Effort Certification for Principal Investigators

Principal Investigator (Lead and Grant)

Purpose

During Effort Certification, Effort Certification Reviewers, Managers, Principal Investigators and Employees review and adjust or certify the percent of total effort spent on sponsored projects. When effort is adjusted, a reason is added for the change, and Payroll Accounting Adjustments follow.

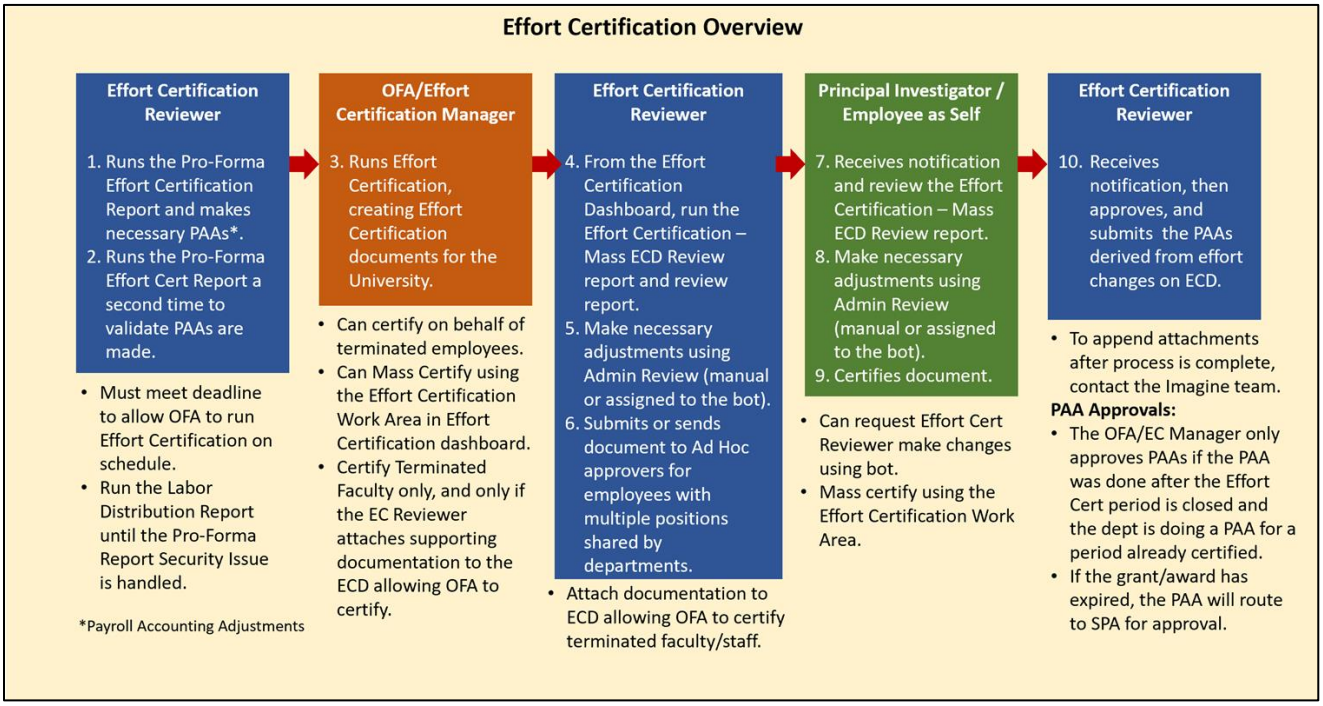
This document provides those with Principal Investigator (Lead and Grant) roles with guidance on how to perform activities associated with Effort Certification in Workday. Topics include how to use the Effort Certification Dashboard; Review, Change Effort and/or Certify an Effort Certification document, and perform Mass Review.

The **Principal Investigator / Employee as Self** receives notification and runs the E-Cert by Certifier report, reviews effort and makes necessary adjustments when certifying work efforts.

Note: The certifier can request the Effort Certification Reviewer to make changes and can Mass Certify documents if needed.

Processes included are:

- Change Effort, and/or Certify an Effort Certification Document
- Mass Certification
  - Effort Certification – Mass ECD Review by Certifier Report
  - Effort Certification Work Area
- Effort Certification Dashboard and Reports
  - Find Effort Certification
  - Find Effort Certification Lines

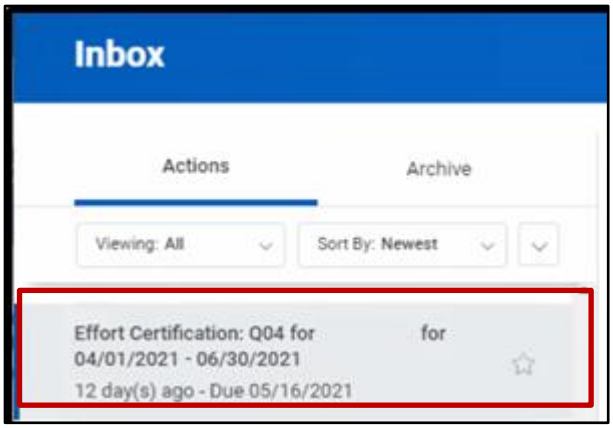


Procedures

Change Effort and/or Certify an Effort Certification Document

After the Effort Certification Reviewer reviews and submits, the Effort Certification document routes to the PI or Employee as Self, for review, further adjustments as needed, and certification.

