



Guide to the Effort Certification Module

Kuali

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Contents

Introduction	5
Effort Certification Batch Processes	6
Effort Certification Transaction Documents	7
Effort Certification Document	8
Effort Certification Recreate	19
Effort Certification Custom Document Search	23
Effort Certification (search)	24
Effort Certification Reports	25
Duplicate Certifications Report	26
Effort Certification Extract Build	27
Outstanding Certifications by Chart/Org/Report	29
Outstanding Certifications By Report	30
Effort Certification Attribute Maintenance Documents	31
Report Definition	32
Report Earn Paygroup	35
Report Period Status Code	36
Report Type	37
Generating Effort Certification documents	38
Extracting Effort Data from the Labor Ledger	39
Creating Effort Reports from Extracted Data	44
Index	46



Introduction

The Kualu Financials Effort Certification module uses a batch process to automate the creation of effort certification documents. These documents certify the percentage of effort an employee worked on a particular project. Each employee identified as being funded by or cost-shared on a sponsored agreement has an effort certification document generated by a batch process. Each document routes for approval and may be modified to correct the distribution of effort. After being fully approved, an effort certification document generates Salary Expense Transfer documents to align the Labor Ledger and General Ledger with the newly certified effort. The fully-approved effort certification document serves as a permanent record detailing the distribution of effort for an employee for a given period.

This module allows your institution to control the periods for which effort certification documents are created and the types of employees that are included in a particular group of documents. You may also recreate effort certification documents, view effort certification documents still outstanding for approvals, inquire on the extracted Labor Ledger data used to build effort certification documents, and more.



In order to work efficiently in the system's Effort Certification documents, you need to understand the basics of the Kualu Financials user interface. For information and instructions on logging on and off, navigating, understanding the components of the system, and performing basic operations in the system, see the *Overview and Introduction to the User Interface*.



Effort Certification Batch Processes

Users do not interact directly with Quali Financials batch processes, but some users want to understand how these processes keep the database up to date. For users who are interested, the following table summarizes the functions of the system's Effort Certification batch processes. These processes, which are run according to a predetermined schedule, not only keep your database up to date but, in some cases, generate new documents as needed to make certain types of adjustments.

Effort Certification Batch Jobs

Job Name	Description
effortCertificationExtractJob	Extracts data from the Labor Ledger in order to create Effort Certification documents.
effortCertificationCreateJob	Creates Effort Certification documents.



For more information on creating Effort Certification documents, see [Generating Effort Certification documents](#).



Effort Certification Transaction Documents

Effort Certification Attribute Maintenance Documents

Inquiry	Description
Effort Certification Document	System created document from the Labor Distribution module for specified Contracts and Grant accounts.
Effort Certification Recreate	Allows authorized users to recreate Effort Certification documents that have already been approved.



Effort Certification Document

An effort reporting system is a mandatory requirement of the U.S. Office of Management and Budget's (OMB) Circular A-21, the costing guidelines for educational institutions.


The effort certification documents provide an after-the-fact method of accounting for effort for employees who are paid in whole or part, or are cost-shared, as part of a sponsored agreement. Effort certification confirms that the distribution of an employee's salary and wages to sponsored projects (represented by Kual Financials accounts) and all other activities reasonably reflects the actual activity of the employee.

Effort certification documents route electronically to persons who can personally verify the activity of the individual covered by the document. Typically, individuals capable of verifying effort are the principal investigator of a sponsored project and a responsible fiscal officer using a suitable means of verification that the work was performed.

Effort certification documents are normally completed for all persons who fall into any of the following categories.

- An employee who received full or partial compensation from a sponsored agreement (anyone paid from any grant, contract or other agreement between the institution and a sponsoring agency)
- An employee who spent some or all of his or her effort to meet a cost-sharing commitment

Kuali Financials also allows your institution to specify that only employees paid from or cost-shared on federal or federal pass-through projects should have effort certification documents created.

 Effort certification documents are *not* generated for employees not funded or cost-shared on sponsored agreements.




Document Layout

The Effort Certification document includes **Document Overview**, **Report Information**, **Effort Summary**, and **Effort Detail** tabs.


The Effort Certification document displays somewhat differently to different users. The **Effort Summary** tab is displayed only to users identified as project directors.

Effort Certification document tabs

Tab Name	Purpose
Document Header	Contains basic identification and status information for this document.
Document Overview	Contains a short description, longer explanation and organization document number fields.
Report Information	Identifies the employee and time period this effort certification document pertains to. Also provides an identifying report number.
Effort Summary	Displays the current effort distribution (reflected as both percents and dollars) by account and cost share sub-account. Federal and Federal Pass Through accounts are segregated from other sponsored and non-sponsored accounts.  Note that this tab is included only in the project Director's view.
Effort Detail	Contains all the data found in the Effort Summary tab plus additional information for the current effort distributions, such as object code, position number, cost share source-accounts and fringe benefit amounts.

Document Header

As in other Quali Financials documents, the header section contains basic identification and status information about the document.

 For information about the standard document header, see Document Header in the *Overview and Introduction to the User Interface*.



Document Overview Tab

Similar to other Kualo Financials documents, this tab contains a description, explanation and organization document number. Note that the description of an effort certification name is automatically set to the name of the employee whose effort is recorded on the document.



For information about the standard **Document Overview** tab, see Document Overview Tab in the *Overview and Introduction to the User Interface*.

Report Information Tab

This tab identifies the employee whose effort is detailed in this effort certification document. It also specifies the time periods this effort certification document pertains to and provides an identifying report number.

Report Information tab field definitions

Title	Description
Employee Name	The name of the employee whose effort is recorded on this effort certification document. Click the employee name to open the principal inquiry in a separate window and view additional information about the employee.
Report End Date	The end of the date range included in this effort certification document. Labor ledger entries with payroll year and period after this date are not included in this effort certification document.
Report Number	A number that uniquely identifies a batch of effort certification documents for a certain group of employees and a given reporting period. The format of the report number is fiscal year (of report generation)-report number. Click the number to open the Report Definition inquiry.
Report Start Date	The Report Start Date is set to the day following the fiscal period end date of the period prior to the report start fiscal period. For example, if the Report Start Fiscal Period is 02, the start date will be the day following Accounting Period 01 fiscal period end date.



