SUNGARD HIGHER EDUCATION

BANNER EFFORT REPORTING AND LABOR REDISTRIBUTIONS HANDBOOK

October 2011

Trademark, Publishing Statement and Copyright Notice

Prepared by: SunGard Higher Education

4 Country View Road
Malvern, Pennsylvania 19355
United States of America

Customer Support Center Website

http://connect.sungardhe.com

Documentation Feedback

http://education.sungardhe.com/survey/documentation.html

Distribution Services E-mail Address

distserv@sungardhe.com

Prepared For

Employee Self-Service 8.6
Human Resource 8.6
Position Control 8.6

Revision History Log

Publication Date	Summary
October 2011	New version that supports Banner 8.6 software.

Contents

1 Overview

The Effort Reporting and Labor Redistribution Handbook describes the setup and implementation of the respective modules in Banner® Employee Self-Service. Each module can be implemented independently of the other.

Chapter 1, “Overview,” describes the minimum system requirements, browser support information, and documentation support provided for the enhancements.

Chapter 2, “Effort Reporting,” outlines the rules that need to be set up for defining an effort certification process at your institution in the following Banner products:

- Finance
- Human Resources
- Position Control
- Web Tailor

Chapter 3, “Labor Redistribution,” outlines the rules that need to be set up in the following Banner Products to use the Labor Redistribution module in Employee Self-Service:

- Human Resources
- Position Control
- Web Tailor

System Requirements

To install Employee Self-Service 8.6, install the following product releases:

- Minimum Banner General Release 8.3
- Minimum Banner Position Control Release 8.6
- Minimum Banner Human Resources Release 8.6
- Minimum Banner Web General Release 8.2
- Minimum Banner Web Tailor Release 8.2
- Minimum Banner Employee Self-Service Release 8.5

To specifically deploy the Effort Reporting and Labor Redistribution enhancements, install the following additional components:

- Minimum Banner Finance Release 8.2
- Oracle Application Server 10gR3
- Minimum J2EE Server Application 10.1.3.1.0.
- Minimum J2SE 1.5.0_08
- Adobe Flash Player Plugin Version 9.x or higher

Browser Support

The following Web browsers support the Effort Reporting and Labor Redistribution modules:

Browser	Minimal Version
Firefox	1.0 or higher
Internet Explorer	6.x or higher
Mozilla	1.7 or higher
Safari (Mac OS)	1.2 or higher

Documentation Support

In addition to this handbook, the following artifacts provide documentation support for Effort Reporting and Labor Redistribution:

- Release Notes for Banner Human Resources, Position Control, and Employee Self-Service
- Banner Middle Tier Implementation Guide
- Banner Web Tailor User Guide
- Banner Effort Reporting Training Workbook
- Banner Labor Redistribution Training Workbook
- Banner Online Help for Human Resources, Position Control and Finance
- Employee Self-Service Online Help for Effort Reporting and Labor Redistribution

Assumptions

The following assumptions apply for the Effort Reporting and Labor Redistribution modules:

- Using Banner Human Resources, the employee is paid and costs are charged to labor distributions specified with the pay or specified with subsequent adjustments.
- Only one effort report can be certified per employee, per certification period.
- “After the Fact” effort reporting is supported as per A-21 guidelines.
- Banner Human Resources is the system of record for all adjustments to labor distributions.
- Banner Finance must be installed to use the Effort Reporting and Labor Redistribution modules.
- Cost sharing distributions must be recorded as labor distributions in Banner Human Resources. They can be recorded using the Fund, Organization, Program, Activity, or Location code in the distribution.
- Cost sharing journal entries, and automatic calculation and distribution of shared costs in Banner Finance, will *not* be included or considered for effort reporting.
- Voluntary Uncommitted Cost Share on the Effort Report is supported in this release of the enhancement.

2 Effort Reporting

Effort Reporting is a federally mandated process wherein your institution is required to certify that the salary charged to sponsored projects is reasonable in relation to the effort expended on those projects.

The OMB Circular (A-21) requires faculty and staff involved in federally sponsored research to report activities for which they are compensated each academic term, or no less than every six months. Sponsors use these reports to confirm that the effort expended by an individual working on the research matched what the sponsor paid.

Effort Certification is your institution's process for reviewing, validating, and certifying the work effort performed by its faculty and staff in support of sponsored research projects. The entire effort certification process culminates with the creation of a complete and locked effort report.

Therefore, a systematic certification process and formal effort report is essential to ensure that your institution is always prepared to respond to sponsors with the required information.

Currently the Banner Human Resources and Position Control system allows you to create an effort report using the Effort Report Process (NHRECRT). However, this does not include the ability to define a process flow for your institution by which effort can be certified from multiple sources. To bridge this gap, effort certification functionality in Banner has now been enhanced with the following key capabilities to:

- Define an effort certification process specific to your institution.
- Identify specific grants and/or funds for which effort certification reports will be required.
- Extract, view, and route effort certification reports online via Employee Self-Service.

The following Banner products are modified to use the new features:

- Finance

  Institutions may require effort to be certified for research associated with specific grants, or specific funds that are not associated with grants. Therefore, the following forms in Banner Finance have been modified to identify grants or funds, respectively:

  - Grant Maintenance Form (FRAGRNT)
  - Fund Maintenance Form (FTMFUND)

  The above finance forms must be set up to establish an effort certification process at your site. For more details, refer to the topic, "Step 3—Build An Effort Certification Process" on page 2-16.

  For detailed form and field descriptions, refer to the online help for Banner Finance.

- Position Control

  To set up security for effort certification, the Position Control Installation Rules Form (NTRINST) has been modified to enable or disable superuser privileges for proxies established for effort reports on Employee Self-Service. For more details refer to the topic, "Step 1—Set Up Security for Effort Certification" on page 2-12.

  Proxy functionality is an existing feature used by the Electronic Approvals and Time Entry modules. To facilitate the use of this feature across modules, a new SunGard® -delivered validation form, Proxy Module Code Validation Form (NTVPRXM), has been created that specifies the modules for which proxy functionality exists. Entries on this validation form must not be modified or deleted unless directed by SunGard Higher Education. However, you can add new values as required for your institution.

  The existing form, Electronic Approval Proxy Rules Form (NTRPROX) has been modified to look up NTVPRXM by extending the proxy feature to the effort certification module. For more details refer to the online help of Banner Position Control.

  In addition, the Position Control Installation Rules Form (NTRINST) has been modified to include the e-mail type code for Effort and for Labor. The institution can direct where e-mail is to be distributed when a user clicks the e-mail link in the routing queue of the effort report or the labor redistribution.

  The following Position Control forms support effort certification and reporting:

  - Effort Certification Category Code Form (NTVECCG)
  - Routing Queue Participant Validation Form (NTVQPRT)
  - Effort Certification Category Group Rule Form (NTRECCG)
  - Queue Participant Rule Form (NTRQPRT)
  - Effort Certification and Labor Redistribution Routing Queue Rule Form (NTRELRQ)

- Effort Certification and Labor Redistribution Additional Queue Members Form (NTRELAQ)

The Position Control Installation Rules Form (NTRINST) contains 2 checkboxes to enable an institution to selectively use Effort Certification or Labor Redistribution.

To enable Effort Certification, the institution should mark the "Use Effort Certification in Employee Self-Service" checkbox. If the box is checked, the Effort Certification tab is displayed to the user when accessing the ERLR link via the Employee Menu in Employee Self-Service. If the box is not checked, the Effort Certification tab is not displayed to the user when accessing the ERLR link via the Employee Menu in Employee Self-Service.

Note

If the institution chooses not to use the Effort Certification portion of the ERLR application, it is recommended that link text is updated in Web Tailor for the ERLR menu item.

To enable Labor Redistribution, the institution should mark the "Use Labor Redistribution in Employee Self-Service" checkbox. If the box is checked, the Labor Redistribution tab is displayed to the user when accessing the ERLR link via the Employee Menu in Employee Self-Service. If the box is not checked, the Labor Redistribution tab is not displayed to the user when accessing the ERLR link via the Employee Menu in Employee Self-Service.

Note

If the institution chooses not to use the Labor Redistribution portion of the ERLR application, it is recommended that link text is updated in Web Tailor for the ERLR menu item.

If neither checkbox is enabled, it is recommended that the ERLR menu item be removed from the Employee Menu.

For detailed form and field descriptions, refer to the online help for Banner Position Control.

- Human Resources

  As a part of the security set up for effort certification, the User Codes Rules Form (PTRUSER) has been modified to include a new **Effort Certification Superuser** role.

  Since time entry is also certified on the Web, the **Certification Required on the Web** check box has been renamed as T**ime Entry Certification Required in Self-Service** on the Installation Rules Form (PTRINST).

  Additionally, the following forms have been developed for effort certification:

  - Effort Certification Period Code Validation Form (PTVECPD)
  - Effort Certification Period Rules Form (PTRECPD)

- Effort Certification Rules Form (PTRECRT)

For detailed form and field descriptions, refer to the online help for Banner Human Resources.

A new Effort Certification Extract Process (PHPECEX) has been created to extract data from payroll history tables to build the Effort Certification routing queue, and the effort report.

For more details regarding the extract process, refer to the *Effort Reporting and Labor Redistribution Handbook* and Chapter 13, “Reports and Processes,” in the *Banner Human Resources User Guide*.

- A new Web Tailor role, *Effort Certification Administrator*, has been created to support the Effort Certification module in Employee Self-Service.

  For more details, refer to “Step 4—Set Up Proxy Users for Effort Certification” on page 2-27 of this chapter.

- A new interface for Effort Certification has been created in Employee Self-Service.

  The Effort Certification module can be accessed by the following types of users:

  - Effort Certification Administrators who revise, review, and modify effort certification reports as needed. They can also initiate or request a change to the effort report at any point in time during the certification process.
  - Employees who review and acknowledge the effort expended on their relevant projects.

  For detailed field descriptions and page functionality, refer to the online help for Effort Certification in Employee Self-Service.

As a first step, this chapter outlines the setup procedures you need to perform to implement an effort certification process at your institution.

Exclusions

Effort Reporting for non-Finance installations on the web has been excluded. It is excluded because in the non-Finance environment the COA is not required. Since the COA is not required, the following cannot be created:

- The creation of participants on the Queue Participant Rule Form (NTRQPRT) is not possible.
- The default routing queue on NTRELRQ, and the additional routing queue on NTRELAQ also rely on the COA, and therefore cannot be created.
- The additional queue members also rely on the combination COA and Organization which is also not available in a non-Finance Banner environment.

- Finally, the use of the Financial Managers from the Fund Code Maintenance Form (FTMFUND) or the Organization Code Maintenance Form (FTMORGN) and the Grant Personnel from the Grant Maintenance Form (FRAGRNT) as routing queue participants are also not available without Banner Finance installed.

Associated Terms and Definitions

Before proceeding with the setup tasks, please familiarize yourself with the following terms. They have been used frequently for Effort Reporting and Certification.

Term	Definition
Cost Share	Funding for research is shared between the research sponsor and your institution.
The following types of users can participate in the effort certification process:	
Pre-Reviewer	A Pre-Reviewer reviews generated effort reports prior to certification. Pre-Reviewers may initiate labor distribution changes through Banner Human Resources or Employee Self-Service to the effort report if they have been established as a Labor Redistribution Initiator (in Web Tailor), or he/she may request a change to the effort report. For more details refer to Chapter 3, "Labor Redistribution," of this handbook. **Note:** The pre-review process is optional.
Certifier	A Certifier is an employee who certifies his/her own generated effort report. An employee may request a change to the effort report.
Graduate Student	Graduate Students are selected if they are paid from monies tied to a grant and their position class is designated as an EEO Skill code of 80.

