UNIVERSITY OF ILLINOIS
URBANA-CHAMPAIGN • CHICAGO • SPRINGFIELD

Semi-Annual Confirmations

Web-Based Application for Online Review and Confirmation of
Direct Costs and Cost Sharing Effort Commitments
on Sponsored Projects and Federal Formula Grants

Department Contact

Urbana and Springfield Campuses

Semi-Annual Confirmations – Department Contact

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Background

Semi-Annual Expenditure Confirmations

The semi-annual confirmation process is now completed online by the Principal Investigator. An electronic confirmation report and signature replaced the signed paper forms as of the confirmation period ending June 30, 2010. Beginning with the confirmation period ending June 30, 2013, reports for federal formula grants are also included in the online confirmation system administered by the Grants and Contracts Office, Post-Award Administration division (GCO).

The U.S. Office of Management and Budget Circular A-21 “Cost Principles for Educational Institutions" (codified in the Code of Federal Regulations 2 CFR part 220) requires the University to confirm that expenditures charged to sponsored agreements or to federal formula grants were incurred properly. Since the regulations also require that salaries be confirmed on a semi-annual basis, the University developed a semi-annual expenditure confirmation procedure that covers *all* direct costs charged to sponsored projects.

The semi-annual expenditure confirmations are used by the University to confirm to the Federal government and other sponsors that all expenditures reported are in accordance with the provisions of the sponsored project's proposal and award documents or with the provisions in the federal formula grant program or awarding documents (as applicable).

Twice each year the Grants and Contracts Office will provide the unit business contact an online list of sponsored projects and federal formula grants requiring confirmation reports for each Principal Investigator (PI) in that unit. The confirmation period for these reports is the six-month period ending the preceding December and June.

Principal Investigators and their units are responsible for assuring that all charges to sponsored projects and federal formula grants are reasonable, allocable, and allowable and that the charges directly benefit the sponsored project or the federal formula grant. Failure to do this may result in adverse consequences to the University and to individual employees who knowingly make improper charges to federal funds.

Using the online confirmation system, the Principal Investigator is to verify (agree to) and confirm the direct expenditures and contributed effort commitments on each of their sponsored projects or federal formula grants (initiating any necessary corrections using the procedures outlined in Section 16.1.2 – Cost Transfers). The confirmed reports are sent to the unit business contact for a final administrative review and ultimately submitted to GCO. In the event the Principal Investigator is unavailable for an extended period, an appropriate Alternate Confirmer may be assigned.

A full description of the semi-annual confirmation process is found in Section 16.1.3 – Compensation for Personal Services Charged to Sponsored Projects

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Summary of Confirmation Process

A preliminary list of sponsored projects, federal formula grants, and the responsible Principal Investigators as recorded in Banner will be generated just prior to the close of the semi-annual confirmation period (December and June). The preliminary list of sponsored projects, federal formula grants, and responsible PIs (by org code) will be distributed for review and corrections as needed to the person designated to be the Department "Grants Confirmation Contact" for the 3-digit org code (role in Banner = GRCC).

Corrections or changes needed for the name of the fund PI, grant PI, or program PI as recorded in Banner should be promptly communicated to the Grants and Contracts Office. Changes to the name of the fund or grant PI will be made only to correct data-entry errors in Banner or when the responsibility for the project has been officially transferred to a different PI as approved by the sponsoring agency.

The Department Head, PI, and Department Contact will be notified when the list of sponsored projects and federal formula grants requiring confirmation is available online. The Department Contact will initially review the semi-annual confirmation reports, verify (agree to) the contents, and forward the reports to the PI/Confirmer. Reports that are subsequently confirmed by the PI/Confirmer and agreed to by the Department Contact are intimately submitted to the Grants and Contracts Office.

Department Contact Responsibilities

Ongoing:

- Be familiar with the requirements of the semi-annual confirmation process. A full description of the semi-annual confirmation process is found in Section 16.1.3 – Compensation for Personal Services Charged to Sponsored Projects. Contact the Grants and Contracts Office with any questions you have about this process.
- Train and assist new PIs on the use of the online confirmation application and provide refresher training and assistance as needed for existing PIs.

Semi-Annually:

- Complete an administrative review of the preliminary list of sponsored projects/federal formula grants and associated PI names. Contact the Grants and Contracts Office with changes to be made in Banner prior to the generation of the semi-annual confirmation reports.
- Perform an initial administrative review of the confirmation reports online and verify (agree) the direct costs and cost sharing are correct as shown on the reports.
- Contact the Grants and Contracts Office if any errors or issues are noted on the reports.
- Send reviewed reports to the PI/Confirmer.
- Assist the PI/Confirmer with their review and confirmation as needed (provide additional documentation, assist with navigation through the steps or the process, etc.).
- Perform the final departmental administrative review of confirmed reports. Ensure that attachments to the reports (if any) are appropriate and applicable to the confirmation process.
- Send confirmed reports for federal formula grants to the Program Reviewer.
- Submit confirmed reports for sponsored projects to the Grants and Contracts Office by the report due date.
- Follow up with the PIs for any reports not confirmed by the report due date. Work with the PIs and/or GCO to resolve any issues that are preventing timely submission of confirmation reports.

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Semi-annual confirmations are the basis of our assurance to sponsors and the University's independent auditors that costs directly charged or claimed as cost sharing are incurred legitimately with the direct knowledge of Principal Investigators. These online reports permit Principal Investigators to approve expenditures and project personnel effort semi-annually. Without these confirmations, costs could be questioned or disallowed.

Reminder emails will be sent prior to the due date to alert the Department Contact and the PI/Confirmer of any reports that have not yet been confirmed and submitted to the Grants and Contracts Office. Program Reviewers will also be notified if reports for federal formula grants are outstanding.

Notifications of overdue reports not submitted to the Grants and Contracts Office by the due date will be automatically generated and sent by the confirmation system on a regular schedule. As the severity of the delinquency increases, subsequent late notifications are escalated and copied to the Department Head, Dean, and Office of the Vice Chancellor for Research (for sponsored projects), and/or the ACES Associate Dean, Extension and Outreach or ACES Associate Dean for Research (for federal formula grants).

Detailed instructions for using the online confirmation application in the role of **"Department Contact"** follow.

Semi-Annual Confirmations – Department Contact

Log In to the Online Confirmation Application

Log in with your ID and password at: https://apps.obfs.uillinois.edu/CostShare/ind.cfm

Semi-Annual Confirmations – Department Contact

Overview of Reports and Status

A list of reports is displayed on the **"Overview"** tab. The list is sorted by org code, PI/Confirmer name and grant code or program code. At the start of the process, all reports displayed on the **"Overview"** tab for the Department Contact will show a status of **"Needs Dept Review"**. The status message will change as the report is moved by the users through the steps of the online confirmation process. User roles in the application are Department Contact, PI/Confirmer, Program Reviewer (applicable for federal formula grants only), and GCO.

The **"Due to GCO"** date is the deadline for submitting confirmed reports to the Grants and Contracts Office. Late notices will be automatically sent to the PI/Confirmer and the Department Contact for any reports not submitted to GCO by this date.

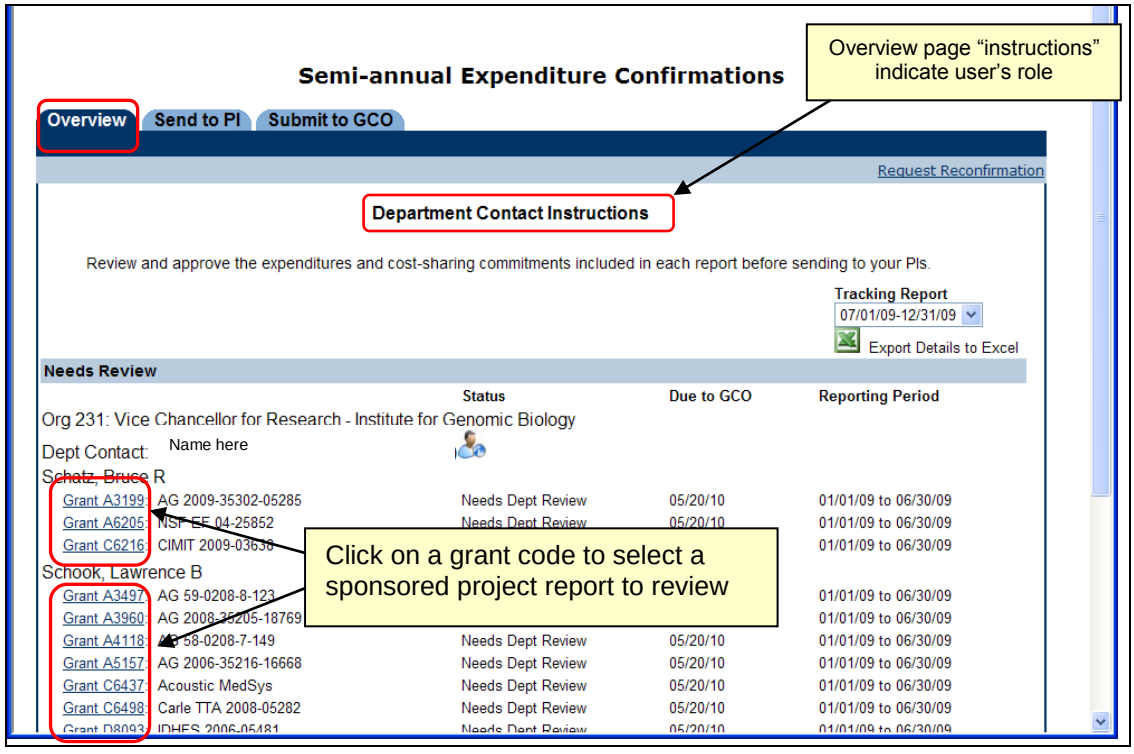
Each report will have two parts that may need to be reviewed and agreed to by the Department Contact. The first part of the report is direct expenditures (salaries, wages and all other direct costs) on the sponsored project or federal formula grant broken out by chart-fund-org, and the second part of the report is cost sharing by grant or program code.

At least one part of the report must have activity for the report to be included in the confirmation process. This means there must be either direct expenditures or cost sharing during the confirmation period for a report to be generated.

To begin:

Select a report to review by clicking a grant code (example immediately below) or program code (example follows) from the list displayed on the **"Overview"** tab.

*Note - Department Contact view shown below is for a unit that does **not** have federal formula grants.*

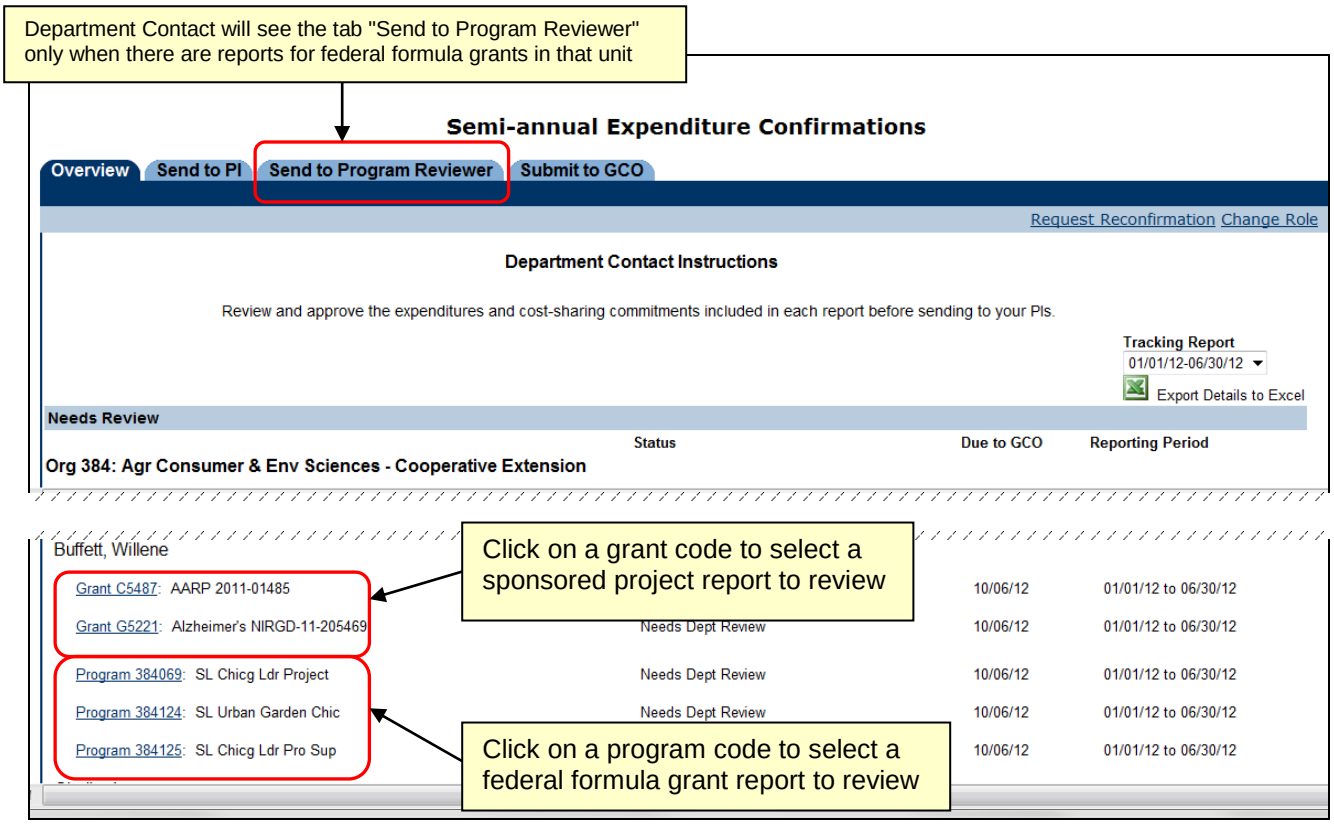


Semi-Annual Confirmations – Department Contact

For units with reports related to federal formula grants, the overview tab will also display a list of reports for "Program" codes; see example screenshot below.

The Department Contact will see an extra tab named "Send to Program Reviewer" when processing reports for a unit that has federal formula grants.

Note - Department Contact view shown below is for a unit that has federal formula grants.



Semi-Annual Confirmations – Department Contact

Direct Expenditures (Costs)

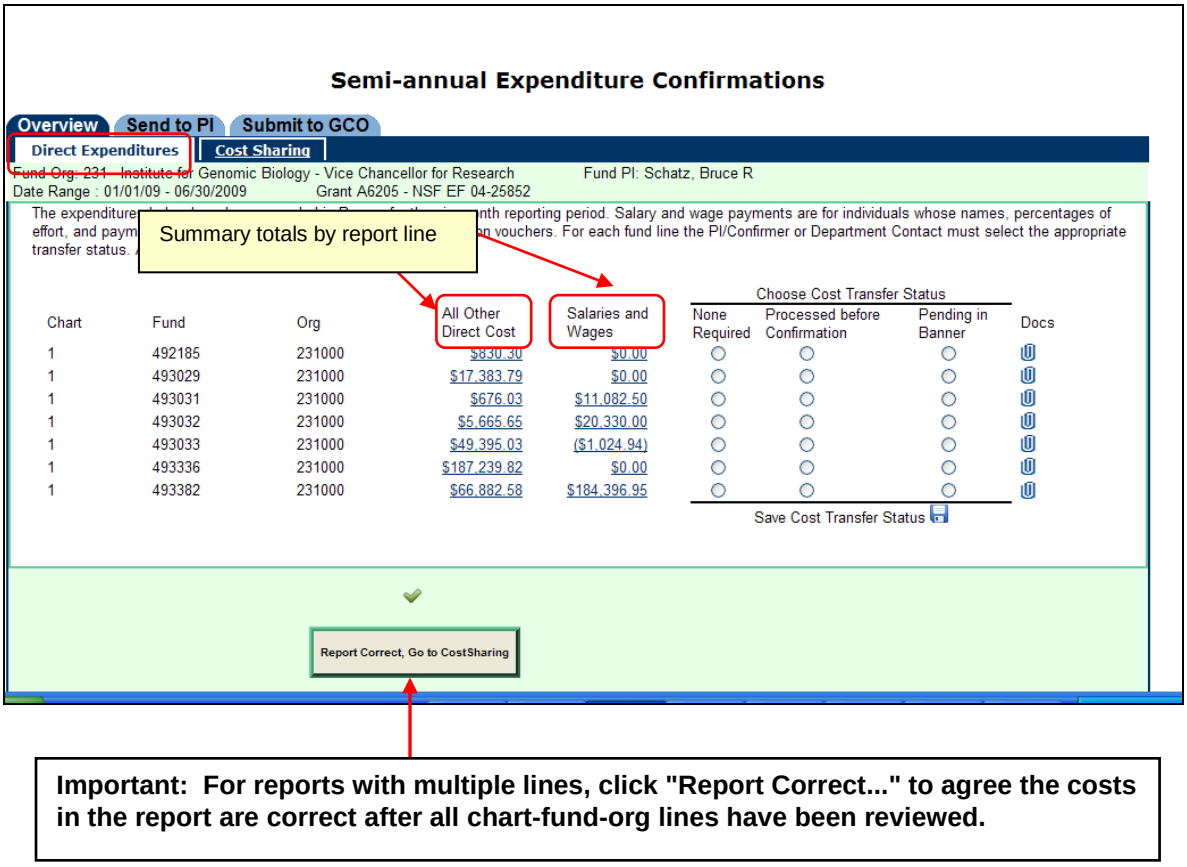
The review of direct expenditures is the same for both "Grant" reports and "Program" reports.

Clicking a grant code or program code from the list on the **"Overview"** tab takes the user to the **"Direct Expenditures"** tab.

Direct expenditures for salaries, wages and other direct costs charged during the confirmation period will be reviewed and agreed to on this tab.

When there are direct costs to confirm, separate summary totals are broken out by Chart, Fund, and Org. The summary totals are displayed for expenditures in the categories of **"All Other Direct Costs"** and **"Salaries and Wages"**. On the right hand side of the page, there is a section to choose a cost transfer status for each line, and the option to attach supporting documentation.

If the PI/Confirmer is responsible for confirming several different chart-fund-org fund combinations under the selected grant code or program code, multiple lines of summary data will display as shown in the example below.



Important: For reports with multiple lines, click "Report Correct..." to agree the costs in the report are correct after all chart-fund-org lines have been reviewed.

The online confirmation report has the same layout and requirements as the paper confirmation report that was used prior to the implementation of the online system in the fall of 2010.