Effort Summary Tab

The **Effort Summary** tab shows the accounts to which effort is currently distributed for this employee. It also includes an **Add** section to allow the addition of new accounting lines, and it displays grand totals for all the sections.

Current effort distribution accounting lines are organized into two sections: **Federal and Federal Pass Through Accounts** and **Other Sponsored and Non-Sponsored Accounts**. Changes to existing effort distributions can be made in these sections by changing either the effort percentage or the salary and clicking the **recalculate** button.


Note that unlike Quali Financials financial documents, which restrict the accounting lines a user can edit, project directors and fiscal officers can normally modify any line on the Effort Certification document regardless of their association with the account appearing on the line. This difference is due to the fact that effort must total 100 percent, so an increase in one line necessitates the reduction in effort on another line. Special routing has been added to this document to ensure that project directors and fiscal officers are notified of changes made by other users that involve their accounts.

Any modification to the effort, whether through modifying existing lines or adding new ones, requires the user making the change to add a note to the document. The note should explain the reason for the change in effort. If multiple users make changes, every user who modifies the document is required to add a separate note.

Add New Detail Line Section

This section allows for the addition of new accounting lines for effort distribution.

Effort Summary tab, Add New Detail Line section definitions

Title	Description
Account Number	Required. Enter the account number you want to add to this employee's effort distribution or use the Account lookup.
Chart	Required. Enter the chart to which the new account belongs or use the Chart lookup.  When the parameter <code>Accounts_Can_Cross_Charts</code> is set to No, the system derives the chart code from the account number entered, and an entry in this field is not required.
Effort	Enter the percentage of effort you want to assign to this new accounting line. The percentage must be entered as an integer (no decimal allowed).
Salary	When the line is added, the system calculates the salary amount based on the specified effort.



Sub-Account

Optional. If the new effort distribution being added is to be distributed to a sub-account, enter the appropriate sub-account here or use the **Sub-Account** lookup icon.

Federal and Federal Pass Through Accounts and Other Sponsored and Non-Sponsored Accounts Sections

These two sections are identically configured, and both contain information about the accounts to which the employee's effort is currently distributed. Lines added via the **Add** section also appear here after the **Add** button has been clicked.

The two sections distinguish accounts identified as Federal or Federal Pass Through from all other accounts pertaining to the employee's effort distribution.

Whether or not an account is considered federal is determined by checking the agency of the most recent award (if any) associated with this account. Each agency has an associated agency type code attribute. An institution then designates the type codes they want to define as federal agency type codes via the system parameter FEDERAL_AGENCY_TYPE_CODE. If the agency's associated agency type code is identified as federal by this parameter, then all accounts associated with awards from that agency will be considered federal for the purposes of effort certification.


Similarly, the federal pass through distinction is made by checking the most recent award associated with an account (if any). If the federal pass through indicator flag on the award is Y, then the account is considered federal pass through for the purposes of effort certification.

If the account is not identified as federal or federal pass through, based on the criteria above, then it will appear in the **Other Sponsored and Non-Sponsored Accounts** section.

Effort Summary tab, Federal and Federal Pass Through and Other Sponsored and Non-Sponsored Accounts section definitions

Title	Description
Account Number	The account number associated with this line of effort distribution. To modify the number, enter the new value or use the Account lookup icon.
Actions	Choose any of these actions: recalculate : Click to recalculate the salary amount for a line after you have made a modification to that line's effort percentage. delete : Click to delete a line you have added. Available only for distribution lines that have been added to the document by the current user. Other lines cannot be deleted; as an alternative, you may change the Effort entry to zero. revert : Click to reset values you have changed.



Chart	The chart to which the account specified on this line belongs. To modify the entry, enter the new value or use the Chart lookup icon.
Effort	The current percentage of effort to be associated with this line. If no changes have been made to the effort distribution then this percentage will match the percentage shown in the Original Effort column. To modify the entry, enter the new percentage (integers only).
Original Effort	Original percentage of effort for this distribution line. This reflects the effort as it was in the Kualu Financials Labor Ledger at the time the effort report was created.
Original Salary	The original salary amount associated with the effort on this distribution line. This value reflects the original salary amount in the Kualu Financials Labor Ledger at the time the effort report was created. Clicking the amount in this field will open an inquiry into the Labor Ledger A21 view, displaying information for this employee, fiscal year and report period(s).
Salary	The current salary amount to be associated with this line. If no changes have been made to the effort distribution then this amount will match the salary shown in the Original Salary column. When a change to effort is made, the system recalculates salary as $(\text{Effort}/100) * \text{Original Total Salary amount}$. Modification of the salary line is not allowed unless the effort for that line has been modified. Due to the rounding inherent in modifying effort by percentage, occasionally you may be required to manually adjust a salary amount slightly in order to match the original salary grand total. To modify the salary amount, enter the new value.  Note that total salary cannot change by more than .009 (rounding) and you can change the salary amount of a given line only by up to half a percent of the total amount $(.005 * \text{Original Amount})$.
Sub-Account	The sub-account associated with the effort on this line. To modify the sub-account, enter the new value or use the Sub-Account lookup icon.
Subtotals Grand Totals	Subtotals are displayed for Original Effort, Effort, Original Salary and Salary for each section. A Grand Total section displays at the bottom of the tab, summarizing both sections.

Effort Detail Tab


The **Effort Detail** tab is intended for use by fiscal officers and Contracts and Grants staff members. It contains all the information found in the **Effort Summary** tab and includes additional fields.

The organization of the **Effort Detail** tab is identical to that of the **Effort Summary** tab. Fields that appear only on the **Effort Detail** tab are explained in the table below. For all other fields, consult the table explaining the [Effort Summary tab](#).



