



Effort Certification for Certifiers

This guide details the second step in the effort certification process in Workday, which is an employee certifying their effort.

Effort Certification Frequency

The Finance policy, [Effort Reporting and Certification](#), states, “A certification of effort is required for those individuals whose salary is being charged directly or cost shared on any federal or federal flow-through sponsored programs.”

With the change to Effort Certification in Workday, the timing of certification will be changing for those in the research community with federal funding. All employees who have effort on federally sponsored programs will be required to certify their effort quarterly, or four (4) times a year. Effort will be certified for all pay periods within the quarter in Workday.

Exempt employees, including Principal Investigators (PIs): Previously, exempt employees would certify their effort annually or when there is a change in their planned effort. Employees with frequent changes will likely find that they are certifying effort less often; however, some exempt employees only certify annually because they do not have effort changes in the prior year. For these employees, this will mean more frequent effort certification.

Non-exempt employees: Non-exempt, hourly employees, who were accustomed to certifying effort on a monthly basis, will now be prompted to certify less frequently.

Effort Certification in Workday is a stand alone process. A Payroll Costing Allocation (PCA) may be made at any time to adjust earnings distributions when effort changes. A Payroll Accounting Adjustment (PAA) will be completed by the Payroll Costing Initiator when a change is identified during the effort certification. Payroll Accounting Adjustments may also be processed outside of effort certification as needed.

Before an employee certifies their effort, an Effort Certification Reviewer will verify that effort distributions for employees in their department are correct. During their Administrative Review, an Effort Certification Reviewer should make necessary changes to an employee’s effort.

At any point before submitting, an Effort Certification Reviewer may add Approvers. This action sends the employee’s effort Administrative Review to an Effort Certification Reviewer or Workday Grant Manager. The additional approver may be a research administrator outside of the employee’s worker assignment. This may be necessary when an employee works on grants in another department, center, or institute and that area has requested they be included in the Administrative Review. Adding additional approvers is not required and should be used sparingly.

After a certification has been approved by the Effort Certification Reviewer, it moves forward to the Effort Certifier. Changes may be made by the Effort Certifier if errors are found. However, the preferred practice is to return the certification to the Effort Certification Reviewer to complete those changes.

Changes made to an employee’s effort certification will require approval by an administrator with the Workday security role of Grant Manager. Changes made during effort certification will trigger the creation of a Payroll Accounting Adjustment (PAA). The Payroll Costing Initiator role will receive a notification that a Payroll Costing Allocation (PCA) may also be needed for future periods.