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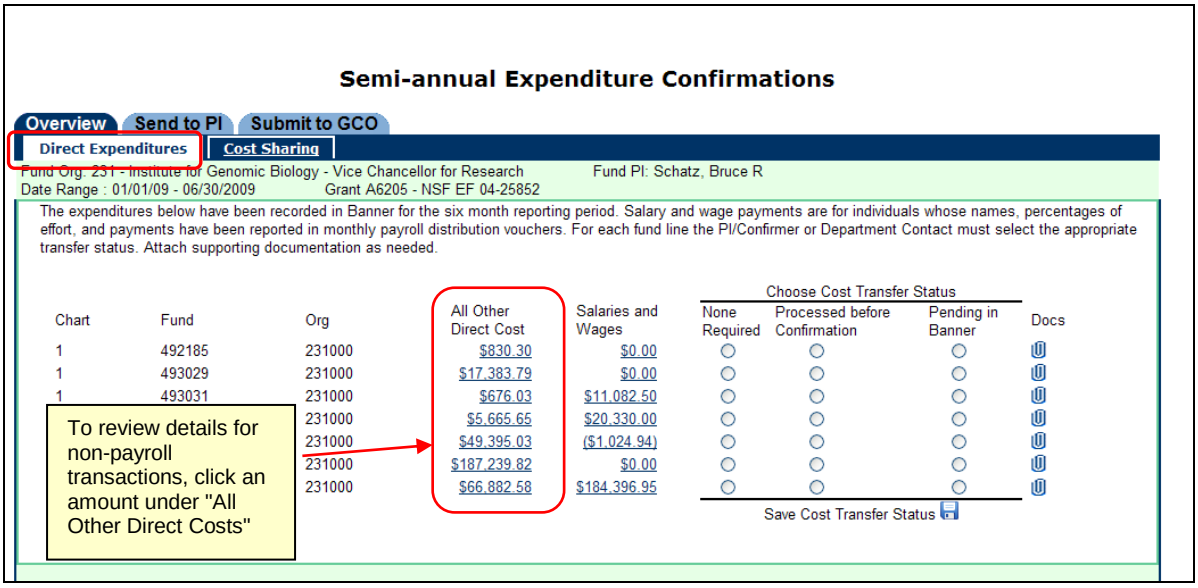
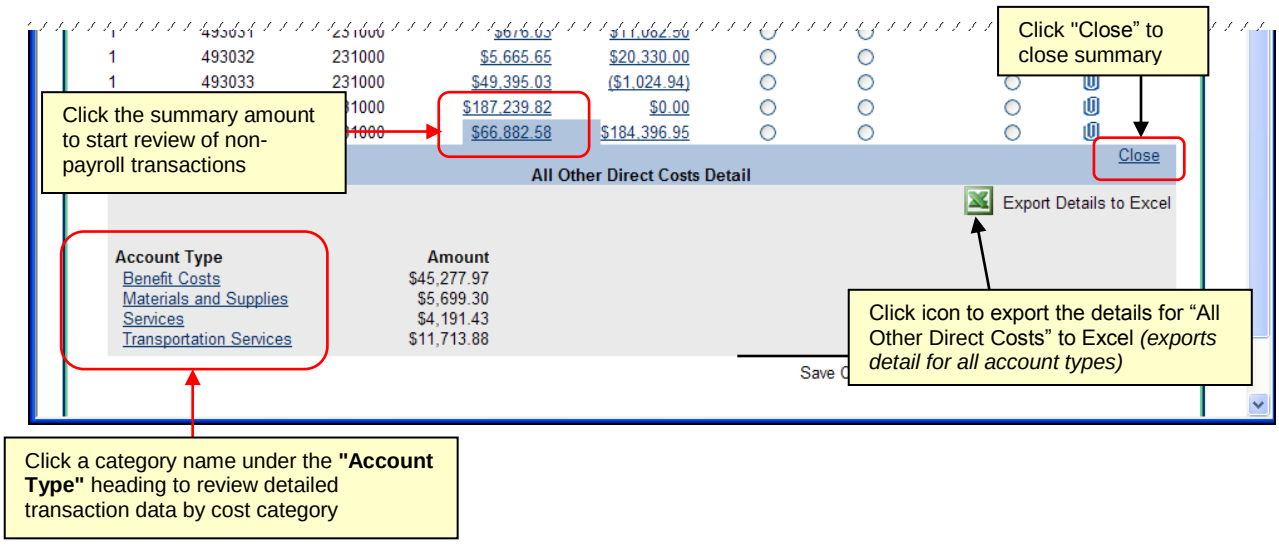
Review "All Other Direct Costs"

Click an amount (active link) under the column heading "**All Other Direct Costs**" to review transaction detail by chart-fund-org line.



Clicking a summary amount listed under the **"All Other Direct Costs"** heading will open a view of costs by Account Type for the selected chart-fund-org line.



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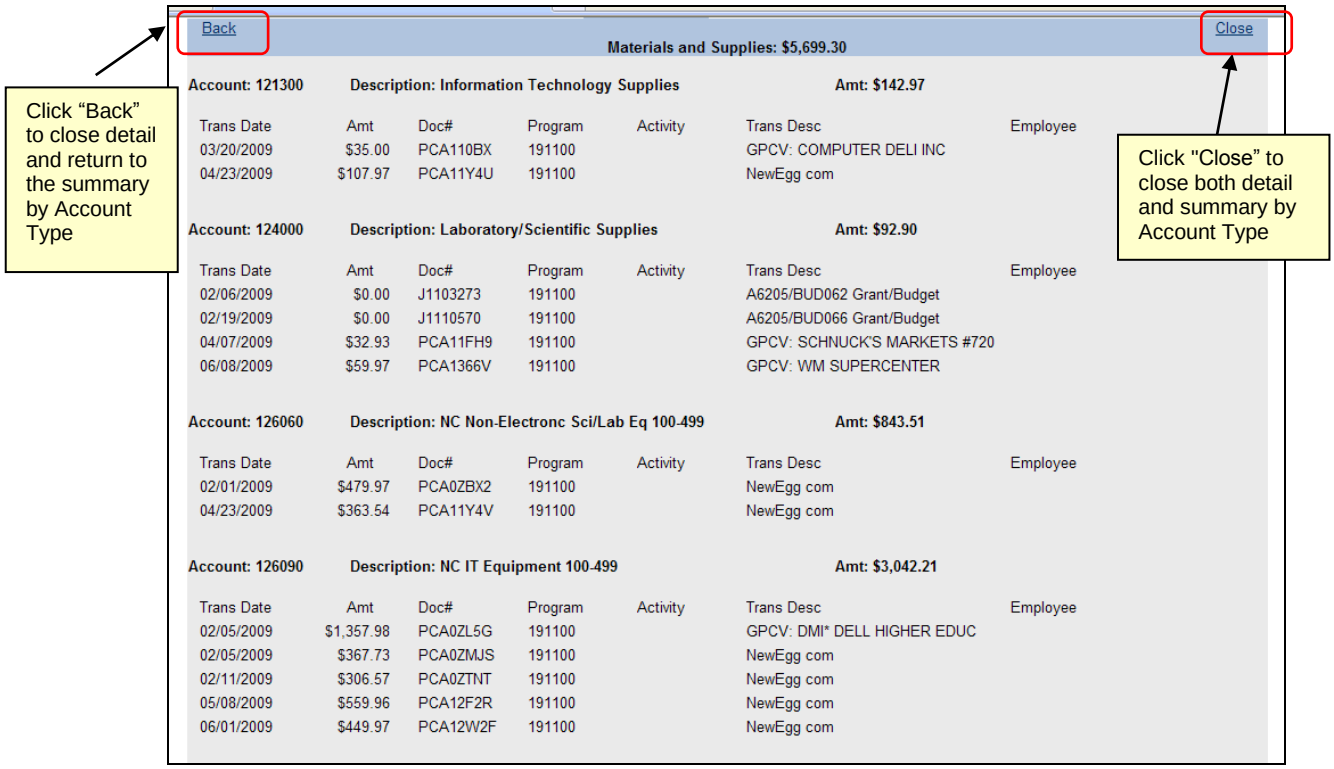
Clicking a category name under the "**Account Type"** heading opens a detailed view of the underlying transactions by cost category.

In this example, clicking the account type **"Materials and Supplies"** displays the detail for the underlying individual transactions sorted by account code and then by transaction date.

The transaction amount, date, document number, description, and other details for each transaction are displayed in this view.

- Use the **"Back"** link to return to the summary by Account Type or the **"Close"** link to return to the Direct Expenditure tab.
- The **"Export"** feature noted on the previous (summary) screen may be selected if more detail than what is displayed on-screen is needed for your review.



Back

Close

Materials and Supplies: $5,699.30

Account: 121300 **Description: Information Technology Supplies** **Amt: $142.97**

Trans Date	Amt	Doc#	Program	Activity	Trans Desc	Employee
03/20/2009	$35.00	PCA110BX	191100		GPCV: COMPUTER DELI INC	
04/23/2009	$107.97	PCA11Y4U	191100		NewEgg com	

Account: 124000 **Description: Laboratory/Scientific Supplies** **Amt: $92.90**

Trans Date	Amt	Doc#	Program	Activity	Trans Desc	Employee
02/06/2009	$0.00	J1103273	191100		A6205/BUD062 Grant/Budget	
02/19/2009	$0.00	J1110570	191100		A6205/BUD066 Grant/Budget	
04/07/2009	$32.93	PCA11FH9	191100		GPCV: SCHNUCK'S MARKETS #720	
06/08/2009	$59.97	PCA1366V	191100		GPCV: WM SUPERCENTER	

Account: 126060 **Description: NC Non-Electronc Sci/Lab Eq 100-499** **Amt: $843.51**

Trans Date	Amt	Doc#	Program	Activity	Trans Desc	Employee
02/01/2009	$479.97	PCA0ZBX2	191100		NewEgg com	
04/23/2009	$363.54	PCA11Y4V	191100		NewEgg com	

Account: 126090 **Description: NC IT Equipment 100-499** **Amt: $3,042.21**

Trans Date	Amt	Doc#	Program	Activity	Trans Desc	Employee
02/05/2009	$1,357.98	PCA0ZL5G	191100		GPCV: DMI* DELL HIGHER EDUC	
02/05/2009	$367.73	PCA0ZMJS	191100		NewEgg com	
02/11/2009	$306.57	PCA0ZTNT	191100		NewEgg com	
05/08/2009	$559.96	PCA12F2R	191100		NewEgg com	
06/01/2009	$449.97	PCA12W2F	191100		NewEgg com	

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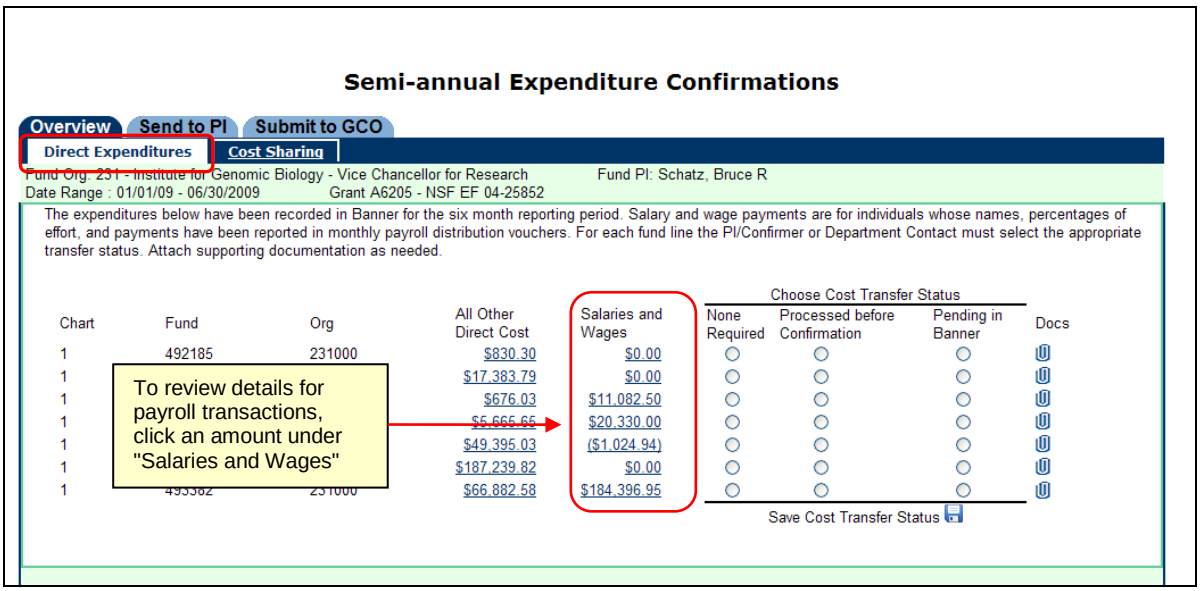
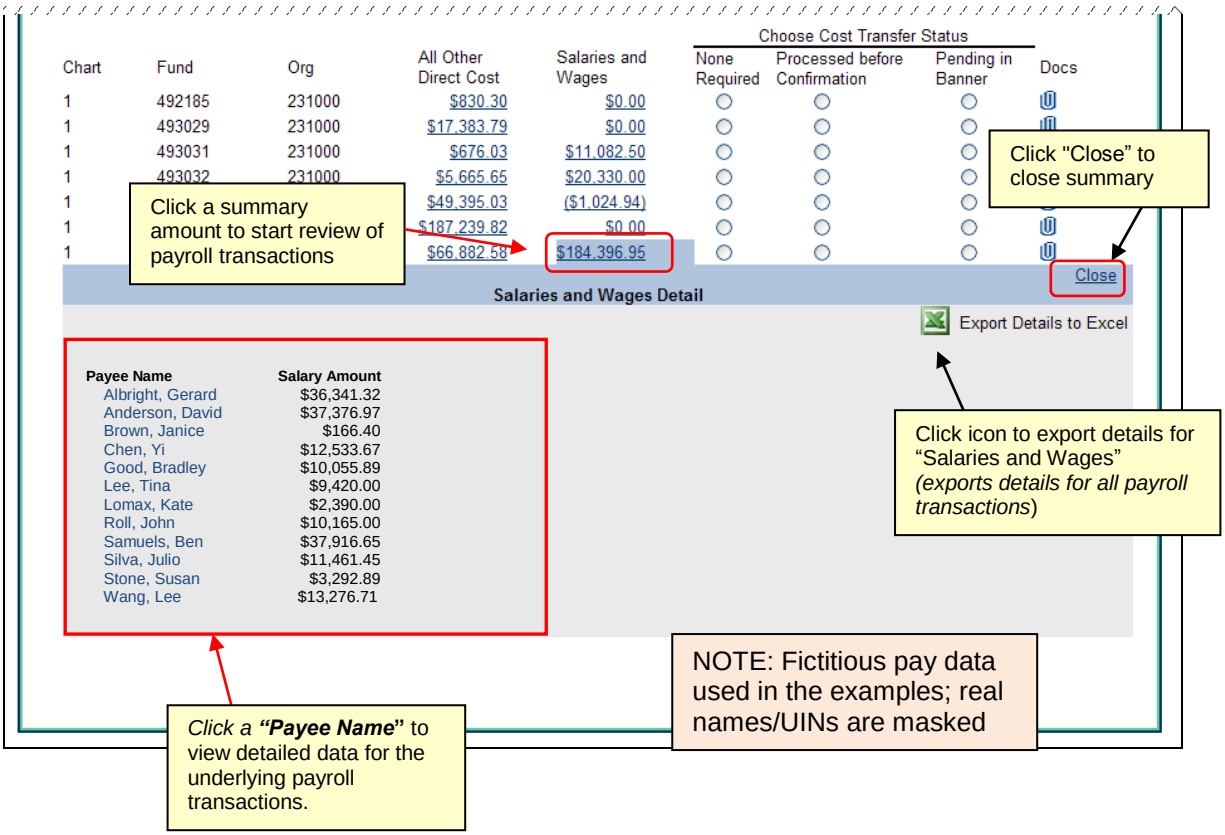
Review "Salaries and Wages"

A similar process is used to review charges for **"Salaries and Wages"**.



Click an amount (active link) under the column heading **"Salaries and Wages"** to display summary totals by payee name for that chart-fund-org line.



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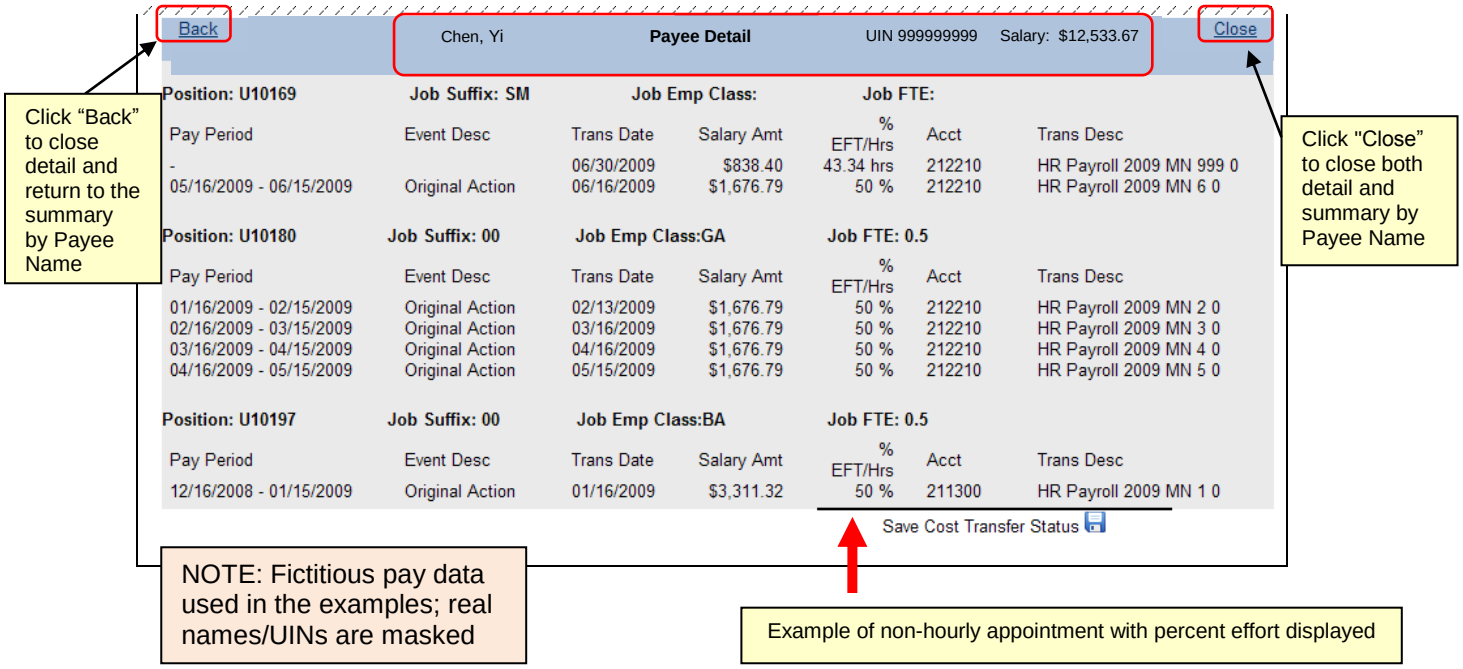
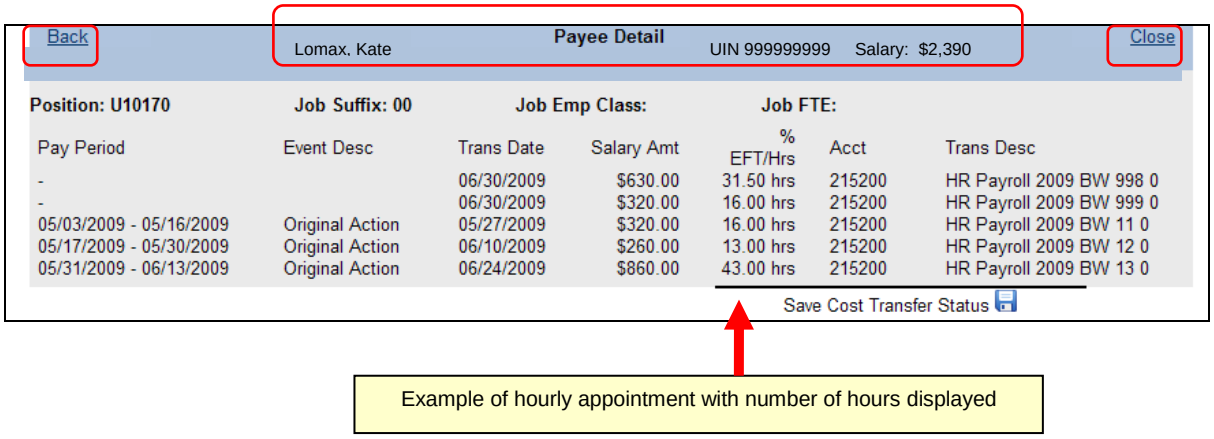
Clicking a **"Payee Name"** opens a detailed view of the underlying payroll transactions.

In the example below, details of payroll costs that were charged to the chart-fund-org line during the confirmation period for the selected individual are displayed.

