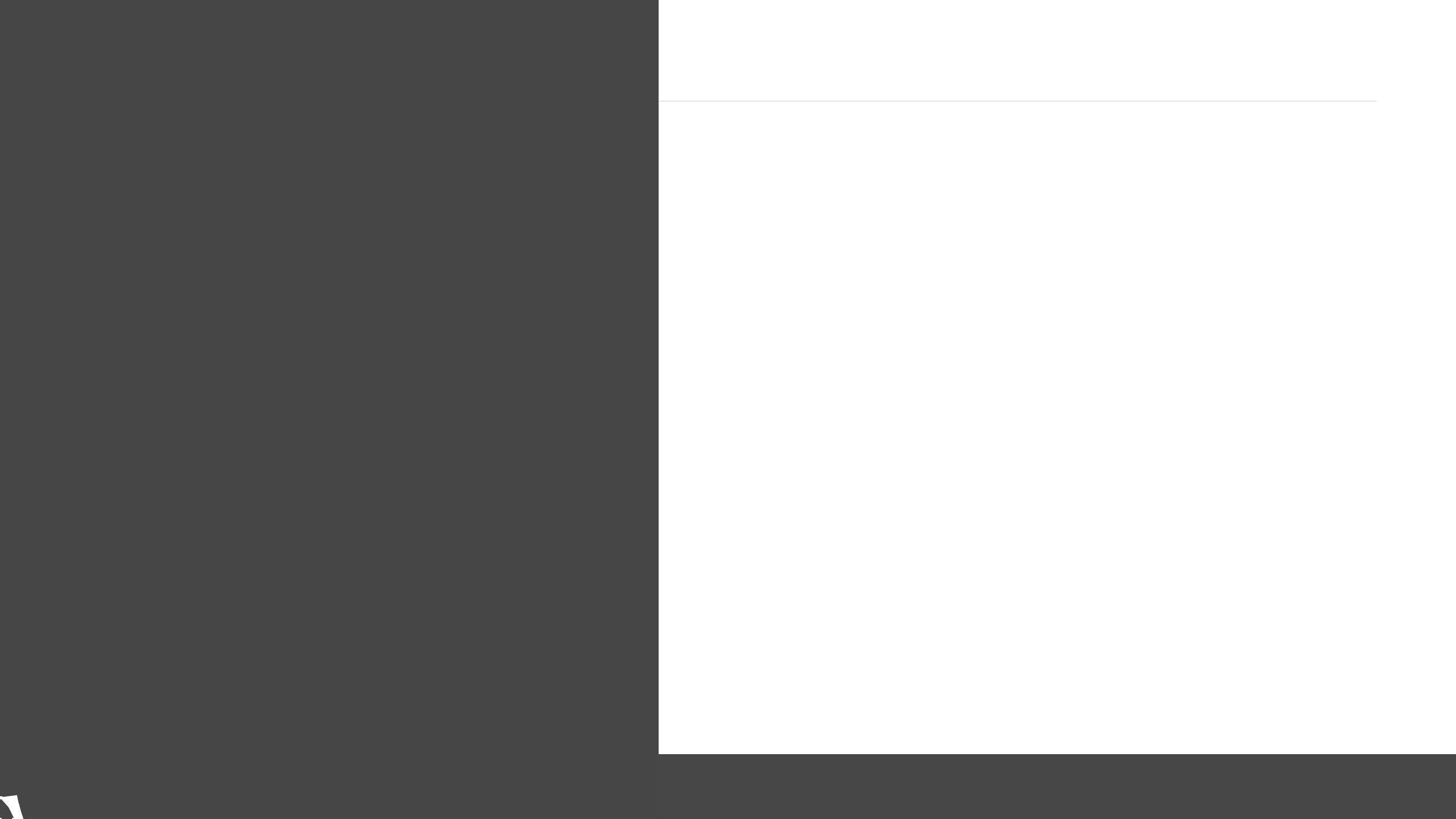# ASP Meeting
February 7, 2019

FY18 Audit Finding

FY 18 Audit Finding:

Noncompliance with and Inadequate Controls over Federal Special Tests and Provisions Requirements:

- Key Personnel

- Effort Reporting

Key Personnel Tracking

Key Personnel Commitment Tab – Coming Soon

- The Key Personnel Commitments will be visible on the Award
- A report with the ability to pull by Worker (Key Personnel) and dates will be available
- As ledgers are audited, SPA will update the documented amounts

December 2018 ORED Announcement: Effort Certification and Reporting in Workday

Why is Effort Reporting Important?
Effort

Effort Certification in Workday:
The University supports the Effort Certification process in Workday as an after-the-fact reflection of an employee's workload percent distribution during a particular reporting period. The employee (or his/her delegate with first-hand knowledge of an employee's effort) must verify the accuracy of effort percentages and certify that the information captured on the effort certifications is a direct reflection of the work performed within the reporting period of certification.

