

Job Aid: ECC External Audit Report

Sections:

- [Overview](#)
- [Step-by-step for running the report](#)
- [Examples / Use Cases](#)

Overview:

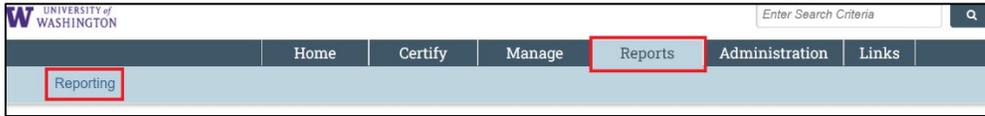
Using the ECC External Audit Report is the proper method of retrieving ECC Effort and Project Statements for the purpose of responding to an effort reporting audit/documentation request. If you receive a notification from a sponsor of an audit, notify UW's Office of Internal Audit: iaudit@uw.edu -- and if you have any questions regarding what is being requested, the scope of the request, or how to access the necessary documentation, please consult with Internal Audit or Post Award Fiscal Compliance (effortreporting@uw.edu).

ECC contains UW's effort reporting documentation for periods beginning 7/1/2023. Use the External Audit Report for accessing all periods beginning 7/1/2023 and beyond. For accessing legacy certified Faculty Effort Certifications (FECs) for periods prior to 7/1/2023, please reach out to effortreporting@uw.edu requesting these documents. Please include the faculty name, and the period of the reports that you require.

GCCRs (Grant and Contract Certification Reports) are the legacy version of ECC Project Statements. They are retained at the departmental level, so certified reports should be available within your unit's document retention process.

Step-by-step for running the report:

1. From the home page of ECC, click on the “Reports” menu tab, then the “Reporting” subtab:



2. On the Reporting page, select “Management” in the Category column, and “External Audit Report” from the Reports column:



NOTE: Depending on the ECC statements that you need to retrieve, the following parameter entries may vary. The rest of the steps in this ‘step-by-step’ section will go over each field in the parameter entry in detail, and outline quirks with entering the parameters. If you want a summarized view of how to enter the parameters for a specific scenario, scroll to the [‘Examples / Use Cases’ section of this document](#).

3. “Statement Type” selection allows you to determine whether you get effort statements, project statements, or both types of statements returned:

- a. Effort Statements only

Statement Type: Effort Project

- b. Project Statements only

Statement Type: Effort Project

- c. Both types

Statement Type: Effort Project

4. Using either the “Effort Status” or “Project Status” entries is not recommended, as they do not function as expected to reduce the results only statements in that status. Leave “Status” field(s) as is, with “[Select Type]” instead of any individual status:

Effort Status: [Select Type] ▼

Project Status: [Select Type] ▼

5. There are multiple ways the report will allow you to search for statements in ECC. Options are Employee, Department, Account, and PI

a. Employee – search for effort and/or project statements associated with a particular faculty/PI

Search By: Employee Department Account PI

Employee: Last Name *space* First Name

b. Department – search for statements by cost center

i. Note: Using this search method is not recommended because it returns results for statements that do not have sponsored payroll (auto approved project/effort statements)

Search By: Employee Department Account PI

School / Department:

[Expand Search](#)

c. Account (must be a grant worktag) – search for a selected grant worktag

i. Search field will populate based on award period of the worktag.
 ii. If today’s date is during the award period, use “Active” selection:

Search By: Employee Department Account PI

Account: Active Inactive

iii. If today’s date is after the award period end date, use “Inactive” selection before entering grant number – otherwise you will get ‘No Data’:

Search By: Employee Department Account PI

Account: Active Inactive

d. PI – search for project statements associated with selected PI

i. Note: Not recommended, using “Employee” search is better because it returns the same results, but with added functionality of also showing effort statements for the selected individual if you select both “Effort” and “Project” from step 3

6. The parameters prior to entering a date range (“Show Notes”, “Show Transaction History” and “Search By Statement Type” should be selected as follows:

Show Notes: Yes No

Show Transaction History: Yes No

Search By Statement Type: Base Non-IBS

7. In the “Date By” field, only select “Employee Type” if you only want statements of one type, and for a single ECC period (semi-annual effort, or quarterly project), otherwise, keep the selection as “Dates”.

a. If using “Dates” enter the date range of the reports you require – Tip: it is easier to type in “MM/DD/YYYY” rather than use ECC’s date picker:

Date By: Dates Employee Type

Dates: Start Date: 7/1/2023 End Date: 12/31/2024

b. If using “Employee Type”, use ‘UW’ for effort statements, and ‘UWP’ for project statements, then select a single ECC period from the period dropdown:

i. Effort Statements

Date By: Dates Employee Type

Employee Type: UW

Period: 7/1/2023 to 6/30/

ii. Project Statements

Date By: Dates Employee Type

Employee Type: UWP

Period: 7/1/2023 to 12/31

8. Click “Run Report” to execute based your chosen parameters:

Parameters Results

Statement Type: Effort Project

Effort Status: [Select Type]

Project Status: [Select Type]

Search By: Employee Department Account PI

Employee: [Text Field]

Show Notes: Yes No

Show Transaction History: Yes No

Search By Statement Type: Base Non-IBS

Date By: Dates Employee Type

Dates: Start Date: [mm/dd/yyyy] End Date: [mm/dd/yyyy]

Run Report

9. Click the linked text “Effort PDF Report” and/or “Project PDF Report” (red outlined in screenshot) – this will begin the process of generating a pdf of the statements you’ve select.

