

## Effort Reporting and Labor Redistribution in Banner 8.x

Presented by: Heather Germano  
SunGard Higher Education  
April 12, 2010  
Session ID 1212

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### Session Rules of Etiquette

- Please turn off your cell phone/pager
- If you must leave the session early, please do so as discreetly as possible
- Please avoid side conversation during the session

Thank you for your cooperation!

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### Agenda

- Enhancement Overview
- Details of the Enhancement
  - Rules and Approvals set-up
  - Effort Certification process
  - Labor Redistribution process
- Questions and Answers

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SUNGARD  
SUMMIT2010  
Today's Priorities. Tomorrow's Possibilities.



## Enhancement Overview

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### Compliance is Critical!

- OMB Circular A-21 specifies:
  - Effort must be certified by employee, principal investigator, responsible official(s), or by a person having direct knowledge of the work performed.
  - Effort is certified using suitable means of verification that the work was performed if all or a portion of the employee's effort is on federal and/or federal pass-through awards.



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### What is available with this new functionality?

- Functionality Highlights
  - Facilitates OMB A-21 compliance using the "after the fact method"
  - Enables Employee Self-Service effort reporting review and certification
  - Automates routing, review, and/or certification for effort reporting
  - Provides Employee Self-Service initiation of labor redistributions
  - Automates routing and approvals for labor redistributions
  - Maintains history for audit purposes

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## Enhancement Details

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### Rules, Rules, and Approvals!



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### Effort Certification Set up Forms

1. FRAGRNT – Grant Maintenance Form
2. FTMFUND – Fund Code Maintenance Form
3. NTRINST - Position Control Installation Rules Form
4. PTRUSER – Changed to define “Superusers”
5. GOAEACC - Enterprise Access Controls Form
6. Set Up Web Access to the Effort Certification Menu
  - a) Only needed if you have custom main Employee menu
7. Set Up Effort Certification Administrators
8. PTRECR – Effort Certification Rules
9. PTVECPD – Effort Certification Code Validation

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## Effort Certification Set up Forms

10. PTRECPD – Effort Certification Period Rules
11. NTVECCG – Effort Certification Category Type Validation
12. NTRECCG – Effort Category Rule Form
13. NTVQPRT – Routing Queue Participant Validation
14. NTRQPRT – Routing Queue Participant Rules
15. NTRELQ – Default Routing Queue
16. NTRELAQ – Additional Queue Members
17. NTVPRXM – Proxy Module Code Validation
18. NTRPROX – Changed to include Proxies for effort reporting and labor redistribution

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## Set Up Banner Finance for Effort Certification

1. FRAGRNT – Grant Maintenance Form
2. FTMFUND – Fund Code Maintenance Form

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## Grant Maintenance Form (FRAGRNT)

- Define which grants require effort certification.

Grant: [ ] Proposal: [ ] Text Entry: [ ]

Chart of Accounts: [ ] Responsible Organization: [ ]

Agency: [ ] Principal Investigator ID: [ ] Project Start Date: [ ] Project End Date: [ ] Project End Date: [ ] Expenditure End Date: [ ] Proposal: [ ]

Status: [ ] Alternate Description: [ ] Status Date: [ ]

Current Amount: [ ] Cumulative Amount: [ ] Maximum Amount: [ ]

Grant Type: [ ] Category: [ ] Sub Category: [ ]

Sponsor ID: [ ]

Requires Effort Certification: ☒

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### Grant Maintenance Effort Reporting Tab (FRAGRNT)

[illegible]

## Fund Code Maintenance Form (FTMFUND)

- When the fund is associated with a grant the flag is populated from the grant.

Chart of Accounts Maintenance - PeopleSoft (1/1/2009)

Chart of Accounts: Grant: DCC00000 Fund: DCC1230

## Fund Code Maintenance Form (FTMFUND)

- Define which funds require effort certification.