- Use the **"Back"** link to return to the summary by Payee Name or the **"Close"** link to return to the "**Direct Expenditures"** tab.
- The **"Export"** feature noted on the previous (summary) screen may be selected if more detail than what is displayed on-screen is needed.

Data for individuals with non-hourly appointments will display a percent of full-time effort. Data for individuals with hourly appointments will display the number of hours.





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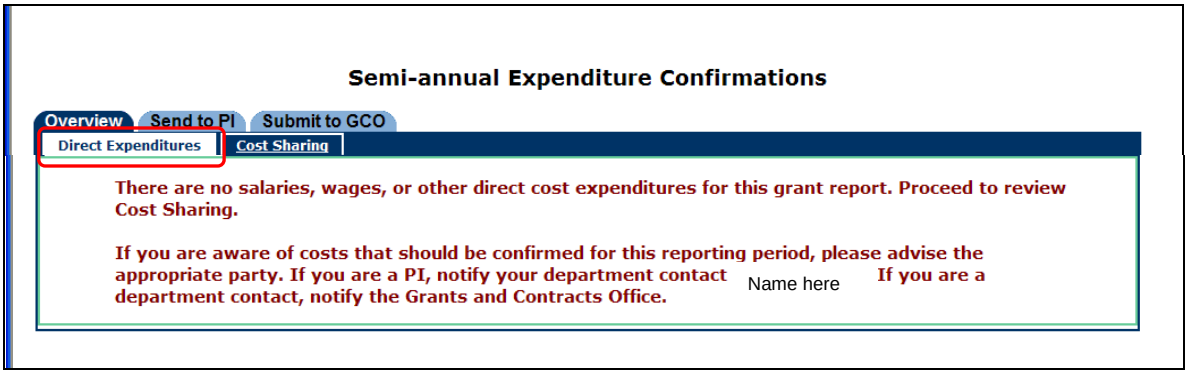
Special note: for sponsored project reports, there may be situations where there is only cost sharing to confirm for the reporting period (no direct costs). When the report is selected from the **"Overview"** tab, it will open on the default view of the "**Direct Expenditures"** tab.

In these cases, an explanatory message will display (see below). Proceed to the "**Cost Sharing"** tab to confirm the cost sharing for the reporting period.

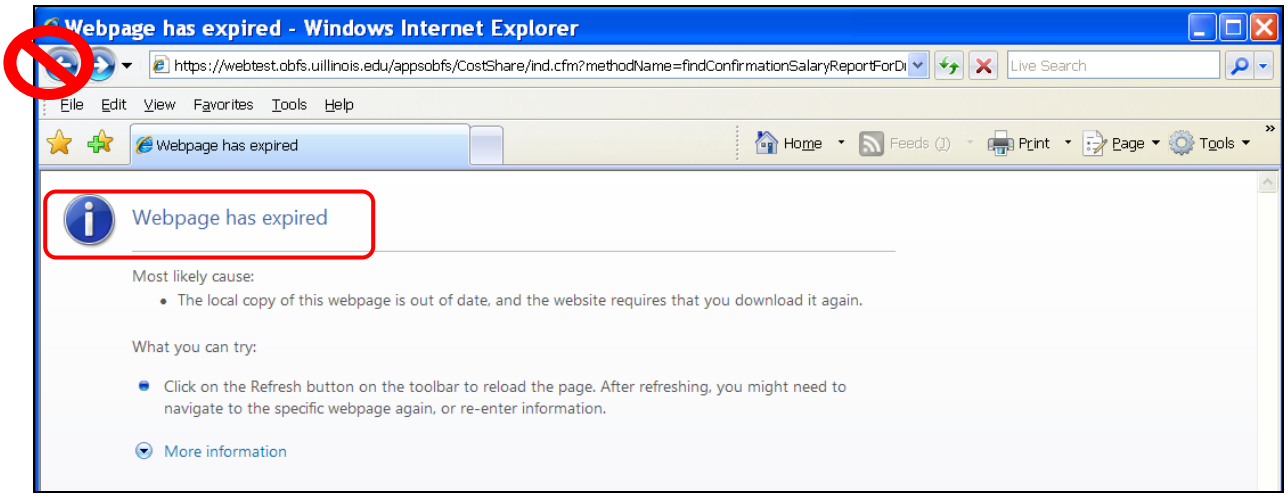
If you believe there are direct costs related to this reporting period for the selected sponsored project (grant code), contact the Grants and Contracts Office for further investigation and follow up.



Navigation note:

The "**Back**" and "**Close**" links embedded within the confirmation screens must be used to navigate through the process.

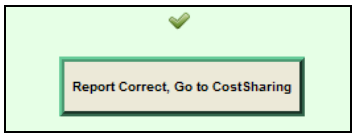
Using the "**Back**" button on the web browser to navigate will produce an error message as shown below.



Verify (Agree to) Salaries, Wages, and All Other Direct Costs

Click **"Report Correct, Go to Cost Sharing"** to indicate the salaries, wages and other direct costs on the report are correct after the initial administrative review is completed for all report lines, and a cost transfer status has been selected **as applicable**. (See note below.)

*Do not click **"Report Correct...."** until all report lines have been reviewed.*



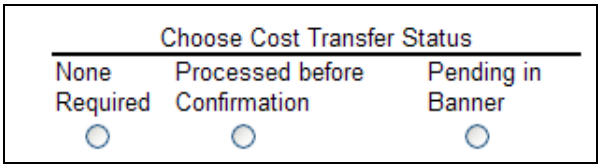
The practice of selecting a cost transfer status will vary by unit.

A cost transfer status should be selected by the Department Contact during the initial administrative review only if this is the normal practice of the unit.

In units where it is the responsibility of the PI/Confirmer to select the cost transfer status, the Department Contact **should leave the cost transfer status blank** during the initial administrative review.

Once a cost transfer status has been selected and saved, the application does not allow the user to completely remove the cost transfer status in order to display all radio buttons as "blank". However, if the user has accidentally selected a cost transfer status but has not yet saved the report, the user can exit the report by clicking the **"Overview"** tab to begin again. The report will then display all "blank" radio buttons.

Only one cost transfer status may be selected at a time. Selecting a different status will "reset" the previously selected status to null (blank).



General guidance for cost transfer status choices:

- **"None Required"** -- Select if all salaries, wages and other direct costs posted to the report line during the confirmation period under review are correct, no cost transfers were posted during this confirmation period, and no cost transfers need to be posted.
- **"Processed before Confirmation"** -- Select if cost transfers were posted to the report line during this confirmation period, or were posted to the fund after the close of this confirmation period, but prior to the confirmation date for the expenditure report.
- **"Pending in Banner"** -- Select if cost transfers for the report line are still in process in Banner as of the confirmation date.

The **"Save Cost Transfer Status"** icon allows the user to periodically save the selections during a review of multiple report lines.

If the user needs to stop the review before agreeing the costs for all report lines are correct, the existing cost transfer status selections will be saved.

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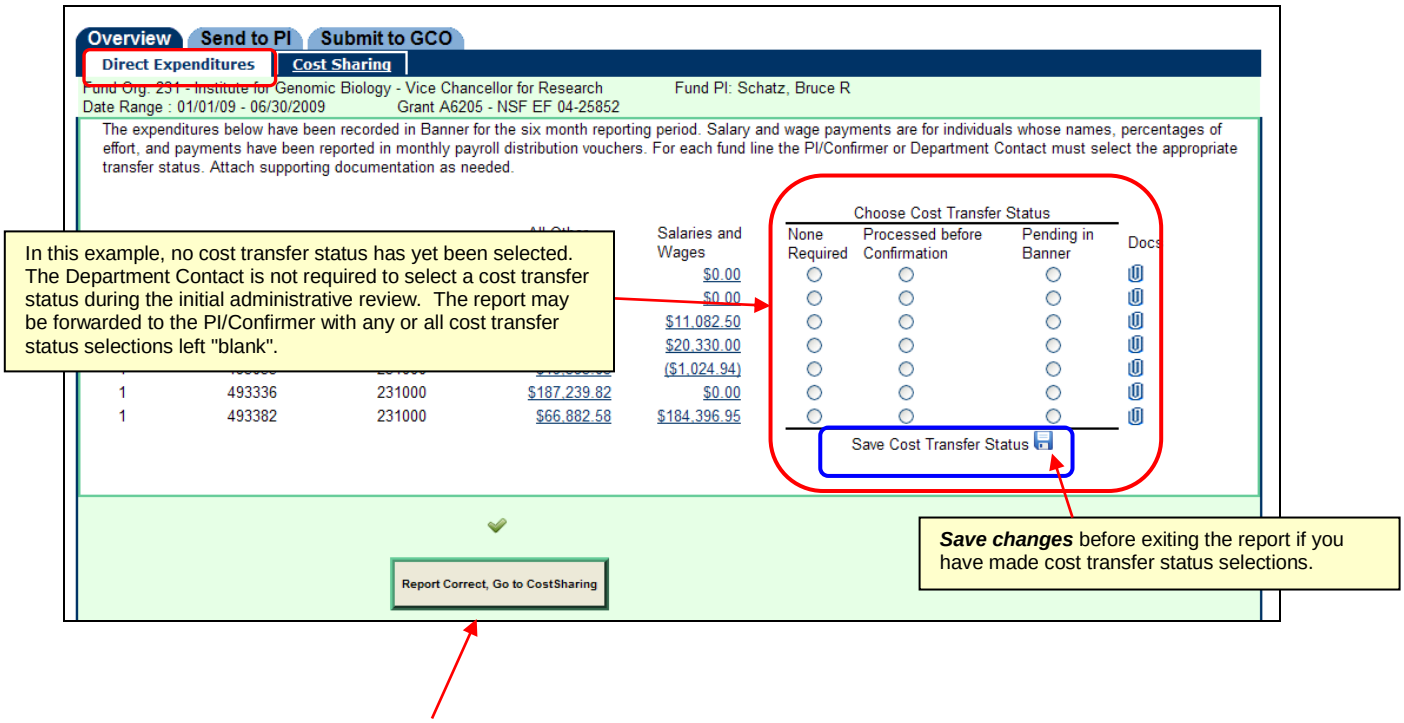
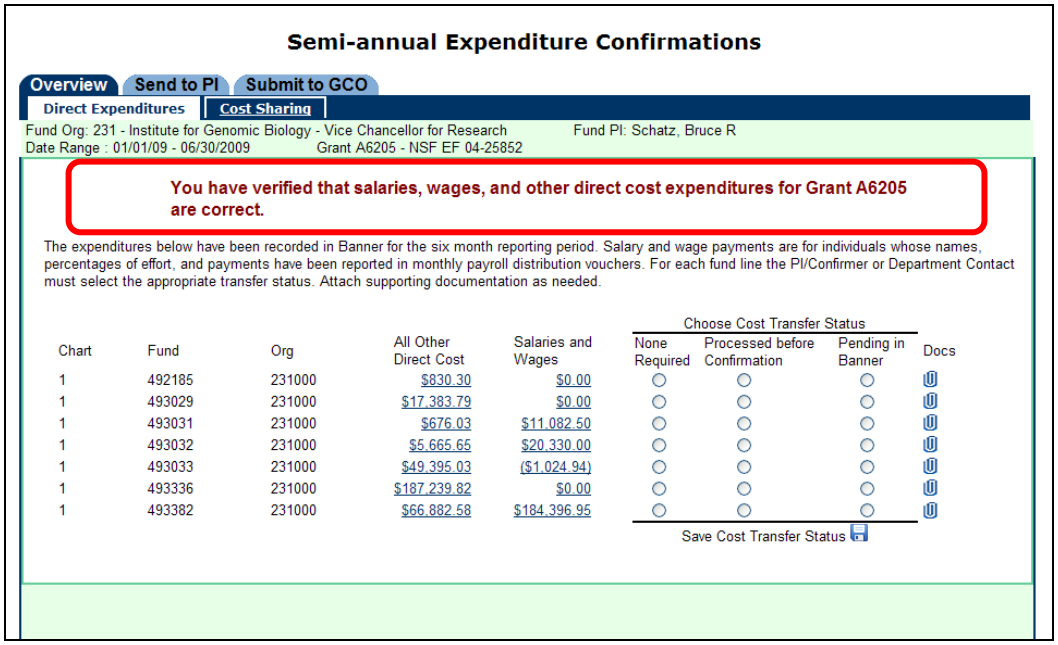


Click "**Report Correct, Go to Cost Sharing**" to agree the costs in the report are correct after the review is completed.

The form will indicate the Department Contact has agreed to the salaries, wages and other direct costs.



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Attach Documentation

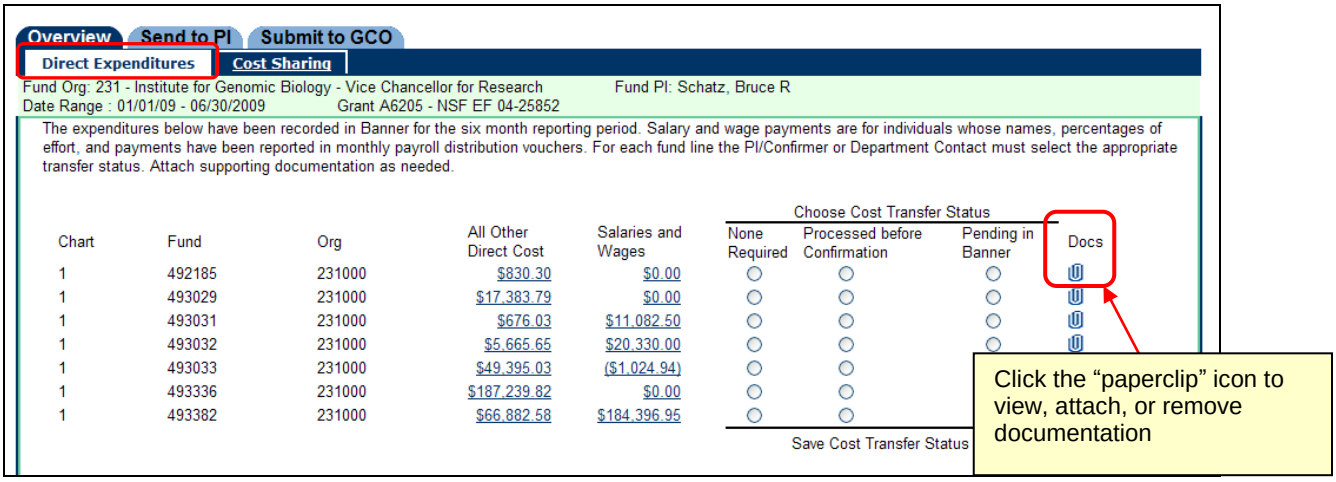
Documents may be attached to the report lines during the initial administrative review, but it is not required.

During the initial review of an **unconfirmed** report the Department Contact will be allowed to agree to the costs without attaching documentation to report lines with a cost transfer status of **"Pending in Banner"**.

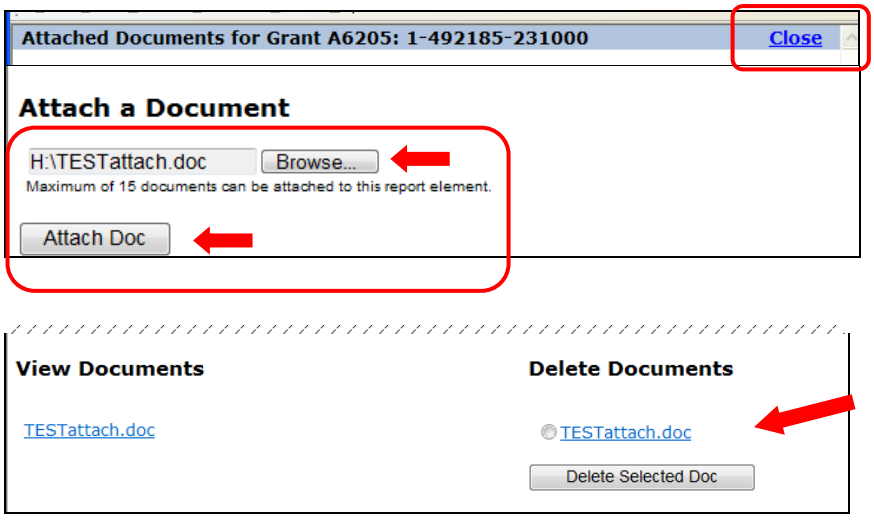
However, the PI/Confirmer cannot agree to the costs or confirm the report unless all report lines with a cost transfer status of **"Pending in Banner"** have documentation attached. The Department Contact should attach documentation to all the report line(s) as needed before forwarding the report if the PI/Confirmer does not have access to the supporting documentation.

The Department Contact will not be allowed to agree to costs during the final administrative review unless documentation is attached to report lines with a cost transfer status of **"Pending in Banner"**.

Click the "paperclip" icon to view, attach, or remove documentation.



A form opens allowing the user to view, attach, or delete documents for the selected report line.



1) Click "Browse" to search and find documentation to attach to the report line

2) When located, click on the document to select for attachment (path and document name will be displayed if successful in selecting a document to attach)

3) Click "Attach Doc" (must click this to actually attach the document, browsing alone will not complete the process)

The name of the attached document will be displayed if the attachment is successful

Use the "Close" link to exit

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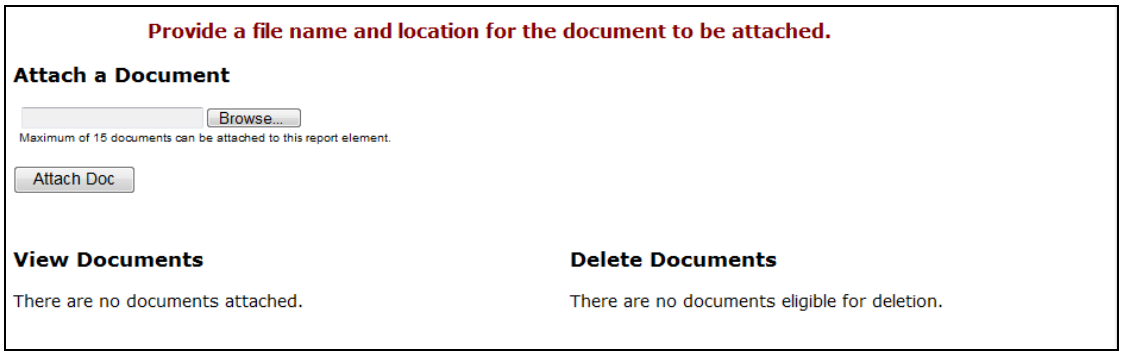
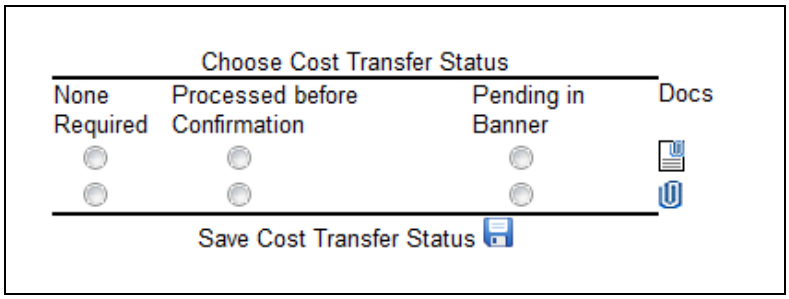
If no document is selected for attachment, a message will be displayed:

In the example below, the user clicked on "attach doc" in error before clicking on "browse" (must click on "browse" to find and select the document you wish to attach)

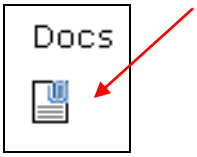


The paperclip icon will indicate if documents are (or are not) attached to the report line



If no documents are attached the paperclip icon is “empty”

When documents are successfully attached the paperclip icon is “full”



Review and Verify (Agree to) Contributed Effort Cost Sharing

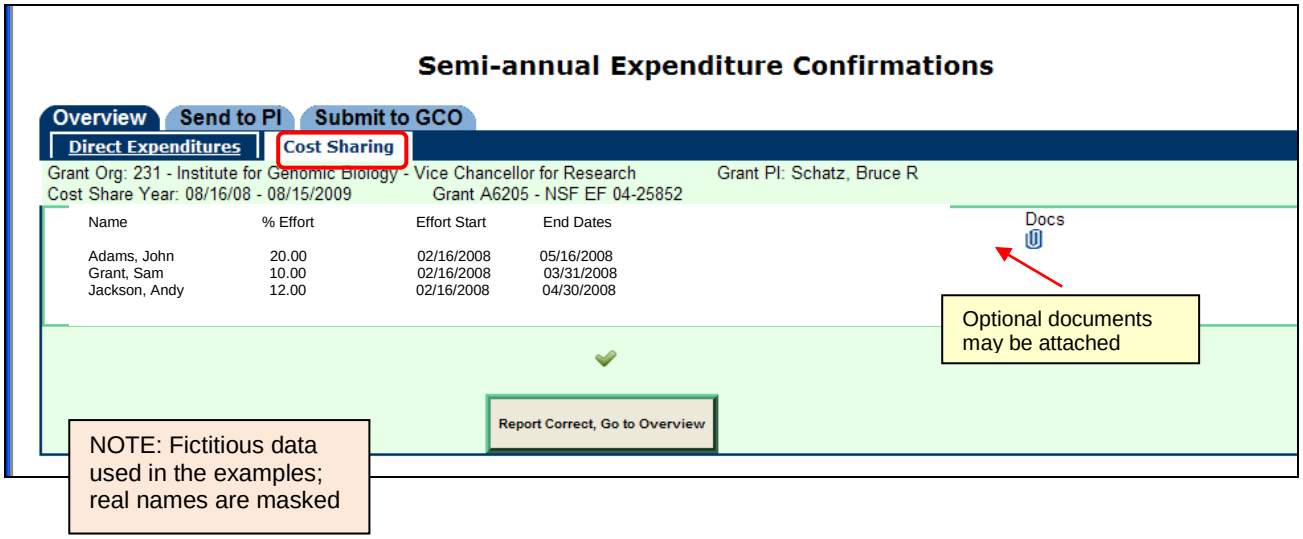
If cost sharing exists for the sponsored project ("Grant") report, the cost sharing information must also be reviewed and agreed to before the report will move to status **"Ready to Send to PI"**.

