



University of Pittsburgh

Effort Reporting

Non-Federal and Non-Sponsored
Activities

Certification vs. Acknowledgement





Who Must Certify?

- All employees with effort to a **federal** sponsored project are required to have after-the-fact confirmation of direct labor, per federal regulations.
 - Effort statements must include all activities (teaching, research, administration, public service) comprising the employee's University appointment. Effort for each activity must be expressed as a percentage of the employee's total appointment.
 - Certifier must have first-hand knowledge of the volume and nature of the technical work performed or other suitable means of verification.
 - If you do not understand or agree with the effort distributions to **federal projects** on statements that you are required to certify or if effort statements appear on your work list for research personnel who have not performed any work on your federal sponsored project(s) during the period being certified, ask your fiscal administrator for clarification **before you certify**. The certification is **your** confirmation of this activity.



Effort Statement Display

Effort statements reflect up to three types of activities:

1. Sponsored – Federal (check boxes appear on each project line to **certify** effort for that project)
2. Sponsored – Non-Federal (check box appears on total line to **acknowledge** other non-certifiable activities)
3. Non-Sponsored (check box appears on total line to **acknowledge** other non-certifiable activities)

Only statements with Sponsored - Federal activity will require certification.

An effort statement is not considered to be certified until **all** boxes are checked, acknowledging/certifying 100% effort.



Effort Statement for Cooper, Richard (Semester); Base effort, from 05/01/2014 to 08/31/2014, due 12/31/2014; Status: Certification Required

Projects [-]	Distributed Effort	Cost Sharing	Actual Effort	Certified Effort	Effort Calc Certify/Acknowledge Checkboxes
Sponsored - Federal					
118082 Diagnostics for Structure and Function 05.10010.5000.00000.122303.00000.00000.N Novel Diagnostics for Structure and Function	37.50%	0.00%	37.50%	37.50%	<input type="checkbox"/>
<i>Award Total:</i>	37.50%	0.00%	37.50%	37.50%	
124919 Diagnostics for Structure and Function 05.10010.5000.00000.124919.00000.00000.N Novel Diagnostics for Structure and Function	0.00%	2.50%	2.50%	2.50%	<input type="checkbox"/>
<i>Award Total:</i>	0.00%	2.50%	2.50%	2.50%	
Sponsored - Federal Total:	37.50%	2.50%	40.00%	40.00%	
Sponsored - Non-Federal					
601203 A Network Analytic Model of Adherence and Abstinence 05.10010.5000.00000.601203.00000.00000.N A Network Analytic Model of Adherence and Abstinence	25.00%	0.00%	25.00%	25.00%	<input type="checkbox"/>
<i>Award Total:</i>	25.00%	0.00%	25.00%	25.00%	
Sponsored - Non-Federal Total:	25.00%	0.00%	25.00%	25.00%	<input type="checkbox"/>
Non Sponsored					
02.10010.5000.00000.000000.51401.00000.N Provost, Office of the	18.25%	0.00%	18.25%	18.25%	
02.10010.5000.00000.000000.00000.00000.N Provost, Office of the	19.25%	-2.50%	16.75%	16.75%	
Non Sponsored Total:	37.50%	-2.50%	35.00%	35.00%	<input type="checkbox"/>
Grand Total:	100.00%	0.00%	100.00%	100.00%	All None



Attestation Statement

The attestation statement in ecrt indicates that your certification only applies to federal sponsored project effort:

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.



Certification vs. Acknowledgement

- Federal regulations require the consideration of the employee's **total University appointment** when certifying the effort assigned to federal sponsored programs to provide the context upon which the percentages were determined.
- A check mark on the **total lines** for Non-Federal and Non-Sponsored activity is an **acknowledgement** of the employee's other activities comprising the University appointment, not a certification of these specific activities.
 - These activities should be somewhat familiar to you as they would have been considered initially when determining the portion of the employee's workload available for your project.



Effort statements having activity on your federal projects will automatically be routed to you in ecrt.

Check boxes will appear on each line for which your certification or acknowledgement is required. Clicking 'All' in the lower right-hand corner of the statement will ensure that no boxes remain unchecked.