Federal and Federal Pass Through Accounts and Other Sponsored and Non-Sponsored Accounts Sections

Effort Detail tab, Federal and Federal Pass Through Accounts and Other Sponsored and Non-sponsored Accounts section definitions

Title	Description
F-Ben	<p>The current fringe benefit amount for this distribution line. Changes to effort will change both salary and fringe benefits when the recalculate button is clicked.</p> <p> For information on how fringe benefits are calculated, see Labor Distribution in the <i>Guide to the Labor Distribution Module</i>.</p>
Object	<p>The object code associated with the effort on this distribution line. Fiscal officers and Contracts and Grants administrators can modify object codes. Object codes on existing lines cannot be modified but when new lines are added an object code can be selected. In this case the object code selected is limited to the other object codes that already appear on the effort report. Modify an object code by selecting the appropriate code from the list.</p>
Original F-Ben	<p>The original fringe benefit amount associated with this distribution line.</p>
Position	<p>The position number associated with the effort reported on this line. Fiscal officers and Contracts and Grants administrators can modify position numbers. Position numbers on existing lines cannot be modified but when new lines are added a position number can be selected for that line. In this case the position number selected is limited to the other position numbers that already appear on the effort report. Modify a position number by selecting the appropriate value from the list.</p>
Source Account	<p>If this distribution is associated with a cost share sub-account, this field will display the source account number for that sub-account. In Quali Financials the source account is the account that actually funds the cost share expenses applied to a cost share sub-account.</p>
Source Chart	<p>If this distribution line is associated with a cost share sub-account this field will display the chart for the source account number tied to that cost share sub-account.</p>



Adding an Effort Distribution to the Effort Summary or Effort Detail Section

To add a new effort distribution line to the **Effort Summary** or **Effort Detail** sections, follow these steps:

1. Enter the chart of the account you want to add or use the **Chart** lookup icon.
2. Enter the account number you want to distribute effort to or find it by using the **Account** lookup icon.
3. If this effort distribution is to reflect cost share, enter the cost share sub-account here or use the **CS Sub-Acct** lookup icon. Otherwise, leave this field blank.
4. Enter the percentage of effort that should be distributed to this account as an integer (no decimal).
5. Click **Add** button to add the distribution line.

Kuali Financials determines whether the account is federal or federal pass through and adds it to the appropriate section. Kuali Financials also calculates the appropriate salary amount and updates the totals.



If adding the line to the **Effort Details** section, the system also displays the object code and position number and calculated fringe benefit amount.

6. If needed, adjust the object code now that the new line has been added.



Remember that the object code may be modified only if multiple object codes already appear on existing lines.

7. If needed, adjust the position number on the newly added line.



Remember that position number may be modified only if multiple position numbers already appear on existing lines.

8. In the **Notes and Attachments** tab, type a note explaining the change.
9. Click the **Add** button.



Modifying an Existing Effort Distribution line in the Effort Summary Section

To modify an existing effort distribution line in the **Effort Summary** or **Effort Detail** section, follow the steps below:

1. Enter the new effort percentage in the **Effort** field.
2. Click the **recalculate** button.

The system recalculates the value in the **Salary** field in all totals.

3. If necessary, make minor modifications to the **Salary** field.



Remember that salary modifications cannot exceed .009 of the total salary on the document and no one salary distribution line can be modified by more than .005 of the total salary.

4. In the **Notes and Attachments** tab, type a note explaining the change and click the **Add** button.
5. Click the **Add** button.

Modifying an Existing Effort Distribution line in the Effort Detail section

Effort Detail functions very similarly to **Effort Summary**, with some additional fields that may be editable by fiscal officers or Contracts and Grants administrators.

Follow these steps to modify an existing distribution line in the **Effort Detail** section:

1. Enter the new effort percentage in the **Effort** field.
2. Click the **Recalculate** button.
3. If required, make additional modifications to the newly calculated salary amount.
4. In the **Notes and Attachments** tab, type a note explaining the change.
5. Click the **Add** button.



Process Overview

Business Rules

- Total effort must equal 100%.
- An effort distribution line involving an account that is now closed is not editable.
- Existing effort distribution lines cannot be deleted.
- Salary amounts cannot be negative.
- Salary lines can only be changed up to a half percent of the total salary amount for this effort report.
- Salary can only be modified after a change to effort.
- When adding a new line there must not be an existing line with the same chart, account, and sub-account.
- Total salary amount cannot change by more than .009 (rounding).

Routing

The Effort Certification report has several special routing conditions. It also handles account review routing differently than other Kualo Financials documents.

- **Project director routing:** Project director routing is, in part, controlled by the `FEDERAL_ONLY_ROUTE_IND` parameter. If the value of this parameter is N, the document routes to project directors for all accounts appearing on the document. If the parameter is set to Y, then only project directors associated with accounts appearing in the **Federal and Federal Pass Through Accounts** section receive the document.
 - The appropriate project director is derived indirectly from the accounts listed on the document. Accounts that have an associated award route the report to the project director associated with the most recent award (determined by the highest proposal number associated with that account) with an approval action request.
 - If changes are made to an accounting line associated with a project director who has already approved the document, then the effort report routes back to the project director who has already taken an action for an additional approval. This looping continues until no additional changes are made.
- **Account review:** Fiscal officers for all accounts appearing on the document will receive an approval request. If changes are made to an accounting line associated with a fiscal officer that has already approved the document the effort report will route back to the fiscal officer who has already taken an action for an additional approval. This looping will continue until no additional changes have been made.
- **Organization review:** This level of routing behaves as normal throughout Kualo Financials.
- **Award routing:** If effort has been modified, then the document routes to the Contracts and Grants processors associated with all accounts appearing on the document.



For information about the account review and organization review see Route Levels and Workflow Routing in the *Overview and Introduction to the User Interface*.



Salary Expense Transfer Generation

After an effort certification report has received final approval, Kualu Financials evaluates whether the effort has changed since the document was originally created. If so, the system generates a Salary Expense Transfer document. This document is blanket approved by the system. Approvers who normally receive a document of this type for approval receive an acknowledgement request in their action list.

This Salary Expense Transfer posts to the current fiscal year and period. The payroll fiscal year and period identified for entries into the Labor Ledger are determined by the expense transfer fiscal year and expense transfer fiscal period code values appearing on the associated Report Definition record.

Salary Expense Transfer Restrictions

After an employee's effort certification report is created, no modifications via a Salary Expense Transfer document may be made involving the periods specified.

Example

A project director needs to correct the effort for a lab assistant whose effort is currently charged 14% to her grant account (4631686) and 86% (1031400) to a departmental account. The effort for this employee needs to be corrected to an even 50% split on both accounts.