Go to the **"Cost Sharing"** tab to review and agree to the contributed effort cost sharing for the grant code.

A list of names and related effort percentages/dates will be displayed when there is contributed effort cost sharing for this grant during the confirmation period.

- **If you agree** the cost sharing information is correct as shown, click **"Report Correct, Go to Overview".**

After clicking **"Report Correct...."** the form will indicate the Department Contact has agreed to the cost sharing for the report.



- **If you do not agree** the cost sharing information is correct as shown for the sponsored project, contact the Grants and Contracts Office.

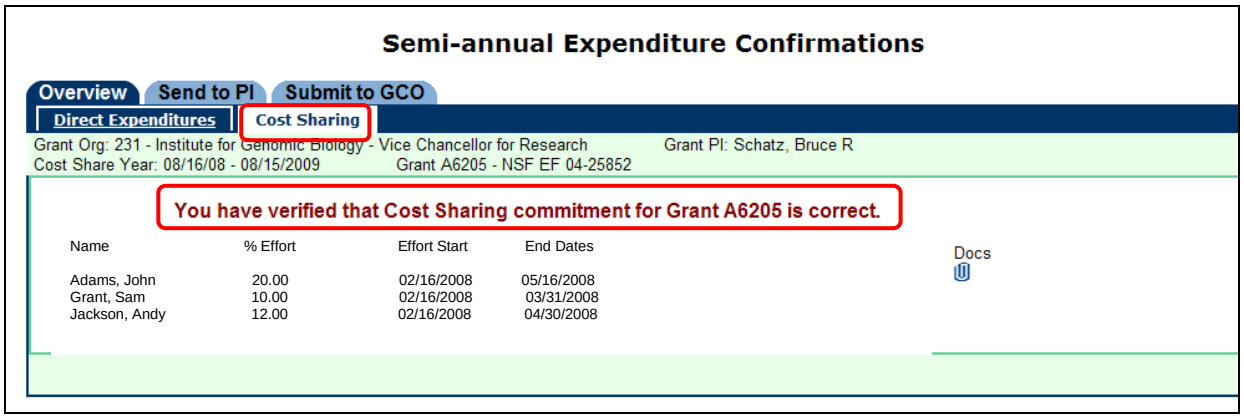
Important Note:

Only contributed effort to meet mandatory or voluntary committed cost sharing requirements for the sponsored project is included in the cost share application and in confirmation reporting.

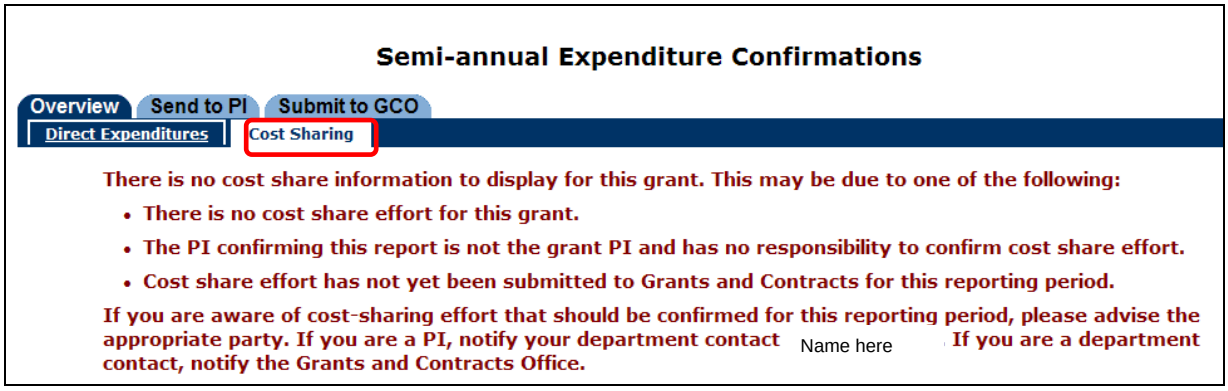
Voluntary uncommitted cost share effort that is contributed after-the-fact (was not formally committed up-front as cost sharing in the proposal budget or budget narrative) is **not** included in the cost share application and will not be part of confirmation reporting.

Semi-Annual Confirmations – Department Contact

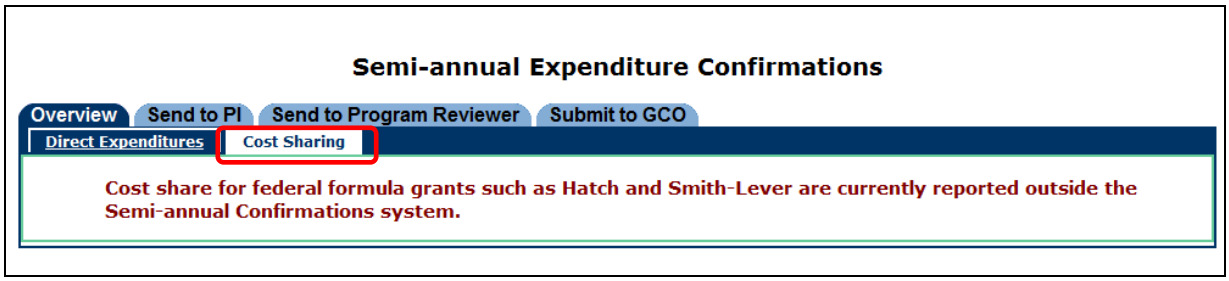
After clicking **"Report Correct..."** the form will indicate the Department Contact has agreed to the cost sharing for the sponsored project report.



Sponsored Projects ("Grant" reports) - an explanatory message will display if there is no cost sharing information to review. Contact the Grants and Contracts Office if you believe there is contributed effort cost sharing for this sponsored project. *See note above regarding voluntary uncommitted cost share effort.*



Federal Formula Grants ("Program" reports) - an explanatory message will display indicating cost share reporting is handled outside of the online confirmation system.



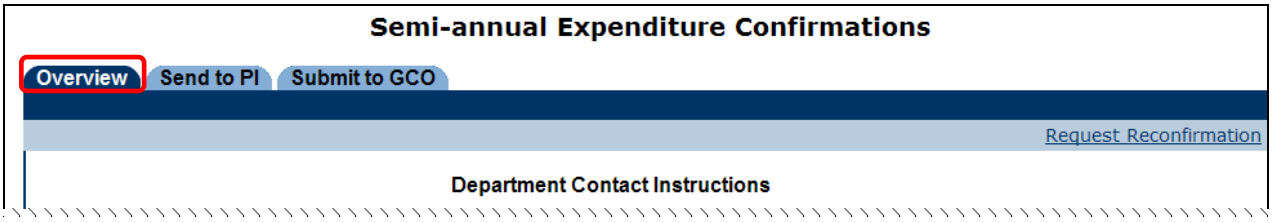
To review another report, return to the **"Overview"** tab.

Send Reviewed Reports to PI/Confirmer

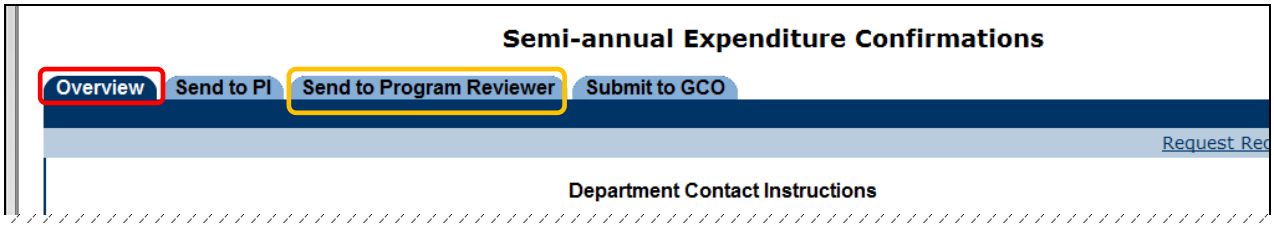
The following applies to both "Grants" and "Programs" reports.

Reports that have been reviewed and agreed to by the Department Contact are ready to send to the PI/Confirmer. The status of these reports will show on the **"Overview"** tab as **"Dept Ready to Send to Confirmer"**.

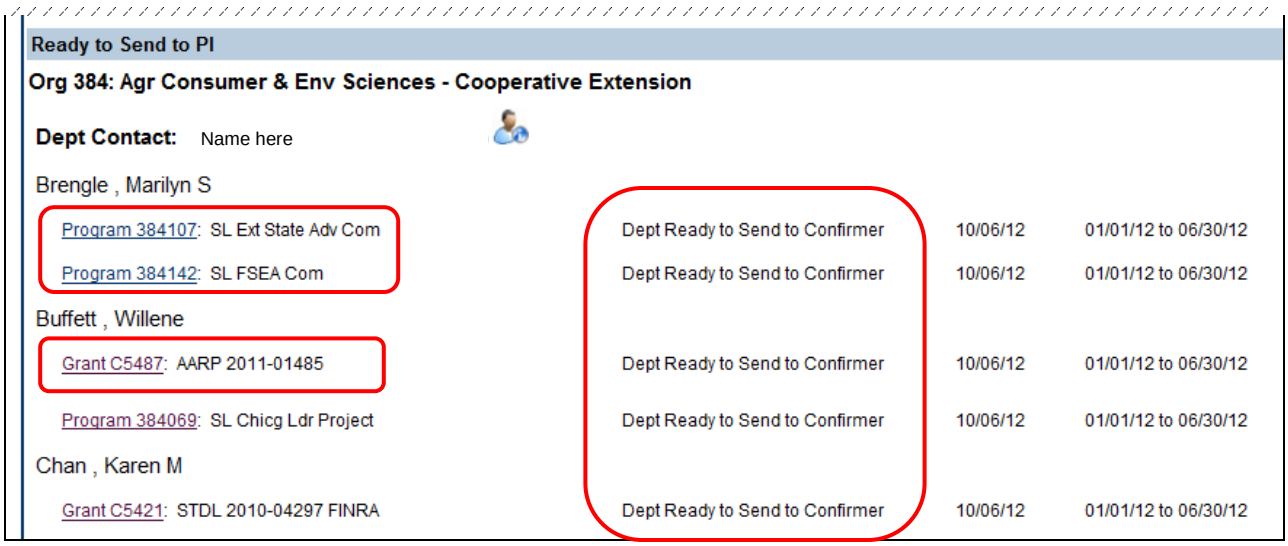
View shown below is tabs displayed for Department Contact in unit with no federal formula grants



View shown below is tabs displayed for Department Contact in unit that has federal formula grants (will see tab "Send to Program Reviewer")



Reports for "Grants" and "Programs" that are ready to send to the PI/Confirmer show the same status:



Semi-Annual Confirmations – Department Contact

Go to the **"Send to PI"** tab; select the reports that are ready to send to the PI/Confirmer.

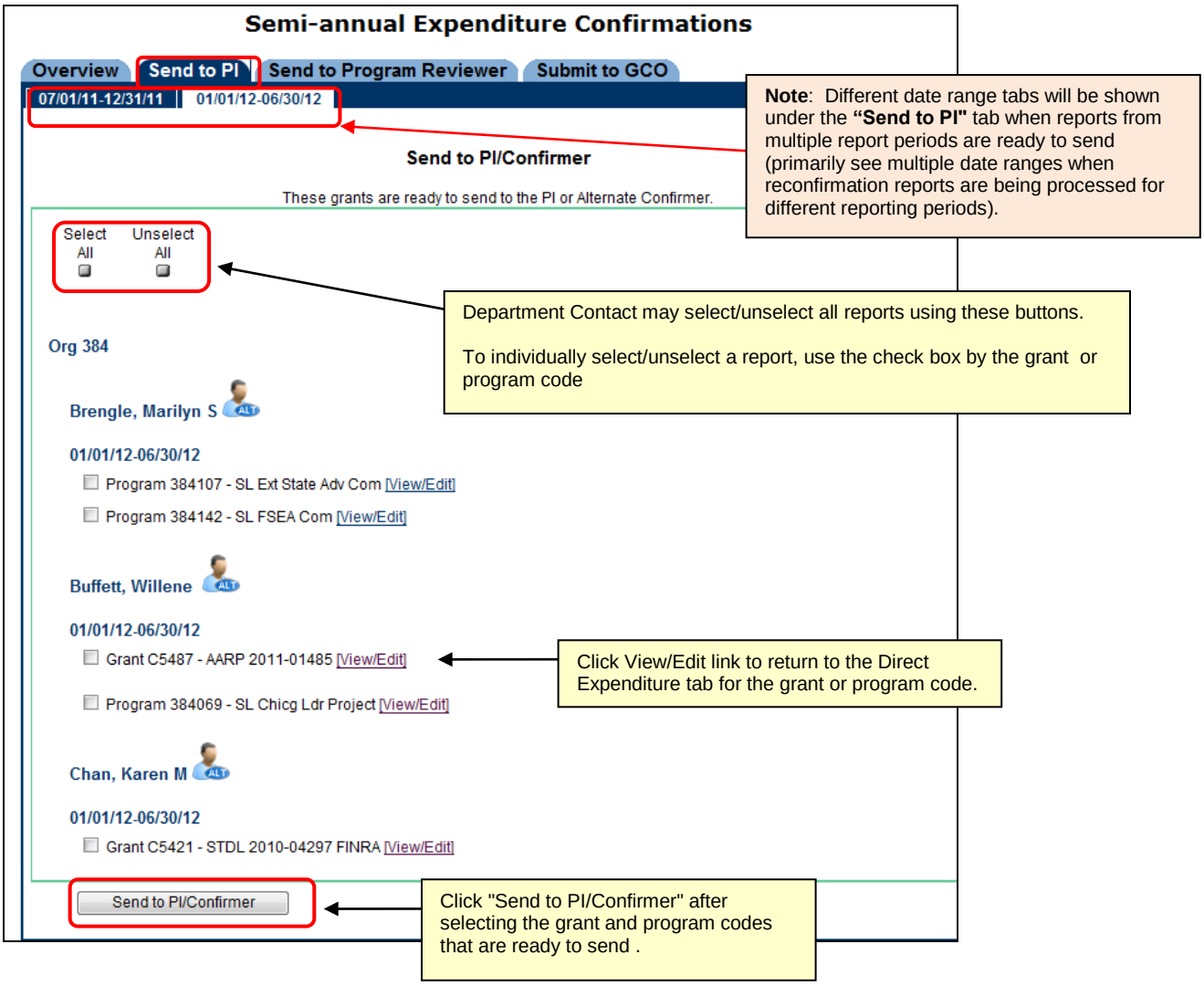
The Department Contact has the option of sending reports to the PI/Confirmer in several ways:

- Singly after an individual report has been reviewed and agreed to
- In groups after several reports have been reviewed and agreed to
- In total after all reports have been reviewed and agreed to

These options will accommodate situations when additional information is required before a particular report is ready to send to the PI/Confirmer. Reports that are ready to send to the PI/Confirmer need not be delayed while additional information is retrieved for other reports that are still under administrative review.

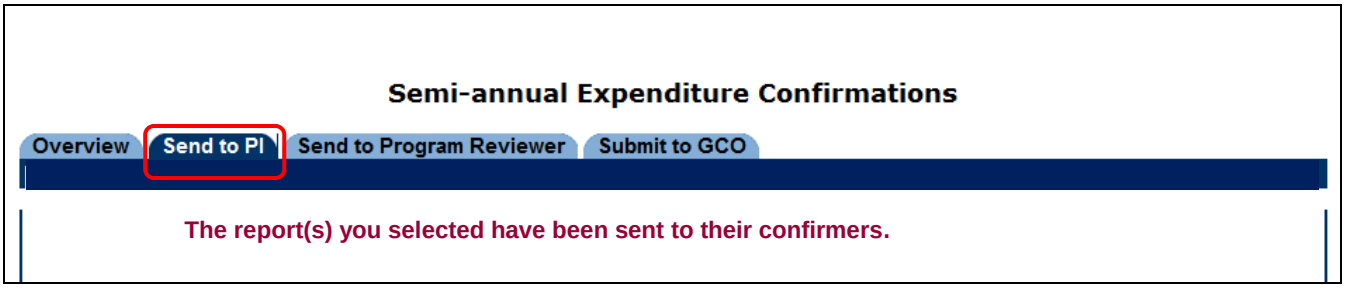
Click **"Send to PI/Confirmer"** to send the selected reports to the PI/Confirmer's work list.

In the example below, the view is from a unit with reports for both "Grants" and "Programs"



Semi-Annual Confirmations – Department Contact

After clicking **"Send to PI/Confirmer"** a message is displayed indicating the selected reports were sent to the PIs or Alternate Confirmers.



Semi-Annual Confirmations – Department Contact

Assign an "Alternate Confirmer"

In the event the Principal Investigator (Fund PI or Program PI) is unavailable for an extended period, an appropriate Alternate Confirmer may be assigned.