[illegible]

## Set Up Security for Effort Certification

### 3. NTRINST - Position Control Installation Rules Form

### 4. PTRUSER – Changed to define “Superusers”

### 5. GOAEACC - Enterprise Access Controls Form

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## Position Control Installation Form (NTRINST)

- Establish Proxy Assuming Superuser Capabilities
- Establish URL and Password for Web Service

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## User Code Rules Form (PTRUSER)

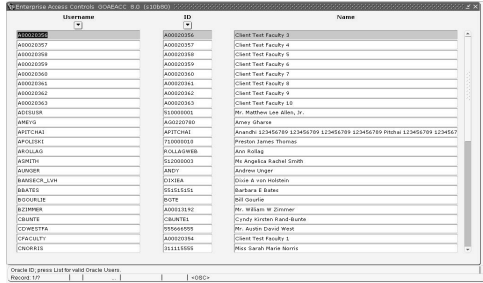
- Establish Effort Certification Superusers

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## Enterprise Access Controls Form (GOAEACC)

- Associate the Oracle IDs of all effort certification administrators with a Banner ID



Username	ID	Name
ADMINISTRATOR	A00000000	Client Test Faculty 3
ADMINISTRATOR	A00000001	Client Test Faculty 4
ADMINISTRATOR	A00000002	Client Test Faculty 5
ADMINISTRATOR	A00000003	Client Test Faculty 6
ADMINISTRATOR	A00000004	Client Test Faculty 7
ADMINISTRATOR	A00000005	Client Test Faculty 8
ADMINISTRATOR	A00000006	Client Test Faculty 9
ADMINISTRATOR	A00000007	Client Test Faculty 10
ADMINISTRATOR	A00000008	Client Test Faculty 11
ADMINISTRATOR	A00000009	Client Test Faculty 12
ADMINISTRATOR	A00000010	Client Test Faculty 13
ADMINISTRATOR	A00000011	Client Test Faculty 14
ADMINISTRATOR	A00000012	Client Test Faculty 15
ADMINISTRATOR	A00000013	Client Test Faculty 16
ADMINISTRATOR	A00000014	Client Test Faculty 17
ADMINISTRATOR	A00000015	Client Test Faculty 18
ADMINISTRATOR	A00000016	Client Test Faculty 19
ADMINISTRATOR	A00000017	Client Test Faculty 20
ADMINISTRATOR	A00000018	Client Test Faculty 21
ADMINISTRATOR	A00000019	Client Test Faculty 22
ADMINISTRATOR	A00000020	Client Test Faculty 23
ADMINISTRATOR	A00000021	Client Test Faculty 24
ADMINISTRATOR	A00000022	Client Test Faculty 25
ADMINISTRATOR	A00000023	Client Test Faculty 26
ADMINISTRATOR	A00000024	Client Test Faculty 27
ADMINISTRATOR	A00000025	Client Test Faculty 28
ADMINISTRATOR	A00000026	Client Test Faculty 29
ADMINISTRATOR	A00000027	Client Test Faculty 30
ADMINISTRATOR	A00000028	Client Test Faculty 31
ADMINISTRATOR	A00000029	Client Test Faculty 32
ADMINISTRATOR	A00000030	Client Test Faculty 33
ADMINISTRATOR	A00000031	Client Test Faculty 34
ADMINISTRATOR	A00000032	Client Test Faculty 35
ADMINISTRATOR	A00000033	Client Test Faculty 36
ADMINISTRATOR	A00000034	Client Test Faculty 37
ADMINISTRATOR	A00000035	Client Test Faculty 38
ADMINISTRATOR	A00000036	Client Test Faculty 39
ADMINISTRATOR	A00000037	Client Test Faculty 40
ADMINISTRATOR	A00000038	Client Test Faculty 41
ADMINISTRATOR	A00000039	Client Test Faculty 42
ADMINISTRATOR	A00000040	Client Test Faculty 43
ADMINISTRATOR	A00000041	Client Test Faculty 44
ADMINISTRATOR	A00000042	Client Test Faculty 45
ADMINISTRATOR	A00000043	Client Test Faculty 46