1. Click the Effort Certification **In-box Notification** email.

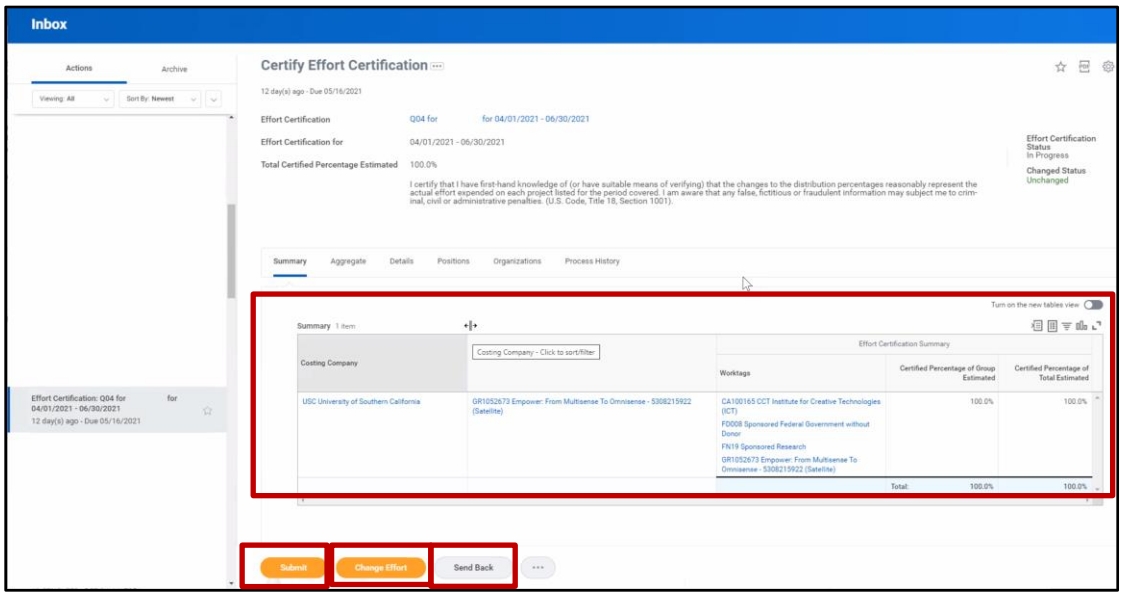


The **Certify Effort Certification** screen displays for the quarter noted.

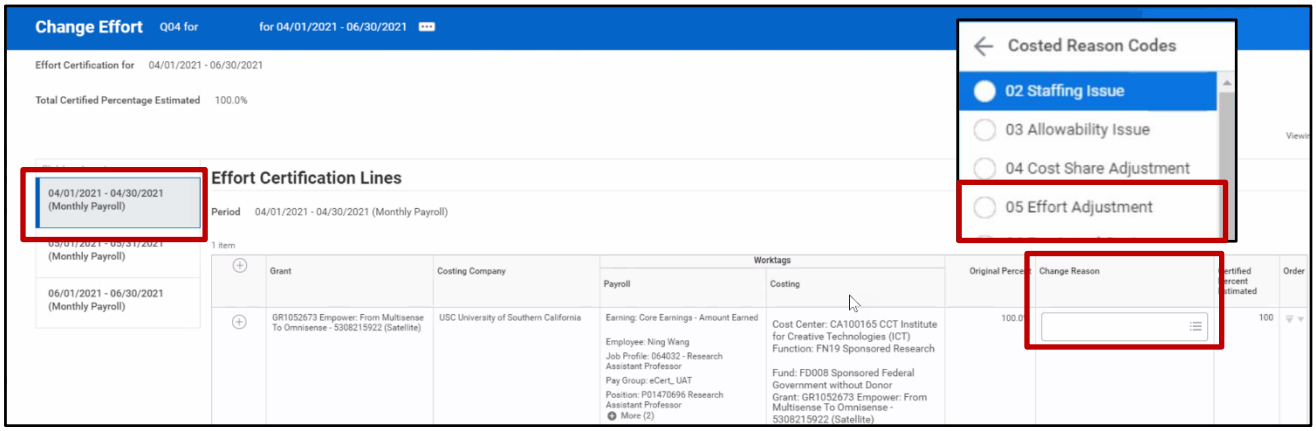
2. Review the **Summary** tab to view the **Worktags, Certified Percentage of Group Estimated**, and **Certified Percentage of Estimated Total**.

   NOTE: The Changed Status field reflects **Changed** if effort is adjusted.

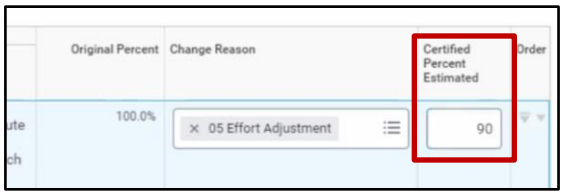
3. Click **Submit** to certify the document, or **Change Effort** to make adjustments to the Effort Certification lines. **Note**: Click **Send Back** to return document to Effort Certification Reviewer.



