Effort Reporting and Labor Redistribution

Anita Ng
Sue Jennings

08:30 to 9:30
August 6, 2009
Meeting Goals

• Introductions
• Things to Know Before you get Started
• Functions of Effort Reporting
• Set Up Requirements
• Questions
Things to know before you get started

• Supports effort reporting requirements of OMB circular A-21
  – After-the-fact Activity Records payroll distribution methodology

• Reporting based upon pay and labor distribution history tables in Banner HR
  – Cost sharing distributions must be recorded as labor distributions in Banner Human Resources
  – Cost sharing journal entries, and automatic calculation and distribution of shared costs in Banner Finance will not be included or considered for effort reporting

• Only one effort report can be certified per employee, per certification period
What it Does

- Indicate which grants and/or funds will be involved with effort certification reporting
- Designed a certification process with routing and approvals using Employee Self-Service
Process Overview

Extracts Data

PHPECEX: Effort Certification Extract Process

Pre-review (optional)

Employee Self Service: Review or Certify Reports page

Employee Certification

Employee Self Service: Review or Certify Reports page

Review and Certify – Certification Administrator

Employee Self Service: Review or Certify Reports page

Post-review (optional)

Employee Self Service: Review or Certify Reports page
Pre/Post-Review Actions

• Review
  – a mandatory action that must be completed by the Certification Completion Date

• FYI
  – participant will be informed about the effort report during the pre-review period, but will not have to take any action

• Labor Redistribution Change
Employee Certification Actions

- Certify
- Request changes to report:
  - modify percentage
  - remove funding line
  - add funding line
Request Changes to Report

Employee Self Service
Change Request E-mail Template

Email sent based on employee entry and person responsible for grant

Yes:
- Labor Redistribution
- Re-extracted for certification

No, then returned to employee:
- Delete request or
- Change and re-submit
### Certification Actions

- **Certify**
  - Record locked against change

- **Request changes to report:**
  - modify percentage
  - remove funding line
  - add funding line

- **Super User**
  - Can see all reports and take action

**Grant**
- Participant is selected from FRAGRNT

**Fund**
- Financial Manager field on FTMFUND

**Organization**
- Financial Manager field on FTMORGN

**Person**
- Additional Queue members
Set Up

- Set Up Security
- Identify funds and grants to be involved with certification
- Set up Queue and Participants
- Provide rules for time frames and data for approval
- Extract Process to pull out the data
Set Up - Security

- Define certification administrators, superusers, and proxies (PTRUSER)
- Set up web tailor roles for certification administrators
- Map the URL of the server where the Effort Certification application is installed to Employee Self-Service.
Identify funds and grants to be involved with certification

- **Grant/Fund Requires Effort Certification** checkbox
  - Selecting the indicator on the FRAGRNT form
    - Automatically selects (checks) this checkbox on every fund tied to the grant
    - Indicator cannot be cleared on the fund code record
    - Clearing the indicator on FRAGRNT automatically clears the indicator on all funds tied to the grant
      - Warning message will display
  - Selecting the indicator on the FTMFUND form
    - For specific funds not associated with grants
  - Certification reports will be created for employees that:
    - Meet the Effort Period Rules established on PTRECPD and
    - Were paid from funds/grants with this indicator set (checked)
      - The system evaluates the checkbox on the last effective dated fund record (ignores effective dating)
Grant Maintenance Form (FRAGRNT)

• Effort Reporting window (tab)
  – Used for grants with Requires Effort Certification indicator checked
  – Optional
    • Warning message if no values entered
    • If not entered, all effort reported as Direct in the Non-sponsored portion of the report
  – Used for
    • Associating Accounting Element values with the grant
    • Classifying labor costs for purposes of effort reporting:
      – By charge type
      – By effort category classification
      – By report section
  – Excluded from the “Copy from Grant Code” function
    • Warning message will display
Fund Code Maintenance (FTMFUND)

- Grant associated with fund codes

- Grant/Fund Requires Effort Reporting checkbox

- Fund Requires Effort Allocation checkbox
  - Available only if Grant/Fund Requires Effort Reporting is checked
Set Up Queue and Participants

- Create a List of What Groups or People Will be in the Queue
- Define Source of Participants for Group
- Catch All Group (for labor redistributions)
- Define Which Participant Does What
- Add Additional Queue Members if Needed
Certification Categories and Groups

- NTVECCG: Effort Certification Category Code Form
  - Set up codes to mimic the OMB Circular A-21 four major categories of faculty effort
  - Set up additional institutional categories.
  - These codes will be associated with an Accounting element on the Effort Reporting tab of the Grant Maintenance Form (FRAGRNT) for the effort report.