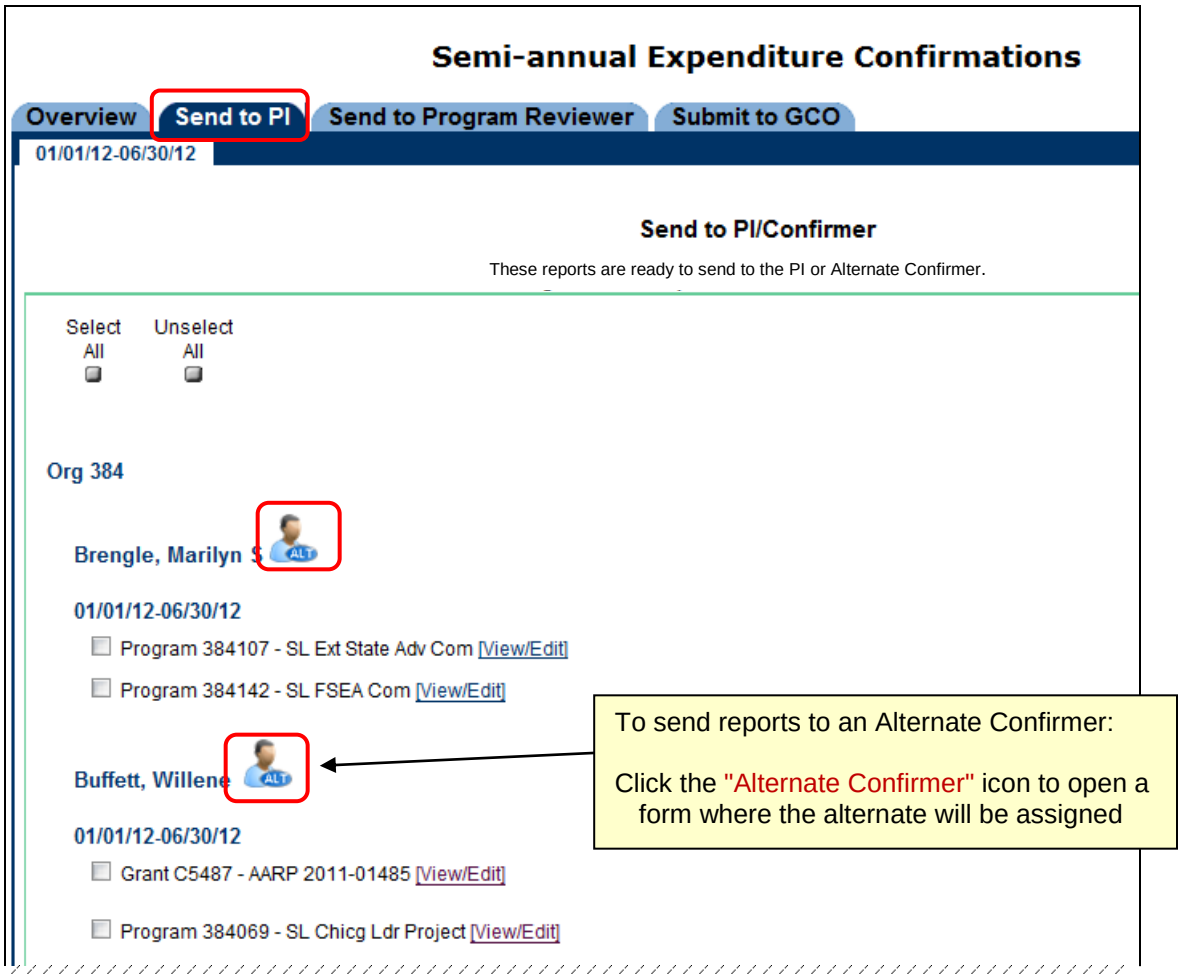
Because the online confirmation application is readily accessible through an Internet connection, it is expected that the assignment of an Alternate Confirmer will be rare and used only when unusual circumstances prevail.

The following examples will illustrate how to assign an Alternate Confirmer for a sponsored project "Grant" report or for a federal formula grant "Program" report.

The screenshot below shows the view of tabs for a Department Contact in a unit processing "Program" reports for federal formula grants. If there are no "Program" reports for federal formula grants in the unit, The Department Contact will not see the tab "Send to Program Reviewer" .

Go to the "**Send to PI** " tab to begin the process of assigning an Alternate Confirmer.

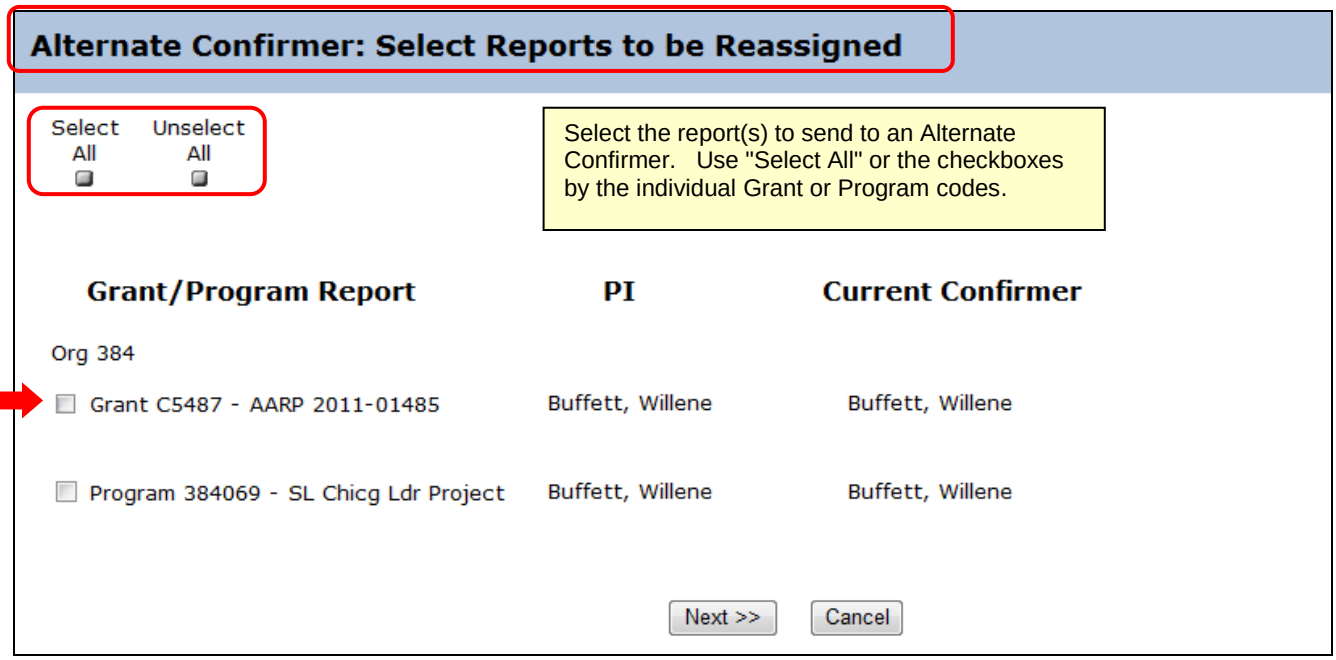
Click the **"Alternate Confirmer Icon"** beside the person's name who needs to have an alternate confirmer assigned.



Semi-Annual Confirmations – Department Contact

When the "Alternate Confirmer" icon is clicked, a form will open to begin the process of assigning an Alternate Confirmer.

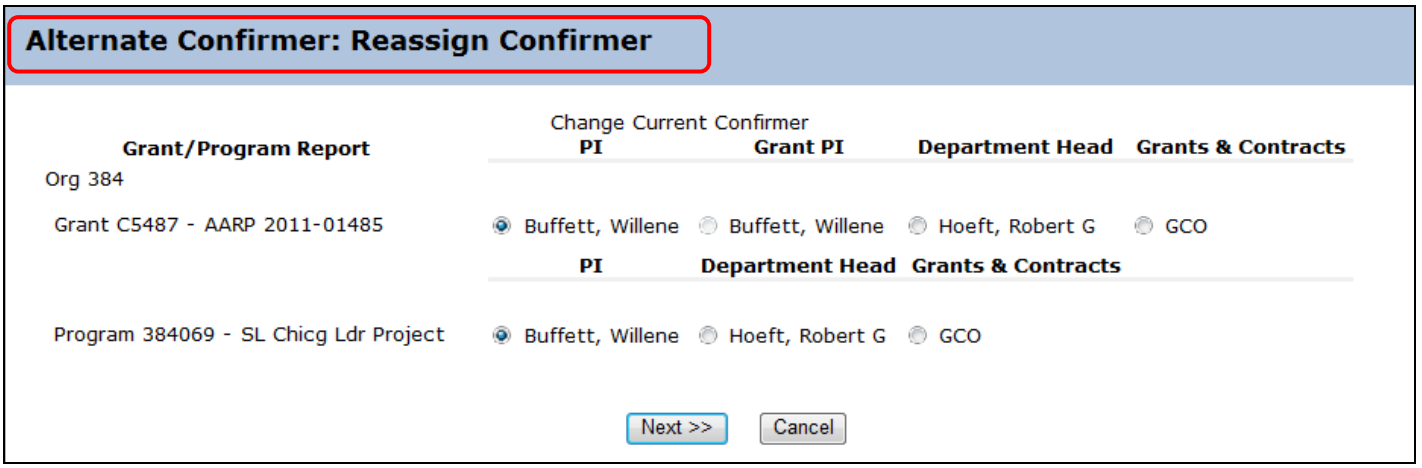
Select specific reports individually to assign to an Alternate Confirmer, or use the "select all" option to assign all available reports for that PI to the same Alternate Confirmer.



For sponsored project "Grant" reports, the available choices for Alternate Confirmer are (in order of preference): Grant PI, Department Head, and the Grants and Contracts Office.

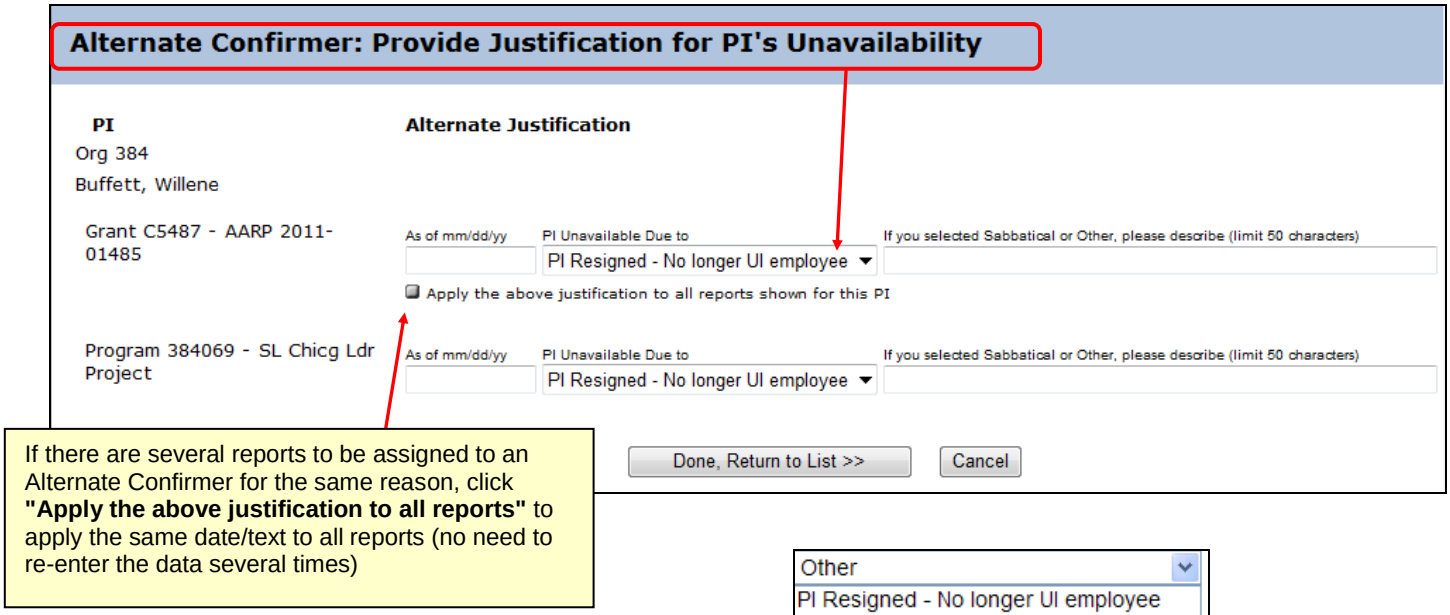
For federal formula grant "Program" reports, the available choices for Alternate Confirmer are (in order of preference): Department Head and the Grants and Contracts Office.

Note: if the PI and an individual listed as a choice for the Alternate Confirmer is the same person, the selection button for that Alternate Confirmer choice is not active (will be "grayed out")

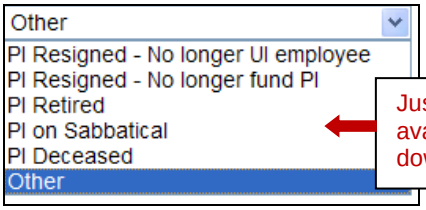


Semi-Annual Confirmations – Department Contact

Select a reason (Alternate Justification) why the Fund PI is not available to confirm the report
(select from the options in the drop down list)



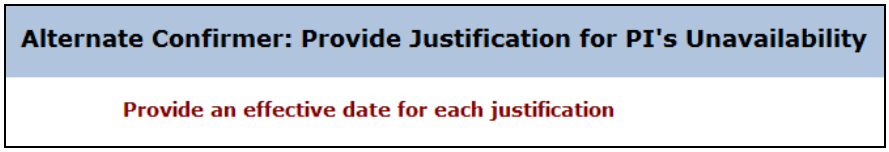
If there are several reports to be assigned to an Alternate Confirmer for the same reason, click **"Apply the above justification to all reports"** to apply the same date/text to all reports (no need to re-enter the data several times)



Justification choices available in drop down box

Enter an effective date for the justification (required).

Enter text. Text is required (50 characters max) if the justification selection is 'Sabbatical' or 'Other'; text is optional for the remaining selections.



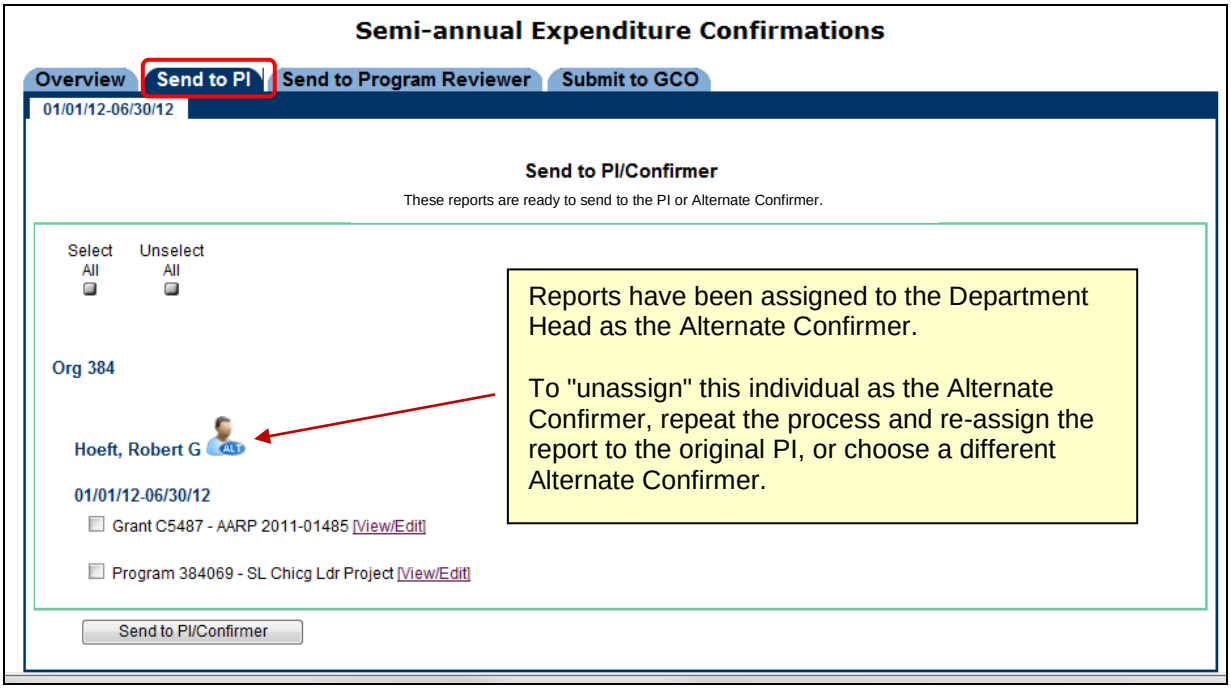
Reminder messages are displayed if required date and/or text is not entered

Click **"Done, Return to List"** when all required data for the Alternate Confirmer has been entered.

Semi-Annual Confirmations – Department Contact

In this example, reports were assigned to the Department Head as the Alternate Confirmer.

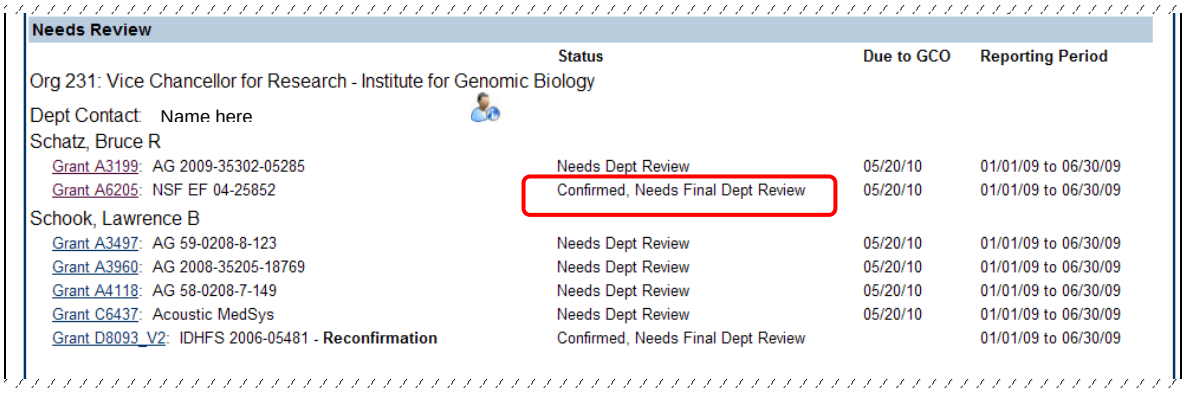
Reports that are sent to an Alternate Confirmer will show on the Department Contact's **"Overview"** tab with a status of **"Alt Confirmer Reviewing"**.



Final Administrative (Departmental) Review/Verification

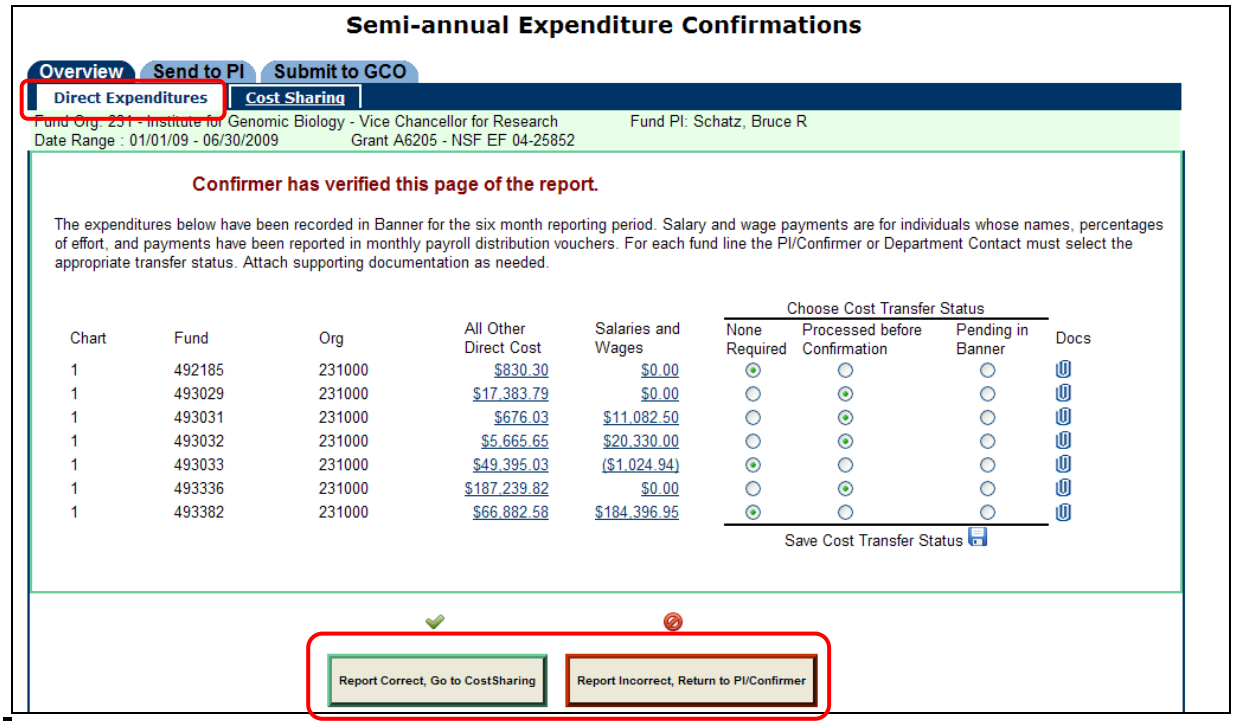
The steps for the final administrative review and verification (after reports are confirmed) are the basically the same as the steps taken during the initial administrative review.