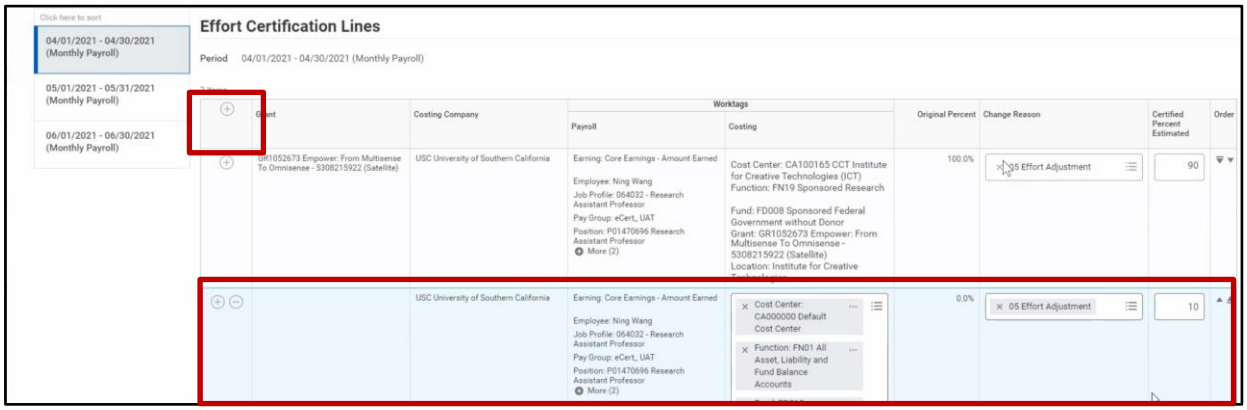
4. Select a **time frame** in the left hand menu.
5. Click in the **Change Reason** field. Select the **Change Reason**, for example, **Effort Adjustment**.



6. Make changes as appropriate to the **Certified Percent Estimated**.

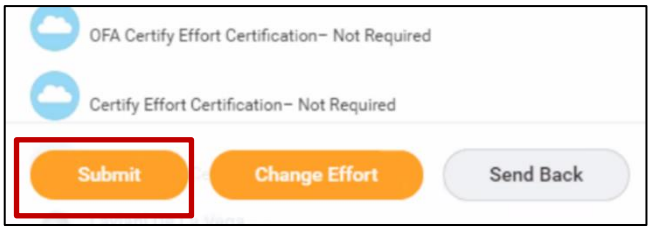


7. Click the **+** sign to add a new line if additional percent estimations are necessary.
8. Identify the **Worktags** for the second entry (Program, Project, Gift or Grant, Cost Center, Fund, Function).
9. Select the **Change Reason** using the dropdown.
10. Update the **Certified Percent Estimate** as appropriate.
11. Click **OK**.



12. When changes are complete, click **Submit**.

    A message displays at the top of the page indicating the overall Effort Certification process is complete.



Next Steps:

Effort Certification Reviewer: A Payroll Accounting Adjustment (PAA) will be requested for completion by the Effort Certification Reviewer for any adjustments made.

Approvals: Standalone PAAs initiated outside of the Effort Cert period will go to the Effort Cert Manager for approval. If the grant/award line on the PAA is closed, it will additionally go to the Award Contract Specialist role, then the PAA Approver (SPA) for approval.

Append Effort Certification Documents (if necessary)

If additional attachments or comments need to be applied to the EC document after the document is certified by the employee as self or PI and the business process is complete, contact IMAGINE to append the certified document. imagineworkday@usc.edu

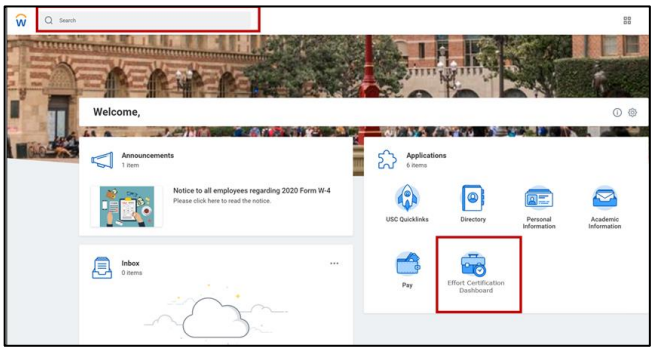
Mass Certification

Use **Mass Certification** to adjust and certify multiple documents at one time. Begin by running the **Effort Certification - Mass ECD Review Report** and identifying any adjustments necessary. Use the Admin Review area to make any adjustments necessary. Next, access the **Effort Certification Work Area** and certify the documents.

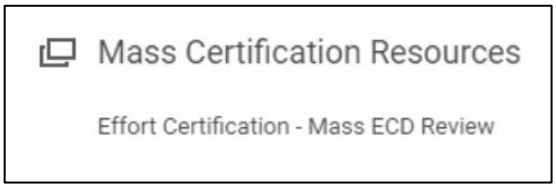
Effort Certification – Mass ECD Review by Certifier Report

Run the **E-cert by Certifier Report** to review Effort Certification documents in mass, and adjust effort manually if needed.