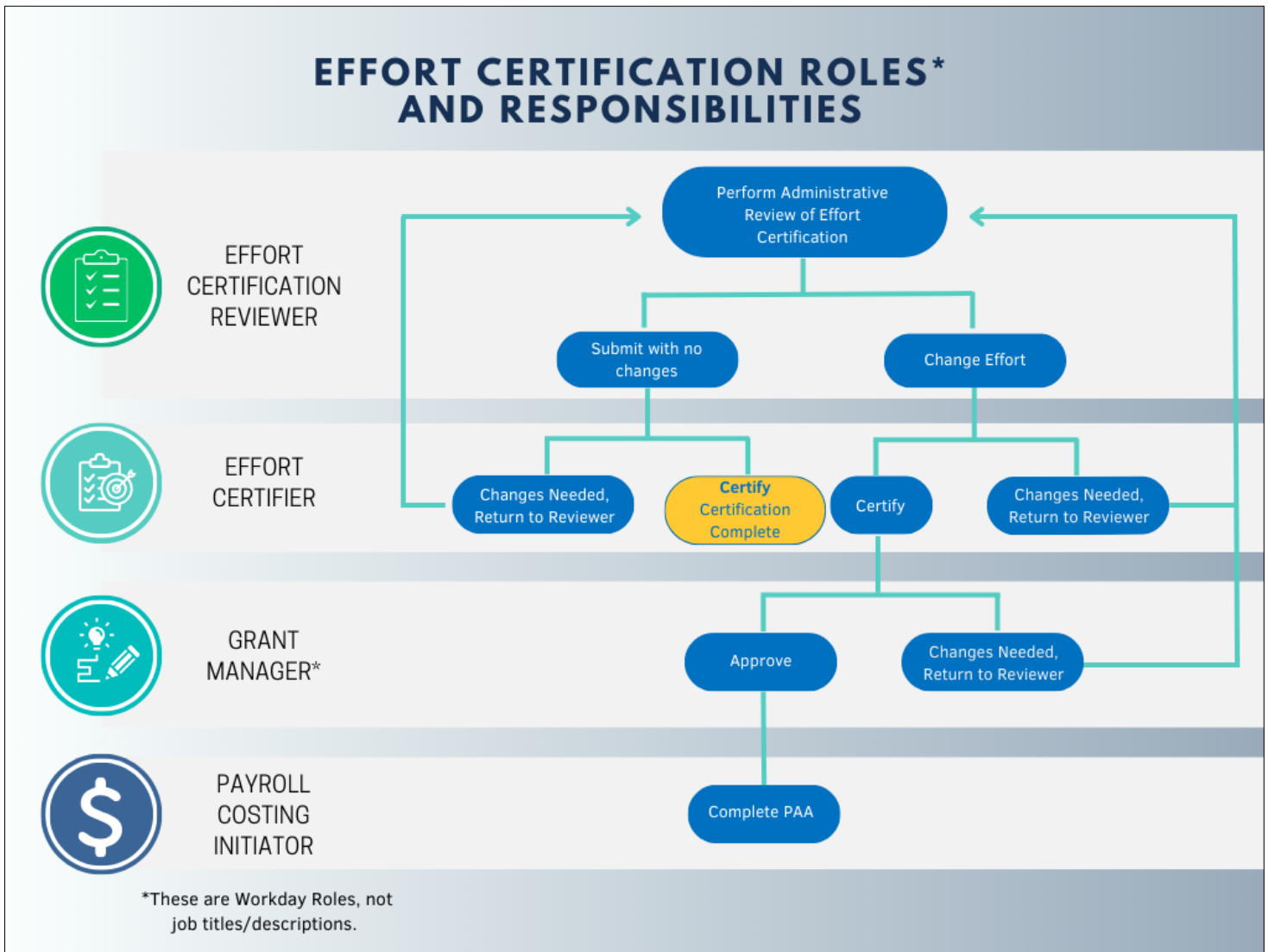


Effort Certification Roles and Responsibilities

This flow chart depicts the Workday roles and decisions made during the effort certification process.

The Effort Certifier is the Principal Investigator (PI) or employee with effort on a federally funded award who is required to certify their effort as themselves.

Note: If a terminated employee’s effort requires certification, it will be routed first to the Reviewer, then to the PI to act as Certifier.



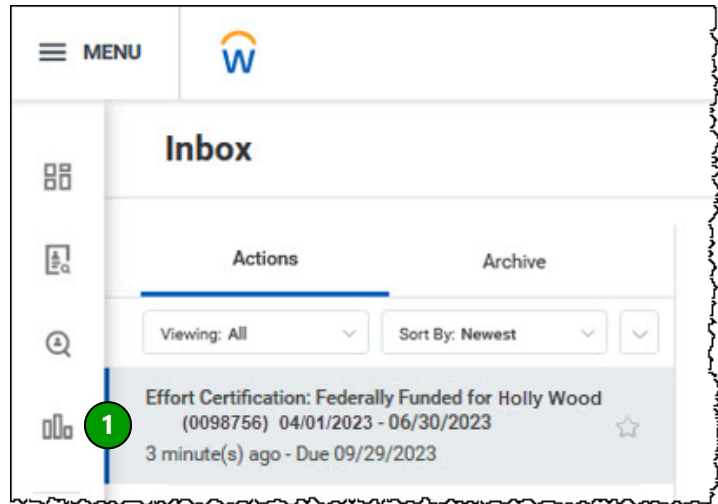


Effort Certification—Open Inbox Task

After the Effort Certification Reviewer has completed their Administrative Review of your effort, you will receive an inbox notification. It will also appear on your Workday home screen as an item Awaiting Your Action. Follow the steps below to begin effort certification in Workday.