Sponsored Program Accounting: On a quarterly basis, SPA prepares effort reports that are based on the payroll amount charged to the grant for the applicable timeframe.

Effort Certification Reviewer: Effort reports are first routed to an administrator known as an Effort Certification Reviewer (ECR) for a pre-review of the effort report to ensure the payroll charges correctly reflect the distributions as informed by the Investigator of the project.

Effort Certifications – Business Process

Effort Certifications – Effort Schedule

- Employees are responsible for certifying on a quarterly basis that their salary distribution is an accurate reflection of the time worked for the period. Failure to complete and certify effort correctly and in a timely manner could result in loss of funds to the University. Therefore, it is imperative to certify all pending effort certifications timely.

Effort Reporting/Reviewing Ledgers Monthly:

- Reviewing ledgers/accounts
  - Expense by Award
  - SPA Journal Line Detail

- Effort Certifications are run Quarterly - EXAMPLE

Ledgers/Reports: October   – Reviewed in November

November – Reviewed in December

December – Reviewed in January

Effort Certification:

   January 31, 2019 Effort Certifications will be generated for the Oct-Dec reporting period. Any   PAAs generated during the above time frame we be reflective on the Effort Certification.

SPA – Journal Lines

Reviewing Effort Certification - Summary

Review Effort Certification –

Review Effort Certification - Business Process

Workday Changes

# Workday Changes – Current & Pending

- Viewing Outstanding Invoices on Award Tab

- Viewing Sponsor Invoices on Award

- Workday Reports – Coming Soon/Work in Progress
  Still in Developmental Stages – Reports displayed are subject to change
  - Grant Balances Investigator
  - Grant Balances Department
  - In Progress
    - Supplier
    - Expenses
    - Journal Entries

Viewing Sponsor Invoices on Award
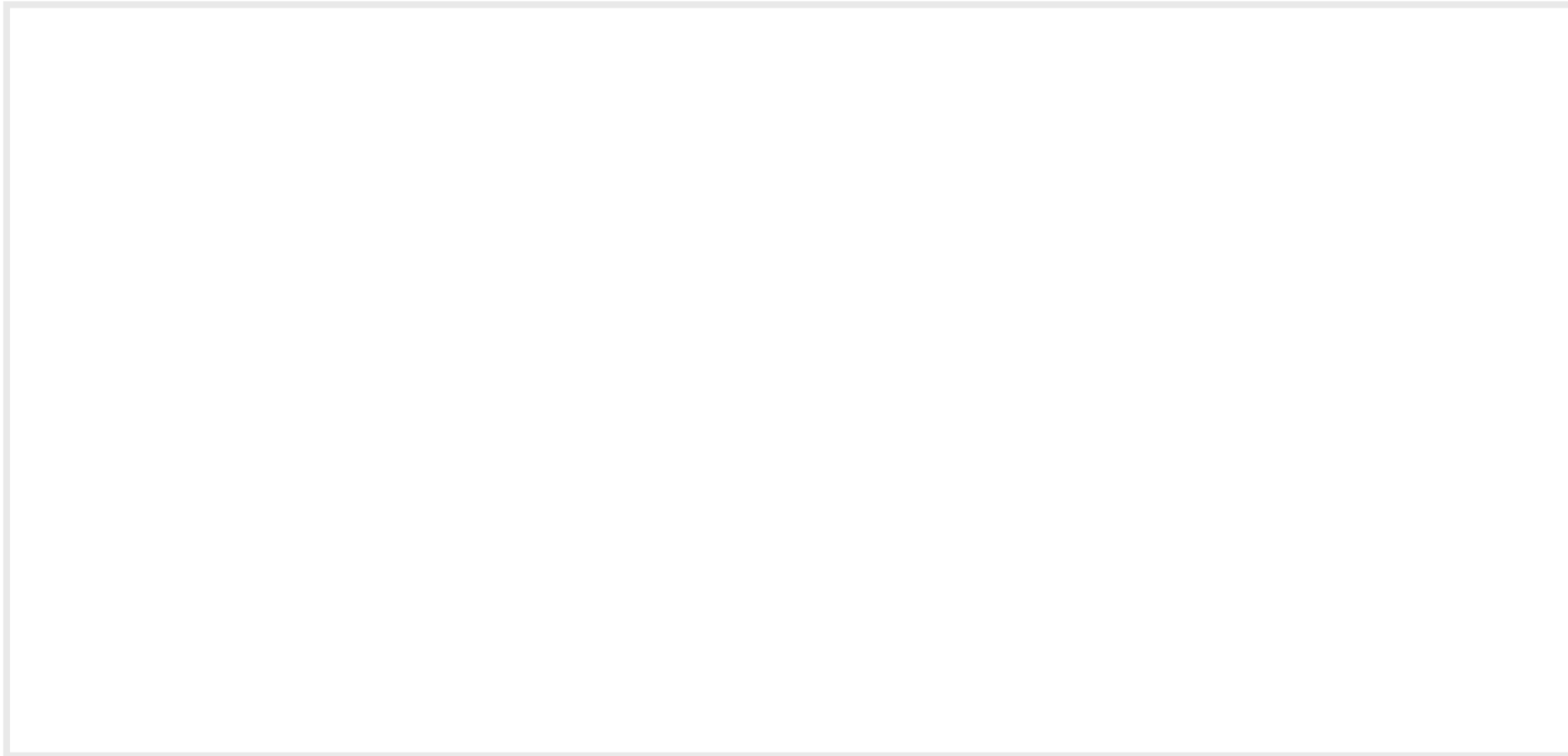
- Lists all customer invoices (approved/draft/in progress) associated with an award including the amount due and p/CS2 2 o/TT0 ment sttus.