Term	Definition
Alternate Certifier	An Alternate Certifier may certify generated effort reports in place of the employee. This person must have direct knowledge of the work performed. Alternate Certifiers can initiate a labor distribution change to the effort report through Banner Human Resources or Employee Self-Service if he/she has defined as a Labor Redistribution Initiator (in Web Tailor), or he/she may request a change to the effort report. For more details refer to Chapter 3, "Labor Redistribution," of this handbook. **Tip** It is recommended that alternate certifiers take actions as a last resort and that individual employees be given every opportunity to complete their certification.
Graduate Student Certifier	A Graduate Student Certifier certifies generated effort reports in place of or in addition to a graduate student. This person must have direct knowledge of the work performed. A Graduate Student Certifier can initiate a labor distribution change to the effort report through Banner Human Resources or Employee Self-Service if he/she has been defined as a Labor Redistribution Initiator (in Web Tailor), or he/she may request a change to the effort report. For more details refer to Chapter 3, "Labor Redistribution," in this handbook.
Post-Reviewer	Post-Reviewers review the certified effort reports. Post-Reviewers can initiate a labor distribution change to the effort report either through Banner Human Resources or Employee Self-Service if they have been defined as Labor Redistribution Initiators (in Web Tailor), or they may request a change to the effort report. Any effort report that is changed must be reviewed again if you have a pre-review process, and be re-certified. For more details refer to Chapter 3, "Labor Redistribution," in this handbook. **Note:** The post-review process is optional.

Term	Definition
Effort Certification Superuser	An Effort Certification Superuser may act on any document that is waiting in the Effort Certification Routing Queue. He/She can mark an effort report that is waiting a mandatory review as *Complete*, certify an effort report, or mark an effort report that is waiting a mandatory Post-Review as *Complete*. Effort Certification Superusers can also unlock a completed and locked effort report.
Proxied Superuser	A proxied superuser is an individual who is a proxy for a superuser. This person can act as a superuser on behalf of the original superuser.

Effort Report Statuses During Effort Certification

When an effort report is passed along the routing queue, the status of the effort report gets updated accordingly. The following table provides a list of all status transitions that an effort report may undergo.

Report Status	Definition
Awaiting Review	The report has been created and is available for viewing. **Note:** Either no one in the queue has reviewed or some mandatory or optional reviews may have been completed.
Awaiting Certification	All *mandatory* pre-review actions have been completed and the report is ready to be certified. If your effort certification process does not include a pre-review phase, the effort report directly moves to the *Awaiting Certification* status. Some reports need to be allocated prior to certification. The status remains *Awaiting Certification*, but an additional action must be completed by the certifier prior to certification.
Certified	The report is certified, and all certification actions have been completed. If your effort certification process includes a post-review phase, there may be some mandatory post-review actions to complete.
Unlocked	An unlocked effort report is available for change, or to be acted on by members of the routing queue.

Report Status	Definition
Locked	The effort report has been locked and can no longer be updated. A certified effort report whose report status is *Complete* is also *Locked* by default. Only an Effort Certification Superuser can unlock the certified and locked effort report.
Completed	The effort report has been certified and is complete. If your effort certification process includes a post-review phase, it implies that all *mandatory* post-review actions have been completed. If your effort certification process does *not* include a post-review phase, then the effort report directly moves to the *Completed* status when all *mandatory* certification actions have been completed. If your effort certification process includes a post-review phase, but the post-reviewers have only optional actions, then the effort report directly moves to the Completed status when all mandatory certification actions have been completed.
Awaiting Refresh	This means a payroll action or a labor redistribution has been completed and is at disposition 70. The displayed report is old. Either run the Effort Certification Extract Process (PHPECEX) or click **Refresh Report** in the Effort Report Overview sidebar in the Effort Reporting module of Employee Self-Service to commence the process for that specific person. Once all mandatory actions have been completed, the effort report assumes a *Locked* state in addition to the *Completed* status, wherein no further changes may be applied to the report.

Effort Certification Process Flow

Figure 1 presents the key touch points between Banner (Position Control, Human Resources, and Finance) and Employee Self-Service. The process also accounts for labor redistribution changes within the effort certification process. Labor redistribution changes can occur at any time during the effort reporting process until an effort report is completed and locked. Any labor redistribution change requires the entire effort report to be recertified, with one exception as noted in the Tip that follows.

Tip

If the labor redistribution occurs well before the **Review Begin Date**, you need not restart the effort certification process as no reviews have officially commenced. The effort report can then be regenerated, along with the routing queue, without repeating the Pre-Review, Certify, or Post-Review process.

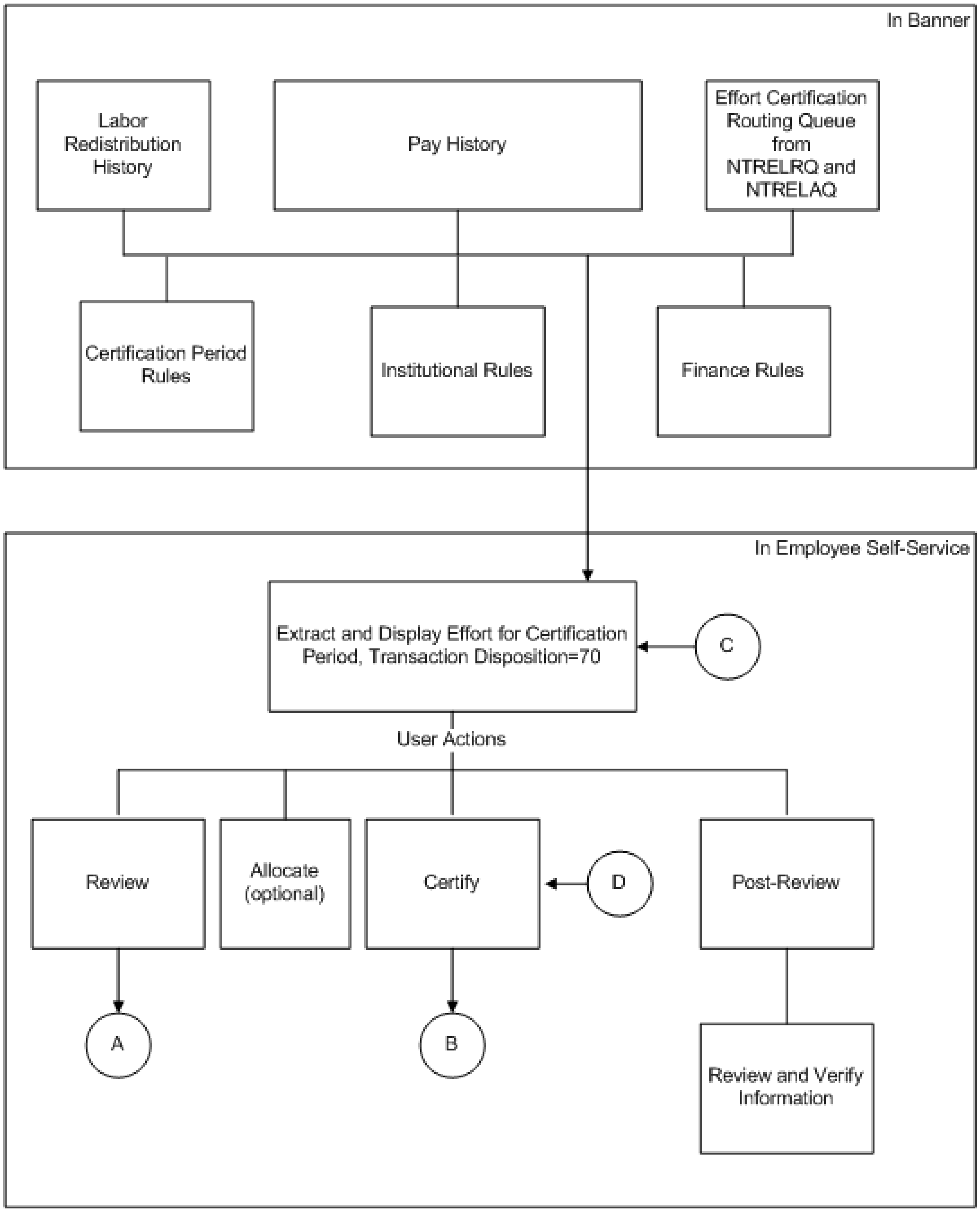


Figure 1: Key Touchpoints Between Banner and Employee Self-Service

Review and Certify Process

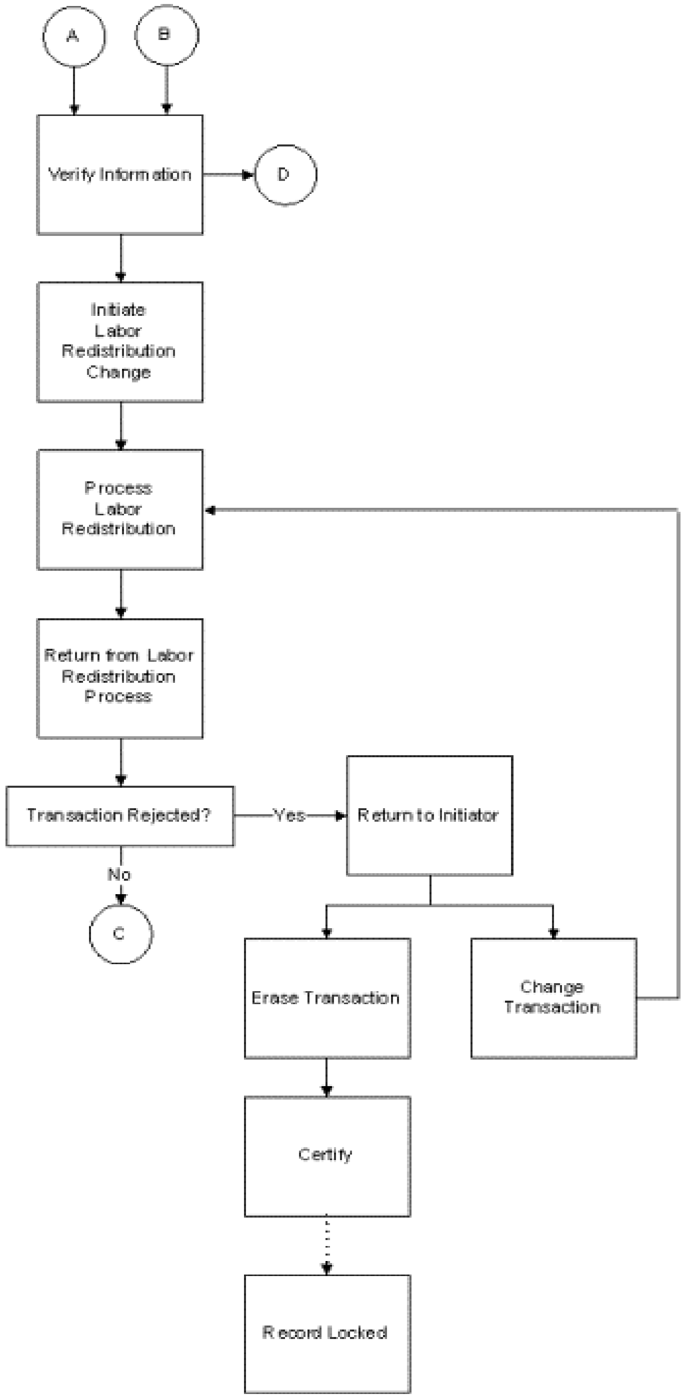


Figure 2: Review and Certify processes for Effort Certification

Setup Procedures

Perform the following sequence of tasks to build an effort certification process at your institution and use the Effort Certification module in Employee Self-Service. Optional tasks have been identified. All other tasks are deemed mandatory.