View Effort Certification Inbox Task

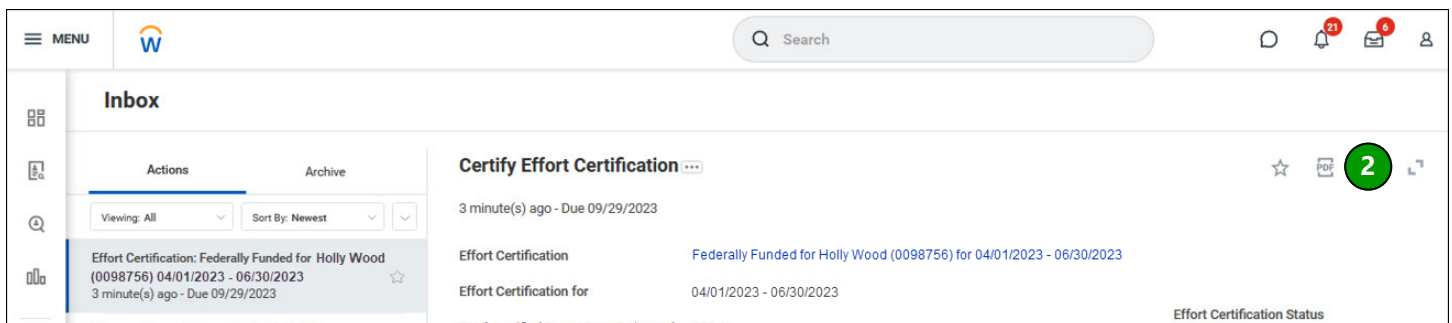
1. Open your Effort Certification either by navigating to your **Inbox** or selecting your Effort Certification from your Workday home screen under items **Awaiting Your Action**. Effort Certification will appear in your Inbox after the Effort Certification Reviewer has completed their Administrative review of your effort.
2. Expand Effort Certification with the **arrows** to view your certification more easily.



Here's What's Happening

Awaiting Your Action

- 1 Effort Certification: Federally Funded for Holly Wood (0098756) for 04/01/2023 - 06/30/2023
Inbox - 2 minute(s) ago
DUE 09/29/2023





Effort Certification—View Inbox Task

Effort Certification Expectations

1. Your **employee information** and the **period** that you are certifying effort for is displayed at the top of your effort certification.
2. You are also reminded of what you are **certifying** when you Submit your effort certification.
3. Select the **Aggregate** tab to review the worktags, pay periods, dollars and percentages that you will certify for the quarter.

The screenshot shows the 'Certify Effort Certification' task in the Workday inbox. The task title is 'Certify Effort Certification' and it is due on 09/29/2023. The task details include:

- Effort Certification:** Federally Funded for Holly Wood (0098756) for 04/01/2023 - 06/30/2023 (Callout 1)
- Effort Certification for:** 04/01/2023 - 06/30/2023
- Total Certified Percentage Estimated:** 100.0%
- Effort Certification Status:** Changed Status Changed

Callout 2 points to the certification text: "I certify that I have first-hand knowledge of (or have used suitable means of verifying) work performed by this individual and the actual salary distribution is reasonable in relation to the work performed." Below this text are instructions: "If correct, click **Submit** to complete your certification. If incorrect, click **Exit** and discuss with your departmental administrator."

Callout 3 points to the 'Summary' tab in the navigation bar at the bottom of the task card. Other tabs include 'Aggregate', 'Details', 'Positions', 'Organizations', 'Attachments', and 'Process History'.



Effort Certification - Aggregate Tab

Review the percentages and dollars on the Aggregate tab for each pay period within the quarter to determine if the your effort distributions are correct.

Aggregate Tab

The **Aggregate** tab displays:

1. **Award**- If displayed in blue, this is an award in your purview that you may open using related actions.
2. **Sponsor Award Reference Number**
3. **Sponsor**
4. **Grant Worktag**—If displayed in blue, this is an award in your purview that you may open using related actions.
5. **Fund Type**— The Aggregate tab includes Salary Over the Cap with Fund 4, similar to the legacy view, but this is broken out in separate sections, Fund 1 and Fund 4, on the Details tab.
6. **Scroll** along the internal bottom scroll to see the all columns.

Summary	Aggregate	Details	Positions	Organizations	Process History
15 items					
1	2	3	4	5	0
Award	Sponsor Award Reference Number	Sponsor	Grant	Fund	
AWD000153: Vanderbilt O'Brien Kidney Center (07/01/2021) 09/08/2017 (version 0)	5P30DK1 05	National Institute of Diabetes & Digestive & Kidney Disease	GR010637 4043751451 PDK114809-05 VANDERBILT O'BRIEN KIDNEY CENTER-FOGO	FD004 Sponsored Program Fund	
AWD000332: Mechanisms of EGFR Activation and Signaling in Kid 01/01/2021 (version 0)	5R01DK0 26	National Institute of Diabetes & Digestive & Kidney Disease	GR006783 4043751371 RDK051265-25A1 MECHANISMS OF EGFR ACTIVATION AND SIGNALING	FD004 Sponsored Program Fund	
AWD000334: Resolution of Glomerulosclerosis (07/01/2021) 07/01/2019 (version 0)	5R01DK0 17	National Institute of Diabetes & Digestive & Kidney Disease	GR004627 4045000731 DK056942-17 RESOLUTION OF GLOMERU	FD004 Sponsored Program Fund	



Effort Certification - Aggregate Tab and Other Tabs

Aggregate Tab (cont.)