ADMINISTRATOR	A00000044	Client Test Faculty 47
ADMINISTRATOR	A00000045	Client Test Faculty 48
ADMINISTRATOR	A00000046	Client Test Faculty 49
ADMINISTRATOR	A00000047	Client Test Faculty 50
ADMINISTRATOR	A00000048	Client Test Faculty 51
ADMINISTRATOR	A00000049	Client Test Faculty 52
ADMINISTRATOR	A00000050	Client Test Faculty 53
ADMINISTRATOR	A00000051	Client Test Faculty 54
ADMINISTRATOR	A00000052	Client Test Faculty 55
ADMINISTRATOR	A00000053	Client Test Faculty 56
ADMINISTRATOR	A00000054	Client Test Faculty 57
ADMINISTRATOR	A00000055	Client Test Faculty 58
ADMINISTRATOR	A00000056	Client Test Faculty 59
ADMINISTRATOR	A00000057	Client Test Faculty 60
ADMINISTRATOR	A00000058	Client Test Faculty 61
ADMINISTRATOR	A00000059	Client Test Faculty 62
ADMINISTRATOR	A00000060	Client Test Faculty 63
ADMINISTRATOR	A00000061	Client Test Faculty 64
ADMINISTRATOR	A00000062	Client Test Faculty 65
ADMINISTRATOR	A00000063	Client Test Faculty 66
ADMINISTRATOR	A00000064	Client Test Faculty 67
ADMINISTRATOR	A00000065	Client Test Faculty 68
ADMINISTRATOR	A00000066	Client Test Faculty 69
ADMINISTRATOR	A00000067	Client Test Faculty 70
ADMINISTRATOR	A00000068	Client Test Faculty 71
ADMINISTRATOR	A00000069	Client Test Faculty 72
ADMINISTRATOR	A00000070	Client Test Faculty 73
ADMINISTRATOR	A00000071	Client Test Faculty 74
ADMINISTRATOR	A00000072	Client Test Faculty 75
ADMINISTRATOR	A00000073	Client Test Faculty 76
ADMINISTRATOR	A00000074	Client Test Faculty 77
ADMINISTRATOR	A00000075	Client Test Faculty 78
ADMINISTRATOR	A00000076	Client Test Faculty 79
ADMINISTRATOR	A00000077	Client Test Faculty 80
ADMINISTRATOR	A00000078	Client Test Faculty 81
ADMINISTRATOR	A00000079	Client Test Faculty 82
ADMINISTRATOR	A00000080	Client Test Faculty 83
ADMINISTRATOR	A00000081	Client Test Faculty 84
ADMINISTRATOR	A00000082	Client Test Faculty 85
ADMINISTRATOR	A00000083	Client Test Faculty 86
ADMINISTRATOR	A00000084	Client Test Faculty 87
ADMINISTRATOR	A00000085	Client Test Faculty 88
ADMINISTRATOR	A00000086	Client Test Faculty 89
ADMINISTRATOR	A00000087	Client Test Faculty 90
ADMINISTRATOR	A00000088	Client Test Faculty 91
ADMINISTRATOR	A00000089	Client Test Faculty 92
ADMINISTRATOR	A00000090	Client Test Faculty 93
ADMINISTRATOR	A00000091	Client Test Faculty 94
ADMINISTRATOR	A00000092	Client Test Faculty 95
ADMINISTRATOR	A00000093	Client Test Faculty 96
ADMINISTRATOR	A00000094	Client Test Faculty 97
ADMINISTRATOR	A00000095	Client Test Faculty 98
ADMINISTRATOR	A00000096	Client Test Faculty 99
ADMINISTRATOR	A00000097	Client Test Faculty 100

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## Set Up Web Tailor for Effort Certification

### 6. Set Up Web Access to the Effort Certification Menu

- a) Only needed if you have custom main Employee menu

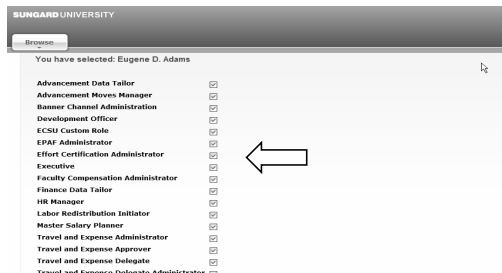
### 7. Set Up Effort Certification Administrators