Any person identified as an employee will see the Effort Certification and Labor Redistribution menu items. If there are no reports available for the employee, then no reports will be displayed.

Step 1—Set Up Security for Effort Certification

Set up the following forms in Banner Human Resources and Position Control.

1. Access the Position Control Installation Rules Form (NTRINST).

   1.1. (Optional) Select the Use Effort Certification on Employee Self-Service check box.

   1.2. (Optional) Select the **Proxy Assumes Superuser Capabilities** check box.

   The above check box determines whether proxies can act as a superuser or not during the effort certification process.

   1.3. At the URL, enter the Effort Certification JMS Message Broker URL. Your Administrator, who deployed the ERLR application, must provide this URL. The Effort Certification Extract Process (PHPECEX) uses this JMS Message Broker URL to generate effort reports. For the exact format of this URL, please refer to the Middle Tier Guide.

   1.4. Enter a **Password** to secure access to the Effort Certification Web Service.

   The password provides permission to connect to the Effort Certification JMS Message Broker that is running on the server, where ERLR application is deployed. This broker service is responsible for producing the effort reports.

   1.5. Define the **E-mail type** to be used within Effort Reporting and Labor Redistribution. The fields, one for Effort Certification and one for Labor Redistribution, are optional and validate against GTVEMAL. If the institution chooses to use the e-mail code, and the individual who is being e-mailed has an e-mail address with this type active on GOAEMAL, the individual’s address defaults into the **To** address field of an e-mail sent via the routing queue pages. If the individual does not have an e-mail address of this type, or if it is inactive, the e-mail opens with the **To** address field blank. If an institution chooses not to use the E-mail type for Effort Reporting and Labor Redistribution, the e-mail address selected for automatic population into the **To** address field is from the

Active, Preferred address on GOAEMAL. If the user being e-mailed does not have this type of record, the e-mail opens with the **To** address field blank.

2. On the User Codes Rules Form (PTRUSER), select the **Effort Certification Superuser** check box to set up Superusers for effort certification.

3. Access the Enterprise Access Controls Form (GOAEACC) to associate the Oracle IDs of all effort certification administrators with a Banner ID they would use to access the module in Employee Self-Service.

   For example, if John Smith is to be authorized as an effort certification administrator (such as a Pre-Reviewer, a Graduate Student Certifier, an Alternate Certifier, or a Post-Reviewer), then associate his Oracle ID, JSMITH, with a Banner ID, JS000001, on the GOAEACC form. John Smith will access the Effort Certification module in Employee Self-Service using the Banner ID, JS000001.

4. Set up the Web Tailor role of an *Effort Certification Administrator* for the user. For more details, refer to page 2-14.

Step 2—Set Up Web Tailor for Effort Certification

To set up the Effort Reporting module in the Employee Self-Service, the Web Tailor Administrator at your site must perform the following tasks in Web Tailor:

1. Set Up Web Access to the Effort Certification Menu.

2. Set Up Effort Certification Administrators.

Step 2.1—Set Up Access to the Effort Certification Self-Service Menu

Apply the following steps if the Employee Self-Service Main Menu has been *customized* by your institution, that is, if one LOCAL row, (`twgrmenu_source_ind`=L) is found in the `twgrmenu` table for `pmenu.p_MainMnu`. After completing the install:

1. Log on to Employee Self-Service with an ID that has access to Web Tailor Administration.

2. Select **Web Tailor Administration**.

3. Select **Menu Items.**

4. Select the Web menu, *pmenu.p_MainMnu*.

   The **Reorder or Customize Menu Items** page is displayed.

5. Click **Customize the Associated Web Menu or Procedure**.

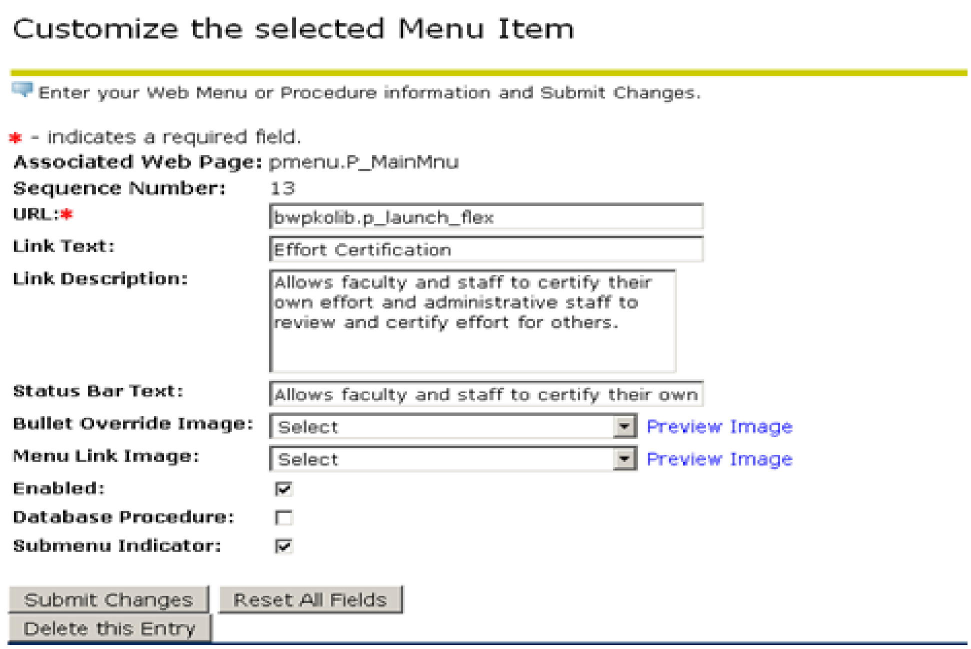
The **Customize a Web Menu or Procedure** page is displayed.

6. Scroll down and click **Customize Menu Items**.

   You will see a list of menu entries for the Employee Main Menu. If at least one LOCAL entry is displayed, then continue with the following steps. Otherwise, make *no* changes, exit Employee Self-Service, and proceed to assign roles to faculty users by following the instructions on page 2-14.

7. Click **Add a New Menu Item**.

8. On the **Create a New Menu Item** page, enter the following information:


Customize the selected Menu Item

Enter your Web Menu or Procedure information and Submit Changes.

* - indicates a required field.

Associated Web Page:	pmenu.P_MainMnu
Sequence Number:	13
URL:*	bwpkolib.p_launch_flex
Link Text:	Effort Certification
Link Description:	Allows faculty and staff to certify their own effort and administrative staff to review and certify effort for others.
Status Bar Text:	Allows faculty and staff to certify their own
Bullet Override Image:	Select — Preview Image
Menu Link Image:	Select — Preview Image
Enabled:	☑
Database Procedure:	☐
Submenu Indicator:	☑

Submit Changes | Reset All Fields | Delete this Entry

9. Click **Submit Changes**.

10. Follow the instructions outlined in the next topic, "Step 2.2—Set Up Effort Certification Administrator Role" on page 2-14.

11. Now, log in to Employee Self-Service.

    The Effort Certification menu must be listed under the Employee Main Menu.

Step 2.2—Set Up Effort Certification Administrator Role

A new user role, *Effort Certification Administrator*, has been created for the Effort Certification Module. Web Tailor Administrators at the facility must complete this task.

This role is added to the Web Tailor table, `TWTVROLE`, by the seed script, `twtvrolei_080100.sql`.

Set up a user as an Effort Certification Administrator on Web Tailor as follows:

1. Log in to Employee Self-Service with your Web Tailor Administrator **ID** and **Password**.
2. Select **Web Tailor Administration**.
3. Select **User Roles**.
4. Enter the Banner **ID** of the employee who is to be assigned the user role and click **Submit**.
5. On the **Update User Roles** page, select the **Effort Certification Administrator** check box for the employee.
6. Click **Submit Changes**.

   The employee is now designated as an Effort Certification Administrator.

Step 2.3—Setup the Web URL for Effort Certification

Perform the following step sequence to map URL of the server where the Effort Certification application is installed at your site with Employee Self-Service. The seed script, `twgbparmi_080100.sql` adds a new Web Tailor Parameter *ESS_To_EFC_URL* to the `TWGBPARM` table.

1. Log in to Employee Self-Service with your Web Tailor Administrator **ID** and **Password**.
2. Select **Web Tailor Administration**.
3. Select **Web Tailor Parameters**.

   The **Customize a Web Tailor Parameter** page is displayed.
4. Click **ESS_To_EFC_URL**.
5. At **Parameter Value**, enter the Web URL of the server where the Effort Certification application has been installed at your site.
6. Click **Submit Changes**.

   The Effort Certification application is now linked to the Employee Self-Service menu.

Step 3—Build An Effort Certification Process

An effort certification process can potentially run through three processes:

- (Optional) Pre-Review
- Certify
- (Optional) Post-Review

The following procedures describe how to set up each phase of the effort certification process for your institution.

The Certifying period is documented first because it is the minimum requirement to set up an Effort Certification Process at your site, followed by the two optional processes, Pre-review and Post-review.

Step 3.1—Set Up the Certification Process for Effort Reports

During the Certify period, effort certification reports are distributed to designated certifiers to certify the effort expended on the project.

Three types of certifiers can potentially certify the effort:

- Certifier

  The employee is the primary *default* certifier, and is required to certify his/her effort expended on the project.

- Alternate Certifier

  Alternate Certifiers are those who can certify the effort on behalf of the relevant employee. In this case, the employee is also inserted into the routing queue, however, either the employee *or* the Alternate Certifier can certify the effort. Alternate Certifiers are set up on NTRELRQ and/or NTRELAQ forms. For more details refer to the online help of Banner Human Resources and Position Control.

Tip

It is recommended that alternate certifiers take actions as a last resort, and the employee be given every opportunity to complete their certification.

- Graduate Student Certifier

  Graduate Student Certifiers are those who certify the effort for graduate students. Graduate Student Certifiers are set up on NTRELRQ and/or NTRELAQ forms, and the Graduate Student Signature requirements are set up on the PTRECRT form. For more details refer to the online help of Banner Human Resources and Position Control.

Note

Labor redistribution changes can occur at any time during the Certification Period of the effort reporting process. Any labor redistribution change will require the entire effort report to be re-certified except in the following situation.

If labor redistributions occur well before the **Review Begin Date**, the effort certification process will not require a restart as no reviews would have officially commenced. The effort report can then be regenerated, along with the routing queue, without repeating the Pre-Review, Certify, or Post-Review processes.

To establish a certification process, set up the following fields in Banner Human Resources, Position Control, and Finance:

1. (Required, institution-wide setup) Access the Effort Certification Rules Form (PTRECRT) to set up rules for effort certification that will be enforced on *all* effort certification reports associated with a **COA** code. Rules govern the following details:

   - Indicate if Graduate Student signatures are *required*, *optional*, or *not required* at all.
   - Specify a certification statement that will be acknowledged by all certifiers.
   - Specify an allocation statement that will appear on the Allocate Effort window in Employee Self-Service. This is an optional setup action.
   - Define the priority for processing labor distribution elements.
   - Indicate the sort order for the sponsored and non-sponsored sections of the report.
   - Indicate the sort order for the allocable effort sections of the report. You can establish both primary and secondary sort orders.
   - Determine whether the Charge Type is to be displayed on the form.
   - Define rules for the display of the effort report.