Projects [-]	Distributed Effort	Cost Sharing	Actual Effort	Certified Effort	Certify/Acknowledge Checkboxes
Sponsored - Federal					
118082 Diagnostics for Structure and Function 05.10010.5000.00000.122303.00000.00000.N Novel Diagnostics for Structure and Function	37.50%	0.00%	37.50%	37.50%	<input type="checkbox"/>
<i>Award Total:</i>	37.50%	0.00%	37.50%	37.50%	
124919 Diagnostics for Structure and Function 05.10010.5000.00000.124919.00000.00000.N Novel Diagnostics for Structure and Function	0.00%	2.50%	2.50%	2.50%	<input type="checkbox"/>
<i>Award Total:</i>	0.00%	2.50%	2.50%	2.50%	
Sponsored - Federal Total:	37.50%	2.50%	40.00%	40.00%	
Sponsored - Non-Federal					
601203 A Network Analytic Model of Adherence and Abstinence 05.10010.5000.00000.601203.00000.00000.N A Network Analytic Model of Adherence and Abstinence	25.00%	0.00%	25.00%	25.00%	
<i>Award Total:</i>	25.00%	0.00%	25.00%	25.00%	
Sponsored - Non-Federal Total:	25.00%	0.00%	25.00%	25.00%	<input type="checkbox"/>
Non Sponsored					
02.10010.5000.00000.000000.51401.00000.N Provost, Office of the	18.25%	0.00%	18.25%	18.25%	
02.10010.5000.00000.000000.00000.00000.N Provost, Office of the	19.25%	-2.50%	16.75%	16.75%	
Non Sponsored Total:	37.50%	-2.50%	35.00%	35.00%	<input type="checkbox"/>
Grand Total:	100.00%	0.00%	100.00%	100.00%	<input type="checkbox"/> All <input type="checkbox"/> None



Examples of Acknowledgement of Non-Federal Activity

- Staff member Jason spends 1 day per week in your lab working on your federal project A. The following effort distribution appears on his effort statement for your certification:
 - 20% on your federal sponsored project
 - 80% to other accounts
- This distribution appears to be reasonable based on your knowledge that he is in your lab 1 day per week and 1 day out of 5 would represent 20% of his effort.
- If Jason's distribution was 50% to Project A and 50% to an institutional account, this does not appear to be reasonable. In checking with the fiscal administrator, you discover that Jason only works 2 days per week, therefore, the 50% effort to your sponsored project is reasonable, since it represents $\frac{1}{2}$ of his University appointment.



Examples of Acknowledgement of Non-Federal Activity (Con't)

- A full-time junior faculty member, Andrea, is assisting on a federal sponsored project in your lab 3 afternoons a week. You are aware that Andrea also devotes a few hours each week to a Gates Foundation grant, teaches 3 Chemistry classes with labs this term and has office hours to advise students. Andrea's schedule is split between your sponsored project, the Gates non-federal grant, and institutional activities of teaching and advising.
- You could reasonably estimate that she spends about 30% of her effort in your lab. Her statement shows 30% to your project, with balance of her effort on the Gates non-federal grant and several non-sponsored accounts with effort totaling 70% on these combined activities.
 - The checkmark on your federal line **certifies** her federal effort.
 - The checkmark on the Sponsored – Non-Federal and Non-Sponsored total lines **acknowledge** the other activities that complete the appointment with no validation on your part of the propriety of the account numbers or effort percentages associated with the Sponsored – Non-Federal or Non-Sponsored activities.



Partial Periods of Employment

Jeffrey worked 100% on your federal grant during the months of May and June, up to his departure from the University on June 20th.

- Based on this experience, you anticipate that his effort on your project should be something less than 50% since he only worked on your grant for less than 2 full months.



Partial Periods of Employment (Con'd)

Jeffrey's effort statement for the May-August Period of Performance (POP) shows 100% effort to your federal grant.

- Effort percentages are based on work performed as required by the employee's **appointment** during the POP.
- For partial period appointments, effort for the POP reflects work performed during the employee's active employment only. Effort and salary distribution stop upon termination of employment.
- During Jeffrey's appointment at Pitt, he spent 100% of his time on your federal grant. The salary dollars distributed to the grant would reflect only the amount Jeffrey was paid during his employment.
- This same principle would apply if Jeffrey had only been hired in July. His effort for the POP would only include work performed in July and August and be represented as 100% on his effort statement.



Responsibility for Certification

- Responsibility for the day-to-day management of project finances may be delegated to administrative staff, but accountability for compliance with University policies and sponsor requirements, including effort certification, ultimately rests with the PI.
- Please **do not** provide your log in ID and Password to your Department Administrator to certify effort on your behalf in ecrt. This is a violation of University Computing and Effort policies and federal regulations and puts both you and the Administrator at risk for disciplinary and/or legal action.