The project director opens the effort certification report for this employee from her action list. In the **Effort Summary** section she changes the effort percentage for account 4631686 to 50 and clicks the **recalculate** button on the right-hand side of that line. Kualu Financials recalculates the salary amount based on this new percentage. She then changes the effort on account 1031400 to 50% and clicks the **recalculate** button on this second line.

With her changes made she now goes to the **Notes and Attachments** tab, adds a note explaining the required change to effort, and clicks the **add** button. She then clicks the **approve** button at the bottom of the document to approve it.

After all approvals have been received, an automatic Salary Expense Transfer document is initiated by the system and blanket approved. This document ensures that the Labor Ledger and General Ledger reflect the newly distributed effort.



Effort Certification Recreate

The Effort Certification Recreate (ECD) document allows an authorized user to manually extract data from the Labor Ledger for a single employee and recreate an effort report for a specified fiscal year and reporting period. This function is used only on an exception basis after the batch process has generated reports for a specific report period.

The end result of this process is an effort certification report that functions as any other. Use of this document is restricted to users with the Contracts and Grants Manager role.

Document Layout

The Effort Certification Recreate document includes **Document Overview** and **Effort Detail** tabs.

Effort Certification Recreate document tabs and purposes

Tab Name	Purpose
Document Overview	Contains a short description, a longer explanation and organization document number fields.
Effort Detail	Used to identify the employee, fiscal year and report number for the effort report that is to be recreated. Also displays the current effort distribution for the specified values.

Document Overview Tab

Similar to other Kualu Financials documents the **Document Overview** tab contains a description, explanation and organization document number field. The document **Description** value is set to Effort Certification Report Recreate.

- ➔ For information about the standard document header, see **Document Header** in the *Overview and Introduction to the User Interface*.
- ➔ For more information about the standard tabs, see **Standard Tabs** in the *Overview and Introduction to the User Interface*.



Effort Detail Tab

The **Effort Detail** tab allows you to specify the details of the effort certification report to be created. It also displays the current effort distribution after the appropriate data has been retrieved. To select the report to be displayed, complete the fields in the **Retrieve Data** section and click the **load** button. The system then displays the current effort distribution from the Labor Ledger for the employee in the **Effort Detail Lines** section along with the fiscal year and report number.

Effort Detail tab, Retrieve Data section definitions


Title	Description
Employee ID	Enter the employee ID uniquely identifying the employee for whom you want to recreate an effort report or use the Person lookup icon.
Fiscal Year	Enter the fiscal year for the effort report to be recreated or select the fiscal year from the System Options lookup icon.
Report Number	Enter the report number for the effort report you want to recreate or select it using the Report Number lookup icon.
load	Click this button to generate effort detail lines for the values you've entered in this section. Quali Financials then queries the Labor Ledger and retrieves and summarizes the data as it normally does when effort reports are created. Effort distribution lines display in the Effort Details section. If no values match the criteria you've entered, an error message is displayed.

The **Effort Details** section displays retrieved effort distribution lines from the Labor Ledger and allows further inquiry on the displayed values. As this information is built using existing ledger entries, you cannot edit these values until the effort report itself has been created.

Effort Detail tab, Effort Detail Lines section definitions

Title	Description
Account Number	The account number associated with this line of effort distribution.
Chart	The chart to which the account specified on this effort distribution line belongs.
Object	The object code associated with the effort on this distribution line.
Original Effort	The current percentage of effort associated with this line. Click the effort percentage to access an inquiry that displays the effort percentage (up to four decimal places) in a new window.
Original Salary	The current salary amount associated with this line. Click the salary amount to display the Labor Ledger A21 view in a new window. Information is displayed for the employee ID, report fiscal year and report periods. If the report spans multiple years, both years will display in the A21 view.
Position	The position number associated with the effort reported on this line.



Source Account	<p>If this distribution is associated with a cost share sub-account, this field displays the source account number for that sub-account.</p> <p> In Kual Financials the source account is the account that actually funds the cost share activity applied to a cost share sub-account.</p>
Source Chart	<p>If this distribution line is associated with a cost share sub-account, this field displays the chart for the source account number tied to that cost share sub-account.</p>
Sub-Account	<p>The sub-account associated with the effort on this line.</p>

Process Overview

Business Rules

- Employee ID, fiscal year, and report number are required and must be valid values.
- Fiscal year and report number must exist as an active record in the Report Definition table, and period status must be O (open).
- The employee cannot have a pending Salary Expense Transfer document.
- The employee must not have another pending Effort Certification Report for the same year and report number.
- The Effort Certification Report create process must have been completed for this fiscal year and report number.
- If an approved effort certification exists for the employee, fiscal year, and report number, a note must be entered explaining why the recreate is needed.

Routing

- After initiation the Effort Certification Recreate document takes on the characteristics of a regular effort certification report and routes as normal with this exception:

Management Routing: After completing the normal effort certification report routing, the document routes to the KFS-SYS Contracts and Grants Manager role for approval. In the default configuration, these users are permitted to modify effort reports. This ability can be turned off by removing the KFS-EC Use Transactional Document permission from this role. If these users modify effort, an FYI action request will be sent to the fiscal officer(s) of the modified account(s).



Example

It is discovered that an error was made when originally certifying an Effort Report for an employee. After reviewing the appropriateness of the request, a user with the Contracts and Grants Manager role opens a new Effort Certification Recreate document.

The user enters a description, an explanation, the Employee ID of the person the effort report is to be recreated for, the fiscal year, and the report number to be recreated, and then clicks the **load** button.

The user reviews the effort detail lines now displayed on the document to verify that the correct criteria has been entered. After confirming this information, the user clicks the **submit** button. The document now routes, looks and functions like a regular effort certification report. After it has received all regular approvals, it also routes to the KFS-SYS Contracts and Grants Manager role for final approval.



Effort Certification Custom Document Search

Effort Certification custom document searches are available by selecting Document Search, entering the Document Type (ECD) and tabbing out of the field.

- ➔ For information about using features and options that are common to all types of custom document searches and working with the search results, see [Using Document Search to Find a Document and Performing Custom Document Searches](#) in the *Overview and Introduction to the User Interface*.