Select reports ready for the final administrative review from the **"Overview"** tab; these reports will have a status of **"Confirmed [or Alt Confirmed], Needs Final Dept Review"**.



- **If you agree** that the cost transfer status selections are correct as confirmed and the attached documentation (if any) is appropriate, click **"Report Correct, Go to Cost Sharing"** to continue the final administrative review.

- **If you do not agree** with the cost transfer status selections as confirmed, click **"Report Incorrect, Return to PI/Confirmer"** to reject the report back to the PI/Alternate Confirmer. See the next section on rejecting a confirmed report back to the PI/Confirmer.



Semi-Annual Confirmations – Department Contact

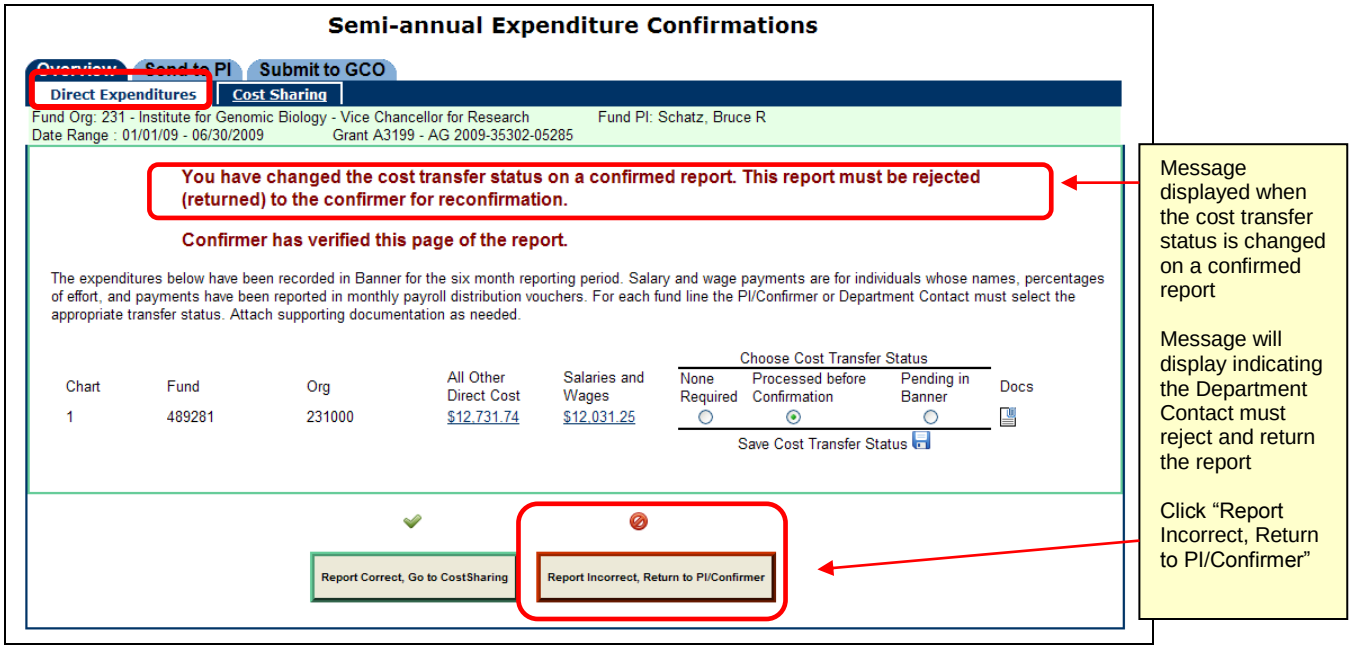
Reject a Confirmed Report

There will be times when a report has been confirmed by the PI/Confirmer but has the wrong cost transfer status inadvertently checked. In these cases, the Department Contact will need to either make a change to reflect the correct cost transfer status and return the report to the PI/Confirmer, or return the report to the PI/Confirmer 'as is' with the incorrect cost transfer status selected with instructions for the PI to make the appropriate change to the cost transfer status. In either case, the PI/Confirmer is required to go through the confirmation steps again.

A report that is rejected back (returned) to the PI/Confirmer with or without changes to the cost transfer status selection reverts to an "unconfirmed" report and will require the PI/Confirmer to repeat the confirmation steps.

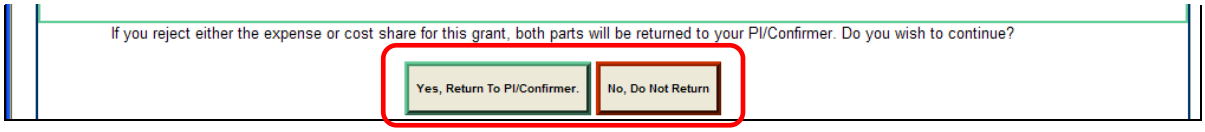
In the example below, the Department Contact changed a cost transfer status on a confirmed report and attempted to agree to the costs during the final administrative review. This action will cause a reminder message to be displayed, as shown below. When the cost transfer status is changed on a confirmed report, the final administrative review cannot be completed until the PI/Confirmer has repeated the confirmation steps.

Note: Attaching or removing documentation during the final administrative review will ***not*** cause the report to become "unconfirmed".



When **"Report Incorrect, Return to PI/Confirmer"** is selected, the buttons at the bottom of the form will change.

Continue with the reject and return action by clicking **"Yes, Return to PI/Confirmer".** You may "cancel" the reject action (if no changes have been made to the cost transfer status) by clicking **"No, Do Not Return"**.



The Department Contact's **"Overview"** will show the status of the rejected reports as "Dept Rejected, Confirmer Reviewing". The Department Contact should communicate to the PI/Confirmer the reason(s) the report is being returned and what corrective action (if any) the PI/Confirmer is expected to take before repeating the confirmation steps for the rejected report.

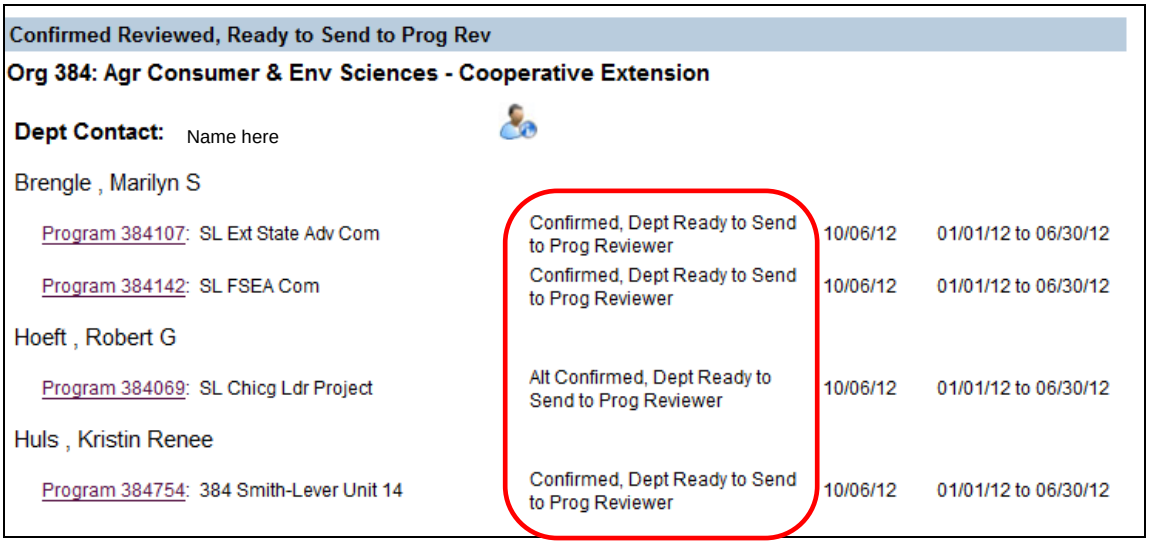
Semi-Annual Confirmations – Department Contact

Send Reports for Federal Formula Grants to Program Reviewer.

This step is applicable only to reports for "Programs" (federal formula grants).

If you do not have any "Program" reports to process for your unit, proceed to the next section where the steps to "Submit Confirmed Reports to Grants and Contracts Office" are described.

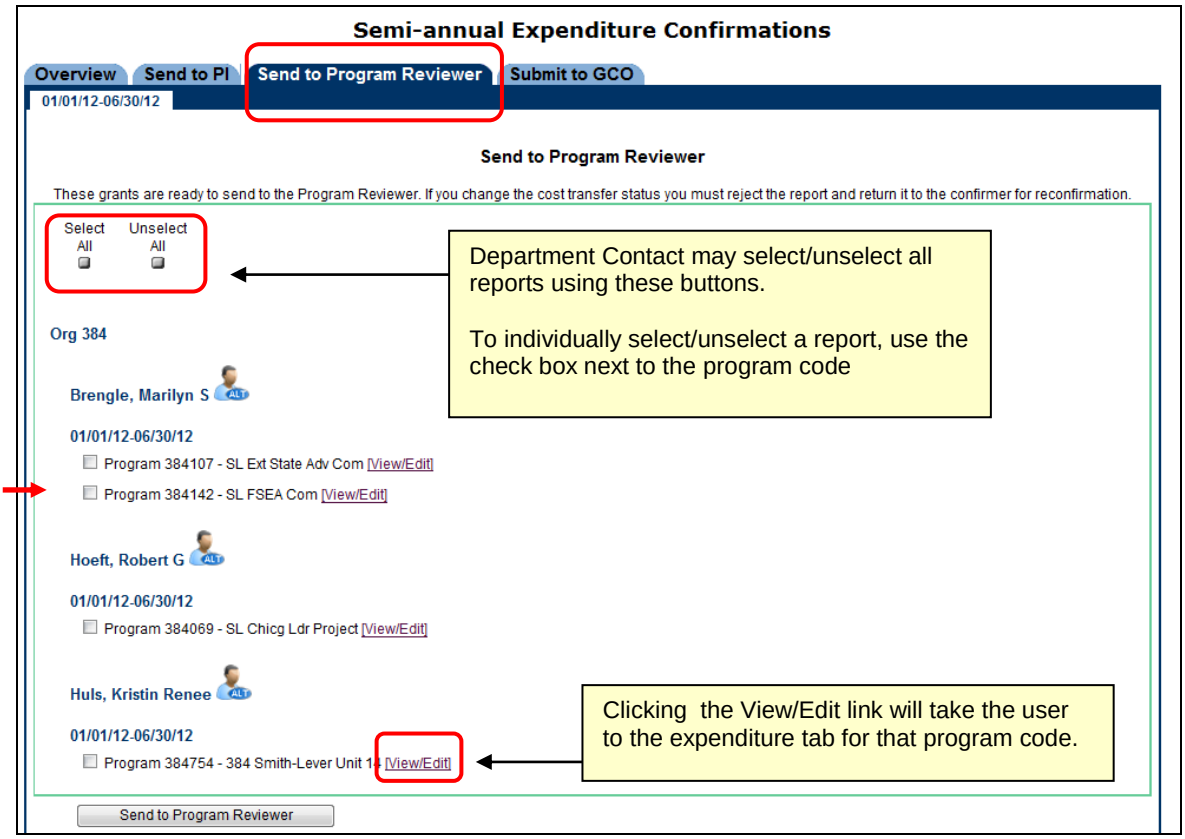
"Program" reports that are confirmed and have the final departmental administrative review completed will show in the Department Contact Overview (work list) with a status of **"Confirmed [or Alt Confirmed], Dept Ready to Send to Prog Reviewer"**.



Semi-Annual Confirmations – Department Contact

Go to the **"Send to Program Reviewer"** tab.

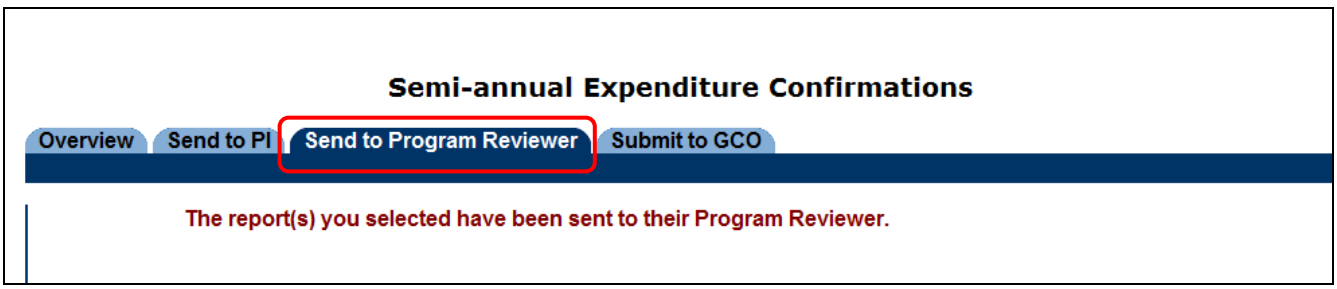
If reports for more than one reporting period are ready to send, multiple "date range" tabs will be displayed. Select the report(s) to send to the Program Reviewer and click the button **"Send to Program Reviewer"**



The form displays a message to indicate the selected confirmed "Program" reports have been sent to the Program Reviewer.

The reporting cycle for these "Program " reports will be completed when the Program Reviewer completes their review and submits the reports to GCO (unless GCO rejects the report back to the Program Reviewer for correction/further action.)

This is the last step for the Department Contact role in processing "Program" reports for federal formula grants. The Department Contact role does not have permissions to submit "Program" reports directly to GCO.

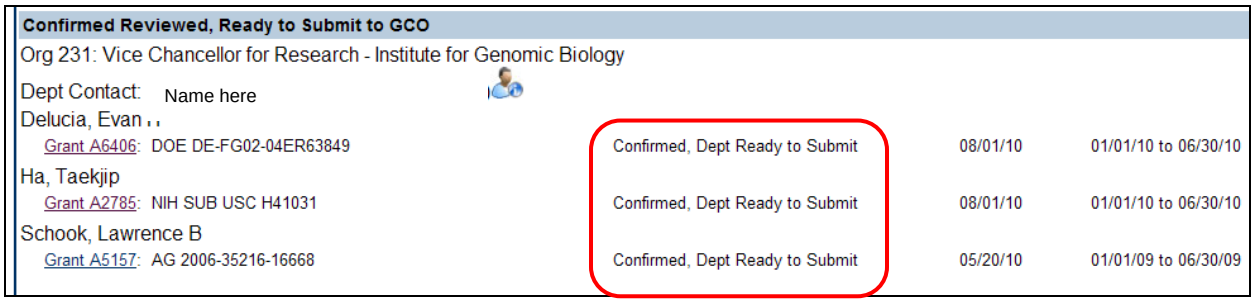


Semi-Annual Confirmations – Department Contact

Submit Confirmed Reports to Grants and Contracts

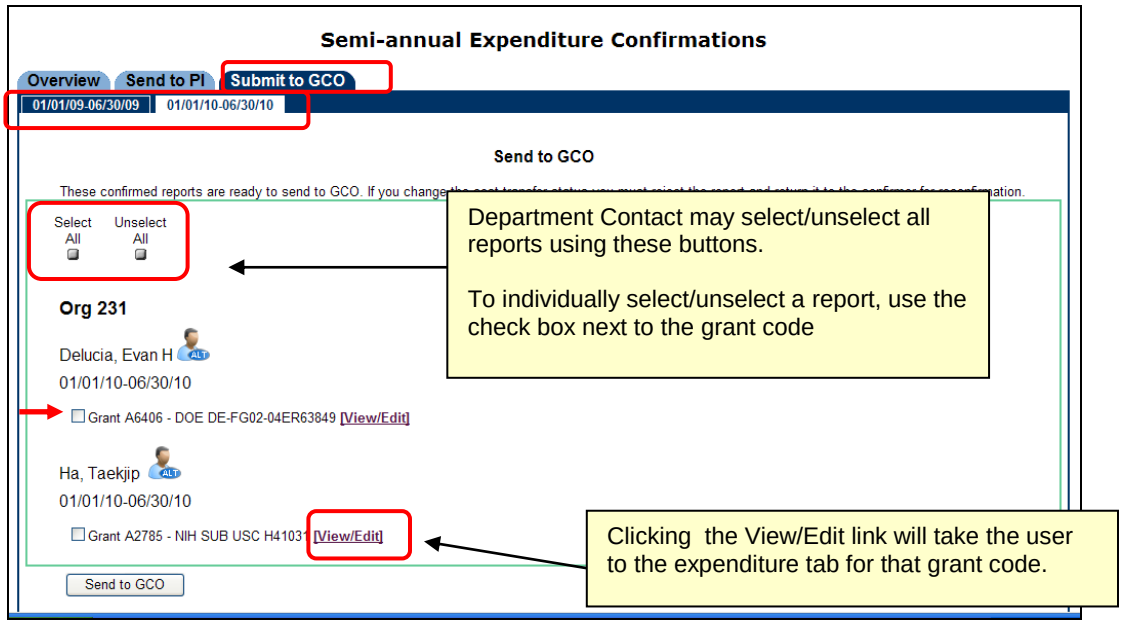
"Grant" reports for sponsored projects are submitted to GCO by the Department Contact. *Note that the Department Contact role does not have permissions to submit "Program" reports directly to GCO.*

"Grant" reports that are confirmed and have the final departmental administrative review completed will show on the Department Contact "Overview" tab with a status of **"Confirmed [or Alt Confirmed], Dept Ready to Submit"**.



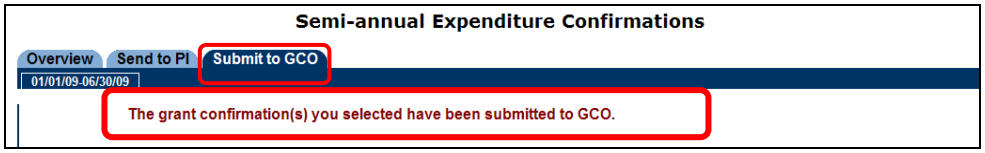
Go to the **"Submit to GCO"** tab. If "Grant" reports for more than one reporting period are ready to send, multiple "date range" tabs will be displayed.

Select the "Grant" report(s) to send to GCO and click **"Send to GCO"**



The form displays a message to indicate the selected confirmed "Grant" reports have been submitted to GCO.

The reporting cycle for the "Grant" report is complete unless GCO rejects the report back to the Department Contact for correction or further action.