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## Web Roles for Effort Certification Administrators

- Set up a user as an Effort Certification Administrator



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You have selected: Eugene D. Adams

Advancement Data Tailor	<input type="checkbox"/>
Advancement Moves Manager	<input type="checkbox"/>
Banner Channel Administration	<input type="checkbox"/>
Development Officer	<input type="checkbox"/>
ECRM Custom Role	<input type="checkbox"/>
EPAF Administrator	<input type="checkbox"/>
Effort Certification Administrator	<input checked="" type="checkbox"/>
Executive	<input type="checkbox"/>
Faculty Compensation Administrator	<input type="checkbox"/>
Finance Data Tailor	<input type="checkbox"/>
HR Manager	<input type="checkbox"/>
Labor Redistribution Initiator	<input type="checkbox"/>
Master Salary Planner	<input type="checkbox"/>
Travel and Expense Administrator	<input type="checkbox"/>
Travel and Expense Approver	<input type="checkbox"/>
Travel and Expense Delegate	<input type="checkbox"/>
Travel and Expense Delegation Administrator	<input type="checkbox"/>

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## Build An Effort Certification Process

### 8. PTRECR - Effort Certification Rules

### 9. PTVECPD - Effort Certification Code Validation

### 10. PTRECPD - Effort Certification Period Rules

### 11. NTVECCG - Effort Certification Category Type Validation

### 12. NTRECCG - Effort Category Rule Form

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## Build An Effort Certification Process

### 13. NTVQPRT - Routing Queue Participant Validation

### 14. NTRQPRT - Routing Queue Participant Rules

### 15. NTRELQ - Default Routing Queue

### 16. NTRELAQ - Additional Queue Members

### 17. NTVPRXM - Proxy Module Code Validation

### 18. NTRPROX - Changed to include Proxies for effort reporting and labor redistribution

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## Effort Certification Rules Form (PTRECR)

- Create rules for Graduate Student Certification Signatures on PTRECR. Grad students have an EEO Skills Code of "80" on NTRPCLS.
- Enter the Effort Certification Statement for the Effort Report.
- Enter the Allocation Statement for the Allocate Effort Window.

The screenshot shows a web-based form titled "PTRECR Form". It contains several sections:

- Graduate Student Certification:** A dropdown menu with options: "Optional", "No Signature Required", and "Required".
- Certification Statement:** A text area with a placeholder text: "This is the statement that is displayed on the 'Certification Statement' field in the effort report. This statement is for the report. (Note: This can be customized to fit the institution's needs.)"
- Allocation Statement:** A text area with a placeholder text: "This is the statement that is displayed in the 'Allocate Effort' window when the user clicks on the 'Allocate Effort' button from the 'Effort Report' page. This statement is for the report. (Note: This can be customized to fit the institution's needs.)"
- Certification Statement:** A text area with a placeholder text: "Certification Statement: Enter the statement that will display on the effort certification report when the user certifies to the report."

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- Create processing order priority
- Create sort order for the report sections

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Oracle Developer Forms Runtime - Web: Open > PIVCPO

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- **Define Effort Certification Period Rules**

27[illegible]

## Effort Certification Period Rules (PTRECPD)

- Define Effort Certification Period Rules - Employee Classes, Position Classes, and Earnings

PTRECPD - Effort Certification Period Rules

Review Begin Date: 01-Jan-2009 Certification Begin Date: 01-Jan-2009 Certification Completion Date: 01-Jan-2009 Past Review End Date: 01-Jan-2009