Effort Certification (search)


Only fields unique to Effort Certification custom document search are described below.

Effort Certification Document Lookup

Title	Description
Type	Enter ECD.
Chart Code	To search for effort certification documents based on the chart for the source account number(s), select the appropriate chart code from the list or use the lookup icon to find it.
Employee ID	To search for effort certification documents associated with a particular employee, enter the appropriate employee ID number or use the lookup icon to find it.
Fiscal Year	To search for effort certification documents for a particular fiscal year, enter the appropriate fiscal year or use the lookup icon to find it.
Organization Code	To search for effort certification documents based on the organization code, enter the appropriate code or use the lookup icon to find it.
Organization Document Number	To search for effort certification documents containing a particular organization document number, enter the number.
Report Number	To search for effort certification documents associated with a particular effort report, enter the appropriate report number or use the lookup icon to find it.

-  In many fields you may use special characters to search on a partial entry. For information about using special characters to search, see Data Entry Tips in the *Overview and Introduction to the User Interface*.
-  For information about using features and options that are common to all types of custom document searches and working with the search results, see Performing Custom Document Searches in the *Overview and Introduction to the User Interface*.

After you select a specific effort certification document from the search results, the system displays it in view-only mode.

-  For information about the fields on an effort certification document, see Document Layout under [Effort Certification Document](#).



Effort Certification Reports

Effort Certification reports

Title	Description
Duplicate Certifications Report	Identifies duplicate effort certification documents generated for a given fiscal year and report number.
Effort Certification Extract Build	Displays the effort distribution lines generated by the Effort Certification Extract Build process for a given fiscal year, employee and report number.
Outstanding Certifications by Chart/Org/Report	For a given chart and organization, displays the number of effort certification documents that have not been fully approved.
Outstanding Certifications By Report	Indicates the number of effort certification documents of a given report number that have not been fully approved.

These reports are primarily intended to assist users in the creation and tracking of effort reports.




Duplicate Certifications Report

This report identifies any duplicate effort certification documents that have been extracted for a given fiscal year and report number.

Lookup Criteria

Duplicate Certifications Lookup field definitions

Title	Description
Report Number	To search for effort certification documents based on the report number, enter the appropriate value or use the lookup icon to find it.  Multiple report numbers may be entered separated by a comma.
University Fiscal Year	Required. To search for effort certification documents based on fiscal year, enter the appropriate value or use the lookup icon to find it.

Results

Duplicate Certifications Results field definitions

Title	Description
Employee IDs	The employee ID associated with the duplicate report. You may drill into the Principal lookup by clicking on the Employee ID.
Report Number	The Report Number associated with the duplicate effort certification document.




Effort Certification Extract Build

This report allows you to view the effort distribution lines generated by the Effort Certification Extract Build process for a given fiscal year, employee and report number.

Lookup Criteria

Effort Certification Extract Build Lookup field definitions


Title	Description
Employee ID	To search for effort certification documents based on an employee ID, enter the appropriate value or use the lookup icon to find it.
Report Number	To search for effort certification documents based on the report number, enter the appropriate value or use the lookup icon to find it.  Multiple report numbers may be entered separated by a comma.
University Fiscal Year	Required. To search for effort certification documents based on fiscal year, enter the appropriate value or use the lookup icon to find it.

Results

Effort Certifications Extract Build Results field definitions

Title	Description
Account Number	The account number associated this effort certification.
Chart Code	The chart to which the account specified on this effort certification belongs.
Effort Certification Build Number	Unique identifier that represents a particular group of effort certifications.
Employee ID	The employee ID associated with the effort certification. You may drill into the Principal lookup by clicking on the Employee ID.
Original Effort	The current percentage of effort associated with this line. Click the effort percentage to access an inquiry that displays the effort percentage (up to four decimal places) in a new window.
Report Number	The Report Number associated with the duplicate effort certification document.
Salary	Total salary associated with this line. Click the salary amount to display the Labor Ledger A21 view in a new window. Information is displayed for the employee ID, report fiscal year and report periods. If the report spans multiple years, both years will display in the A21 view.



Source Account	<p>If this distribution is associated with a cost share sub-account, this field displays the source account number for that sub-account.</p> <p> In Quali Financial the source account is the account that actually funds the cost share activity applied to a cost share sub-account.</p>
Source Chart	<p>If this distribution line is associated with a cost share sub-account, this field displays the chart for the source account number tied to that cost share sub-account.</p>
Sub-Account	<p>The sub-account associated with the effort certification.</p>
University Fiscal Year	<p>The Fiscal Year associated with the effort certification.</p>




Outstanding Certifications by Chart/Org/Report

Use this report to identify the number of effort certification documents for a given chart and organization that have not been fully approved. Reports can also be limited by fiscal year and report number.


Lookup Criteria

Outstanding Effort Certifications by Chart/Org/Report Lookup field definitions

Title	Description
Chart Code	To search for effort certification documents based on a Chart Code, enter the appropriate value or use the lookup icon to find it.
Organization Code	To search for effort certification documents based on Organization Code, enter the appropriate value or use the lookup icon to find it.
Report Number	To search for effort certification documents based on the report number, enter the appropriate value or use the lookup icon to find it.  Multiple report numbers may be entered separated by a comma.
University Fiscal Year	Required. To search for effort certification documents based on fiscal year, enter the appropriate value or use the lookup icon to find it.

Search Results

Outstanding Effort Certifications by Chart/Org/Report field definitions

Title	Description
Certification Organizations	The Chart and Organization code associated with the Effort Certification document.  An effort certification report is considered to be associated with an organization if it includes one of that organization's accounts.
Document Number	System assigned number when the Effort Certification was created.
Employee ID	The employee ID associated with the effort certification. You may drill into the Principal lookup by clicking on the Employee ID.
Name	The employee name for whom the effort certification was created.
Outstanding Approvers	The name of the next approver
Report Number	The Report Number associated with the duplicate effort certification document.
University Fiscal Year	The Fiscal Year associated with the effort certification.




Outstanding Certifications By Report

Use this report to identify the number of effort certification documents of a given report number that have not been fully approved. Reports may be limited by fiscal year and report number.


