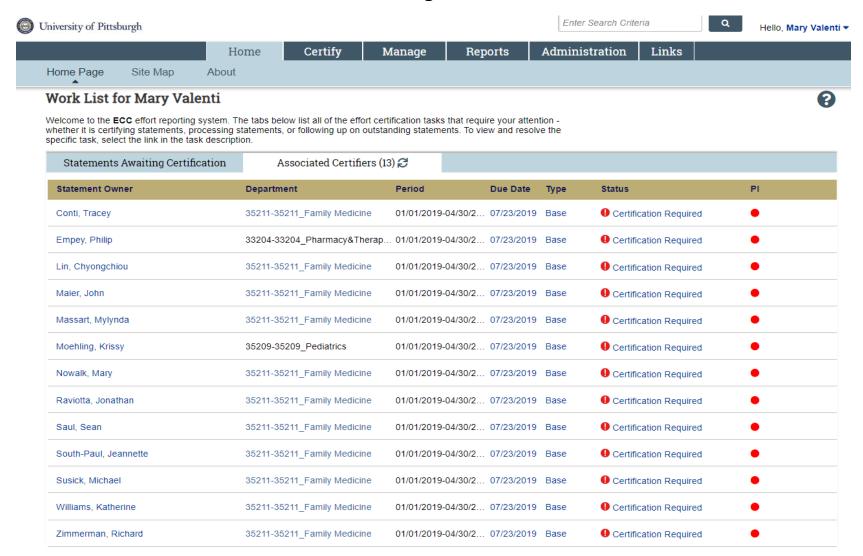
UNCERTIFIED EFFORT AND WRITE-OFFS

ECC tools for Monitoring Uncertified Effort

Office of Financial Compliance for Research

> Associated Certifiers Tab on Home Page



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

N <u>ame</u>	Employee Type	Employee ID	Role	Statements	Action
Sponsored - Federal 🛊 💌					
Conti , Tracey Denise	Semester	70791	No Role	0000	Q
Fox , Andrea R	Semester	78752	No Role		Q
in , Chyongchiou Jeng	Semester	19922	No Role	0000	Q
Maier , John Stewart	Semester	137162	PI	©()	● Q
naier , Robin Marie	Semester	64164	No Role		Q
Massart , Mylynda B	Semester	158085	PI		Q
Moehling , Krissy K	Semester	111440	No Role	0000	Q
Nowalk , Mary Patricia	Semester	43980	No Role	@000	● Q
Raviotta , Jonathan Marc	Semester	137506	No Role	0000	Q
Saul , Sean Gregory	Semester	154037	No Role	0000	Q
South-Paul, Jeannette	Semester	49864	PI	0000	● Q
Susick Jr, Michael	Semester	135747	No Role	0000	Q
Villiams , Katherine Vopicka	Semester	19158	No Role	(1)	● Q
Voodyear , Dawna Hoyle	Semester	93673	No Role	0000	● Q
Yonas , Michael Allan	Semester	111363	No Role	000	Q
Zahnhausen , Patricia Elaine	Semester	49208	No Role	◎ ⊘⊘⊘	● Q
Zimmerman , Richard K	Semester	19331	PI	0000	● Q
Non-Sponsored 🛊 🖾					
Non-Department 🛊 🖾					
Bartsch , Sarah Marie	Semester	124896	No Role	00	• 2
Cousins , Trisha Ann	Semester	157200	PI	O	• •
Ouran , Luis G	Semester	105986	No Role	0	• •
Empey , Philip E	Semester	111922	PI	(9)	• 1
Johnson , Monika	Semester	163117	No Role	O	• 1
Junecko , Beth Fallert	Semester	17192	No Role	OO	• 1
Kulka , Kathleen A	Semester	5937	No Role	0	• 8
Magnu , Jessica Ann	Semester	125107	No Role	0000	• 1
McHugh , Kevin J	Semester	74539	No Role	0	• 1
Moehling , Krissy K	Semester	111440	No Role	©0	• 2
Yonas , Michael Allan	Semester	111363	No Role	0	• 2

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

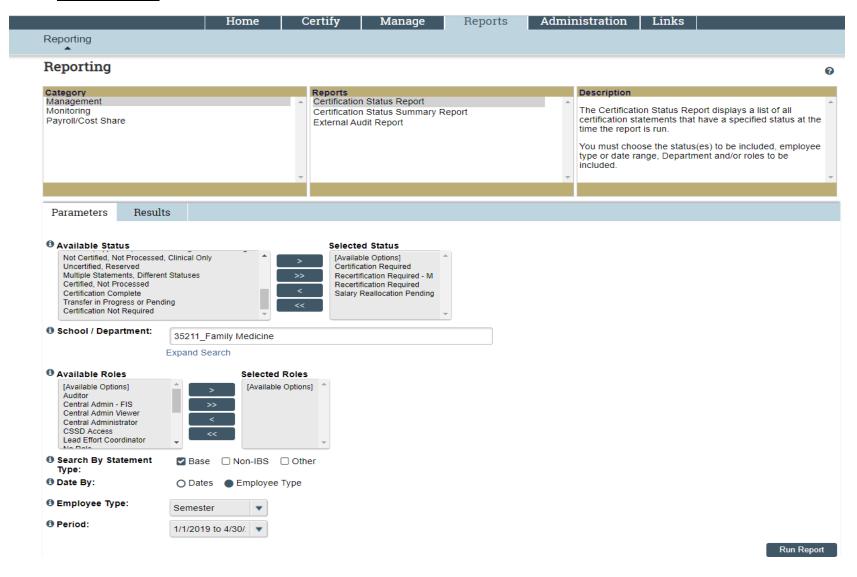
Not a Reliable Indicator of Uncertified Effort