   For detailed field descriptions, refer to the online help of Banner Human Resources.

2. (Required, institution-wide setup) Define Certification Period codes for your institution on the Effort Certification Period Code Validation Form (PTVECPD).

   For example, set up the Effort Certification Period Code, EC2008 - Effort Certification 2008.

   For detailed field descriptions, refer to the online help of Banner Human Resources.

3. Establish the certification period dates and certification period rules for effort reports as follows.

   3.1. Access the Effort Certification Period Rules Form (PTRECPD).

   3.2. Enter the Key block information (**COA** and **Effort Certification Period**).

   3.3. Select Next Block to access the Date block.

      3.3.1. Enter the **Certification Begin Date** and the **Certification End Date** for the Effort Certification Period code selected in the Key block.

      3.3.2. Enter the **Access on Self-Service Date** to specify how long a certified effort report can be viewed in Employee Self-Service. After this date is passed, the certification period will no longer be included as a selection option on the Effort Certification page in Employee Self-Service.

      3.3.3. Check the **Make Available in Self-Service** check box to enable display of effort certification reports for this period in Employee Self-Service.

   3.4. Specify rules to control how the effort certification process must select data and pay history files for inclusion in the effort certification report. To ensure that data is extracted correctly, you must build a complete rule with a minimum of one pay event, one employee class or one position class, and one earning code.

   - Specify payroll IDs that are to be included in the effort report in the Payroll tab.
   - Specify Employee Class codes that are to be included in the effort report in the Employee tab.

     OR

     Specify Position Class codes that are to be included in the effort report in the Position Class tab.
   - Specify Earning codes that are to be included in the effort report in the Earning tab.

4. (Required, institution-wide setup) Define Effort Certification Category Codes on the Effort Certification Category Code Form (NTVECCG) to identify effort certification categories that mimic the OMB Circular A-21 four major categories of faculty effort and also define institutional categories. Codes defined on this form will be used for three purposes:

   - To identify the code that can be associated with an Accounting element on the Effort Reporting tab of the Grant Maintenance Form (FRAGRNT) for the effort report.

- To identify which effort categories accept uncommitted cost share allocations. When the **Permits Cost Share Allocations** indicator is set for an effort category or group, the effort category or group is displayed in the **Allocate Effort** window in the Effort Certification area of Employee Self-Service. The user can then allocate effort to that effort category. If the indicator is not set, the effort category is not displayed and the user cannot allocate effort to the category.
- For the display and printing of effort certification reports.

For a detailed description of this form, refer to the online help of Banner Position Control.

5. (Optional) Group the Effort Certification Categories codes (from Step 1) on the Effort Certification Category Group Rule Form (NTRECCG).

Use this form if your institution wishes to report effort as a part of a larger group, instead of individual effort categories. For a detailed description of this form, refer to the online help of Banner Position Control.

6. (Required, institution-wide setup) Identify grants for which you would like to generate effort certification reports on the Grant Maintenance Form (FRAGRNT).

6.1. Verify the **Requires Effort Certification** check box on the Grant Maintenance Form (FRAGRNT) is checked.

This is set on creation of the grant record. When this box is checked, all funds associated with the grant on FTMFUND will also require effort certification, and any individual paid from funds associated with this grant and who meets the extract criteria will have an effort report generated.

6.2. Navigate to the Effort Reporting tab.

The data on this window is optional. If no data is present, all charges will be recorded as *Direct* in the **Non-Sponsored** section of the effort certification report, with the exception of any fund marked "Requires Effort Allocation." Any funds marked "Requires Effort Allocation" are reported in the "Allocable Effort" section of the report.

6.3. Select the **Accounting Element Source.**

6.4. Enter the **Account Element Value** on the Effort Reporting tab.

For purposes of effort reporting, recording labor as direct or cost sharing, Banner® HR must know what Accounting element to use. Institutions may choose to use any of the Accounting elements of Fund, Organization, Program, Activity or Location for recording either direct or cost share charges. The entry on the Effort Reporting tab of FRAGRNT enables the institution to define the

Accounting element(s), value and the Effort Category that should be used by the extract process to identify direct and cost share charges.

Note

Every accounting element source you use on the FRAGRNT Effort Reporting tab must be defined as a processing priority on the PTRECRT Effort Report Control tab.

Institutions have vastly varying needs for recording cost share for effort reporting. Some institutions have a structure in place that identifies cost share by the fund, which is attached to the grant. Some institutions have a structure in place that identifies cost share by intelligence in the fund, program, or activity code (for example, CS1111 in the program indicates Cost Share, followed by the first 4 digits of the grant number). Other institutions use an external method to identify cost share funds by assigning a code to a fund. Each code has a special meaning to the institution.

When you run the Effort Certification Extract Process (PHPECEX) it looks at the entries on the Effort Reporting tab. If one of the following Accounting elements, Fund, Organization, Activity, Program, or Location, appears in the pay history labor transaction, and the other selection criteria are met, then the employee will be selected and an effort report created.

An institution can enter multiple funds, organizations, programs, activities or location codes linked to the same grant for accurate reporting on the effort report.

6.5. (Required) Select an **Effort Category Type** for the value.

Select an Effort Category if the report section is selected as Sponsored (these types are defined on the NTVECCG form), then select the report section and the charge type for the value. If the accounting element is determined to be in the allocable section, this field cannot be updated.

6.6. Select the **Report Section** for the value.

There are two sections on the generated effort report, Sponsored and Non-Sponsored. Choose in which section the value should be reported.

6.7. Select the **Charge Type** for the value.

There are two charge types on the generated effort report, Direct and Cost Share. Choose which charge type the value should be assigned. If the accounting element is determined to be in the allocable section, this field cannot be updated.

7. (Required, institution-wide setup) If you wish to generate effort reports for specific funds that are *not* associated with grants, check the **Fund Requires Effort**

Certification check box on the Fund Code Maintenance Form (FTMFUND) as follows:

7.1. Access FTMFUND

7.2. Enter the **COA** for the fund.

7.3. Set the **Active Status**.

7.4. Enter the **Fund** Code.

7.5. Enter the **Title** of the Fund Code.

7.6. Enter the **Effective Date** of the fund.

7.7. Check to set to allow Data Entry.

7.8. Select the **Fund Type** if needed.

7.9. Check the **Fund Requires Effort Certification** check box.

This field defaults from the value set on Grant Maintenance Form (FRAGRNT), for those funds that are associated with a grant by adding the grant code on FTMFUND. Whenever the check box is defaulted from FRAGRNT, the indicator will be inherited by FTMFUND, the label will read *Grant Requires Effort Certification*, and the check box will be disabled on FTMFUND.

As fund records are effective dated, ensure that the check box value for the last record entered for the fund (that is, the most recent record, including future dated records) will be used to evaluate the fund for effort report creation. This means that effective dating for this particular data element is not of importance to the extract process, PHPECEX.

7.10. Check the **Fund Requires Effort Allocation** check box to display any funding to this fund for an Effort Report in the Allocable Effort section of the report. If you do not check this box, any funding including this fund will be reported in either the Sponsored or Non-sponsored section of the report. For those funds that are associated with a grant, you can check this box only if you also check the **Requires Effort Certification** box on the Grant Maintenance Form. If the funds are not associated with a grant, the field does not default from the Grant Maintenance Form, and it is labeled **Fund Requires Effort Certification**. This field must be checked in order to check **Fund Requires Effort Allocation**.

7.11. Enter **Predecessor Code**, if needed.

7.12. Enter the **Financial Manager** to be used.

7.13. Enter remaining required data as needed.

8. Establish routing queue participants on the Routing Queue Participant Validation Form (NTVQPRT).

   Use this form to create a master list of all possible routing queue participants and entities that will be used by the effort certification process.

9. Access the Queue Participant Rule Form (NTRQPRT) to establish routing queue rules for each participant defined in the previous step.

   Use this form to define the participant's data source, group members, and whether the group is a Catch All. Catch all groups are included in a routing queue when no other members have been added. Participants can be re-used between charts with different rules. For detailed field descriptions, refer to the online help of Banner Position Control.

10. Now, establish Certifiers for effort certification in the default routing queue as follows.

    10.1. Access the Effort Certification and Labor Redistribution Routing Queue Rule Form (NTRELRQ) to establish the default routing queue for the effort report. It is here that you establish the Pre-Reviewers, Alternate Certifiers, Graduate Student Certifiers, and Post-Reviewers, and the actions to be taken by each individual in the default routing queue.

    10.1.1. Enter Key block information (**COA**) of the form.

    10.1.2. In the Effort Certification tab, select the **Participant**(s) of the routing queue from NTRQPRT.

    10.1.3. Check the **Alternate Certifier** check box to establish the Participant as an Alternate Certifier in the routing queue.

    10.1.4. Similarly, check the **Required Certification for Graduate Students** check box to designate Participants as Graduate Student Certifiers in the routing queue.

11. (Optional) Establish *additional* Certifiers for effort reports as follows.

    11.1. Access the Effort Certification and Labor Redistribution Additional Queue Members Form (NTRELAQ).

    This rule form allows specific individuals within an organization to be added to routing queues. Finance Organizational Hierarchy may be used, in that individuals may be added at the highest or lowest levels of the hierarchy. When the routing queues are built, the organizational hierarchy will be evaluated to determine which individuals will be inserted into the routing queue. It is here that you establish.Pre-Reviewers, Alternate Certifiers, Graduate Student

Certifiers, and Post-Reviewers in addition to those specified in the default routing queue (Step 10).

Tip

In addition to default routing queue members and additional queue members, you can also add people to the approval queue on an ad-hoc basis in Employee Self-Service. These people do *not* have to be pre-defined anywhere; they are only required to have a record on the Enterprise Control Access Form (GOAEACC).

11.1.1. Enter Key block information (**COA** and **Organization**) of NTRELAQ.

11.1.2. In the Effort Certification tab, select the **User ID**(s) of the routing queue members from the Enterprise Access Control Form (GOAEACC).

11.1.3. Check the **Alternate Certifier** check box to establish additional Alternate Certifiers in the routing queue.

11.1.4. Similarly, check the **Required Certification for Graduate Students** check box to designate additional Graduate Student Certifiers in the routing queue.

11.1.5. In the Include or Exclude Fund Type block, select the **Fund Type**(s) from the Fund Type Validation Form (FTVFTYP) to which each routing queue member has access (include) or no access (exclude).

Step 3.2—(Optional) Set Up a Pre-Review Process for Effort Reports

The pre-review process is *optional* to the effort reporting process. During the pre-review period, administrative staff can make changes to the effort reports before they notify employees that their effort reports are available for their review and certification. Labor redistributions can occur at any time during this process.

Administrative staff must be designated as *Pre-Reviewers* to view effort reports during the pre-review period of the effort reporting process.

Note

Labor redistribution changes can occur at any time during Pre-Review Period of the effort reporting process. Any labor redistribution change will require the entire effort report re-certified except in the following situation:

If labor redistributions occur well before the **Review Begin Date**, the effort certification process will not require a restart as no reviews would have officially commenced. The effort report can then be regenerated, along with the routing queue, without repeating the Pre-Review, Certify, or Post-Review processes.