Parameters Results

Effort Statements
Based on your report selection below are the results. Please note that you can **sort the results** by clicking on the column header.

Center	Department Name
PI's Last Name, First Name - EID	CoEnv Earth and Space Sciences (ESS) - Administrative

[Effort PDF Report](#)

Project Statements
Based on your report selection below are the results. Please note that you can **sort the results** by clicking on the column header.

IBS	Project Title	Department Name
PI's Last Name, First Name - EID	AETH	CoEnv Earth and Space Sciences (ESS) - Research and Engagement Activities
PI's Last Name, First Name - EID	EARLY BIO	CoEnv Earth and Space Sciences (ESS) - Research and Engagement Activities
PI's Last Name, First Name - EID	ENCL - 2021	CoEnv Earth and Space Sciences (ESS) - Research and Engagement Activities
PI's Last Name, First Name - EID	ENCL	CoEnv Earth and Space Sciences (ESS) - Research and Engagement Activities
PI's Last Name, First Name - EID	Ocean world organisms	CoEnv Earth and Space Sciences (ESS) - Research and Engagement Activities
PI's Last Name, First Name - EID	ORIGIN	CoEnv Earth and Space Sciences (ESS) - Research and Engagement Activities
	GAN - 2021	CoEnv Earth and Space Sciences (ESS) - Research and Engagement Activities

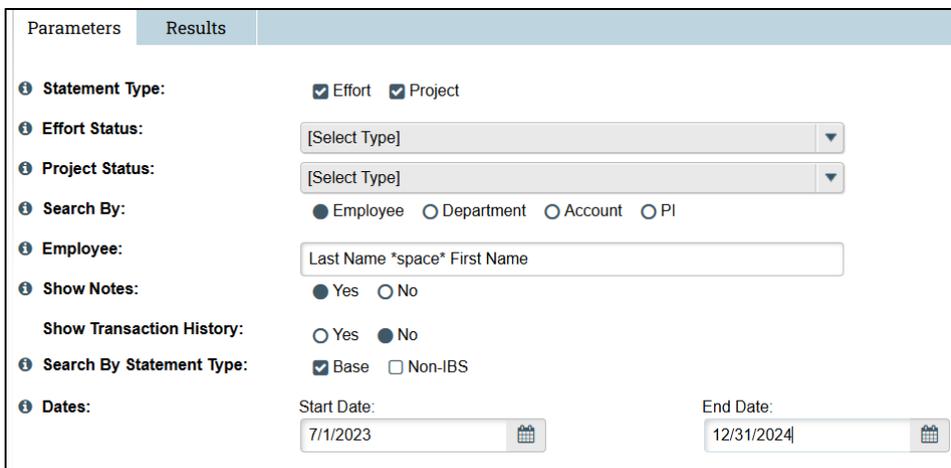
[Project PDF Report](#)

10. Download the pdf(s) that ECC generates.
11. Review the pdf statements for their status – you should only be providing certified effort and project statements, so if there are statements that remain outstanding within the document (statuses such as “Ready for Pre Review”, “Ready for Certification”, “Certified, Payroll Pending”, or “Not Certified, Reopened by PAR”) you must facilitate for them to be certified before they can be sent to the sponsor/auditor as effort reporting documentation ([see compliance regulations and policy](#)).

Examples / Use Cases:

Note: Return to [Step 8 from the step-by-step section](#) after entering your parameters from one of the below examples

- [Effort & Project Statements for an Employee \(faculty\)](#)
 - [Effort Statements for an Employee \(Faculty\)](#)
 - [Project Statements for an Employee \(PI\)](#)
 - [Effort & Project Statements for a Grant Worktag](#)
 - [Effort Statements for a Grant Worktag](#)
 - [Project Statements for a Grant Worktag](#)
- Retrieve all statements (effort & project) for a faculty/PI, for given date range:



The screenshot shows a search interface with two tabs: "Parameters" and "Results". The "Parameters" tab is active. The form includes the following fields and options:

- Statement Type:** Two checked checkboxes for "Effort" and "Project".
- Effort Status:** A dropdown menu with "[Select Type]" selected.
- Project Status:** A dropdown menu with "[Select Type]" selected.
- Search By:** Four radio buttons: "Employee" (selected), "Department", "Account", and "PI".
- Employee:** A text input field with the placeholder "Last Name *space* First Name".
- Show Notes:** Two radio buttons: "Yes" (selected) and "No".
- Show Transaction History:** Two radio buttons: "Yes" and "No" (selected).
- Search By Statement Type:** Two checkboxes: "Base" (checked) and "Non-IBS".
- Dates:** Two date pickers. The "Start Date" is set to "7/1/2023" and the "End Date" is set to "12/31/2024".

