

## [+] Effort Statement Instructions



1

Work List

Statements Requiring Certification

Johnston, Christopher

34204\_Environmental/Occu...

Bach, Lindsay Frances

34204\_Environmental/Occu...

Giel, Dominique

34204\_Environmental/Occu...

Lin, Sarah R

34204\_Environmental/Occu...

Miller, Chelsea

34204\_Environmental/Occu...

In Progress

Recently Completed

Johnston, Christopher - 11563

Statement Owner

Effort Statements

Needing certification

Base

3/21/2019

Certification Required

In progress

Historical

2

Johnston, Christopher - 11563 (Semester)

3

Base Effort Period: 09/01/2018 to 12/31/2018

Due Date: 3/21/2019

4

Status: Certification Required

INFO - Check all certify checkboxes to show the certify button.

Projects	Distributed Effort	Cost Sharing	Actual Effort	Certified Effort	Certify/ Acknowledge Checkboxes
<b>Sponsored - Federal</b> 5					
153121 Imaging Pathophysiology in Acute Lung Injury	8	9	10	11	
05.02020.5100.00000.153125.00000.00000.N University of Pittsburgh Clinical Research B	30.00 %	0.00 %	30.00 %	30.00 %	<input type="checkbox"/>
05.02020.5100.00000.153131.00000.00000.N University of Pittsburgh Clinical Research 2	15.00 %	0.00 %	15.00 %	15.00 %	<input type="checkbox"/>
Award Total:	45.00%	0.00%	45.00%	45.00%	12 <input type="checkbox"/>
131614 Inflammasome activation in mobility resilience: the dopaminergic system					
05.02020.5100.00000.131614.00000.00000.N Caspase-1 and Inflammasome activation in mobility resilience: the dopaminergic system	5.00 %	0.00 %	5.00 %	5.00 %	<input type="checkbox"/>
Award Total:	5.00%	0.00%	5.00%	5.00%	
125488 Core A: Signature-Directed, Sequential Delivery of Vascular Subphenotypes					
05.02020.5100.00000.125497.00000.00000.N Mechanism-Directed Sequential Delivery of Vascular Subphenotypes	30.00 %	0.00 %	30.00 %	30.00 %	<input type="checkbox"/>
Award Total:	30.00%	0.00%	30.00%	30.00%	
<b>Sponsored - Federal Total:</b>	80.00%	0.00%	80.00%	80.00%	
<b>Sponsored - Non-Federal</b> 6					
710454.I Targeted Interventions to Prevent oxidation and hydrolysis in Barth Syndrome					
05.02020.5100.00000.710454.00000.00000.N Targeted Interventions to Prevent oxidation and hydrolysis in Barth Syndrome	15.00 %	0.00 %	15.00 %	15.00 %	
Award Total:	15.00%	0.00%	15.00%	15.00%	
<b>Sponsored - Non-Federal Total:</b>	15.00%	0.00%	15.00%	15.00%	13 <input type="checkbox"/>
<b>Non Sponsored</b> 7					
04.02020.5100.30354.000000.00000.00000.N Environmental/Occupational Hlth.RDF DEANS SUPPLEMENTAL	5.00 %	0.00 %	5.00 %	5.00 %	
<b>Non Sponsored Total:</b>	5.00%	0.00%	5.00%	5.00%	14 <input type="checkbox"/>
<b>Grand Total:</b>	100.00%	0.00%	100.00%	100.00%	16 <input type="checkbox"/>

15


Get Help

16

Certify

## Employee Compensation Compliance (ECC)

### Effort Statement User Guide

- 1** **PI Work List** – The PI name appears at the top of his/her work list. If the PI has one or more employees working on his/her federal sponsored projects requiring certification, each would be listed below the PI name. The PI can move between effort statements by clicking on specific names on the work list. By clicking on the Select All icon  at the top of the work list, the first 10 statements on his/her work list will be displayed in succession below.
- 2** **Statement Owner Name** - In this example the statement owner is the PI. However, if the PI has other statements to certify, the statement owner name could be any of the individuals working on the PI's federal sponsored projects.
- 3** **Period of Performance** - The date range indicates the academic period to which the activities being certified relate.
- 4** **Statement Status** - The status of a particular statement indicates whether any action is needed on the part of the PI. In this example, a status of 'Certification Required' or 'Recertification Required' indicates that the PI needs to certify this effort. If the status were "In Progress", this indicates that the statement is building in the current period of performance and not yet available for certification. Statements will automatically move from "In Progress" status to "Certification Required" status when the next certification period opens to PIs. A statement in 'Salary Reallocation Pending' status indicates that a SPAR modification has been made for the statement but requires approval and posting by the department administrator before the statement is available to the PI for recertification.
- 5** **Sponsored Federal Section** - This section will detail the federal sponsored project activity for the named employee for the academic period identified above. Sponsored projects will be grouped in Master-Sub account relationships. In addition to the general ledger account number, the long title of the project is provided to assist you with the identification of the activity. Care should be taken at the proposal phase to ensure meaningful long title descriptions for each award. Effort in this section will be certified on a project by project basis by the PI of each project. If the statement owner is the PI of a federal sponsored project, he/she will certify all lines on his/her personal effort statement as all PIs self-certify, even on projects for which he/she is not the PI.
- 6** **Sponsored Non-Federal Section** - This section will detail all non-federal sponsored project activity for the named employee for the period, grouped in Master-Sub account relationships, and including the long project title. Effort in this section will not be certified, but rather acknowledged by PIs related to this statement as evidenced by the placement of the check box

on the gray subtotal line. In accordance with federal regulations, 100% of effort must be certified/acknowledged to provide the context in which the federal sponsored effort is evaluated. For this reason, all boxes must be checked for a statement to be considered certified.