To define a pre-review process and a pre-review period, set up the following forms in Banner Human Resources.

1. Set up the **Pre-Review Begin Date** for effort reports as follows.

    1.1. Access the Effort Certification Period Rules Form (PTRECPD).

    1.1. Enter the Key block information (**COA** and **Effort Certification Period**).

    1.2. In the Date block, enter the **Review Begin Date** for the Effort Certification Period selected in the Key block.

    This field establishes the start date of the pre-review period for the effort report. Pre-Reviewers must complete their reviews before the **Certification Completion Date** specified on this rule form.

2. Establish Pre-Reviewers of effort reports as follows.

    2.1. Establish the default routing queue for the effort report on the Effort Certification and Labor Redistribution Routing Queue Rule Form (NTRELRQ). It is here that you establish the Pre-Reviewers, Certifiers and Post-Reviewers, and the actions to be taken by each individual in the routing queue.

        2.1.1. Enter Key block information (**COA**) of the form.

        2.1.2. Select the Effort Certification tab or window.

        2.1.3. At **Participant**, select members of the routing queue from Queue Participant Rule Form (NTRQPRT).

        2.1.4. At **Pre-Reviewer,** select any one of the following actions from the pull-down list:

        - Select *Review* from the pull-down list.

          This action designates the participant as a Pre-Reviewer of the effort report. This is a *mandatory* action and must be completed before the **Certification Completion Date** of the effort report.

        - Select *FYI* from the pull-down list.

          The participant will be informed about the effort report status during the pre-review period, but will not have to take any action on the effort report.

        - Select *None* from the pull-down list.

          The participant will not take any action on the effort report during the pre-review period. This action is the default.

3. (Optional) Establish *additional* Pre-Reviewers for effort reports as follows.

3.1. Access the Effort Certification and Labor Redistribution Additional Queue Members Form (NTRELAQ). This form allows use of Finance Organization Hierarchy so additional queue members may be created at the highest level of the hierarchy and used at the lower level, or established at the lowest level of the hierarchy.

It is here that you establish Pre-Reviewers, Certifiers and Post-Reviewers in addition to those specified in the default routing queue (Step 2).

Tip

In addition to default routing queue members and additional queue members, you can also add people to the routing queue on an ad-hoc basis in Employee Self-Service. These people do *not* have to be pre-defined anywhere; they are only required to have a record on the Enterprise Control Access Form (GOAEACC).

3.1.1. Enter Key block information (**COA** and **Organization**) of the form.

3.1.2. In the Effort Certification tab, select the **User ID**(s) of the routing queue from the Enterprise Access Control Form (GOAEACC).

3.1.3. At **Pre-Reviewer,** select any one of the following actions from the pull-down list:

- Select *Review* from the pull-down list.
  This action designates the participant as a Pre-Reviewer for the effort report. This is a *mandatory* action and must be completed before the **Certification Completion Date** of the effort report.
- Select *FYI* from the pull-down list.
  The participant will be informed about the effort report status during the pre-review period, but will not have to take any action on the effort report.
- Select *None* from the pull-down list.
  The participant will not take any action on the effort report during the pre-review period. This is the default action.

3.1.4. At **Fund Type,** select the funds from the Fund Type Validation Form (FTVFTYP) to which each user will have access (**Include**) or no access (**Exclude**).

Step 3.3—(Optional) Set Up a Post-Review Process for Effort Reports

To set up the post-review period and post-reviewers for effort reports, perform the following steps:

Note

Labor redistribution changes can occur at any time during the Post-Review period of the effort reporting process. Any labor redistribution change that impacts the effort report will require the entire effort report re-certified.

1. Establish the post-review end date for effort reports as follows.

1.1. Access the Effort Certification Period Rules Form (PTRECPD).

1.1. Enter the Key block information (**COA** and **Effort Certification Period**).

1.2. In the Date block, enter the **Post Review End Date** for the Effort Certification Period selected in the Key block.

This field establishes the end date of the post-review period for the effort report. Post-Reviewers must complete their reviews after all *mandatory* certifiers have acted on the effort of the report.

2. Establish Post-Reviewers in the *default* routing queue for effort reports as follows.

2.1. Access the Effort Certification and Labor Redistribution Routing Queue Rule Form (NTRELRQ) to establish the default routing queue for the effort report. It is here that you establish the Pre-Reviewers, Certifiers and Post-Reviewers, and the actions to be taken by each individual in the default routing queue.

2.1.1. Enter Key block information (**COA**) of the form.

2.1.2. Select the Effort Certification tab or window.

2.1.3. At **Participant**, select members of the routing queue from Queue Participant Rule Form (NTRQPRT).

2.1.4. At **Post-Reviewer,** select any one of the following actions from the pull-down list:

- Select *Review* from the pull-down list.
  This action designates the participant as a Post-Reviewer for the effort report. This is a *mandatory* action and must be completed after all *mandatory* certifiers have acted on the effort report.
- Select *FYI* from the pull-down list.
  The participant will be informed about the effort report status during the post-review period, but will not have to take any action on the effort report.

- Select *None* from the pull-down list.
  The participant will not take any action on the effort report during the post-review period. This is the default action.

3. (Optional) Establish *additional* Post-Reviewers of effort reports as follows.

3.1. Access the Effort Certification and Labor Redistribution Additional Queue Members Form (NTRELAQ). This form allows use of Finance Organization Hierarchy so additional queue members may be created at the highest level of the hierarchy and used at the lower level, or established at the lowest level of the hierarchy.

It is here that you establish Pre-Reviewers, Certifiers and Post-Reviewers in addition to those specified in the default routing queue (Step 2).

Tip

In addition to default routing queue members and additional queue members, you can also add people to the approval queue on an ad-hoc basis in Employee Self-Service. These people do *not* have to be pre-defined anywhere; they are only required to have a record on the Enterprise Control Access Form (GOAEACC).

3.1.1. Enter Key block information (**COA** and **Organization**) of the form.

3.1.2. In the Effort Certification tab, select the **User ID**(s) of the routing queue from the Enterprise Access Control Form (GOAEACC).

3.1.3. At **Post-Reviewer,** select any one of the following actions from the pull-down list:

- Select *Review* from the pull-down list.
  This action designates the participant as a Post-Reviewer for the effort report. This is a *mandatory* action and must follow after all mandatory certifiers have acted on the effort report.
- Select *FYI* from the pull-down list.
  The participant will be informed about the effort report status during the post-review period, but will not have to take any action on the effort report.
- Select *None* from the pull-down list.
  The participant will not take any action on the effort report during the post-review period. This is the default action.

Step 4—Set Up Proxy Users for Effort Certification

Note

Before you begin this step, verify your institution-wide implementation of Personal Identification Information (PII) and Fine-grained Access Control (FGAC). You must add all Proxy IDs used for Effort Certification and Labor Redistribution to the FGAC Person User Defaults Form

(GOAFPUD), making sure to check the **Exempt from PII** check box. Because PII is system-required and impacts all users, including Self-Service listener IDs, selecting **Exempt from PII** ensures that PII will not impact Student or Employee users who might not have an Oracle login. Please include the new FLEXUSR ID for Effort Reporting and Labor Redistribution. This will exempt the FLEXUSR from Personal Identification Information and Cross Domain Search for Personal Identification Information.

Effort Certification Administrators can set up their proxies for effort certification in Banner Position Control or Employee Self-Service as follows.

1. Access the Position Control Installation Rules Form (NTRINST) to check whether proxies can assume the responsibility of superusers or not during the Effort Certification process.

   1.1. Select the **Proxy Assumes Superuser Capabilities** check box to enable the proxies you define, to assume the role of an *Effort Certification Superuser.*

2. In Employee Self-Service, access the Effort Report Proxy or Superuser page of the Effort Certification module to add your proxies.

   OR

   Access the Proxy Codes Rules Form (NTRPROX) to set up your proxies for Effort Certification and/or Labor Redistribution in Banner Human Resources.

   2.1. Select the Other Modules tab.

   2.2. At **Proxy ID**, enter or search and select from the GOAEACC the ID of the individual you wish to assign as your proxy.

   The system displays the Oracle ID of the selected individual.

   2.3. Save the entered information.

   The **Activity Date** displays the date on which the record was last added or updated.

   Select Next Block to access the Proxy Modules block.

   2.4. At **Modules**, enter, or search and select *Effort* from the Proxy Module Code Validation Form (NTVPRXM), to establish the proxy defined in Step 2.2 for the Effort Certification module.

   2.5. Save the entered information.

   The **Activity Date** displays the date on which the record was last added or updated.

Extract Data and Access Effort Certification in Employee Self-Service

After completing the setup at your site, perform the following steps to extract data from Banner Human Resources, Position Control, and Finance, to use the Effort Certification module in Employee Self-Service. This sequence describes the transition from internet-native Banner to Employee Self-Service for Effort Reporting.

1. Run the Effort Certification Extract Process (PHPECEX) in Banner Human Resources via Job Submission.

   The PHPECEX process extracts data from payroll history tables reading all the rules that apply from PTRECPD, builds the Effort Certification routing queue as necessary, and builds the effort report.

   The Extract process will extract and create certification reports only for employees where the positions were paid from grants or funds where the **Required for Effort Certification** indicator is checked. All the employees' funding in total is selected to display on the report.

At a minimum, specify the following parameters:

Report Parameter	Description	
Chart of Accounts	Enter the Chart of Accounts.	
Certification Period	Enter the Certification Period(s). Multiple periods can be used for this parameter.	
Process Mode	Enter the Process Mode as any one of the following values.	
	Initial	The initial run creates the reports for the first time. The Initial mode can be run multiple times to select new employees.
	Update	Update could update or delete an existing report based on rule changes, changes to pay history or "Required for Effort Certification" indicators at the grant or fund level. Update mode will refresh all data and set the status and state back to the beginning status and state of the report.
	Recreate	Recreate mode deletes all previous reports and creates them again. This mode also adds any new employees' reports to the population. Recreate mode cannot be combined with any other mode.

Warning

When running in Recreate mode all reports will be deleted, including all certified and locked reports. ■

Tip

Be sure the **Make Available in Self Service** indicator on PTRECPD is checked in order to view effort certification reports on the Web. ■

IDs or Population Selection parameters can only be used for Initial and Update modes. It is possible that employees in the ID list or Population Selection will not be included in the report if they do not meet the effort period rules.

2. Log in to Employee Self-Service as an Effort Certification Administrator.

3. Select the Effort Reporting menu.

4. Review and certify effort reports.

   For more details refer to the topic, “User-Specific Tasks.”

Resolve any diagnostic messages

This section identifies the causes of diagnostic messages that may be seen during the extract process and the actions to take when they appear.

No pay event associated with this Certification Period.

Certification Period Rule has no pay events defined.

Check PTRECPD for the COA and effort period used and enter valid pay events.

No rules established for the Certification Period. Check for establishment of Employee Class and Position Class for the period.

Certification Period Rules has no Employee Classes or Position Classes defined.

Check for the establishment of Employee Class or Position Class.

No earn codes are established for the Certification Period. Check for establishment of Earnings for the period.

Certification Period Rule has no Earning Codes defined.

Check PTRECPD for the establishment of Earning Codes.

No reports have been created for this Certification Period, run Initial mode for the period.

If the Update mode for IDs or Population Selection is run prior to the creation of effort reports for the period, an error message will display

Run the process in the Initial mode for the period.

No employees meet Certification Period criteria.