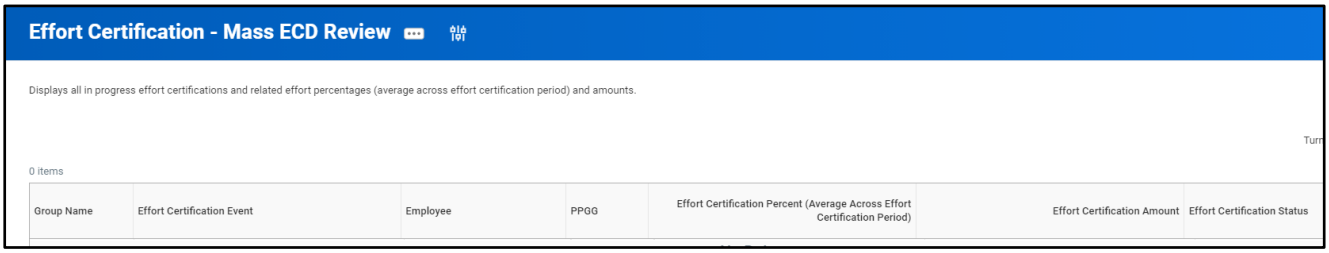
1. Search for or select the **Effort Certification Dashboard** in the **Apps** area.



2. Under the **Mass Certification Resources** heading, click on **Effort Certification – Mass ECD Review** to review Effort Certification documents in mass.

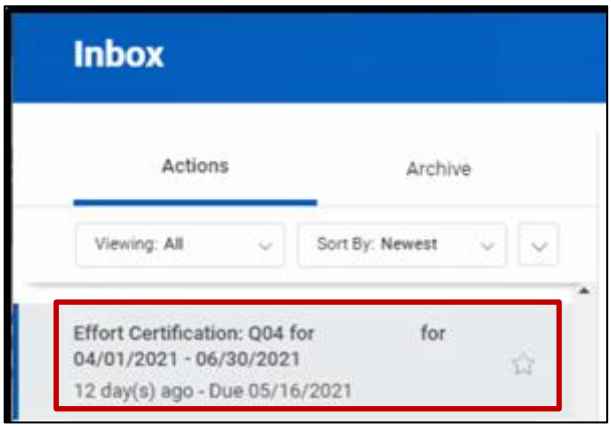


4. Review report data of all ECDs in progress for your organization.
   - **Group Name**
   - **Effort Cert Event**
   - **Employee**
   - **PPGG**
   - **Effort Certification Percent (Average across Effort Cert Period)**
   - **Effort Certification Amount**
   - **Effort Certification Status**



Make Changes using Admin Review

1. Navigate back to the inbox ECD items, and find the ECDs for review and completion of Admin Review.

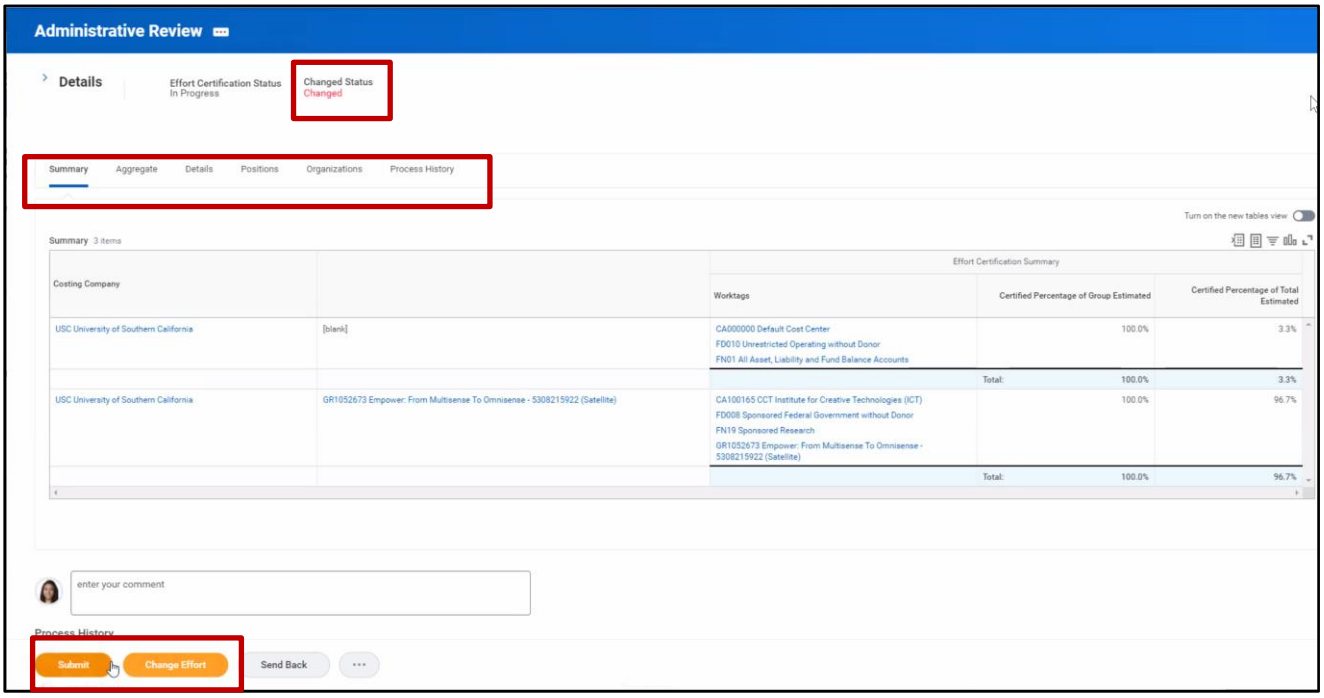


2. The **Admin Review** window displays.

   NOTE: The Changed Status field reflects **Changed** if effort is adjusted.