- Does not include any outstnding AR as of 6/30/2016 (conversion balances).

Reports: Grant Balances – Department (COMING SOON)

- Report can be run by Cost Center or Cost Center Hierarchy.
- Intended to help departmental administrators view a balance summary report of their awards/grants with additional fields such as PI and Expiration date.
- Disclaimer: Does not include F&A or Tuition Remission on Encumbrances or In Progress Transactions. In Progress columns do not include Payroll Accounting Adjustments (PAAs). Report does not include Tentative (not attached to an award) or Inactive Grants.

Reports: Grant Balances – Investigator (COMING SOON)
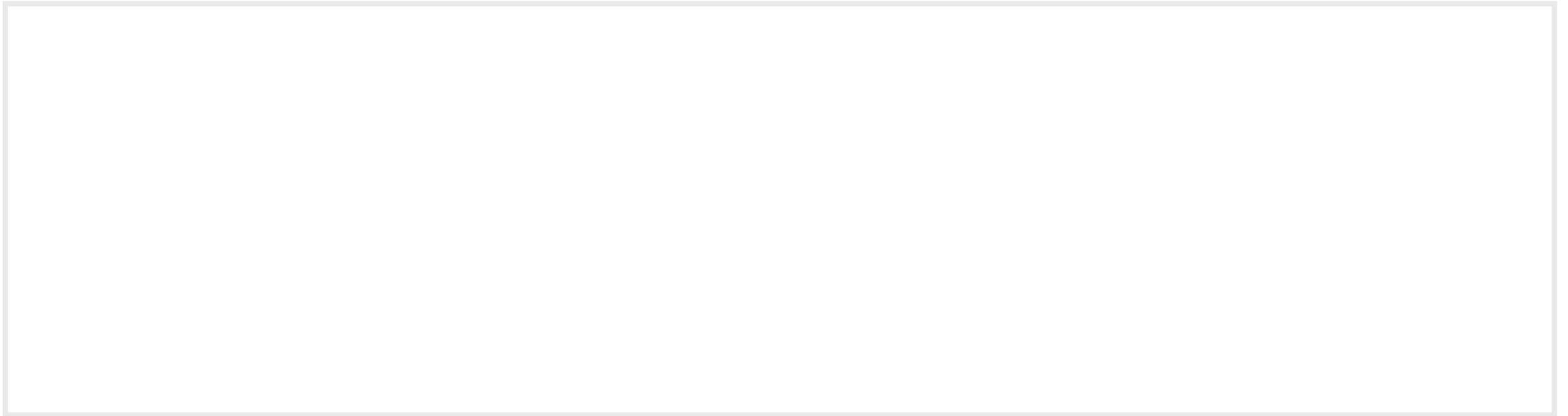
- Report runs based on the user's roles on awards (just click OK, do not have to populate the fields)
- Report is intended to provide a summary view of balances for PIs and Co-PIs
- Disclaimer: Does not include F&A or Tuition Remission on Encumbrances.   Does not include In Progress Transactions (supplier, expense reports, journals). Does not include Tentative (not attached to an award) or Inactive Grants.

AS-21 Policy Update

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Questions

SPA Staff

The End