Lookup Criteria

Outstanding Effort Certifications by Report Lookup field definitions

Title	Description
Report Number	To search for effort certification documents based on the report number, enter the appropriate value or use the lookup icon to find it.  Multiple report numbers may be entered separated by a comma.
University Fiscal Year	Required. To search for effort certification documents based on fiscal year, enter the appropriate value or use the lookup icon to find it.

Search Results

This report displays the number of effort certification documents not fully approved and organizes them by chart, organization, fiscal year and report number.

 Note that to display the specific document numbers of the reports still outstanding you can use the [Outstanding Certifications by Chart/Org/Report](#).

Outstanding Effort Certifications by Report field definitions

Title	Description
Chart Code	The chart of the organization which has outstanding effort certification documents.
Number of Outstanding Certifications	Number of outstanding effort certifications for this organization and report number.
Organization Code	The organization which has outstanding effort certification documents.
Report Number	The Report Number associated with the outstanding effort certification documents.
University Fiscal Year	The Fiscal Year associated with the effort certification.



Effort Certification Attribute Maintenance Documents

Effort Certification Attribute Maintenance Documents

Inquiry	Description
Report Definition	Defines the effort reports to generate at your institution.
Report Earn Paygroup	Defines the relationship between the effort certification report type code and entries coming from your institution's payroll system.
Report Period Status Code	Defines valid statuses for report definitions.
Report Type	Establishes valid values for the report types referenced on the Report Earn Paygroup and Report Definition documents.



Report Definition

The Report Definition maintenance document is used to define the effort reports you want to generate at your institution. Every batch of effort reports created must first be represented by a row in the Report Definition table.

The rows in this table define several important values for the effort reports being created including the beginning and ending fiscal year and periods as well as the type of employees and object codes for which reports should be generated.

Document Layout

Report Definition Tab

Report Definition tab field definitions

Title	Description
Active Indicator	If checked, this report definition row is valid and can be referenced by effort certification batch processes attempt to extract Labor Ledger entries and create effort reports. If unchecked this row is considered inactive and will be ignored by any effort certification batch processes.
Expense Transfer Fiscal Year	Required. When modifications are made to an effort certification report, this value defines the fiscal year to which the generated salary expense transfer should post the Labor Ledger entries. Existing fiscal years may be retrieved from the lookup icon.
Expense Transfer Fiscal Period Code	Required. The fiscal period code to which Labor Ledger entries will be posted when these effort certification documents are modified. Existing fiscal period codes may be retrieved from the list or from the lookup icon.
Report Begin Fiscal Year	Required. The fiscal year associated with the beginning period for which effort is to be reported for this group of reports. Existing fiscal years may be retrieved from the lookup icon. Entries in the Labor Ledger with a payroll fiscal year outside the defined range will not be considered when these effort reports are generated.
Report Begin Period Code	Required. The period code associated with the beginning period for which effort is to be reported for this group of reports. Existing period codes may be retrieved from the list or from the lookup icon.
Report End Fiscal Year	Required. Identifies the ending fiscal year to be considered when reports are generated for this report definition. The fiscal year associated with the end period for which effort is to be reported for this group of reports. Existing fiscal years may be retrieved from the lookup icon.



Report End Period Code	<p>Required. Identifies the ending fiscal period to be considered when effort reports are generated for this report definition.</p> <p>The period code associated with the ending period for which effort is to be reported for this group of reports. Existing period codes may be retrieved from the list or from the lookup icon.</p>
Report Number	<p>Required. A code that uniquely identifies the report for which you are defining attributes.</p>
Report Period Status Code	<p>The report period status code for this report definition. Existing status codes may be retrieved from the list or from the lookup icon. The default values are</p> <p>N-Not yet opened (updates allowed) O-Open (batch process has generated Effort Reports) C-Closed (no updates allowed)</p> <p>When adding a new reporting definition to the table a report period status code of N would normally be selected.</p>
Report Period Title	<p>Required. A text title for this reporting period.</p>
Report Return Date	<p>The date on which effort certification documents for this definition were created. Existing dates may be retrieved from the calendar tool.</p>
Report Type Code	<p>Required. This value defines the pay frequency for a group of employees and helps to further define for which employees this report definition should generate effort reports. Default values include:</p> <p>10 - 10 pay reporting 12 - 12 pay reporting BI - Biweekly reporting SU - Summer Reporting</p> <p>Existing report type codes may be retrieved from the list or from the lookup icon.</p>
University Fiscal Year	<p>A fiscal year for this report definition row.</p>



Edit Report Position Object Group Codes Tab

This section defines all object code groups that are valid for this report definition. Labor Ledger entries associated with object codes that belong to these object code groups will be considered (along with other report definition values) when effort certification documents are generated.

Labor position object code groups are defined using the maintenance document of the same name (a part of the Quali Financials Labor Distribution module). The Labor Object Code maintenance document (also part of Labor Distribution) assigns each labor object code at your institution to a particular labor position object code group. Examples of groups might include CL (Non-Exempt Staff), HO (Hourly Staff), and WS (Work Study).

When you are editing an existing report definition, you will see all object code groups in their own **Position Object Code Groups** section on this tab. These existing values can only be inactivated. Adding new Object Code groups always occurs in the **New Position Object Code Groups** section and functions like other Quali Financials collections. As the content of these sections is identical, only the latter is detailed below.

Position Object Code Groups tab field definitions

Title	Description
Active Indicator	If checked, this value will be considered part of the report definition when effort certification documents are generated. If unchecked, this object code group code will be ignored when reports are generated.
Labor Position Object Code Group Code	The code for the group of labor position object codes you want to include in this report definition or the Labor Position Object Code Group lookup icon.

Business Rules

- Report end fiscal year and period must not be the same or before the report begin fiscal year and period.
- A warning message will be displayed if the report period overlaps with another report period of the same report type.



Report Earn Paygroup

The Report Earn Paygroup maintenance document defines the relationship between the effort certification report type code and entries coming from your institution's payroll system. Payroll entries are identified by an earn code, usually representing a type of earning such as regular pay, sick or vacation, and a pay group identifying the type (and often pay frequency) of a group of employees.

These values are used when determining whether entries in the Labor Ledger are eligible to be included in a batch of effort certification documents being created. The process will determine the report type code for the report definition row being referenced, determine the associated Earn Code and Pay Group values on this table, and identify eligible entries with those earn code and pay group combinations.