7. Each pay period within the period's:
 - **Effort Certification Percent Estimated** which are drillable.
 - **Effort Certification Amount Estimated** which are drillable.
8. **Total Certified Percentage Estimated** is the average of the percentages for the pay periods for the quarter.
9. **Total Certified Amount Estimated** is the total dollars over the pay periods for the quarter.
10. Scroll down to see the totals for the effort certification period.

04/01/2023 - 04/30/2023 (US Monthly)		05/01/2023 - 05/31/2023 (US Monthly)		06/01/2023 - 06/30/2023 (US Monthly)		Total Certified Percentage Estimated	Total Certified Amount Estimated
Effort Certification Percent Estimated	Effort Certification Amount Estimated	Effort Certification Percent Estimated	Effort Certification Amount Estimated	Effort Certification Percent Estimated	Effort Certification Amount Estimated		
8.60%	3,000.00	8.60%	3,000.00	7.70%	2,700.00	8.27%	8,700.00
10.00%	3,506.13	10.00%	3,506.14	10.00%	3,506.14	10.00%	10,518.41
10.00%	3,506.13	10.00%	3,506.14	10.00%	3,506.14	10.00%	10,518.41
100.00%	35,061.36	100.00%	35,061.36	100.00%	35,061.36	100.00%	105,184.08

Additional Tabs on the Effort Certification

Summary - Displays basic information of the Effort Certifier.

Aggregate - Overview of the grants, effort percentages, and dollars distributed by pay period.

Details - More detailed view of the grants, effort percentages, and dollars distributed by pay period. The Details tab displays Effort Certification Lines for each Run Category, or pay component, such as Regular Salary, Salary Over the Cap, PTO, and Overtime.

Positions - Displays the name and position of the person whose effort is being certified.

Organizations - Displays the supervisory organizations to which the effort certifier belongs.

Attachments - If documents were uploaded, they will display here.

Process History - Shows the completed and steps in the Administrative Review and Effort Certification process.





Effort Certification - Submit or Send Back

Submit or Send Back

After reviewing your effort, scroll to the bottom of the page. Regardless of the tab you are on, you will see the following options:

1. **Submit**—If your effort is correct, select **Submit**. This is your action to Certify your effort. If no changes were made by the Effort Certification Reviewer, your effort certification is then complete. No further actions are needed by the Certifier.
2. **Change Effort**—If you determine that your effort is incorrect, it is best practice is to **Send Back** to the Effort Certification Reviewer to make changes. While Workday allows a certifier to make changes to their effort, the Effort Certification Reviewer role should be making these changes instead.
3. **Send Back**—Choose this if your effort is incorrect and updates should be made. This will return your effort certification to the Effort Certification Reviewer for Administrative Review and changes.



Next Steps

- If the effort certifier determines changes are needed, they should **Send Back** the certification to the Effort Certification Reviewer for changes to be made.
- When changes are made by the Effort Certification Reviewer during their administrative review, the employee's effort certification will be routed to their Workday Grant Manager(s) for approval after the employee certifies their effort.
- If a Grant Manager determines that changes need to be made to the Effort Certification, they will send it back to the Effort Certification Reviewer to make those changes.
- If additional Approvers are added (by the Effort Certification Reviewer), they will receive an Inbox notification for their Administrative Effort Review after the employee has certified their effort.
- When effort is changed during the effort certification, a Payroll Accounting Adjustment (PAA) will be pushed to the Payroll Costing Initiator to review and submit. The Payroll Costing Initiator role will also receive notification to complete a Payroll Costing Allocation, if needed for future periods.
- Effort Certification Reviewers and/or Grant Managers will run the Effort Certification Status Report in Workday for employees in their grant hierarchy to ensure timely effort certifications.

QUESTIONS?

Please email vumc.effort@vumc.org.