of performance/August 1 write-off (or first business day in August)

Certification schedules are posted on the FCR website:

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**Controller's Office**  
Office of the Chief Financial Officer

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## Employee Compensation Confirmation (ECC)

Financial Compliance for Research

### FCR

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- Salaried Personnel Activity Report Application (SPAR)
- Employee Compensation Confirmation (ECC)**
- Workshop Registration
- FCR Calendar
- Effortless Facts
- FCR – Frequently Asked Questions

Contact FCR

### Employee Compensation Confirmation (ECC)

As a recipient of federal research funding, the University of Pittsburgh is required to maintain a system that allows for verification that direct labor charges to sponsored projects are accurate, timely and reflective of the actual level of work performed.

Employee Compensation Confirmation (ECC) is a web-based application that facilitates the electronic certification of effort on federally sponsored projects. ECC integrates data from the University's PRISM General Ledger, Payroll, Salaried Personnel Activity Report (SPAR), and Research Proposal and Accounting (RPA) applications to enhance compliance management while significantly reducing the administrative burden of the effort certification process.

### ECC Roles, Training and Reference Materials

+ Effort Coordinator (EC)

+ Principal Investigator (PI)

#### Certification Period and Other Critical Dates

**Fall Academic Term**

- September 1, 2020 – December 31, 2020: Salaried Payroll Period of Performance

[Employee Compensation Confirmation \(ECC\) – Controller's Office \(pitt.edu\)](#)

## Tips for Avoiding Write-Offs

- Never ignore ECC or FCR emails informing you of uncertified effort statements in your area. If you feel they are incorrect, contact SPARhelp\* immediately. There may be something you are missing.
- If a PI leaves the University before the electronic statements are available for certification, as part of the termination process, make sure to have them sign hard copy effort statements or SPARs (using the SPAR certification template on our website), and the necessary Proxy and Designee request forms. Please refer to the Proxy/Designee Instructions on our website (<http://www.cfo.pitt.edu/fcr/Proxy-Designee-Instructions.php>) for assistance in completing the required forms. Begin preparation of these forms/documentation as soon as the anticipated departure is known to ensure that the PI is available to sign all necessary forms and the Proxy/Designee has access during the certification period. If the termination date extends into a second period of performance, make sure to include signed effort statements or SPARs for each period. Submit these completed requests to SPARhelp\*.
- If you receive reminders of uncertified effort for a PI in your department but you know that the grant is held by another department, please either contact the PI to ask that they certify or forward the email to the grant department so that they can follow through with the PI.
- If you are the PEC for your department and going to be out of the office during the PI certification window or the Dean's window, please change the PEC designation on your Department Dashboard to another EC in your area so that important ECC emails are routed to someone in your absence.

- Keep in mind, especially during the Dean's Window, that any SPAR modification will feed ECC overnight and may require the re-certification of a previously certified statement by one or more PIs.
- SPAR modifications made on the last business day of the 3<sup>rd</sup> month following the period of performance provide no opportunity for recertification before the write-off.
- If during the Dean's Window, you feel a SPAR modification is required on a previously certified statement, to avoid creating a stressful recertification situation in a very limited timeframe, you may wish to wait until after the write-off date and request a 90-day exception. To ensure that your situation will qualify for a 90-day exception, please consider the following:
  - Make sure the statement has only been certified one time. If the statement has already been recertified, you will not be able to modify the SPAR and the 90-day exception request may not be approved.
  - Does the reason for the modification meet one of the six approved exception categories? If not, it may not be approved.
  - If you are unsure of whether your situation would be approved, please contact SPARhelp\*.
- If you see something on any of these tools that you do not understand, receive an email from ECC, SPARhelp\*, or anyone in Financial Compliance for Research that doesn't make sense to you, or you are having a difficult time with a PI, **ask us for help**. Email SPARhelp\* and explain the issue. **We can help you with any problem you may be having up to the write-off date.** The earlier you ask for our help the better. We cannot help, though, once the write-off date has arrived.

\* - SPARhelp email address is [sparhelp@cfo.pitt.edu](mailto:sparhelp@cfo.pitt.edu)