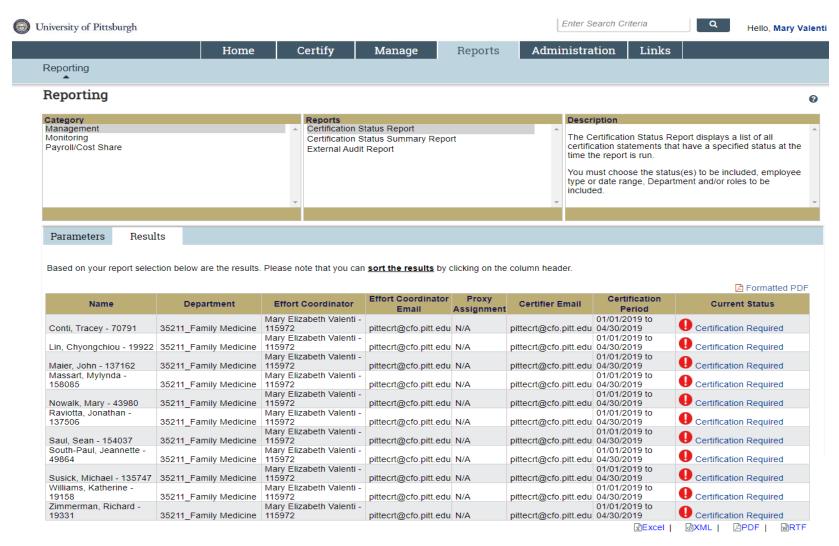
The Department Dashboard Certification Summary Chart only provides statement counts in each category for current employees of the specified department. Therefore, the effort statements reported in the Non-Department and Terminated sections of the Dashboard are not included in these statistics, but represent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



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

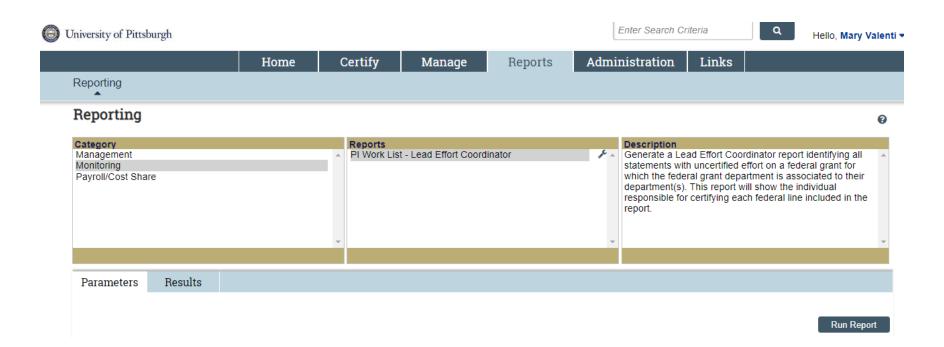


Does not include uncertified statements for employees from other home departments working on your department grants.

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

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

Parameters



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

Results

18 items found, displaying 1 to 25. First/Prev] 1, 2 [Next/Last]												
Certifier mployee 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
9331	Richard	Zimmerman	19331	Richard	Zimmerman			05.35211.5000.00000.124966.00000.00000.M	Future of Influenza Vaccine Strategies Given Interference&Choice	35211_Family Medicine		Active Assignment
9331	Richard	Zimmerman	43980	Mary		2019-01- 01 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
9864	Jeannette	South-Paul	49864	Jeannette	South-Paul	2019-01- 01 00:00:00.0		05.35211.5000.00000.126306.00000.00000.M	Postdoctoral Training in General, Pediatric and Public Health Dentistry and De Analyzing Adult	35211_Family Medicine		Active Assignment
9331	Richard	Zimmerman	19331	Richard	Zimmerman	2019-01- 01 00:00:00.0		05.35211.5000.00000.126892.00000.00000.M	Pneúmococcal	35211_Family Medicine		Active Assignment

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**.5000.00000.00000.00000.00000.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-on

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:



FCR

- FCR Home
- 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

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 3rd 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.
 - o 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