- Retrieve all effort statements for a faculty member
 - For a given date range:

Parameters	Results
Statement Type:	<input checked="" type="checkbox"/> Effort <input type="checkbox"/> Project
Effort Status:	[Select Type] ▼
Search By:	<input checked="" type="radio"/> Employee <input type="radio"/> Department <input type="radio"/> Account <input type="radio"/> PI
Employee:	Last Name *space* First Name
Show Notes:	<input checked="" type="radio"/> Yes <input type="radio"/> No
Show Transaction History:	<input type="radio"/> Yes <input checked="" type="radio"/> No
Search By Statement Type:	<input checked="" type="checkbox"/> Base <input type="checkbox"/> Non-IBS
Date By:	<input checked="" type="radio"/> Dates <input type="radio"/> Employee Type
Dates:	Start Date: 7/1/2023 End Date: 12/31/2024

- For a specific ECC Period:

Parameters	Results
Statement Type:	<input checked="" type="checkbox"/> Effort <input type="checkbox"/> Project
Effort Status:	[Select Type] ▼
Search By:	<input checked="" type="radio"/> Employee <input type="radio"/> Department <input type="radio"/> Account <input type="radio"/> PI
Employee:	Last Name *space* First Name
Show Notes:	<input checked="" type="radio"/> Yes <input type="radio"/> No
Show Transaction History:	<input type="radio"/> Yes <input checked="" type="radio"/> No
Search By Statement Type:	<input checked="" type="checkbox"/> Base <input type="checkbox"/> Non-IBS
Date By:	<input type="radio"/> Dates <input checked="" type="radio"/> Employee Type
Employee Type:	UW ▼
Period:	7/1/2023 to 6/30/24 ▼

- Retrieve all project statements for a PI

- For a given date range

Parameters	Results
Statement Type:	<input type="checkbox"/> Effort <input checked="" type="checkbox"/> Project
Project Status:	[Select Type] ▼
Search By:	<input checked="" type="radio"/> Employee <input type="radio"/> Department <input type="radio"/> Account <input type="radio"/> PI
Employee:	Last Name *space* First Name
Show Notes:	<input checked="" type="radio"/> Yes <input type="radio"/> No
Show Transaction History:	<input type="radio"/> Yes <input checked="" type="radio"/> No
Date By:	<input checked="" type="radio"/> Dates <input type="radio"/> Employee Type
Dates:	Start Date: 7/1/2023 End Date: 6/30/2024

- For a given ECC Period

- Retrieve all statements (effort/project) for an “Account” (grant worktag)
 - During the award period of the grant

- After the award period of the grant

- Retrieve all effort statements an “Account” (grant worktag) is on

- During the award period of the grant

Parameters Results

Statement Type: Effort Project

Effort Status: [Select Type]

Search By: Employee Department Account PI

Account: GR000001 Active Inactive

Show Notes: Yes No

Show Transaction History: Yes No

Search By Statement Type: Base Non-IBS

Date By: Dates Employee Type

Dates: Start Date: 7/1/2023 End Date: 12/31/2024

- After the award period of the grant

Parameters Results

Statement Type: Effort Project

Effort Status: [Select Type]

Search By: Employee Department Account PI

Account: GR012123 Active Inactive

Show Notes: Yes No

Show Transaction History: Yes No

Search By Statement Type: Base Non-IBS

Date By: Dates Employee Type

Dates: Start Date: 7/1/2023 End Date: 12/31/2024

- Retrieve all project statements for an “Account” (grant worktag)

- During the award period of the grant

Parameters Results

Statement Type: Effort Project

Project Status: [Select Type]

Search By: Employee Department Account PI

Account: GR000001 Active Inactive

Show Notes: Yes No

Show Transaction History: Yes No

Date By: Dates Employee Type

Dates: Start Date: 7/1/2023 End Date: 12/31/2024

- After the award period of the grant

Parameters	Results
Statement Type:	<input type="checkbox"/> Effort <input checked="" type="checkbox"/> Project
Project Status:	[Select Type] ▼
Search By:	<input type="radio"/> Employee <input type="radio"/> Department <input checked="" type="radio"/> Account <input type="radio"/> PI
Account:	GR012123 <input type="radio"/> Active <input checked="" type="radio"/> Inactive
Show Notes:	<input checked="" type="radio"/> Yes <input type="radio"/> No
Show Transaction History:	<input type="radio"/> Yes <input checked="" type="radio"/> No
Date By:	<input checked="" type="radio"/> Dates <input type="radio"/> Employee Type
Dates:	Start Date: 7/1/2023 <input type="text"/> End Date: 12/31/2024 <input type="text"/>