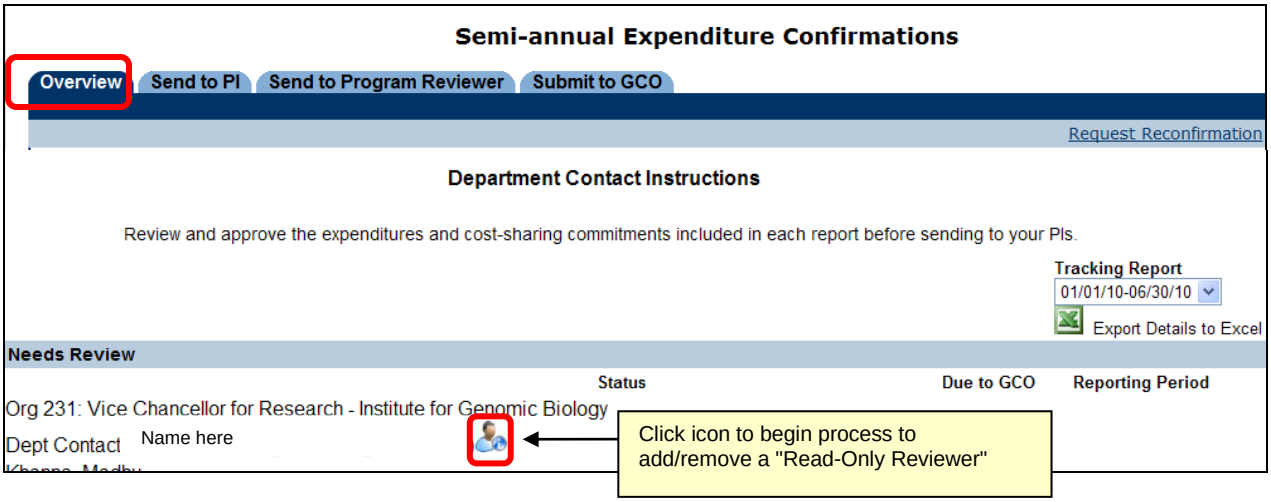


Semi-Annual Confirmations – Department Contact

Other Features on the Overview Tab

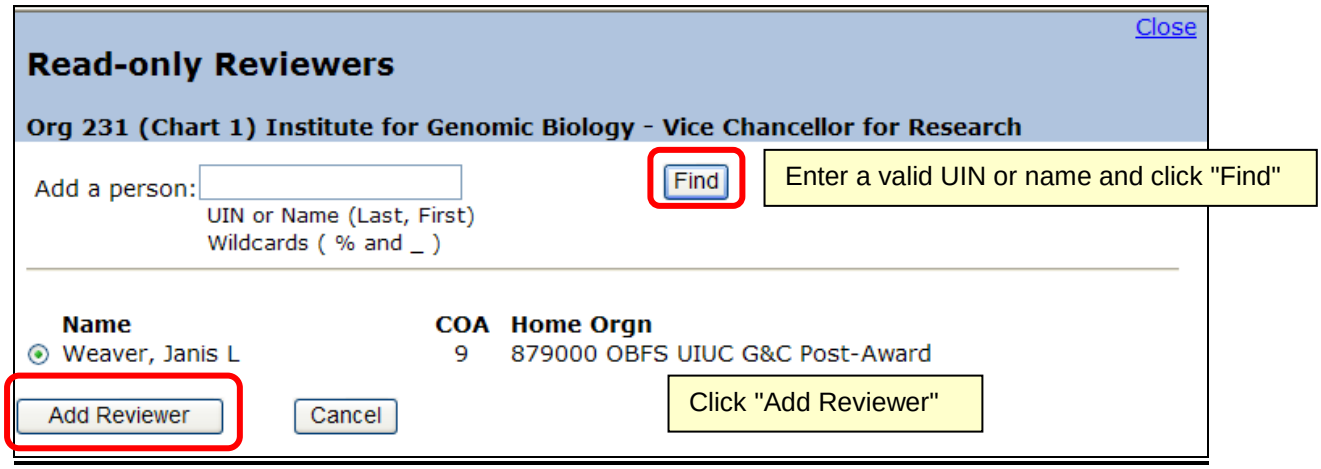
Add (or Remove) a Read-Only Reviewer for Reports in Your Org Code

On the Overview tab, click the "Read-Only Reviewer" icon by the Department Contact name.



A form will open allowing the Department Contact to add or remove Read-Only Reviewers for the chart-org code and to assign reports to the Read-Only Reviewer.

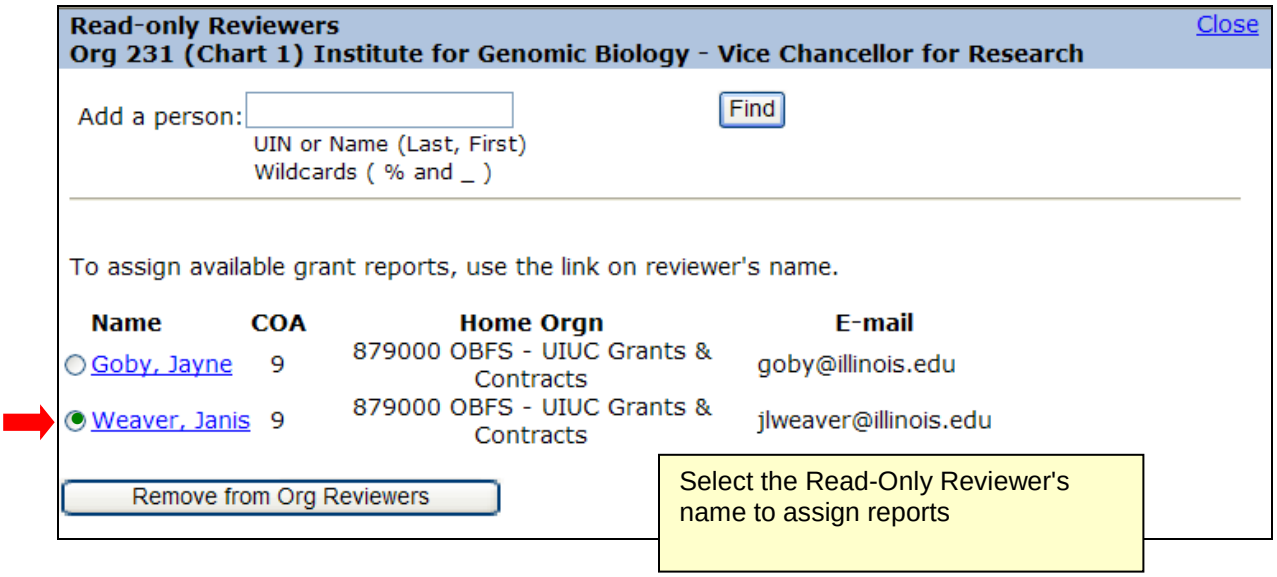
Enter the person's name or UIN, click "**Find**". When the appropriate person is displayed, click "**Add Reviewer**"



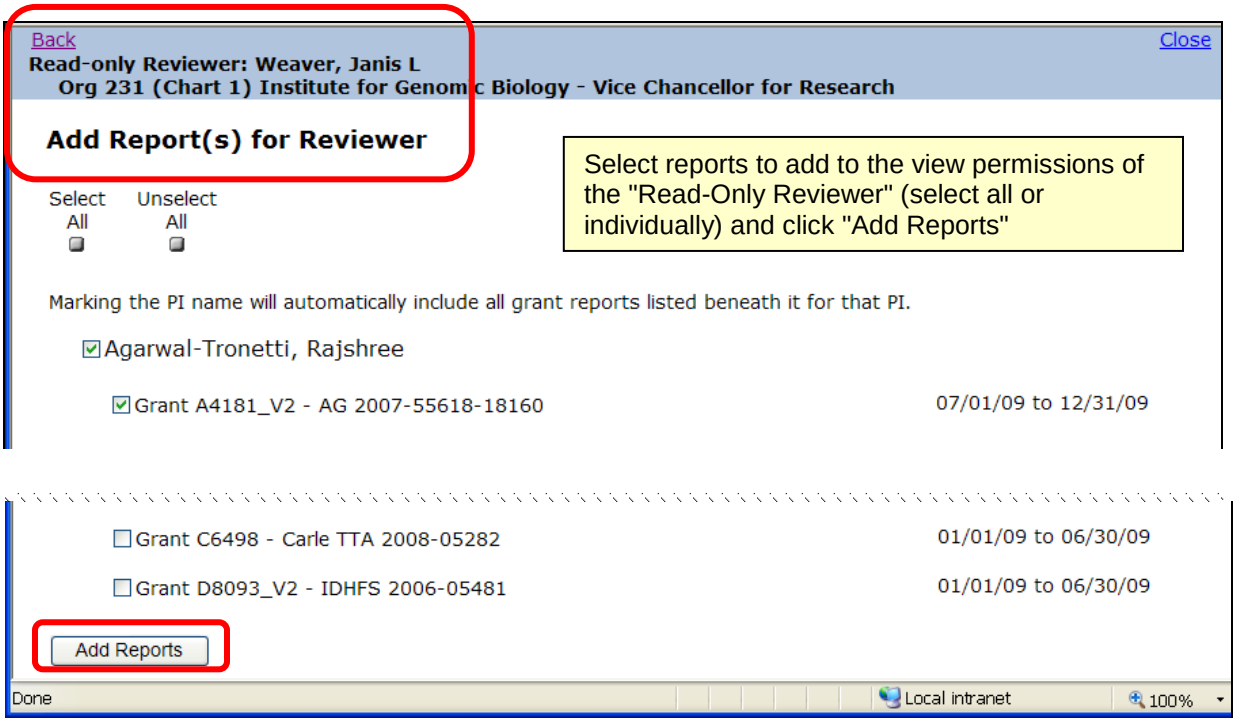
NOTE: Read-Only Reviewers have view only permissions for assigned reports. Read-Only Reviewers are not allowed to select a cost-transfer status, attach/remove documentation, or agree to/reject an assigned report.

Semi-Annual Confirmations – Department Contact

Begin the process to assign reports by selecting a Read-Only Reviewer's name.

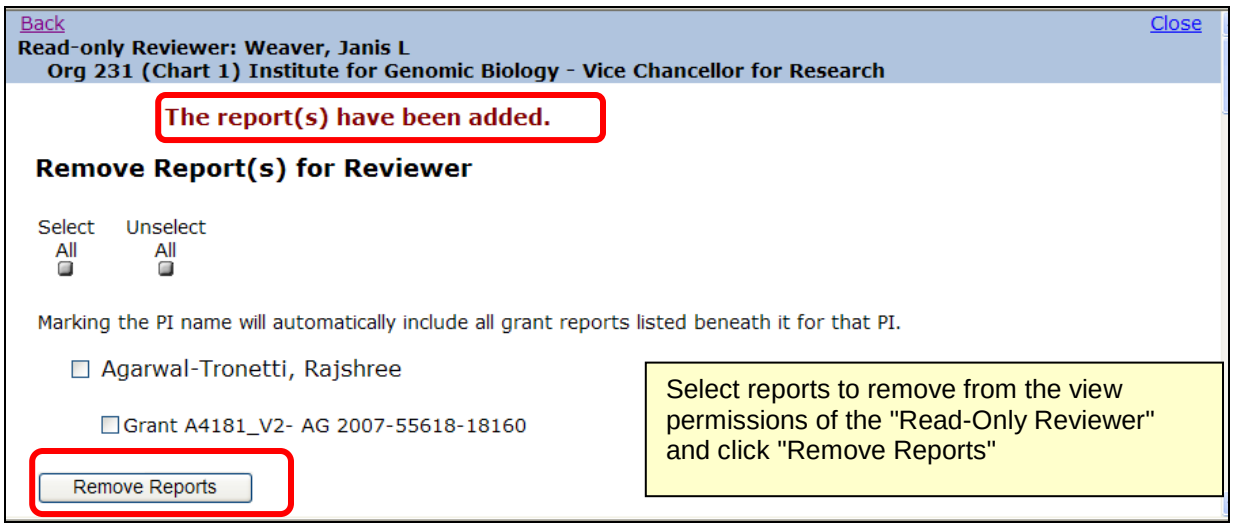


Select the reports to assign and click "Add Reports".



Semi-Annual Confirmations – Department Contact

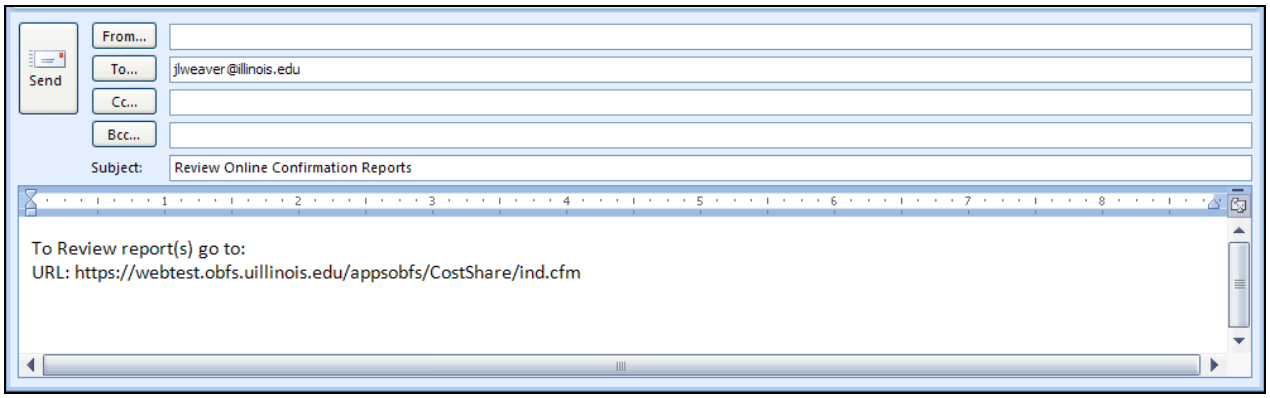
A message will display that reports have been added and list of assigned reports will be shown.



To remove reports from the view permissions of a Read-Only Reviewer, click the individual's name. Select the reports to remove and click "Remove Reports"

An email template is generated when reports are assigned to alert the Read-Only Reviewer that reports are ready for their review. This email may be customized by the Department Contact as desired.

The requirements/procedures for the Read-Only Reviewer to notify the Department Contact when the read-only review is complete are to be determined by each department.

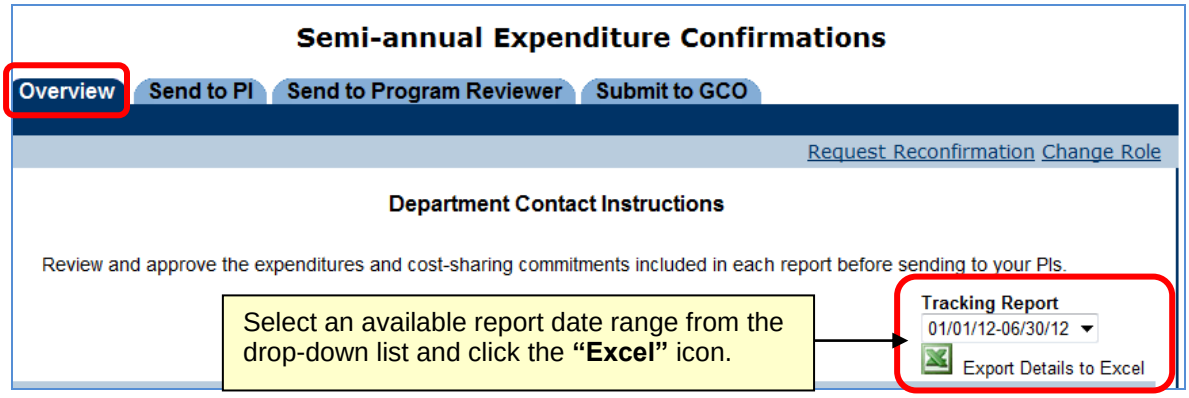


Semi-Annual Confirmations – Department Contact

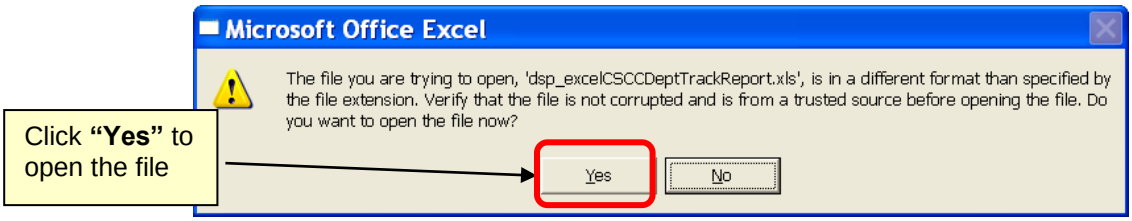
Run a Tracking Report by Reporting Period

The Department Contact has the ability to run an "on demand" tracking report and export to excel a list of all reports for the selected reporting period. This tracking report will provide information including the status of each report, the date the report was sent to the Department Contact, date sent to the PI/Confirmer, date confirmed, date submitted to GCO, and more. There will be a separate tab in the tracking report for "Grant" reports and "Program" reports.

The tracking report will be especially useful for Department Contacts responsible for managing confirmation reports for multiple orgs and PIs. Regularly reviewing the tracking report and following up on outstanding reports will assist the PIs in managing their confirmation requirements in a timely manner.

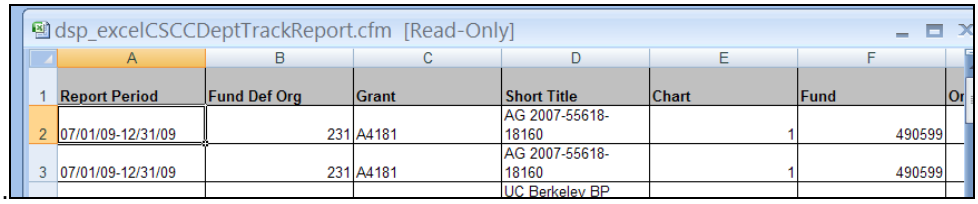


A message will display when the Excel file is generated. Go to the taskbar on the computer and click the Excel button if you do not see the message box shown below (may be "hiding" behind another program screen)



Click "yes" and a tracking report for the selected reporting period will open in excel. This report will have the status of each "Grant" and "Program" confirmation report for your chart-org(s) as of the date/time the tracking report was run.

The file should be saved if a historical copy of the data "as of" a particular point in time is needed for future reference.


dsp_excelCSCCDeptTrackReport.cfm [Read-Only]

	A	B	C	D	E	F
1	Report Period	Fund Def Org	Grant	Short Title	Chart	Fund
2	07/01/09-12/31/09	231	A4181	AG 2007-55618-18160	1	490599
3	07/01/09-12/31/09	231	A4181	AG 2007-55618-18160	1	490599

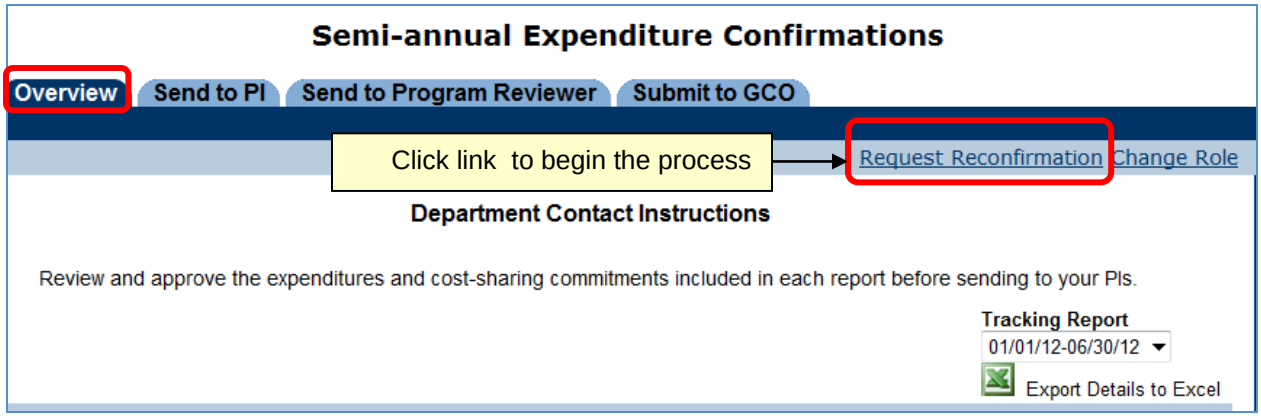
GCO runs similar tracking reports throughout the reporting cycle to document the status of all reports in all org codes. Information in the GCO report such as the date the report was sent to the PI, the date is was confirmed, and the date the confirmed report was submitted to GCO, etc. is used to assist in answering questions from PIs, Department Contacts, Program Reviewers, compliance auditors, and others.