3. Use the tab menu to review the **Summary, Aggregate, Details, Positions, Organizations** and **Process History** areas.

4. Click **Submit** to certify, **Change Effort** to adjust effort manually, or **Send Back** to return the document to the Effort Certification Reviewer.

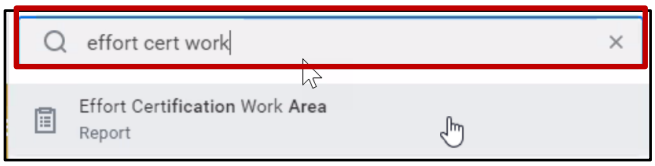


To change the effort, follow **Steps 4 – 12** in the **Change Effort and/or Certify an Effort Certification Document process**.

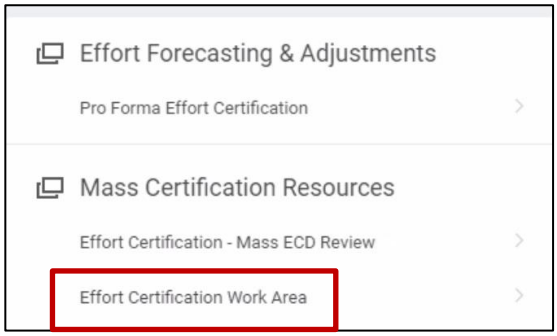
Effort Certification Work Area

Go to the **Effort Certification Work Area** to review and certify Effort Certification documents in mass.

1. Type **Effort Certification Work Area** in the Workday Search field and select using the dropdown menu.

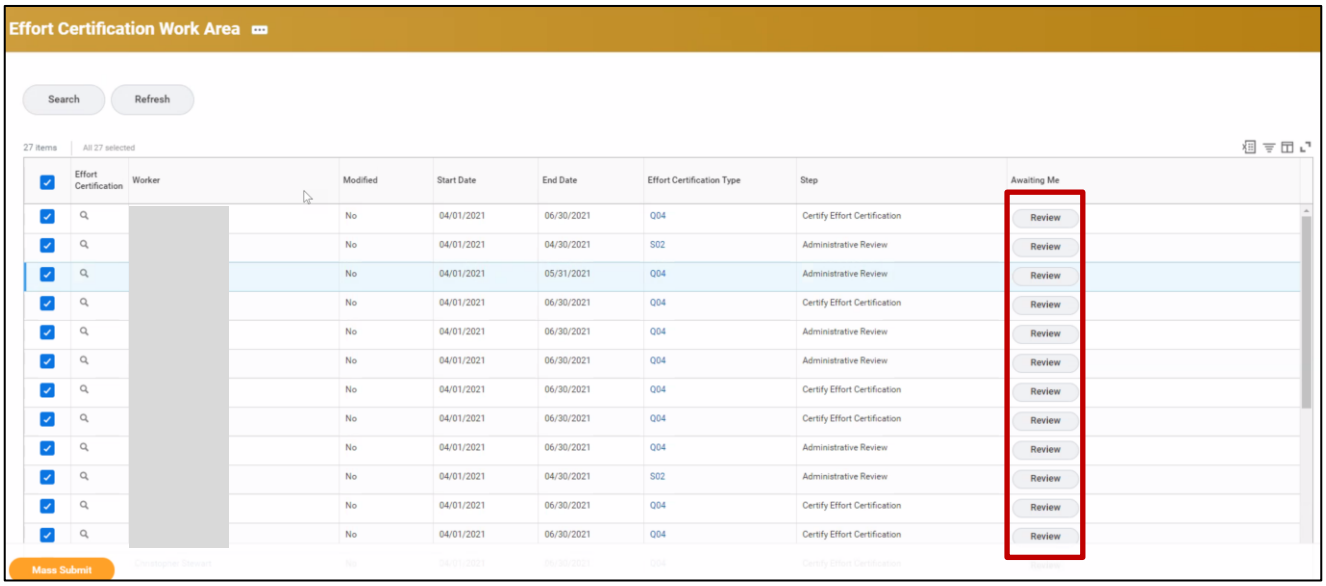


   Or click on **Effort Certification Work Area** in the **Mass Certification Resources** area of the **Effort Certification Dashboard**.

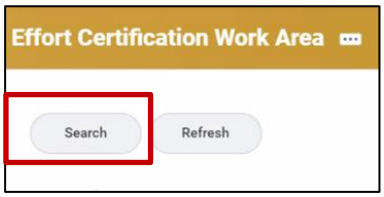


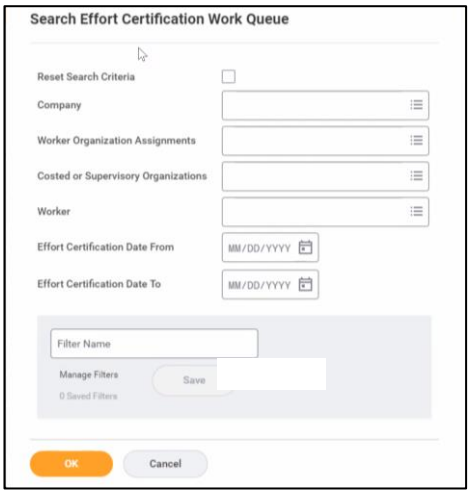
In the **Effort Certification Work Area** documents are awaiting certification.