No Employees have an ECLS or PCLS on their pay history records containing at least one of the earnings listed on the Certification Period Rules form, PTRECPD.

Check PTRECRT for COA information, and PTRECPD. On PTRECPD, check for ECLS or PCLS rules and data on the jobs records and pay history records containing at least one of the earnings listed on the Certification Period Rules form, PTRECPD; that meet the certification period rules.

No pay events within the Certification Period are at Disposition 70.

No Pay History Records for the specified COA/Effort Report Period are at a disposition 70, Complete.

Check PHILIST for current dispositions. Run PHPFEXP and NHPFIN2 to move disposition to 70.

Update cannot be processed, effort report locked.

Run PHPECEX process in Update mode and an attempt is made by the process to update a locked effort certification report.

Have an Effort Certification Superuser unlock the Effort Report for that employee and effort period.

Population Selection and IDs are invalid when running in Recreate mode.

Ran PHPECEX process in Recreate mode when parameter values were entered to run the process by IDs or Population Selection.

Set the parameter 06 Process Individual ID to (N)o or set parameter 08 Use Population Selection to (N)o.

IDXXXXXXX - ID not processed, effort report already exists.

When running in Initial mode with IDs or Population selection with invalid IDs.

Remove the ID that has a previous report created.

Error: No Mandatory Certifiers defined for the report. Check configuration and data.

When the routing queue is built, but there are no certifiers or no mandatory certifiers produce error message on PHPECEX report.

This happens when the either the Graduate Student Signature is Optional, and/or Alternate Certifiers are defined on NTRELRQ or NTRELAQ.

This situation could also happen when the Graduate Student Signature is Not Required, no Graduate Student Certifiers and/or Alternate Certifiers are defined or they are defined on either/both NTRELRQ and/or NTRELAQ however when selecting from FTMFUND, FTOMORGN, FRAGRNT for the Personnel indicator, no PIDMs are selected.

Review PTRECRT to check on signature option. After review move to NTRELRQ. Check NTRELRQ to see if there are Graduate Student Certifiers defined for the chart. Check the data source for the graduate student certifier based on the effort report data to ensure that there is an ID in the Financial Manager field or the Personnel Indicator code used. If no Graduate Student Certifiers defined for the chart on NTRELRQ, check NTRELAQ to determine if there have been Graduate Student Certifiers defined at the COA/Organization level or COA/Organization Hierarchy level.

Recreate mode cannot be combined with any other mode.

Recreate mode can only be run with the single mode.

Remove the other mode for the parameter 03. Enter R mode only.

IDXXXXXXX - ID not processed, effort report does not exist.

When running in Update mode with IDs or Population selection.

Run Initial mode for the ID(s) that failed the update to create initial reports.

User-Specific Tasks

This section highlights the most common tasks that will be performed by Effort Certification users. Its intent is to get you started with using Effort Certification on the Web. For a comprehensive list of help topics, refer to the online help of Effort Certification in Employee Self-Service.

Based on your role, perform the following tasks after you log in to Employee Self-Service and access the Effort Certification menu.

Certify My Effort

Use the Certify My Effort page to access and certify your previous work effort for a sponsored research project, and request changes if necessary. Because effort reports are processed after the end of a payroll period, the work details displayed here could have occurred months ago. You are required to review the information and confirm its accuracy by certifying the report. The page displays all the effort report periods that are available for you for certification, including their start and end dates, status in the certification routing queue, and whether the report is locked and complete or not yet locked. If there are no reports available for your certification, then none appear here. Use the following procedure to certify or request a change to your effort:

1. Select the report period you wish to certify and double-click its line, or highlight the line and click **Open**.

2. On the **Effort Report** page, review the type and percentage of the effort charged for your activities.

Note

Effort Percentages must be positive. No negative percentage amounts are permitted.

3. Optionally, click **Allocate Effort** to transfer to the **Allocate Effort** window, where you can enter your voluntary uncommitted cost share effort allocation percentages. The window shows the total percentage to be allocated and the effort categories to which you can allocate effort. You can make a change to the total percentage only on the Effort Report page.

4. If the charges are accurate, click **Certify** to open the **Certify Statement** window.

5. Click **I agree** to certify, or **Cancel** to return to the **Effort Report** page.

You have successfully navigated to the report period you wish to review, and certified your effort.

Request Changes to an Effort Report

Use the **Certify My Effort** page to access your previous work effort for a sponsored research project, and navigate to the **Effort Report** page where you can request changes if necessary. To request a change to an effort report, use the following procedure:

1. On the **Effort Report** page, review the information for accuracy.

2. To make changes to a line item, modify the percentage in the **Effort Percent** column by typing a new amount.

   The column shows the percent of your effort spent on the task divided by the total effort for the reporting period, represented by the dollar amount you were paid. The total of charges on the changed report must be equal to 100%. The system does not permit you to leave the page until your changes equal 100%.

3. To remove charges from a line of effort, enter a *0* in the **%** field for that line. You cannot delete a line of effort.

4. Click **Save** to store any changes you have made. This is a preliminary save, which does not actually update the effort report.

5. Click **Request Changes** to open a Change Request e-mail template that will route your request for a change to the appropriate individual or group authorized to change the report information.

6. Enter the e-mail address of the person to whom to distribute this e-mail and any personal message, and click **Send**.

You have successfully requested a change to your effort report.

Add New Funding

Use the Add New Funding option to add new or missing funding information to an effort certification report. The option is similar to making a note on the effort report. You cannot add additional pay to a report. Any funding addition requires labor redistribution to effect changes to the effort report. Use the following procedure to add new funding to an effort certification report:

1. On the Effort Report page, click **Add New Funding** to access the Add New Funding window.
2. Select the **Grant**, **Fund**, or **Organization** to which you want to add missing funding. Type the new percentage.
3. Click **Save**. The system inserts the new information, and returns you to the effort report. The new funding appears in a new section of the report. Notice that the action button is disabled, letting you know you must complete a change to the report before any remaining actions can occur. The report total must always equal 100%.
4. Click **Request Change** to forward the request to an individual who can create the labor redistributions necessary to add the missing funding information, as well as change the existing information appropriately.

You have successfully added new funding to an effort certification report.

Review or Certify Effort Reports

As an administrator, use the **Review or Certify** Reports page to access the effort reports that are in your queue to review or certify. As a Superuser you have access to all reports that appear here. If no reports appear on the page, you are either not in the routing queue or you have no outstanding actions to take at this time. Furthermore, if your search produces no results, you are either not in the routing queue or you have no outstanding actions. You can format the page to your preference, using drag and drop to reorder the columns and the up/down arrows to sort the information in the columns. Use the following procedure to review or certify an effort report:

1. Search for the effort report you wish to review or certify. Search by Report Period, or use Advanced Search to search by the employee's last or first name, employee ID, chart of account (COA), the review status or locked/unlocked state of the report.
2. Select the line of an effort report you wish to certify and click **Open**, or double-click the line.

You have successfully accessed an effort certification report to review or certify.

3 Labor Redistributions

Higher Education institutions track and account for the labor costs of their faculty (administrative and non-administrative) each pay period. These labor costs are tracked using the FOAPAL components; Fund, Organization, Account, Program, Activity, and Location. Labor redistribution processing refers to the redistribution of the labor costs charged to these FOAPAL elements in a previous pay period.

Currently, two forms allow you to process labor redistribution in Banner Human Resources:

- Labor Redistribution Form (PHAREDS) and
- Adjustment Processing Form (PHAADJT)

The existing process for labor redistribution is enhanced in the following aspects:

- In Banner Human Resources, you can now only initiate transactions using PHAREDS or PHAADJT.
- All approval functionality for labor redistribution must now be performed in Employee Self-Service only.
- You can also initiate labor redistribution transactions via Employee Self-Service.

  To achieve this objective, a new Labor Redistribution module has been created in Employee Self-Service. This chapter provides the setup procedures to implement the Labor Redistribution module in Employee Self-Service.
- Accordingly, a new role has been created in Web Tailor, *Labor Redistribution Initiator.* All self-service users must be assigned this role to access the Labor Redistribution module in Employee Self-Service.
- Approval routing queues for labor redistribution are created via two forms in Banner Position Control:
  - Effort Certification and Labor Redistribution Additional Queue Members Form (NTRELAQ)
  - Effort Certification and Labor Redistribution Routing Queue Rule Form (NTRELRQ)
- As a result of the above changes, the process for labor redistribution has been modified to support the change in procedures. For more details refer to Chapter 6, “Payroll Processes” of the *Banner Human Resources User Guide*.

Note

Labor redistribution approvals are optional. If your institution chooses not to set up any routing queues the redistribution transactions will be auto-approved as per current functionality.

Exclusions

Labor Redistribution for *non-Finance* installations on the Web has been excluded. It is excluded because, in the non-Finance environment the COA is not required. Since the COA is not required, the following cannot be created:

- The creation of participants on the Queue Participant Rule Form (NTRQPRT) is not possible.
- The default routing queue on NTRELRQ, and the additional routing queue on NTRELAQ also rely on the COA, and therefore cannot be created.
- The additional queue members also rely on the combination COA and Organization which is also not available in a non-Finance Banner environment.
- Finally, the use of the Financial Managers from the Fund Code Maintenance Form (FTMFUND) or the Organization Code Maintenance Form (FTMORGN) and the Grant Personnel from the Grant Maintenance Form (FRAGRNT) as routing queue participants is also not available without Banner Finance installed.

Associated Terms and Definitions

The following terms are used frequently with regard to labor distributions.

Term	Definition
Catch All Group	A Catch All Group is the default approval queue created for a labor redistribution transaction when no roles and/or data sources have been defined for Funds, Organizations, and Grants in Banner Finance. If a Catch All Group is not specified, the labor redistribution transaction can be potentially auto-approved.
Labor Redistribution Originator	A Labor Redistribution Originator is the user who creates a labor redistribution, and submits it to the approval queue for action. The ID of this user is registered on the transaction as the Originator.
Labor Redistribution Initiator	A Labor Redistribution Initiator is one who has the authority to create a new labor redistribution transaction. This employee must be assigned the role of a Labor Redistribution Initiator in Web Tailor.

Labor Redistribution Process Flow

The following chart provides a visual representation of labor redistribution transactions processed via Banner Human Resources or Employee Self-Service.