Semi-Annual Confirmations – Department Contact

Request a Report for Reconfirmation

Clicking the "**Request Reconfirmation**" link on the **"Overview"** tab will open an email template to send a request to the Grants and Contracts Office to reconfirm a report that was previously submitted through the online application.

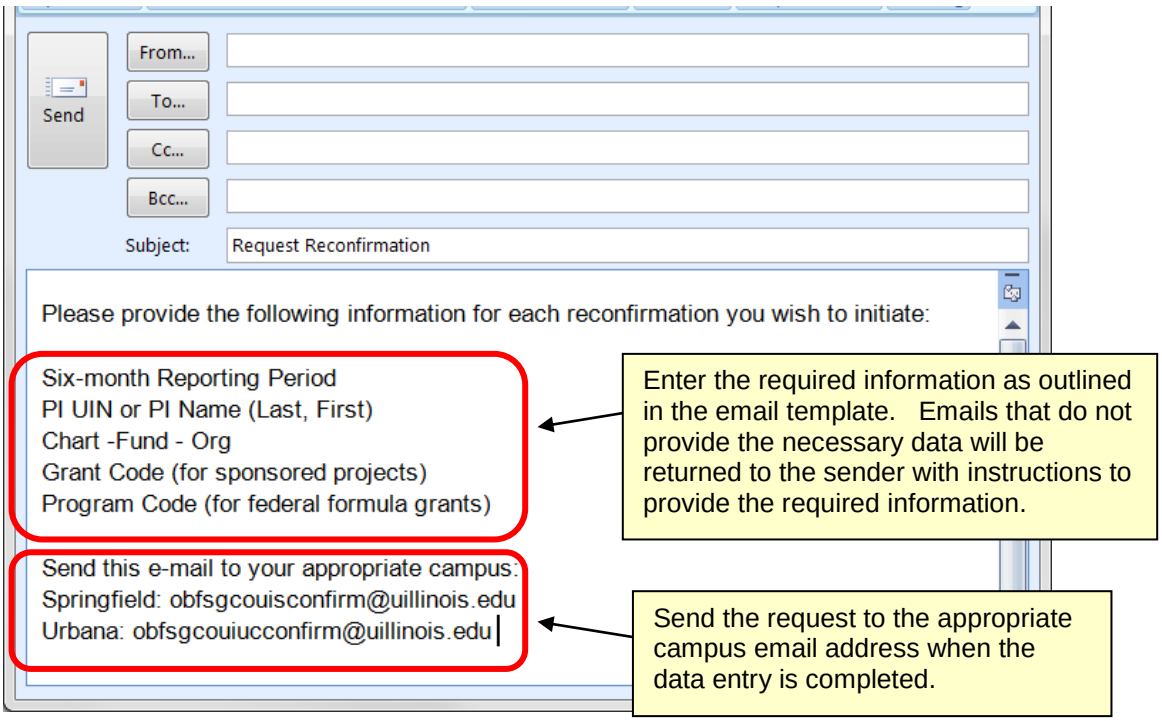
Note that an original confirmation report must exist, and must have been submitted to GCO in order for a reconfirmation report to be generated. Prior to submitting a reconfirmation request, check your departmental tracking report form that reporting period to determine that an original report exists and was submitted to GCO.



An email template will open with the standardized information that GCO requires to accurately identify the confirmed report stored in the historical archive.

Please provide **ALL** of the information as outlined in the email template to expedite your request.

Emails that do not provide all of the information necessary to retrieve an archived confirmation report from the system will be returned to the sender with instructions to provide additional information as required.



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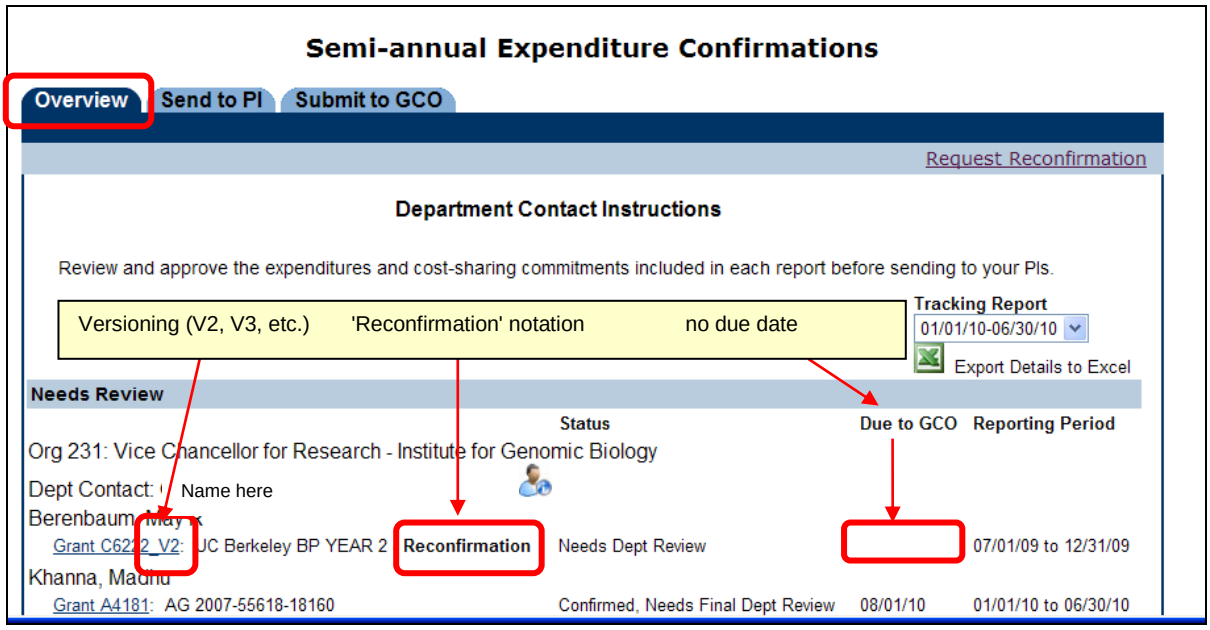
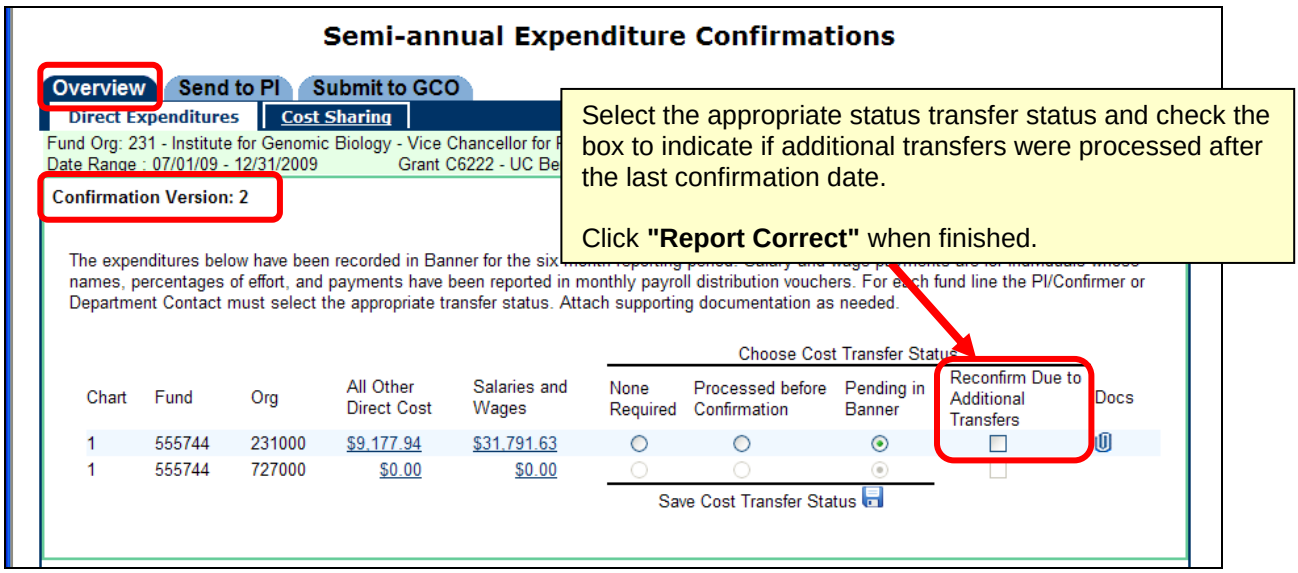
Reports noted as "Reconfirmation" on the **"Overview"** tab do not have a "Due to GCO" date.



On reconfirmation reports, only the chart-fund-org lines that were requested to be re-opened for reconfirmation will be active. The other report lines will be inactive ("grayed out").

The box for "Reconfirm Due to Additional Transfers" should be checked if additional transfers have been processed. If there are no new cost transfers and the reconfirmation is only to change an incorrect cost transfer status previously selected, the box should not be checked. Attach supporting documentation as needed.

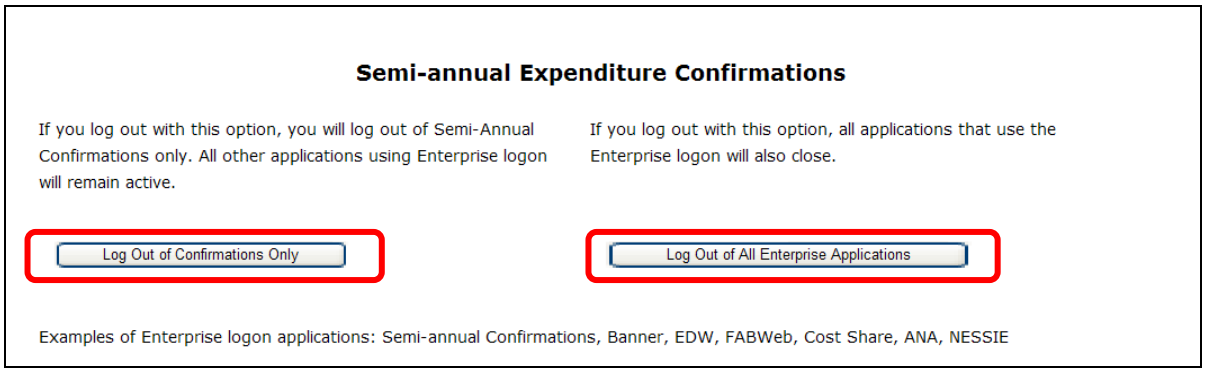
The steps for sending the report to the PI for reconfirmation, final administrative review, submission to the Program Reviewer (for federal formula grants) and submission to GCO are the same as for the original report.



Log Off the Confirmation Application

A link to log off the application is located in the upper right hand corner of every tab.

The user will have the option to log out of Semi-Annual Confirmations only or to close all Enterprise Applications (such as Banner and NESSIE).



Follow-Up Actions by Grants and Contracts Office

Semi-annual confirmations are the basis of our assurance to sponsors and the University's independent auditors that costs directly charged or claimed as cost sharing are incurred legitimately with the direct knowledge of Principal Investigators. Confirmation reports permit Principal Investigators to semi-annually approve direct expenditures and project personnel effort. Without these semi-annual confirmations, costs could be questioned or disallowed.

Reminder emails will be sent prior to the due date to alert the PI/Confirmer of any reports that have not yet been confirmed and submitted to the Grants and Contracts Office.

Notifications for overdue confirmation reports will be automatically generated and sent out by the confirmation system on a regular, predetermined schedule. The first late notice is sent to the PIs and Department Contacts only. As the severity of the delinquency increases, subsequent late notices are escalated and copied to the Department Head, Dean, and Office of the Vice Chancellor for Research (for sponsored projects), and/or the ACES Associate Dean, Extension and Outreach or ACES Associate Dean for Research (for federal formula grants).

Semi-Annual Confirmations – Department Contact

Frequently Asked Questions

Q: The PI says there are no reports to confirm when he/she logs into the system. I reviewed these reports and sent them to the PI, what is wrong?

A: Perhaps nothing is wrong. Check the status of the report(s) in question from your "Overview" tab or from your departmental tracking report.

The issue may be with a report that is still in your (Department Contact) workflow:

If the report is in status "Needs Dept Review", you (as the Department Contact) need to complete your administrative review, agree to the costs (and cost share as applicable), and send the report to the PI/Confirmer for further action.

If the report is in status "Dept Ready to Send to Confirmer", you (as the Department Contact) need to send the report to the PI/Confirmer for further action.

The issue may be with a report that is in the PI/Confirmer's workflow:

If the report is in status "Confirmer Reviewing" (or "Alt Confirmer Reviewing") it is not yet ready to be confirmed, and is not available on the PI's "Confirm" tab. The PI or Alternate Confirmer must select the report from the "Overview" tab for further action. For reports in status "Confirmer Reviewing", the PI or Alternate Confirmer must first review and agree to the direct costs (and cost share as applicable) to move the report to status "Ready to Confirm".

Only reports that are in status "Ready to Confirm" will be visible on the "Confirm" tab and available for the PI to select and complete the confirmation steps.

Q: The PI has confirmed all of his/her reports, but received a "late notice" anyway. Why?

A: Check the status of the report(s) in question on your "Overview" tab or in your departmental tracking report. Make sure the report has actually been confirmed. If the report has been confirmed, check to see that the report was submitted to GCO (and not awaiting further departmental action). Until the confirmed report is submitted to GCO, the reporting cycle is not complete and late notices will continue to be sent out by the system. If the report has been submitted to GCO, check the date the report was submitted to GCO and the date the late notice was generated. It may be a timing issue where the report has been submitted to GCO, but it was submitted after the late notice was already sent out by the system.

Q: How do I know which reports are outstanding (not submitted to GCO), where they "are" in the system, and what action needs to be taken?

A: Check the status of the reports from your "Overview" to see which reports are outstanding and need further action taken. The "status messages" will indicate where the report is in the process. You also have the option of running an "on demand" tracking report to list all reports for the selected reporting period. Regularly reviewing the tracking report and following up on outstanding reports will help you to assist your PIs in managing their confirmation requirements in a timely manner.

Q: The PI reported effort (for the PI or other person) on the annual progress report that does not show as cost share in the confirmation report. What needs to be done to change the cost share information for the confirmation report?

A: That depends. GCO will need to investigate each situation on a case-by-case basis. If the contributed effort is due to a mandatory cost sharing requirement or is voluntary committed cost sharing, then the contributed effort will need to be tracked and reported in the University financial accounting systems. In those cases, the cost sharing commitment will be entered in the cost share application for tracking and reporting, and a revised cost share report will be provided for the confirmation reporting.

Semi-Annual Confirmations – Department Contact

If the effort reported in the annual progress report is "after-the-fact" (was not an "up-front" cost share commitment formally documented in the proposal budget or budget narrative) that effort is classified as voluntary uncommitted cost sharing, which is neither tracked nor reported in the University's accounting systems per federal guidelines and regulations. In those cases, it is not appropriate to include the voluntary uncommitted cost sharing effort in the confirmation reporting.

Q: The PI says the expenses on the confirmation report are "wrong" and will not "sign" it. What needs to be done to revise the confirmation report?

A: The expenditures on the confirmation report reflect the actual costs as recorded in the Banner accounting system for the indicated six-month reporting period. The accounting periods included in that six-month time frame are financially closed, and no retroactive changes to closed accounting periods can be made.

However, if corrections need to be made for the expenses that are "wrong" (need to be removed from the project or charged to the project) , then cost transfers should be promptly initiated. The appropriate cost transfer status should be selected on the confirmation report, and supporting documentation for the cost transfers should be attached as needed to explain the corrective actions.

Q: There are "zero" costs on a report line. Why does this report line have to be confirmed?

A: A report line may appear to have "zero" costs when the same dollar amount of costs were charged and subsequently removed during the same confirmation period. The transactions moving charges on and off of the report line will need to be agreed to and confirmed.

See the example screenshot below for a "zero" dollar report line. Costs were charged and subsequently removed during the same confirmation period making the net costs for the report line appear to be "zero". The report line requires review and confirmation by the PI/Confirmer.

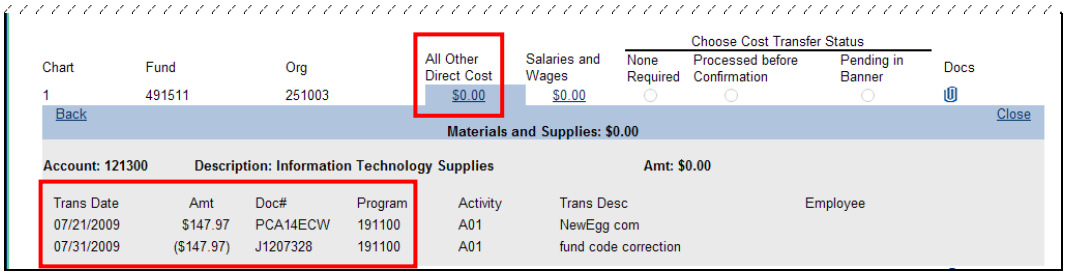


Chart	Fund	Org	All Other Direct Cost	Salaries and Wages	Choose Cost Transfer Status: None Required	Processed before Confirmation	Pending in Banner	Docs
1	491511	251003	$0.00	$0.00				

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Materials and Supplies: $0.00

Account: 121300 **Description: Information Technology Supplies** **Amt: $0.00**

Trans Date	Amt	Doc#	Program	Activity	Trans Desc	Employee
07/21/2009	$147.97	PCA14ECW	191100	A01	NewEgg com	
07/31/2009	($147.97)	J1207328	191100	A01	fund code correction	

You may also see report lines requiring confirmation where the costs are negative. This is due to more costs being removed than were charged during the confirmation period. Since the costs being removed were confirmed as "correct" during a prior confirmation period, the removal of the costs during this confirmation period must also be confirmed as "correct".

In the example below, a refund from a subrecipient was received after the original costs were confirmed in a prior period. *(Note -- subrecipient costs are under the Account Type "Services")*

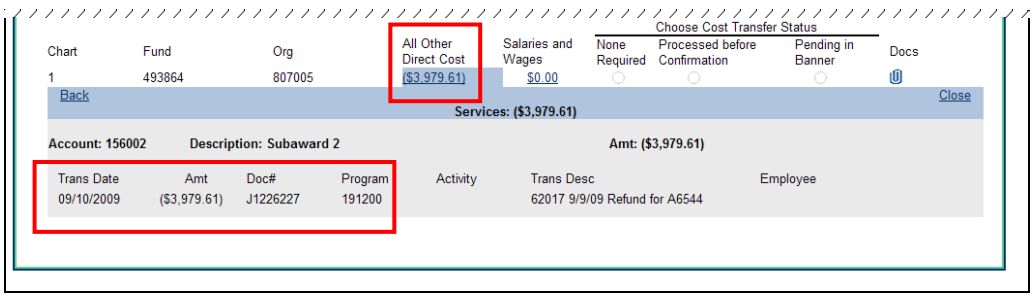

Chart	Fund	Org	All Other Direct Cost	Salaries and Wages	Choose Cost Transfer Status: None Required	Processed before Confirmation	Pending in Banner	Docs
1	493864	807005	($3,979.61)	$0.00				

Back — Close

Services: ($3,979.61)

Account: 156002 **Description: Subaward 2** **Amt: ($3,979.61)**

Trans Date	Amt	Doc#	Program	Activity	Trans Desc	Employee
09/10/2009	($3,979.61)	J1226227	191200		62017 9/9/09 Refund for A6544	

Semi-Annual Confirmations – Department Contact

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