2. Click **Review** in the **Awaiting Me** column to view Worker Certification details.

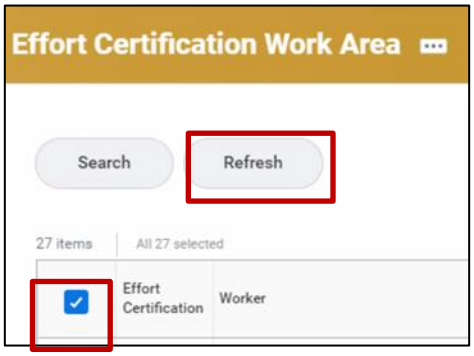


3. Click **Search** to filter the report by organization or other parameter.

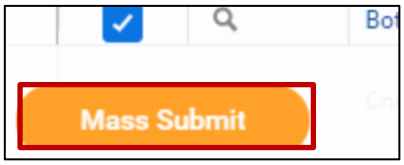




4. Click **Refresh** to update data after changes are made.
5. Place a checkmark in the box at the top of the left hand column to select all available documents to certify.



6. Click **Mass Submit** and verify when review is complete.



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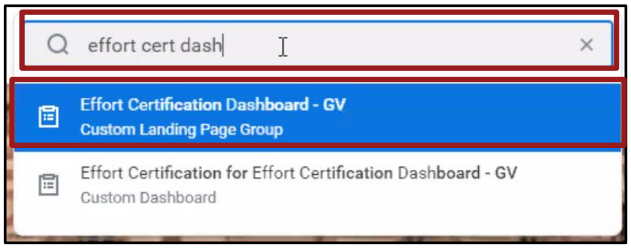
Effort Certification Dashboard

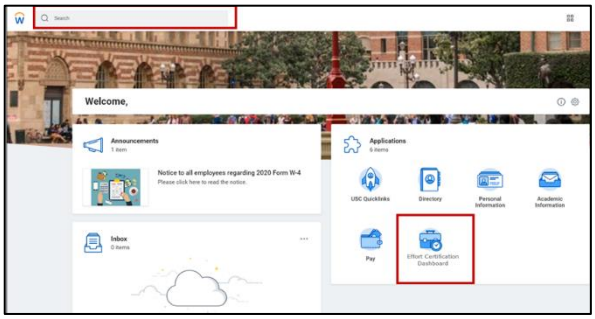
Use the **Effort Certification Dashboard** to view and generate reports related to your role as a Principal Investigator.

On the Workday **Home** screen:

7. Type **Effort Cert Dash** in the **Search** field and select in the dropdown menu when it displays.

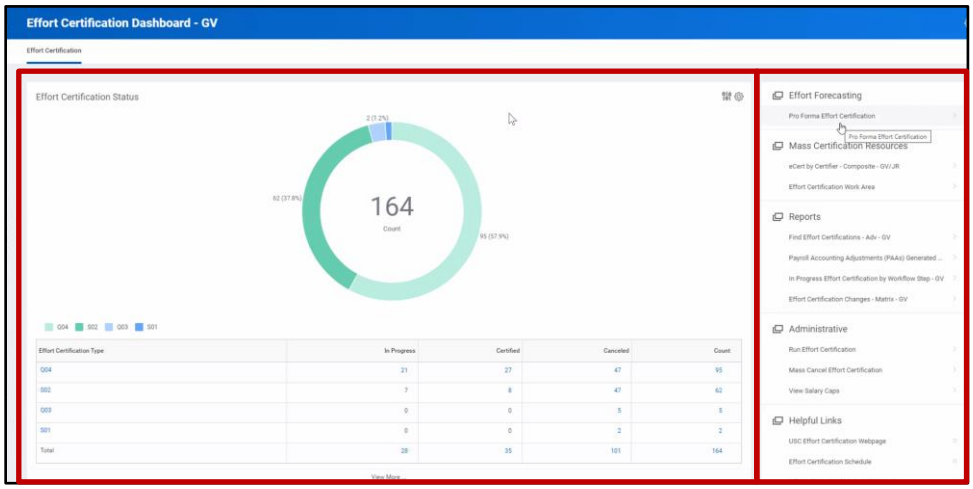


Alternatively, click on the **Effort Certification Dashboard** in the **Workday Apps** area or search using the Search menu.

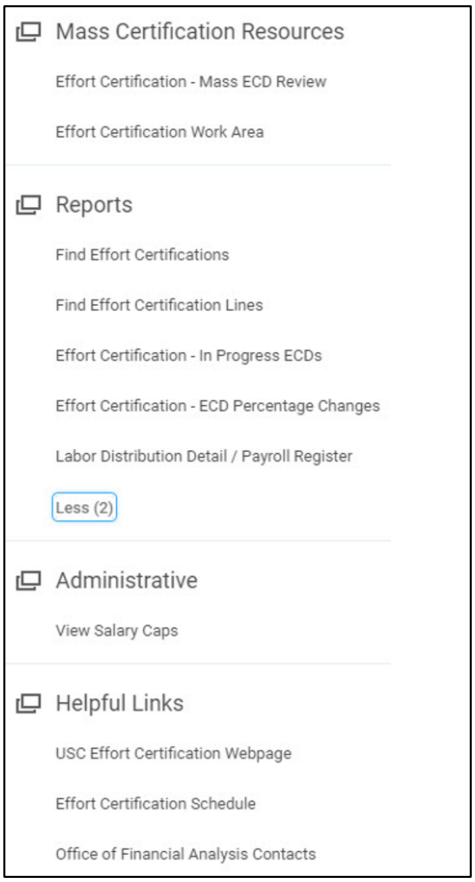


The Dashboard displays the **Effort Certification Status Report** showing the count of effort certifications in the open effort certification period by status (**In Progress, Certified, Canceled**) and **Type (Quarter: Q01 – Q04**, or **Semester: S01 – S03)**.