Document Layout

Report Earn Paygroup field definitions

Title	Description
Active	If checked this row will be considered when effort certification documents are created. If unchecked this row will be ignored.
Earn Code	Required. The earn code value you want to associate with this report type code.
Paygroup	Required. The paygroup value associated with this report type code.
Report Type Code	Required. The report type code associated with an earn code and paygroup combination.
University Fiscal Year	Required. The fiscal year for which the specified earn code and paygroup are to be associated with this report type code. Existing fiscal years may be retrieved from the lookup icon.



Report Period Status Code

The Report Period Status Code maintenance document defines valid statuses for report definitions. These statuses indicate whether reports identified by a report definition have been not yet been created, are currently in process, or have been closed.

Because these values are critical to the batch processing, they are for display only. Adding new values requires modifying the Quali Financials code to ensure that the effort certification extract and creation processes are capable of handling the new statuses.

Document Layout

Report Period Status Code field definitions

Title	Description
Report Period Status Code	Required. A code that uniquely identifies this report period status.
Report Period Status Description	Required. A text description of the status code. Default values are: N - Not yet opened (updates allowed) O - Open (batch process has generated effort reports) C - Closed (no updates allowed)



Report Type

The Report Type maintenance document establishes valid values for the report types referenced on the Report Earn Paygroup and Report Definition documents. It defines the pay frequency for a group of employees and helps further specify the employees for which report definitions should generate reports.

Document Layout

Report Type tab definition

Title	Description
Active Indicator	If checked, this report type is valid and may be used on the Report Definition or Report Earn Paygroup documents. If unchecked, this report type is inactive and may not be used.
Report Description	Required. A text description for this report type.
Report Type Code	Required. A code that uniquely identifies the pay frequency for a group of employees. Examples include: 10 - 10 pay reporting 12 - 12 pay reporting BI - Biweekly reporting SU - Summer Reporting



Generating Effort Certification documents

Effort certification documents are created via batch with the following jobs:

1. Extracting data from the Labor Ledger (the EffortCertificationExtractJob).
2. Creating effort reports from this extracted data (the EffortCertificationCreateJob).



Extracting Effort Data from the Labor Ledger

The extract process collects Labor Ledger records of employees who were paid on a grant or cost-shared during the selected reporting period and uses the data to populate tables that are eventually used to generate effort reports.

The first step is to use the Report Definition maintenance document to configure the report number and change its status from N (Not yet opened - updates allowed) to O (Open - batch process has generated reports).

The second step is to properly establish the effort certification parameters that control what report you will be extracting data for. Three Quali Financials system parameters impact the extract process. Each is explained in the table below. Two are used to define the record in the Report Definition table for the extract. The third (RUN_IND) simply indicates whether the Extract process should actually run.

Effort Certification extract parameters

Parameter Name	Description
RUN_FISCAL_YEAR	Indicates the fiscal year of the Report Definition record for which we are going to extract effort data.
RUN_REPORT_NUMBER	Indicates the report number of the Report Definition record for which we are going to extract effort data.
RUN_IND	Indicates if the EffortCertificationExtractStep (the portion of the EffortCertificationExtractJob that actually extracts the Labor Ledger entries) should run. If set to Y, this step will run. If set to N, the step will not run, even if the EffortCertificationExtractJob runs. This allows you to schedule the EffortCertificationExtractJob batch job to run at a regular time daily, but to only extract reports on days when you have updated this parameter to Y.

After modifying parameters, run the EffortCertificationExtractJob. Your institution may schedule this batch job at a regular daily time (remembering that the extract step will not run if the RUN_ID parameter is not set to Y). You may also run the job manually using the Batch Schedule option.



Business Rules

- If any of the required parameters do not have values, the Extract process will abort.
- If the matching fiscal year and report number are not found in the Report Definition table, or if the Report Definition record is inactive, the process will abort.
- If extracted data already exists for the specified fiscal year and report number, the process will abort.

Extract Processing

The extract performs several steps, each explained below, to identify, summarize and copy the correct Labor Ledger entries to the tables that will be used to build effort certification documents.

Determine Employees Eligible for this Report

Employees with Labor Ledger entries of Balance Type AC or A2 within the payroll fiscal year and period specified for this report will be included if those entries correspond to an earn code and pay group combination associated with this report's report type (as defined in the Report Earn Paygroup table.)

This identifies the initial subset of employees who might be eligible to have Labor Ledger data extracted. This set will be further pared down in the steps that follow.

Determine Valid Labor Object Codes for this Report

The process identifies the labor object code groups for this report. Then it consults the Labor Object Code table to identify all object codes associated with these groups and a Financial Object Fringe or Salary Code value of S (indicating that the object code identifies salary and wages.)

Note that object codes and entries in the Labor Object Code table are specific to a fiscal year. So the process considers the report fiscal year(s) as part of this determination.

Employees with Labor Ledger entries with the appropriate object codes, as determined by this step, continue to the next step.



Select Labor Ledger Balance Records for these Employees

In this step, balances are retrieved from the Labor Ledger for the employees and object codes identified in the previous steps. Only entries with a Balance Type Code of AC or A2, an Object Type Code of EX (Expense) and the fiscal year(s) associated with the report will be selected.

It is possible to exclude the Labor Ledger entries associated with certain types of accounts by using the ACCOUNT_TYPE_CODE_BALANCE_SELECT parameter. ACCOUNT_TYPE_CODE_BALANCE_SELECT gives valid/invalid account type codes for the extract balance select. For example, perhaps you want to exclude entries that are associated with Work study accounts. This parameter can be used to exclude account type codes by setting the Parameter Constraint Code to D. Alternately, if you set the Parameter Constraint Code to A, only the account type codes specified in the Parameter Value will be eligible to have their Labor Ledger entries selected.

Monthly Summation

Entries with identical accounting string values are summed together to create summarized monthly balance amounts. Records that sum to zero are dropped from further processing.

Identify Cost Share Accounts and Sub-Accounts

The accounting fields of the summarized entries are checked to determine whether they are associated with a cost share sub-account (sub-accounts with the type identified by the COST_SHARE_SUB_ACCOUNT_TYPE_CODE parameter).