Employee Class	Position Class	Activity Date	User ID
01	01	01-Jan-2009	01-Jan-2009
02	02	02-Feb-2009	02-Feb-2009
03	03	03-Mar-2009	03-Mar-2009
04	04	04-Apr-2009	04-Apr-2009
05	05	05-May-2009	05-May-2009
06	06	06-Jun-2009	06-Jun-2009
07	07	07-Jul-2009	07-Jul-2009
08	08	08-Aug-2009	08-Aug-2009
09	09	09-Sep-2009	09-Sep-2009
10	10	10-Oct-2009	10-Oct-2009
11	11	11-Nov-2009	11-Nov-2009
12	12	12-Dec-2009	12-Dec-2009

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## Effort Certification Period Rules (PTRECPD)

- Copy Function

PTRECPD - Effort Certification Period Rules

COA: 01 Effort Certification Period Code: 01

Copy Rules:

Copy Rules
01
02
03
04
05
06
07
08
09
10
11
12

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## Effort Certification Category Code Validation Form (NTVECCG)

- Define Effort Certification Category Codes

NTVECCG - Effort Certification Category Code Validation

Effort Certification Category Code	Description	Activity Date	User ID
01	Administrative Activities	01-Jan-2009	01-Jan-2009
02	Administrative Expenses	02-Feb-2009	02-Feb-2009
03	Cost Share Activities	03-Mar-2009	03-Mar-2009
04	Cost Share Organized Research	04-Apr-2009	04-Apr-2009
05	Cost Share Organized Research	05-May-2009	05-May-2009
06	Cost Share Public Service	06-Jun-2009	06-Jun-2009
07	Cost Share Public Service	07-Jul-2009	07-Jul-2009
08	Cost Share Public Service	08-Aug-2009	08-Aug-2009
09	Cost Share Public Service	09-Sep-2009	09-Sep-2009
10	Cost Share Public Service	10-Oct-2009	10-Oct-2009
11	Cost Share Public Service	11-Nov-2009	11-Nov-2009
12	Cost Share Public Service	12-Dec-2009	12-Dec-2009

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- **Group the Effort Certification Categories (Optional)**

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- Define Routing Queue participants on NTVQPRT

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- **Define the Rules for the Queue Participants**

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## Effort Certification and Labor Redistribution Routing Queue (NTRELRO)

- Create the default routing queue

Participant	Data Source	Pre-Reviewer	Alternate Certifier	Required Certification for Graduate Students	Post-Reviewer
Principal Investigator	Grant	None	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	None
Principal Investigator	Grant	None	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	None

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## Effort Certification and Labor Redistribution Routing Queue (NTRELRO)

- Create the default routing queue

Participant	Data Source	Pre-Reviewer	Alternate Certifier	Required Certification for Graduate Students	Post-Reviewer
Principal Investigator	Grant	None	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	None
Principal Investigator	Grant	None	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	None

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## Effort and Labor Additional Queue Members (NTRELAQ) – Effort Certification Tab

- Add any organization-specific users, their actions, and related fund types.

User ID	ID	Name	Pre-Reviewer	Alternate Certifier	Required Certification for Graduate Students	Post-Reviewer
33309850	93309850	Kim Johnson	PI	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Review

Include or Exclude Fund Type

Include Exclude Exclude All

Fund Type

File 4040: Transaction complete. 1 records applied and saved.

Record 1/1

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## Proxy Module Code Validation (NTVPRXM)

Proxy Module Code	Description	Activity Date	User ID
OFFER	OFFER CERTIFICATION	11-AUG-2003	POBNCITL
LETTER	Letter Acknowledgment	11-AUG-2003	POBNCITL
TIME	Time Entry	11-AUG-2003	POBNCITL

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## Electronic Approvals Proxy Rules (NTRPROX)

User ID: [JOURNALS]

Electronic Approval Other Modules

Proxy

Proxy ID: [12]

Activity Date: [11-APR-2003]

Proxy Modules

Modules: [12]

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## Effort Reporting Rules Set Up Summary