Reports and **Helpful Links** are listed at right.



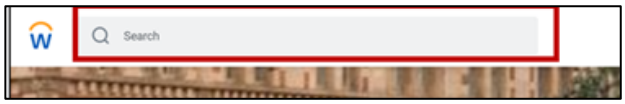
8. Click on a report to view.



Find Effort Certification

Use **Find Effort Certifications** to generate a list of Effort Certifications using filters (date range, employee, status, effort certification type, grant, grant PI, whether an employee is terminated, and whether an effort certification has been changed or is past due).

1. Type **Find Effort Certification** in the Workday Search field and select using the dropdown menu.

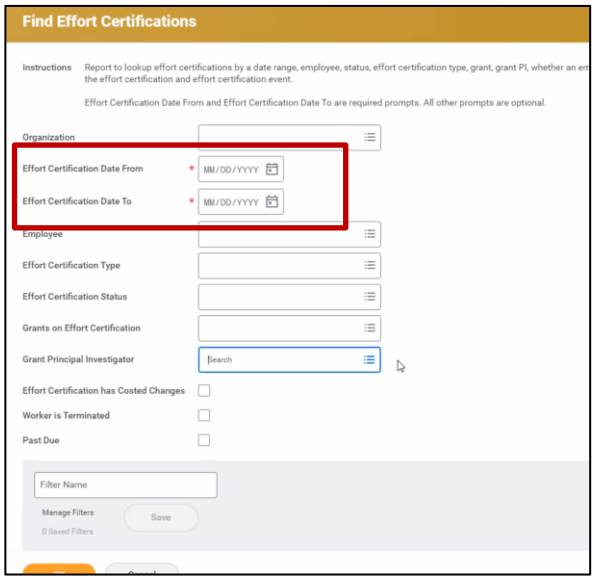


   Or click on **Find Effort Certifications** in the **Reports** area of the **Effort Certification Dashboard**.

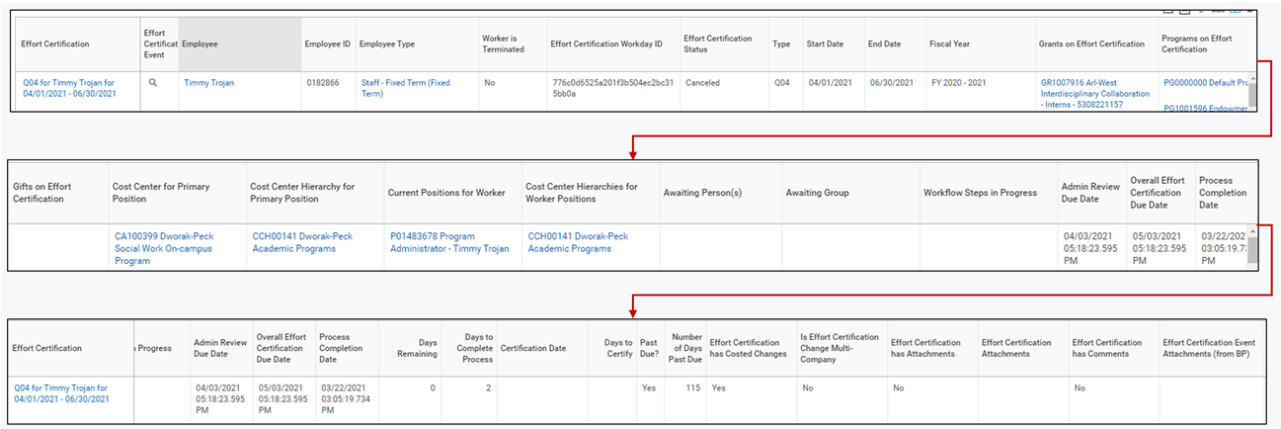
2. Type in or select the required fields:
   - **Effort Certification Date From**
   - **Effort Certification Date To**

   Note: When listing the Effort Certification Date From or To, user must list the first or last day of the month regardless if the period if for half the month (E.g., August 15 will reflect the Effort Certification End Date of August 31.)

3. Fill in other filters as appropriate.
4. Click **OK**.



The **Effort Certifications Report** displays details about the effort certification and effort certification event. Scroll right to research additional details.