If the summarized entries are not associated with cost share sub-accounts, then the Sub-Account Number field for those entries is set to dashes and no source account information will be associated with the summarized entry.

Consolidation of Records

Records are consolidated by summing the Amount fields of records with the same balance key (Employee ID, Chart, Account, Sub Account, Object Code and Position Number).

Employee totals are calculated by summing all the record amounts with the same employee ID.

If the employee total is 0, all records for that employee are dropped from the process.



Identify Employees Paid or Cost-shared on a Grant Account

Remaining records are checked to see whether the employee has been paid on or cost-shared from a grant account.

An account is determined to be a grant account based on either its fund group or sub fund group as specified in the `FUND_GROUP_DENOTES_CG_IND` parameter. Specific fund groups or sub fund groups that identify grant accounts are then identified in the `CG_DENOTING_VALUE` parameter.

Your institution may choose to generate effort certification documents only for employees paid from or cost-shared on federal or federal pass through accounts. Two parameters control this:

- `FEDERAL_ONLY_BALANCE_IND` indicates whether only those employees with federal or federal pass through pay should be included in Effort Report.
- `FEDERAL_AGENCY_TYPE_CODE` gives the federal agency type code.

Write Information to the Build Table

Entries identified (and not otherwise eliminated) in the previous steps are now written to a table that will be used to build effort certification documents. Any data currently in the build table will be wiped out by this process and replaced with the new data.



Extract Reporting

At this point, the build table may be inquired upon using the Effort Certifications Extract Build report.

A PDF report is also generated after the extract process successfully runs. The report includes statistic information showing the number of employees and records selected, read and ultimately written to the build table.

Any errors encountered during the extract process are reported here. Errors may include:

- Labor object code not found.
- Higher Ed function code not found.
- Fund group not found.
- Account number not found.
- Any balance records of 0 or less amount.

Effort Certification Extract Process

Report Year:2009 Report Number:A01 Fiscal Begin Period:02/2009 Fiscal End Period:06/2009

Statistics Section:

Number of Employees Selected:	45
Number of Balance Records Read:	462
Number of Balance Records Selected:	190
Number of Certification Records Written:	26
Number of Detail Line Build Records Written:	91
Number of Errors Encountered:	0

Errors Section:



Creating Effort Reports from Extracted Data

The Effort Certification creation process creates effort reports from the temporary Build table populated by the EffortCertificationExtractJob batch job. The creation process also routes these documents and clears the temporary entries from the Build table.

The creation process assumes that the RUN_ID parameters remain set as discussed in the section above detailing the extraction process. It also assumes that the creation process has not previously been run for the specified fiscal year and report ID. The creation process requires that additional parameters be set as follows:

Effort Certification creation parameters

Parameter Name	Description
CREATE_FISCAL_YEAR	Indicates the fiscal year of the Report Definition record for which we are going to create effort certification documents from the extracted data.
CREATE_REPORT_NUMBER	Indicates the report number of the Report Definition record for which we are going to create effort certification documents from the extracted data.

After modifying parameters, run the EffortCertificationCreateJob. This job must be run after the EffortCertificationExtractJob. Normally, you would run this job once per effort certification period.

Business Rules

- If any of the required parameters do not have values, the Creation process will abort.
- If the matching fiscal year and report number are not found in the Report Definition table, or if the Report Definition record is inactive, the process will abort.
- If extracted data already exists for the specified fiscal year and report number, the process will abort.

Creation Processing

The creation process performs several steps, each explained below to generate effort certification documents from the Build table and route them.



Pre-Run Validation

Prior to initiating the creation process, the report period status code of the specified Report Definition record (as defined by the CREATE_REPORT_NUMBER and CREATE_FISCAL_YEAR parameters) is checked. The status must be O (Open) in order for the creation process to continue. The process will also abort if no rows currently exist in the Build table or if the rows in the Build table already exist in the Effort Certification detail table (indicating the user is trying to create reports for a report period for which reports have already been created).

Populate the Effort Certification Table

The process retrieves detail records and detail line records from the Build table and populates them in an Effort Certification table (this information will populate the effort report's **Report Information**, **Effort Summary** and **Effort Detail** tabs). Workflow documents are generated and document numbers assigned to each detail record, with the system user assigned as the initiator and the description is set to the employee's name.

Salary totals are calculated as the total for all detail line records associated with each detail record and this total is displayed as the total in the document header.

Document routing is then initiated for the newly created Effort Certification documents.

Finally, all the entries from the Build table are deleted.



Index

B

business rules
Effort Certification module: 17
Effort Certification Recreate document 21
Report Definition document 34

D

Duplicate Certifications report 26

E

Effort Certification
batch processes 6
Effort Certification document 8
adding an effort distribution to Effort
Summary or Effort Detail section 15
document header 9
Document Overview tab 10
Effort Detail tab 13
Effort Summary tab 11
modifying existing effort distribution line in
Effort Detail section 16
modifying existing effort distribution line in
Effort Summary section 16
Report Information tab 10
effort certification documents
extracting effort data from the Labor Ledger
39
generating 38
Effort Certification Extract Build report 27
Effort Certification module
business rules 17
Duplicate Certifications report 26
Effort Certification document 8
Effort Certification Extract Build report 27
example 18
Outstanding Certifications by
Chart/Org/Report 29
Outstanding Certifications By report 30
routing, report 17
Salary Expense Transfer document 18
Effort Certification Recreate document
business rules 21
Document Overview tab 19
Effort Detail tab 20
example 22
routing 21
Effort Certification Transaction Documents 7

Effort Detail tab, Effort Certification document
13

Effort Detail tab, Effort Certification Recreate
document 20

effort reports
creating from extracted data 44

Effort Summary tab, Effort Certification
document 11

extracted data
creating reports from 44

O

Outstanding Certifications by Chart/Org/Report
29

Outstanding Certifications By report 30

R

Report Definition document 32
business rules 34
Edit Report Position Object Group Codes tab
34

Report Definition tab 32

Report Earn Paygroup document 35

Report Information tab, Effort Certification
document 10

Report Period Status Code document 36

Report Type document 37

S

Salary Expense Transfer document 18
restrictions 18