- NTRECCG: Effort Certification Category Group Code Form (optional)
  - Provides a roll up reporting capability for the category codes
<table>
<thead>
<tr>
<th>Effort Certification Category Code</th>
<th>Description</th>
<th>Activity Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>ECCCODE</td>
<td>Effort Cert Category Code Test</td>
<td>05-MAR-2009</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Define Source of Participants for Group

NTVQPRT: Routing Queue Participant Code
- Enter codes for the approvers/reviewers for effort reporting.
- These codes could be for an individual or for an entity:

NTRQPRT: Queue Participant Rule
- Grant: Participant is selected from the FRAGRNT. Indicate which Personnel Indicator to select.
- Fund: Participant is selected from the Financial Manager field on FTMFUND
- Organization: Participant is selected from the Financial Manager field on FTMORGN
- Group: Define the participants on this form. For example, the Director and Assistant Director of the budget office could be assigned to a participant group of “Budget”
Catch All Group

A “Catch All Group” is a safety net. If no queue member exists for the Funds, Organizations, and Grants in Finance, this group will default as the approver.

Without this group, there is a potential that the transaction could be auto-approved.

You define the number of days that will pass after the labor redistribution has been processed before this group will default in. For example:

The budget office will default as approvers when redistributions occur 30 days or more after the original payroll transaction date and no approval action has taken place.
Define Which Participant Does What

NTRELQ: Effort Certification and Labor Redistribution Routing Queue Rules Form

- Pre Reviewer
- Alternate Certifier
- Post Reviewer
- Required Certification for Graduate Students
- Separate routing set up for labor redistribution
Add Additional Queue Members if Needed

• Effort Certification and Labor Redistribution
  Additional Queue Members Form (NTRELAQ)
  – Assign additional queue members by organization code
  – Add by ID number
  – Give pre/post review role
  – Can be alternate certifier
  – Can be set up to certify for graduate students
  – Separate routing set up for labor redistribution
<table>
<thead>
<tr>
<th>User ID</th>
<th>ID</th>
<th>Name</th>
<th>Pre-Reviewer</th>
<th>Alternate Certifier</th>
<th>Required Certification for Graduate Students</th>
<th>Post-Reviewer</th>
</tr>
</thead>
<tbody>
<tr>
<td>ADRIANL</td>
<td>G00726168</td>
<td>Loretta P Adrian</td>
<td>FYI</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Include or Exclude Fund Type

- [X] Include
- [ ] Exclude
- [ ] Include All

Reviewer Action: Select an action for the queue participant.
Define Period Codes, Dates, and Data Extract

• **PTVECPD:** Effort Certification Period Code Validation Form
  - Define codes

• **PTRECPD:** Effort Certification Period Rules Form
  - Define start/end dates of certification period
  - Define when data can be accessed on Employee Self Service
  - Define pay ID/employee class or position class and earnings codes to be extracted
## Payroll Information

<table>
<thead>
<tr>
<th>Payroll ID</th>
<th>Start Pay Event Year</th>
<th>Start Pay Event Number</th>
<th>End Pay Event Year</th>
<th>End Pay Event Number</th>
<th>Start Date</th>
<th>End Date</th>
<th>Activity Date</th>
</tr>
</thead>
</table>

## Employee Class Information

<table>
<thead>
<tr>
<th>Employee Class</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>3F</td>
<td>Faculty - Instructional</td>
</tr>
</tbody>
</table>

## Earnings Information

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>HOL</td>
<td>Holiday Pay</td>
</tr>
<tr>
<td>REG</td>
<td>Regular Pay</td>
</tr>
<tr>
<td>SCK</td>
<td>Sick Leave, Adjunct Illness</td>
</tr>
<tr>
<td>VAC</td>
<td>Vacation Pay</td>
</tr>
</tbody>
</table>

## Additional Information

- **COA:** 1
- **Effort Certification Period:** ECPCODE
- **Review Begin Date:** 01-SEP-2009
- **Certification Begin Date:** 01-SEP-2009
- **Certification Completion Date:** 15-OCT-2009
- **Post Review End Date:** 30-OCT-2009
- **Access on Self-Service Date:** 15-NOV-2009
- **Make Available in Self-Service:** Yes
PHPECHEX: Extract Data

- Certification Period
- Process mode – initial, update, restart
- Delete comments
- Delete Routing – delete ‘on the fly’ queue members
- By Person
- By Population selection
Questions?
Contact Information

Strata Information Group
3935 Harney Street, Suite 230
San Diego, California  92110
619-296-0170
www.sigcorp.com

Sue Jennings  
Sr. Consultant  
314-920-1079  
jennings@sigcorp.com

Anita Ng
Sr. Consultant
719-271-7887
ng@sigcorp.com