**7** Non-Sponsored Section - This section will detail the institutional accounts charged for activities not related to sponsored research (teaching, service, administration, etc.) Effort in this section will not be certified, but rather acknowledged by PIs related to this statement as evidenced by the placement of the check box on the gray subtotal line. In accordance with federal regulations, 100% of effort must be certified/acknowledged provide the context in which the federal is evaluated. For this reason, all boxes must be checked for a statement to be considered certified.

**8** Distributed Effort Column – The percentages in this column represent the portion of your salary that has been charged during the four-month period to the activity identified in the detailed description on the left side of the statement.

**9** Cost Sharing Column – Percentages in this column represent the portion of your salary for work performed on a sponsored project that the sponsor did not reimburse. Cost sharing may be related to salary paid in excess of the DHHS salary cap or other sponsor/ budgetary restrictions. Entries in this column will offset each other as any reduction in salary distribution to a sponsored project will increase the salary distribution in a non-sponsored or institutional account. Actual Effort (work performed) less Cost Sharing (sponsor/budget restrictions) equals the Distributed Effort (salary distribution) percentage for a sponsored account; Actual Effort plus Cost Sharing equals the Distributed Effort percentage for non-sponsored accounts. The signs are reversed on the effort statement because ECC calculates the Distributed Effort percentages first and uses the Cost Share percentages to calculate Actual Effort.

**10** Actual Effort Column – Effort distributions in this column represent the portion of your University appointment that you devoted to each activity during the four-month period based on the effort information you provide to your department/grants administrator.

**11** Certified Effort Column – This represents your confirmation of the time devoted to each activity expressed as a percentage of your University appointment. This column should always be equal to the Actual Effort column. Please keep in mind that these percentages represent the average level of effort devoted to each activity over the four-month period. If you do not agree with these effort distributions, contact your Department or Grants Administrator for an explanation. If changes are required, modifications must be entered in the University's SPAR application for overnight update to ECC.

**12** Certify Checkboxes – Checkboxes appear on each line of the Sponsored-Federal section for certification of activity associated to each federal sponsored project.

**13** Acknowledgement Checkbox Non-Federal Section – Certification is not required for non-federal sponsored projects. However, federal regulations require that federal sponsored effort be certified in relation to all other activities comprising an employee’s University appointment. A check in this box on the subtotal line for this section acknowledges the consideration of this effort without a certification of the individual activities within the non-federal group.

**14** Acknowledgement Checkbox Non-Sponsored Section – Certification is not required of non-sponsored activities. However, federal regulations require that federal sponsored effort be certified in relation to all other activities comprising an employee’s University appointment. A check in this box on the subtotal line for this section acknowledges the consideration of this effort without a certification of the individual activities within the non-sponsored group.

**15** Get Help Button – This button is available for you to contact your department administrator for any questions you have on that particular effort statement. Clicking this button will open an Outlook email to the department administrator responsible for that effort statement so that you may explain your question(s) and send the email.

**16** Certify Button – This button will appear on the effort statement once all boxes on the statement are checked. Certification is a three-step process:


- 1) Check all boxes available to you on the effort statement (this may be done individually or by clicking '★' at the top of the checkbox column on each effort statement);
- 2) Click the ‘Certify’ button;
- 3) Click ‘I Agree’ on the attestation page (see attestation statement below).


*I certify that I have suitable means to verify the distribution of federal sponsored project effort of this employee for the period covered by this statement. I certify further that to the best of my knowledge, and in context with this employee's other activities comprising his/her total University appointment, this distribution reasonably reflects the actual effort of this employee on these federal sponsored projects and the resultant salary charges in relation to the work performed.*

Please remain logged in to ECC until you are returned to your work list to allow the application to process the certifications. The names of the statement owners associated to the statement(s) certified will drop from your work list. The PI name will remain on the work list after the certification of the PI’s statement is completed due to the ‘In Progress’ statement. If this is the only listing on the work list, certification for the current certification period is completed.

If all three steps are not completed or ECC is closed prematurely, the certifications will be canceled and these statements will again appear on your work list and require certification.

For PIs required to certify a number of statements, the three-step process may be performed for multiple statements as follows:

At the top of the Work List, click the Select All icon . This will return the first ten effort statements so that you may scroll through each below.

- 1) Check all boxes available to you on each effort statement scrolling through the list (this may be done by checking individual boxes or by clicking '' at the top of the checkbox column on each effort statement). If you do not agree with any of the federal effort distributions, do not check them. Only those statements on which all boxes are checked will be included in the certification process. You must acknowledge all non-federal and non-sponsored activity to complete the certification. Please note, any statement with unchecked boxes remaining will not be certified as partial certifications will not be accepted. These statements will have all boxes reopened and will remain on your worklist.
- 2) Click the 'Certify Checked' button at the very bottom of the effort statement listing. This button is not included on individual effort statements. If you click the 'Certify' button on an individual statement, only that statement will be certified.
- 3) The attestation page will display the attestation statement and the listing of statements for which you have checked boxes. Only those statements for which you've checked all boxes will be certified. Click the 'I Agree' button to complete the process.

Using either the individual statement or multiple statement method of certification, once you click the 'I Agree' button, ECC will process the certification(s) and return you to your Work List. If other statements remain on your Work List, repeat the steps above to certify those statements. If the only statement remaining in your Work List is your statement marked as 'In Progress', you are done.