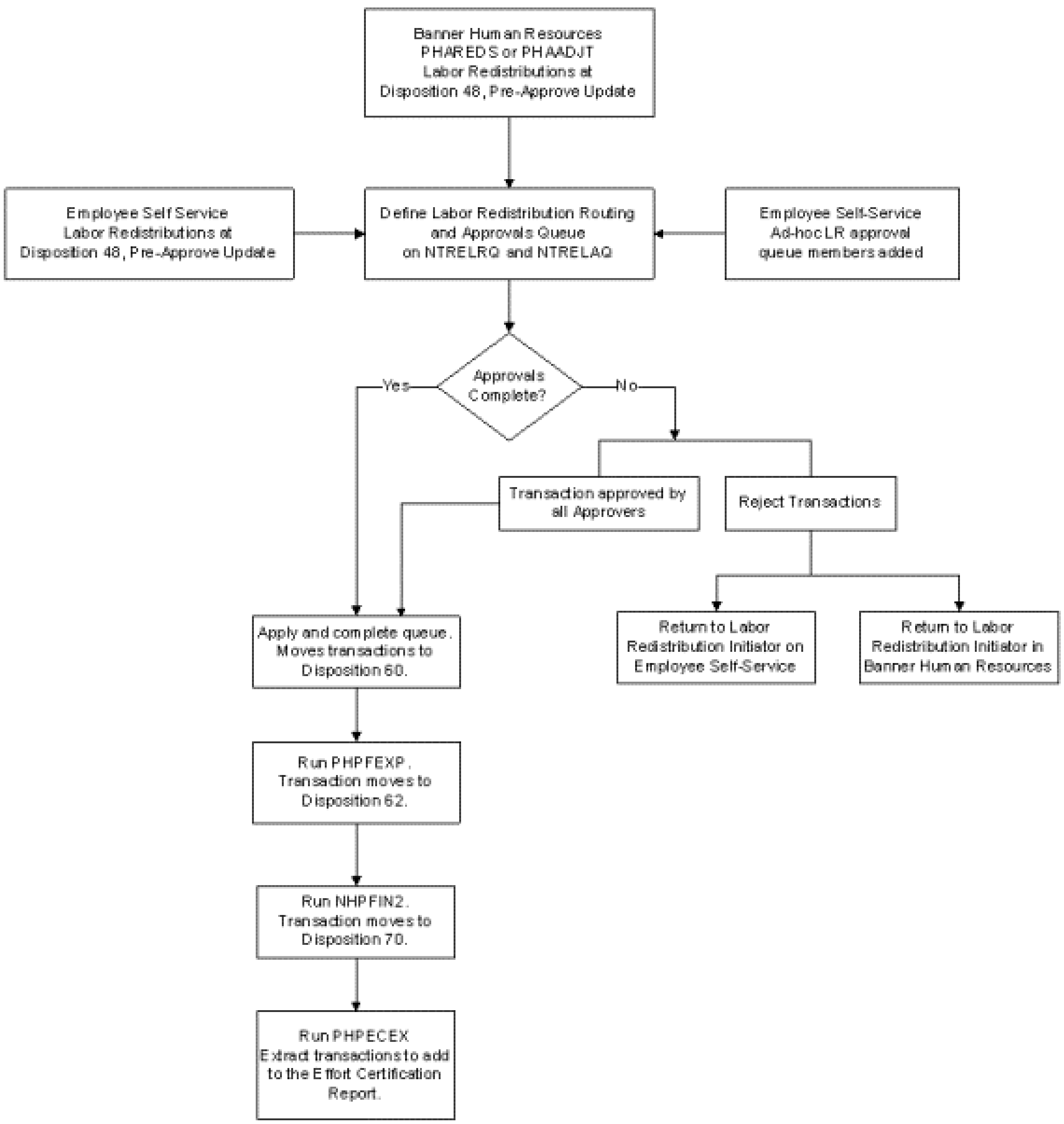


Figure 3: Labor Redistribution process flow

Labor Redistribution Statuses

When a labor redistribution transaction is passed along the routing queue, its status gets updated accordingly. The following table provides a list of all status transitions that a labor redistribution transaction may undergo.

Transaction Status	Definition
Started	Transaction is open but has not been submitted to the queue for approval.
Submitted	Transaction has been submitted into the queue for approval.
In Process	At least one member of the queue has acknowledged or approved the transaction, but is awaiting approval from the remaining approvers.
Return for Correction	The transaction has been returned for correction to the Originator.
Approved	All mandatory approval actions have been completed. The transaction is at disposition 60.

The following chart provides a visual representation of the sequence of the various states a labor redistribution transaction would undergo during the process:

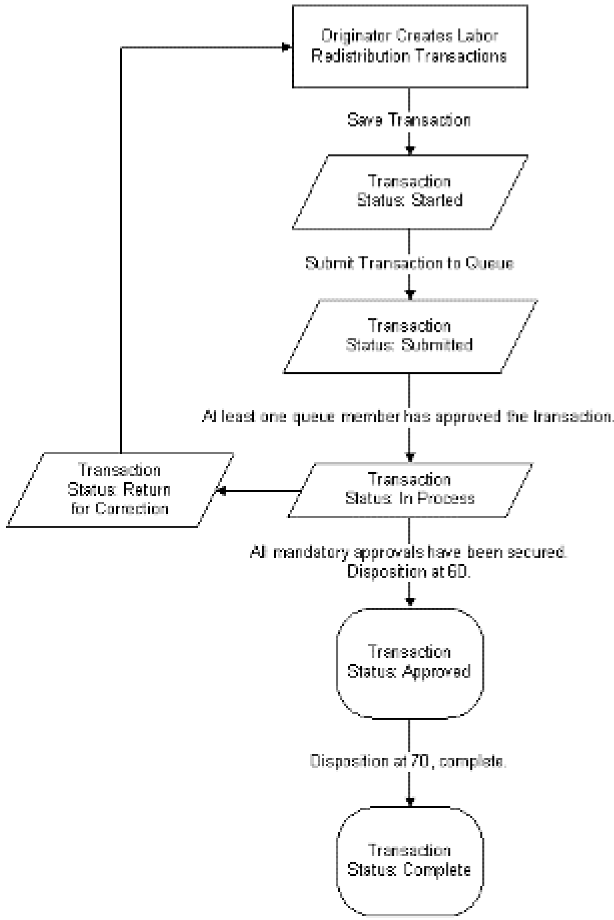


Figure 4: Labor Redistribution statuses

Setup Procedures

Perform the following sequence of tasks to implement labor redistribution processing via Employee Self-Service on-site.

Step 1—Establish Security for Labor Redistribution on Self-Service

1. Access the Enterprise Access Controls Form (GOAEACC) to associate the Oracle IDs of all Labor Redistribution Initiators with a Banner ID they would use to access Employee Self-Service.

   For example, if John Smith is to be authorized as an Labor Redistribution Initiator, then associate his Oracle ID, JSMITH, with a Banner ID, JS000001, on the

GOAEACC form. John Smith will access the Labor Redistribution module in Employee Self-Service using the Banner ID, JS000001.

Labor Redistribution Initiators are subject to the same security as a user on PHAREDS or PHAADJT. If the initiator has access to any portion of the employee (based on Home Organization), the initiator may see the entire pay event.

2. On the User Codes Rules Form (PTRUSER), select the **Labor Redistribution Superuser** check box to set up superusers for the labor redistribution module in Employee Self-Service.

3. (Optional) On the Position Control Installation Rules Form (NTRINST), select the Use Labor Redistribution on Employee Self-Service check box.

4. (Optional) On the Position Control Installation Rules Form (NTRINST), select the **Proxy Assumes Superuser Capabilities** check box for labor redistribution.

   This check box determines whether proxies can assume the responsibility of superusers or not during the labor redistribution process.

Step 2—Set Up Web Tailor for Labor Redistribution

To accommodate users of Labor Redistribution in Employee Self-Service, Web Tailor has been modified to include a new administrative user role, the Labor Redistribution Initiator

The Web Tailor Administrator at your site must complete the following tasks.

- Set up access to the Labor Redistribution menu in Employee Self-Service
- Set up the Labor Redistribution Initiator Role

Step 2.1—Set Up Access to the Self-Service Labor Redistribution Menu

Apply the following steps if the Employee Self-Service Main Menu has been *customized* by your institution. That is, if one LOCAL row, (`twgrmenu_source_ind`=L) is found in the `twgrmenu` table for `pmenu.p_MainMnu`. After completing the install,

1. Log on to Employee Self-Service with an ID that has access to Web Tailor Administration.

2. Click **Web Tailor Administration**.

3. Select **Menu Items.**

4. Select the Web menu, *pmenu.p_MainMnu*.

   The Reorder or Customize Menu Items page is displayed.

5. Click **Customized the Associated Web Menu or Procedure**.

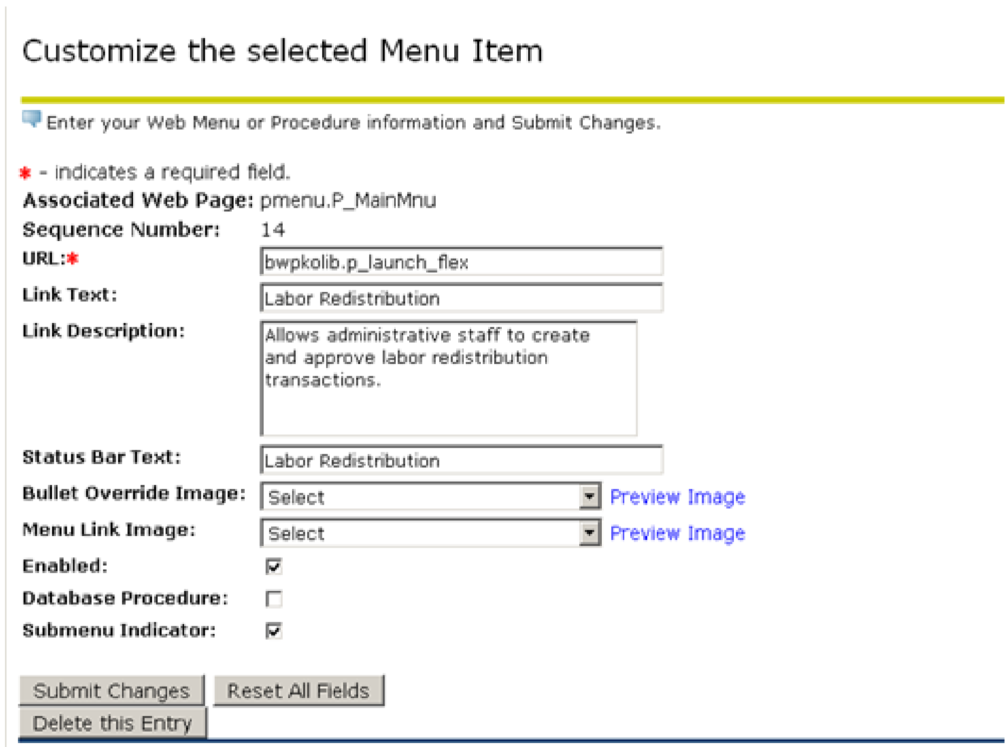
   The Customize a Web Menu or Procedure page is displayed.

6. Scroll down and click **Customize Menu Items**.

   You will see a list of menu entries for the Employee Main Menu. If at least one LOCAL entry is displayed then continue with the following steps. Otherwise, make *no* changes, exit Employee Self-Service, and proceed to assign roles to faculty users by following instructions on page 3-8.

7. Click **Add a New Menu Item**.

8. On the Create a New Menu Item page, enter the following information:



9. Click **Submit Changes**.

10. Follow the instructions outlined in the next topic, "Step 2.2—Set Up the Labor Redistribution Initiator Role" on page 3-8.

11. Then, log in to Employee Self-Service as a labor redistribution administrator.

    The Effort Certification and Labor Redistribution menu must be listed under the Employee Main Menu.

Step 2.2—Set Up the Labor Redistribution Initiator Role

A new user role, Labor Redistribution Initiator, has been created for the Labor Redistribution Module. Web Tailor Administrators at your institution must complete this task. This role is added to the Web Tailor table, `TWTVROLE`, by the seed script, `twtvrolei_080100.sql`.

Set up a user as a Labor Redistribution Initiator on Web Tailor as follows:

1. Log in to Employee Self-Service with your Web Tailor Administrator **ID** and **Password**.

2. Select the **Web Tailor Administration** menu.

3. Select the **User Roles** menu option.

4. Enter the **ID** of the employee who is to be assigned the user role and click **Submit**.

5. On the Update User Roles page, select the **Labor Redistribution Initiator** check box for the employee.

6. Click **Submit Changes**.

   The employee is now designated as a Labor Redistribution Initiator.