Effort Certification	Effort Certificat Event	Employee	Employee ID	Employee Type	Worker is Terminated	Effort Certification Workday ID	Effort Certification Status	Type	Start Date	End Date	Fiscal Year	Grants on Effort Certification	Programs on Effort Certification
Q04 for Timmy Trojan for 04/01/2021 - 06/30/2021		Timmy Trojan	0182866	Staff - Fixed Term (Fixed Term)	No	776c0d6525a201f3b504ec2bc315bb0a	Canceled	Q04	04/01/2021	06/30/2021	FY 2020 - 2021	GR1007916 Ari-West Interdisciplinary Collaboration - Interns - 5308221157	PG0000000 Default Pr PG1001596 Endowme

Gifts on Effort Certification	Cost Center for Primary Position	Cost Center Hierarchy for Primary Position	Current Positions for Worker	Cost Center Hierarchies for Worker Positions	Awaiting Person(s)	Awaiting Group	Workflow Steps in Progress	Admin Review Due Date	Overall Effort Certification Due Date	Process Completion Date
	CA100399 Dworak-Peck Social Work On-campus Program	CCH00141 Dworak-Peck Academic Programs	P01483678 Program Administrator - Timmy Trojan	CCH00141 Dworak-Peck Academic Programs				04/03/2021 05:18:23.595 PM	05/03/2021 05:18:23.595 PM	03/22/202 03:05:19.7 PM

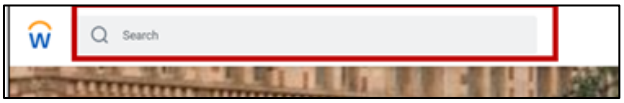
Effort Certification	Progress	Admin Review Due Date	Overall Effort Certification Due Date	Process Completion Date	Days Remaining	Days to Complete Process	Certification Date	Days to Certify	Past Due?	Number of Days Past Due	Effort Certification has Costed Changes	Is Effort Certification Change Multi-Company	Effort Certification has Attachments	Effort Certification Attachments	Effort Certification has Comments	Effort Certification Event Attachments (from BP)
Q04 for Timmy Trojan for 04/01/2021 - 06/30/2021		04/03/2021 05:18:23.595 PM	05/03/2021 05:18:23.595 PM	03/22/2021 03:05:19.734 PM	0	2			Yes	115	Yes	No	No		No	

Find Effort Certification Lines

Use **Find Effort Certification Lines** to search for and generate effort certification lines by dates, organization, employee, PPGG and Type.

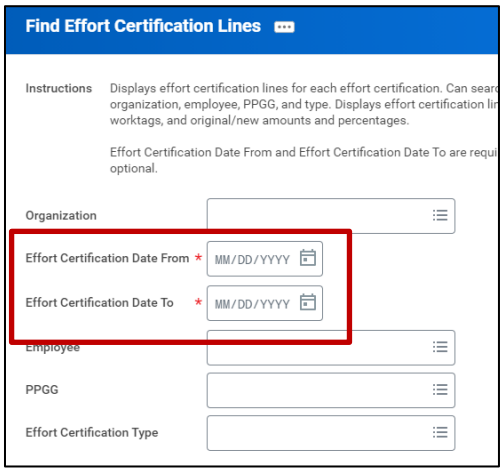
1. Type **Find Effort Certification Lines** in the Workday Search field and select using the dropdown menu.

   Or click on **Find Effort Certification Lines** in the **Reports** area of the **Effort Certification Dashboard**.



2. Type in or select the required fields:
   - **Effort Certification Date From**
   - **Effort Certification Date To**.

   Note: When listing the Effort Certification Date From or To, user must list the first or last day of the month regardless if the period if for half the month (E.g., August 15 will reflect the Effort Certification End Date of August 31.)



3. Fill in other filters as appropriate.
4. Click **OK**.

The **Effort Certification Lines report** displays details about the effort certification and effort certification event. Scroll right to research additional details.

Effort Certification	Employee	Effort Certification Line								
		Position	PPGG	Cost Center	Fund	Function	Effort Original Percent	Effort Certification Percent Estimated	Effort Original Amount	Effort Certification Amount Estimated
S02 for for 04/01/2021 - 06/30/2021			GR1023986 Southern California Earthquake Center: Research Program In Earthquake System Science, 2017-2022 - 5348300087	CA100346 Dornsife Southern California Earthquake Center	FD008 Sponsored Federal Government without Donor	FN19 Sponsored Research	0.667	0.667	15,061.92	15,061.92
			PG1007881 Faculty Salary	CA100210 Dornsife Administration	FD010 Unrestricted Operating without Donor	FN18 Instruction, Departmental Research or Organized Research	1	1	22,591.75	22,591.75
			PG1007881 Faculty Salary	CA100210 Dornsife Administration	FD010 Unrestricted Operating without Donor	FN18 Instruction, Departmental Research or Organized Research	0.333	0.333	7,529.83	7,529.83
			PG1007881 Faculty Salary	CA100210 Dornsife Administration	FD010 Unrestricted Operating without Donor	FN18 Instruction, Departmental Research or Organized Research	0.667	0.667	15,061.92	15,061.92
			GR1023986 Southern California Earthquake Center: Research Program In Earthquake System Science, 2017-2022 - 5348300087	CA100346 Dornsife Southern California Earthquake Center	FD008 Sponsored Federal Government without Donor	FN19 Sponsored Research	0.333	0.333	7,529.83	7,529.83
S02 for 04/01/2021 - 06/30/2021			PG1011894 Social Work-Instruction	CA100399 Dworak-Peck Social Work On-campus Program	FD010 Unrestricted Operating without Donor	FN18 Instruction, Departmental Research or Organized Research	1	1	22,591.75	22,591.75
			PG1011894 Social Work-Instruction	CA100399 Dworak-Peck Social Work On-campus Program	FD010 Unrestricted Operating without Donor	FN18 Instruction, Departmental Research or Organized Research	0.333	0.333	7,530.58	7,530.58