- Step 1—Set Up Banner Finance for Effort Certification
- Step 2—Set Up Security for Effort Certification
- Step 3—Set Up Web Tailor for Effort Certification
  - Step 3.1—Set Up Access to the Effort Certification Self-Service Menu
  - Step 3.2—Set Up Effort Certification Administrator Role
- Step 4—Build An Effort Certification Process
  - Step 4.1—Set Up the Certification Process for Effort Reports
  - Step 4.2—(Optional) Set Up a Pre-Review Process for Effort Reports
  - Step 4.3—(Optional) Set Up a Post-Review Process for Effort Reports
- Step 5—Set Up Proxy Users for Effort Certification

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## Effort Reporting



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## Certify My Effort

A screenshot of a web application titled "Certify My Effort". The interface includes a sidebar with navigation links like "Certify My Effort", "Review or Certify Reports", and "Print or Signatures". The main area shows a table with columns for "Code", "Report Period", "Start Date", "End Date", "Status", and "Unlocked/Unlocked". There is a search bar and a list of items below the table.

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## Review or Certify Effort

A screenshot of a web application titled "Review or Certify Effort". The interface is similar to the previous one, but the main area shows a table with columns for "Code", "Report Period", "Last Name", "First Name", "ID", "Start Date", "End Date", "Status", and "Unlocked/Unlocked". There is a search bar and a list of items below the table.

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[illegible]

**?** Certify

I certify that I have first hand knowledge of the activity reflected on this report, and that the effort distribution is a reasonable estimate of the effort expended during the period covered by this report.

Cancel I Agree

[illegible]

### Effort Report – Comments

[illegible]

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### Effort Report - Routing

[illegible]

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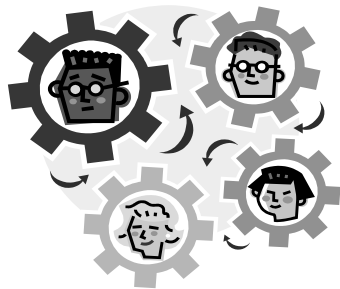
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## Labor Redistributions



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- **Create the default routing queue**

49[illegible]

## 50

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## 51

[illegible]

## Labor Redistribution – Find and Replace

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## Labor Redistribution Initiator

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## Labor Redistribution – Update Distributions

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### Labor Redistribution - Initiated

[illegible]

### Labor Redistribution – Approval List

[illegible]

**Labor Redistribution – Approve Redistribution**

[illegible]

## Labor Redistribution - Comments

The screenshot shows the 'Labor Redistribution - Comments' window. It features a sidebar on the left with 'Redistribution Approvals' and 'Comments' sections. The main area displays a list of comments for a specific redistribution. The comments are sorted by date, with the most recent at the top. The window also includes a sidebar on the right with 'Play Record & Search' and 'Redistribution Details' sections.

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## Labor Redistribution - Routing

The screenshot shows the 'Labor Redistribution - Routing' window. It features a sidebar on the left with 'Redistribution Approvals' and 'Routing' sections. The main area displays a list of routing tasks for a specific redistribution. The tasks are sorted by date, with the most recent at the top. The window also includes a sidebar on the right with 'Play Record & Search' and 'Redistribution Details' sections.

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## Labor Redistribution – Add New Member

The screenshot shows the 'Add New Member' dialog box. It has three input fields: 'Name' (with a dropdown menu), 'Sequence' (a text box), and 'Action' (a dropdown menu). The 'Name' field is currently set to 'Presley, Priscilla - 6206'. The 'Sequence' field is set to '10.00'. The 'Action' field is set to 'PTI'. At the bottom of the dialog are 'Cancel' and 'Save' buttons.

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### Summary

- Was made available in October 2008 with Banner HR 8.1
- Provides a method of reporting effort charged to grants
  - Facilitates A-21 compliance using the “after the fact method”
  - Employee Self-Service effort reporting review and certification
  - Routing for effort reporting
  - Maintaining history for audit purposes
- Provide improvements to current Labor Redistribution Process
  - Ability to initiate a Labor Redistribution in Employee Self-Service
  - Routing and approvals for labor redistributions

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### Questions & Answers



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**Thank You!**

**Heather Germano**  
**heather.germano@sungardhe.com**

**Please complete the online class evaluation form**  
**Session ID 1212**

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