Step 3—Set Up the Labor Redistribution Routing Queue

Set up the following forms and rules to specifically process labor redistribution via Employee Self-Service. Otherwise, labor redistribution will be processed via Banner Human Resources as per current functionality.

The routing and approval queue setup applies to transactions created on Employee Self-Service, and in Banner on the Labor Redistribution Form (PHAREDS) and the Adjustment Processing Form (PHAADJT).

1. (Required, institution-wide setup) Create a master list of all routing queue participants, individuals as well as entities, on the Routing Queue Participant Validation Form (NTVQPRT).

   For example, PI—Principal Investigator, BO—Budget Office.

   For detailed form and field descriptions, refer to the online help of Banner Position Control.

2. Access the Queue Participant Rule Form (NTRQPRT) to establish routing queue rules for each participant defined in the previous step.

   Use this form to define the participant's data source, group members, and whether the group is a catch all. Participants can be re-used between charts with different rules. For detailed field descriptions, refer to the online help of Banner Position Control.

3. Access the Effort Certification and Labor Redistribution Routing Queue Rules Form (NTRELRQ) to establish the default routing queue for labor redistribution. It is here that you establish approvers, and the actions to be taken by each individual in the default routing queue.

   3.1. Enter Key block information (**COA**) of the form.

   3.2. In the Labor Redistribution tab, specify the **Approver Sequence** for each Participant.

   3.3. Select the **Participant**(s) of the approval queue from Queue Participant Rule Form (NTRQPRT).

   3.4. (For Groups only) Displays the **Catch All Group** check box value from the Queue Participant Rule Form (NTRQPRT).

   Catch All Groups ensure that a default queue member exists when no roles and/or data sources have been defined for Funds, Organizations, and Grants in Banner Finance. If a Catch All Group is not specified, the labor redistribution transaction can be potentially auto-approved.

   3.5. (For Groups only) At **Group Criteria in Days**, enter the number of days to be counted from the original payroll transaction date. If the transaction is greater than the number specified in this field, the corresponding group will be added to the queue with the selected action.

   For example, an institution wants to include the sponsored research office when redistributions occur 30 days or more after the original payroll transaction date. Then, if the pay period ended on June 30th and the **Group Criteria in Days** is specified as *30*, then the Catch All group will be inserted if a redistribution transaction is created from July 1 or beyond.

   3.6. At **Required Action**, select the action that the approver can take on the labor redistribution transaction. Choose any one of the following: actions:

   - Approve
   - FYI

4. (Optional) Establish *additional* approvers for labor redistribution transactions as follows.

   4.1. Access the Effort Certification and Labor Redistribution Additional Queue Members Form (NTRELAQ). It is here that you establish approvers for labor redistributions, in addition to those specified in the default routing queue (Step 3).

Additional queue members specified on this rule form are available to labor redistribution approvers in Employee Self-Service. As a result, approvers in the default approval queue can select and include additional queue members to the approval queue on an ad-hoc basis.

4.1.1. Enter Key block information (**COA** and **Organization**) of the form.

4.1.2. In the Labor Redistribution tab, specify the **Approver Sequence** for each approval queue member.

4.1.3. At **User ID**, enter, or search and select the Oracle ID of the approver from the Enterprise Access Control Form (GOAEACC).

The system displays the Banner **ID** and the **Name** associated with the **User ID**.

4.1.4. At **Required Action**, select the action that the approver can take on the labor redistribution transaction. Choose any one of the following: actions:

- Approve
- FYI

4.1.5. In the Include or Exclude Fund Type block, select the **Fund Type**(s) from the Fund Type Validation Form (FTVFTYP) that each approver can access (include) or not access (exclude).

Step 4—Set Up Proxy Users for Labor Redistribution

Note

Before you begin this step, verify your institution-wide implementation of Personal Identification Information (PII) and Fine-grained Access Control (FGAC). You must add all Proxy IDs used for Effort Certification and Labor Redistribution to the FGAC Person User Defaults Form (GOAFPUD), making sure to check the **Exempt from PII** check box. Because PII is system-required and impacts all users, including Self-Service listener IDs, selecting **Exempt from PII** ensures that PII will not impact Student or Employee users who might not have an Oracle login. Please include the new FLEXUSR ID for Effort Reporting and Labor Redistribution. This will exempt the FLEXUSR from Personal Identification Information and Cross Domain Search for Personal Identification Information.

Labor Redistribution Initiators can set up their proxies as follows:

1. Access the Position Control Installation Rules Form (NTRINST) to verify if the **Proxy Assumes Superuser Capabilities** check box is checked for labor redistribution.

   This check box determines if your institution allows proxies to assume the role of a Superuser for the Labor Redistribution module.

2. Establish your proxies by choosing any one of the following methods.

   2.1. In Employee Self-Service, access the Labor Redistribution Proxy or Superuser page of the Labor Redistribution module to add your proxies.

   OR

   2.2. In Banner Position Control, access the Proxy Codes Rules Form (NTRPROX) to set up your proxies for Labor Redistribution.

   2.2.1. Select the Other Module tab.

   2.2.1. At **Proxy ID**, enter or search and select from the GOAEACC the ID of the individual you wish to assign as your proxy.

   The system displays the Oracle ID of the selected individual.

   2.2.2. Save the entered information.

   The **Activity Date** displays the date on which the record was last added or updated.

   Select Next Block to access the Proxy Modules block.

   2.2.3. At **Modules**, enter, or search and select *Labor* from the Proxy Module Code Validation Form (NTVPRXM), to establish the your proxy for the Labor Redistribution module.

User-Specific Tasks

This section highlights the most common tasks that will be performed by most Labor Redistribution users. Its intent is to get you started with using the Labor Redistribution module on the Web. For a comprehensive list of help topics, refer to the online help of Effort Reporting in Employee Self-Service.

Based on your role, perform the following tasks after you log in to Employee Self-Service and access the Labor Redistribution menu.

Initiate Labor Redistribution Transactions

As a Labor Redistribution Initiator or a Superuser, use the Labor Redistribution Person Search page to select the employees for whom to initiate labor redistribution transactions. If you have the role of Superuser only, you can access the Person Search and Approvals pages only after you check the Act as a Superuser check box on the Proxy or Superuser page. Use the following procedure to initiate labor redistribution for an employee:

1. On the **Person Search** page, select the employee and pay event you want to adjust, highlight its line and click **Open** or double-click the line to begin a redistribution transaction.

   To select more than one pay event, hold down the CTRL key and highlight the lines and click **Open** from the Action menu.

Note

Take note of pay event lines marked with a lock icon, identifying those events associated with a complete and locked effort report. The pay event is not eligible for redistribution, unless an Effort Certification Superuser unlocks the effort report.

2. Select the **Pay Period** from the **Pay Period and Earn Code** sidebar. You can navigate between pay events in this sidebar. Toggle the drop-down arrow in the **Pay Event** sidebar to open and close pay events.

3. Navigate between the position/suffix, earn code, shift and effective date. As you open and close different pay events, the position/suffix, earn code, shift and effective dates display.

4. Highlight the position/suffix, earn code and shift, and effective date that you wish to change. The distributions display in the **Current Distribution** content section.

5. Click **Edit** to access the **Update Distributions** window, where you can change the distributions.

You have successfully initiated a labor redistribution for an employee.

Update Labor Distributions

Use the **Update Distributions** window to make required changes to a distribution. The sum of the redistributed values for one or more of the three Earnings Labor Distributions fields (**Hours**, **Percent**, and **Amount**) must be equal to the corresponding sum of the values in the original distribution. To view a list of valid values for a particular field, use the Search feature for that field and select a value. Use the following procedure to overwrite FOAPAL values, amount, hours or percent:

1. On the **Person Search** page, select the employee and pay event you want to adjust, highlight its line and click **Open** or double-click the line to begin a redistribution transaction.

   To select more than one pay event, hold down the Ctrl key and highlight the lines and click **Open** from the Action menu.

2. Enter a new **Posting Date** if necessary. The posting date is the date that the redistributed records are to be posted to Finance. The system supplies the system date as the default date for this field. You can override the date, but the new date must fall in an open accounting period.

3. Check **Change All** to search for all records identical to the old version of the changed records and make the same changes to all matching records. **Change All** applies only for FOAPAL fields or percentages.

   For example, you can change all of a single pay-event record or a selected field in all pay event records. Also, you can make the same distribution change in all pay-event records

4. Select the FOAPAL component (Index, Fund, Organization, Account, Program, Activity, Location, Project, and Cost) you want to adjust from its drop-down list.

   The system displays all records for that FOAPAL component, 100 rows at a time. Use the arrows to move to the next or previous list. You can also search for a Code or Description by providing a string of at least three characters, followed by the wildcard asterisk (*).

5. To change a distribution, enter a new value for **Percent**. The system calculates the **Hours** and **Amount**.

6. To change hours, enter a new value for **Hours**. The system calculates the Percent and Amount fields.

7. To change the Amount, enter a new **Amount**. The system calculates the Hours and Percent.

8. Click **Add Line** to display a new line on which to add your desired FOAPAL values. Enter either the hours, amounts, or percent and the system will calculate the other two.

9. To remove a line, click **Delete**.

10. Click **Save** to save the changes to the database.

    With this save the records have been marked for change. The system alerts you to any errors. If the sum of the redistributed values for one or more of the three Earnings Labor Distributions fields (Hours, Percent, and Amount) is not equal to the corresponding sum of the values in the original distribution, take one of these corrective actions: manually change one of the records so that the sum of each of the three fields is correct, or click **Round** to have the system correct the condition by modifying the record in which the cursor is located.

11. Back on the main page, click **Apply** to create the disposition *47* transaction. Note that **Erase** becomes re-enabled and **Apply** becomes disabled.

12. Review your modifications on the main page. If there are no further changes, click **Submit**. At this point the redistributed pay events are at disposition *48, Pre-Approve Update*. This step creates the routing queue for the labor redistribution. The status of the transaction is *Submitted*.

You have successfully updated a labor distribution.

Approve or Return Labor Redistributions

Use the Labor Redistribution Approvals page to select a labor redistribution transaction to approve, return for correction, or acknowledge. The page displays the specific transactions associated with the pay events, in alphabetical order by last name. All members of the routing queue can access this page. If no information appears on this page, then you are not in the routing queue, or you have no outstanding actions to take. Likewise, if you execute a search and obtain no results, then you are not in the routing queue, or you have no outstanding actions. If you have the role of Superuser only, you can access the Approvals page after you check the Act as a Superuser check box on the Proxy or Superuser page. Use the following procedure to approve or return a labor redistribution transaction:

1. As an approver, select the redistribution transaction to approve or return for correction. Double-click the line or highlight the line and click **Open**.

2. On the **Redistribution** page, click **Approve** to approve the transaction, or click **Return for Correction** to return the transaction to its originator.

3. On the tool bar, click **More Actions**, then select **Add Comment** to open the **Comment** window, in which you can record any relevant information, especially to explain your rationale if you return the transaction.

You have successfully approved or returned a labor redistribution transaction.

Note

If an approver exists in the routing queue for a transaction, the approver may see the entire redistribution transaction. No security is applied to restrict the approver from seeing and approving a transaction.

SUNGARD HIGHER EDUCATION

4 Country View Road
Malvern, Pennsylvania 19355
United States of America
www.sungardhe.com